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Part 4 – University IT, Copyright and Library Services Regulations

Readers are advised to consult the appropriate web link for the following University IT, Copyright and Library Services Regulations, Policies and Procedures as they are subject to regular review:

4.1 University Library Service Regulations ....................................................................... http://www.cardiff.ac.uk/public-information/policies-and-procedures/library-regulations
4.2 University IT Regulations ............................................................................................ http://www.cardiff.ac.uk/public-information/policies-and-procedures/it-regulations
4.3 University Acceptable Use Policy (IT Facilities) ........................................................... http://www.cardiff.ac.uk/public-information/policies-and-procedures/it-regulations
4.4 University Information Security Policy ......................................................................... http://sites.cardiff.ac.uk/isf/policies/information-security-policy/
4.5 University Copyright Policy ........................................................................................ http://sites.cardiff.ac.uk/isf/policies/cardiff-university-copyright-policy/
Foreword

The purpose of this Handbook is to provide a definitive source for all formally- approved academic regulations of the University. It should provide staff and students with a useful and comprehensive reference point for policies, regulations and procedures that are applicable to all programmes of study pursued at Cardiff University.

The Handbook is updated annually and every attempt has been made to ensure all content is accurate at the time of publication. Any changes to the Regulations which take effect during Session 2017-2018 will be published on the University website at: http://www.cardiff.ac.uk/public-information/policies-and-procedures/academic-regulations

If you require advice on any aspects of the regulations and procedures contained in this handbook, please send your query, via email, to Quality@cardiff.ac.uk and a response will be sent to you as soon as possible.

This Handbook is regularly reviewed and all feedback from recipients and users would be greatly appreciated. Please refer your feedback to me in the first instance.

Simon Wright
Academic Registrar
August 2017

Important legal information

- If you require advice on the University Academic Regulations please contact Quality@Cardiff.ac.uk.
- If students would like independent advice on the University Policies, Procedures or Regulations, the Students’ Union Advice Centre can be contacted at Advice@Cardiff.ac.uk or on 029 2078 1410.
- If you are not able to access information online please contact us on Quality@Cardiff.ac.uk

Note to Students:
Your acceptance of a place at Cardiff and all matters arising out of your enrolment as a student will be governed and construed in accordance with the law of England and Wales. Both you and the University will submit to the exclusive jurisdiction of the Office of the Independent Adjudicator or, but only so far as is permitted by the law of England and Wales, the English and/or Welsh Courts in relation to any matters arising out of your acceptance of a place or enrolment as a student.

If you require a copy of the Academic Regulations Handbook in an alternative format, please contact the Quality and Standards Team at Quality@Cardiff.ac.uk
CARDIFF UNIVERSITY STRATEGIC PLAN – THE WAY FORWARD

Cardiff University's The Way Forward builds on the University's achievements and sets out the medium-term direction of the University in line with its mission. It provides the overarching framework for the formulation and assessment of all other plans such as those produced for individual schools, the University's administration, estate and information services etc. which, in turn, inform the formulation of the overall University Plan. The University also publishes a number of associated strategies, policies and guidance notes which students and staff may find useful. The Way Forward can be accessed via https://www.cardiff.ac.uk/about/our-profile/strategy.

WELSH LANGUAGE SCHEME

The University operates a Welsh Language Scheme which demonstrates how it treats both the Welsh and English languages on the basis of equality. The University is continuously developing its provision for Welsh language students and regularly consults students about their requirements and aspirations. Details of the scheme can be found at http://www.cardiff.ac.uk/public-information/corporate-information/welsh-language-scheme

EQUALITY AND DIVERSITY POLICY

The University has a long standing commitment to equal opportunities. In support of this, the University has adopted Equality & Diversity and Race Equality Policies which can be accessed online at http://www.cardiff.ac.uk/public-information/equality-and-diversity

EDUCATION

Cardiff University's The Way Forward: Education and Students defines the priorities for enhancing the educational experience of our students, in-line with the mission and vision of the University. This is available at https://www.cardiff.ac.uk/about/our-profile/strategy.

QUALITY ASSURANCE AGENCY

The Quality Assurance Agency for Higher Education is responsible for operating programmes of institutional review and for the UK Quality Code for Higher Education (the Quality Code). This sets out the expectations all providers of UK higher education are required to meet.

The Quality Code gives all higher education providers a shared starting point for setting, describing and assuring the academic standards of their higher education awards and programmes and the quality of the learning opportunities they provide. Individual education providers use the Quality Code to design their policies for maintaining academic standards and quality.

Details of the Quality Code and copies of relevant documents are available from the QAA at www.qaa.ac.uk/assuringstandardsandquality/quality-code
<table>
<thead>
<tr>
<th>REGULATIONS</th>
<th>MINUTE REFERENCE (where appropriate)</th>
</tr>
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<tbody>
<tr>
<td>Definition of Generic Terms used in Senate Regulations</td>
<td>No changes</td>
</tr>
<tr>
<td>Senate Regulation for Awards of Cardiff University</td>
<td></td>
</tr>
<tr>
<td>Addition of MDA – Master of Design Administration to list of</td>
<td>Senate: Approved by</td>
</tr>
<tr>
<td>Integrated Master’s degrees.</td>
<td>Executive Action 180117</td>
</tr>
<tr>
<td>Addition of MMORS – Master in Mathematics, Operational Research and</td>
<td>Senate: Approved by</td>
</tr>
<tr>
<td>Statistics to list of Integrated Master’s degrees.</td>
<td>Executive Action 070217</td>
</tr>
<tr>
<td>Addition of PGCE – Professional Graduate Certificate in Education</td>
<td>Senate: Approved by</td>
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<tr>
<td>(PCET) and Professional Graduate Certificate in Education (PCET –</td>
<td>Executive Action 270617</td>
</tr>
<tr>
<td>In Service) to replace PCET – Postgraduate Certificate in Post</td>
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<tr>
<td>Compulsory Education and Training and In Service Postgraduate Certificate</td>
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<td>in Education (PCET).</td>
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<td>Senate Regulations for Aegrotat and Posthumous Awards</td>
<td>No changes</td>
</tr>
<tr>
<td>Senate Regulations for Modular Undergraduate Programmes</td>
<td>No changes</td>
</tr>
<tr>
<td>Senate Regulations for the Non-modular Bachelor of Dental Surgery Hons</td>
<td>No changes</td>
</tr>
<tr>
<td>(BDS) [Continuing students in Years 2, 3, 4 or 5 in 2016-2017]</td>
<td></td>
</tr>
<tr>
<td>Senate Regulations for the Non-Modular Degree of Bachelor of Dental</td>
<td>No changes</td>
</tr>
<tr>
<td>Surgery (BDS) [new entrants from 2016-2017]</td>
<td></td>
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<tr>
<td>Senate Regulations for the Non-Modular University of Wales Bachelor of</td>
<td>No changes</td>
</tr>
<tr>
<td>Medicine – Bachelor of Surgery (MB BC) [Continuing students, and new</td>
<td></td>
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<tr>
<td>students to the Four-Year Programme in 2013-2014]</td>
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</tr>
<tr>
<td>Title</td>
<td>Changes</td>
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<td>---------------------------------------------------------------------</td>
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</tbody>
</table>
| **Senate Regulations for the Non-Modular University of Wales Bachelor of Medicine – Bachelor of Surgery (MB BCh) [New entrants from 2013-2014]** | Revisions to the classification of the MB BCh to allow both the penultimate (clinical assessments) and final (knowledge assessments) years to be used in classification for students entering the penultimate year of the Programme from 2018-2019. | ASQC M. 1103.1  
Senate M. 688.1  
Senate: Approved by Executive Action 270617 |
| **Senate Regulations for Postgraduate Taught Programmes – Modular Programmes** | No changes |  

| **Senate Regulations for Postgraduate Taught Programmes – Non-Modular Programmes** | No changes | |
| **Senate Regulations for Taught Postgraduate Master’s Degrees – Dissertation Submission: Modular and Non-modular Programmes** | No changes |  

| **Senate Assessment Regulations for Taught Programmes** | Amendments to the Guidance with regard to External Examiner Reports (section 13.5) to include an expectation that Reports will be submitted within six weeks of the final/taught stage Examining Board. | ASQC M. 1103.6  
Senate M. 688.6 |
| **Unfair Practice Procedure** | No changes | |
| **Senate Regulations for the Award of the Degrees of PhD (Doctor of Philosophy), MD (Doctor of Medicine)** | Relocation of regulatory provisions for the conduct of research degree examinations to Procedures for the Arrangement and Conduct of Research Degree Examinations.  

Amendments to allow for new staff PhD candidates to be registered for a 3-year project with a 4-year time limit or a 5-year project with a 7-year time limit.  
Minor amendments and clarifications to reflect recent procedural changes and defunct or updated practices. | ASQC M. 1103.2  
Senate M. 688.2  
ASQC M. 1103.4  
Senate M. 688.4  
ASQC M. 1103.5  
Senate M. 688.5 |
| **Doctoral Degrees by Examination and Theses (Professional Doctorates)** | Relocation of regulatory provisions for the conduct of research degree examinations to Procedures for the Arrangement and Conduct of Research Degree Examinations. | ASQC M. 1103.2  
Senate M. 688.2 |
| Amendments to allow for new staff PhD candidates to be registered for a 3-year project with a 4-year time limit or a 5-year project with a 7-year time limit. | ASQC M. 1103.4 Senate M. 688.4 |
| Minor amendments and clarifications to reflect recent procedural changes and defunct or updated practices. | ASQC M. 1103.5 Senate M. 688.5 |

**MPhil and MScD (by Research)**

| Relocation of regulatory provisions for the conduct of research degree examinations to *Procedures for the Arrangement and Conduct of Research Degree Examinations*. | ASQC M. 1103.2 Senate M. 688.2 |
| Minor amendments and clarifications to reflect recent procedural changes and defunct or updated practices. | ASQC M. 1103.5 Senate M. 688.5 |

**Senate Regulations for the Award of the Degree of MRes (Master of Research)**

| Minor clarifications recommended to cross references in Clause 1 to Senate Regulations for Modular Taught Postgraduate Programmes. | ASQC M. 1103.7 Senate M. 688.7 |

**Senate Regulations for PhD (by Published Works)**

| Relocation of regulatory provisions for the conduct of research degree examinations to *Procedures for the Arrangement and Conduct of Research Degree Examinations*. | ASQC M. 1103.2 Senate M. 688.2 |
| Minor amendments and clarifications to reflect recent procedural changes and defunct or updated practices. | ASQC M. 1103.5 Senate M. 688.5 |

**Senate Regulations for Senior Doctoral Degrees**

| No changes | |

**Presentation and Submission of Research Degree Theses**

| Minor amendments and clarifications to reflect recent procedural changes and defunct or updated practices. | ASQC M. 1103.5 Senate M. 688.5 |

**Procedures for the Arrangement and Conduct of Research Degree Examinations**

<table>
<thead>
<tr>
<th>Amendments to include:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Regulatory provisions for the conduct of research degree examinations previously located in <em>Senate Regulations for the Award of the Degrees of PhD; Senate Regulations for the Award of Doctoral Degrees by Examination and Thesis (Professional Doctorates), Senate Regulations for the Award of the Degree of MPhil and MScD (by Research), and Senate</em></td>
</tr>
</tbody>
</table>
**Regulations for the Award of the Degree of PhD (by Published Works):**
- Expanded guidance on holding examinations away from Cardiff or by electronic means, incorporating details previously contained in the separate ‘Procedures for the Conduct of Viva Voce Examinations away from Cardiff or by Electronic Means’;
- Information outlining the University’s procedures for receiving and responding to PGR External Examiners’ reports, previously contained in *Senate Guidelines: Postgraduate Research External Examiners*.

**Senate Guidelines: Postgraduate Research External Examiners**
Section removed following incorporation of guidance into *Procedures for the Arrangement and Conduct of Research Degree Examinations*.

**Extension to Time Limit Procedure – Postgraduate Research Candidates**
Amendments to:
- extend the criteria for applying for an extension to a time limit to reflect the Interruption of Study Procedure and new guidelines from RCUK regarding shared parental leave;
- emphasise the requirement to illustrate that circumstances must be severe, unforeseen or unavoidable and can be demonstrated to have had an adverse impact on the candidate’s ability to submit by their deadline;
- provide clear instruction regarding the application process and supporting documentation required;
- add clarity regarding the confirmation of the decision and the appeals process.

**Cardiff University: Policy and Procedures in Relation to Academic Integrity in Research Degree Study**
No changes

**Student Attendance and Engagement Procedures: Overview**
No changes

**Interruption of Study Procedure**
No changes

**Non-Engagement with Programme Procedure**
No changes

**Unsatisfactory Academic Progress Procedure**
No changes
<table>
<thead>
<tr>
<th>Topic</th>
<th>Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Attendance and Engagement Procedures: Appeals and Return to Study</td>
<td>No changes</td>
</tr>
<tr>
<td>Academic Appeals Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Students’ Fitness to Study Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Students’ Fitness to Practise Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Senate Regulation Governing Personal Tutors</td>
<td>No changes</td>
</tr>
<tr>
<td>Research Student Monitoring Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Student Complaint Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Student Behaviour Procedure</td>
<td>No changes</td>
</tr>
<tr>
<td>Procedure for Payment of Tuition Fees and Other Monies</td>
<td>No changes</td>
</tr>
<tr>
<td>Code of Practice to Ensure Freedom of Speech</td>
<td>Revised Code of Practice to take into account the University's additional duties under the Counter-Terrorism Act 2015, and to clarify the legal restrictions that apply to freedom of speech</td>
</tr>
<tr>
<td></td>
<td>Senate M. 671 Council M. 1342.7</td>
</tr>
<tr>
<td>Data Protection Policy</td>
<td>No changes</td>
</tr>
<tr>
<td>Education Act 1994: Code of Practice</td>
<td>No changes</td>
</tr>
<tr>
<td>The Students’ Union as an Educational Charity</td>
<td>No changes</td>
</tr>
<tr>
<td>Membership of the Students’ Union</td>
<td>No changes</td>
</tr>
</tbody>
</table>
Part 1

Programmes and their Assessment: Senate Regulations and Guidelines
Definition of Generic Terms Used in Senate Regulations

The following definitions apply in respect of Senate Regulations.

**Academic Staff:** The members of the Academic Staff of the University as defined by the University Council.

**Anonymous Marking:** Marking of Assessment where it is intended that markers are unaware of the identity of students.

**Assessment:** Forms of Assessment fall into the following types:

**Examinations with fixed time-limit in specified locations:**

- **Examination:** A written Assessment of no less than one hour organised by the Superintendent of Examinations in an Examination Venue. The duration of an Examination shall be specified in multiples of thirty minutes.

- **Class Test:** A written Assessment with fixed time-limit conducted in accordance with Senate Regulations and which is organised by the relevant School outside of an Examination Period.

- **eAssessment:** An assessment delivered through IT-based tools. It includes multiple choice questions (MCQs) and short answer tests delivered through bespoke software, including on-line tests.

**Coursework:**

- **Written Assessment** – A written piece of coursework, including case studies and essays.

- **Report** – A report or reflective journal produced during and/or after participation in an activity such as fieldwork, laboratory work, work experience, placement or project.

- **Portfolio** – An Assessment of a collection of materials/evidence over a period of study over time

- **Dissertation** – A substantial written Assessment that embodies outcomes of a study or an investigation or a research project.

- **eAssessment** – An assessment delivered through IT-based tools that a student completes in their own time.

**Practical Assessments:**

- **Practical-Based Assessment or Clinical Assessment** - An Assessment which assesses how a student undertakes a practical skill, technique or competency, such as a clinical examination, laboratory techniques, language translation, or recital, which is organised by the relevant School.

- **Oral/Aural Assessment** – Assessment, which may include viva-voce examination, that is conducted orally and face-to-face with the assessor(s).
**Presentation** – Assessment which may include presentations, debates, conversations or contributions to seminars.

**Assessment Criteria:** Descriptions, normally articulated in criteria-based marking schemes, of what the learner is expected to achieve in order to meet a defined standard and demonstrate that a learning outcome has been met.

**Award:** A degree, diploma or certificate conferred upon a student by the University Awards and Progress Standing Panel following the pursuit of a Programme.

**Condonement:** The process through which students who have not attained the pass mark are awarded Credit under conditions prescribed by Senate Regulations.

**CQFW:** The Credit and Qualifications Framework for Wales provides the common framework that operates across Wales through which the level and volume of credit-based learning is defined.

**Credit:** An award made to a learner in recognition of the achievement of designated learning outcomes at a specified Credit level. The amount of Credit attributed is based upon an estimation of the learning time, which it would take the average learner to achieve the learning outcomes specified. Twenty Credits shall comprise a minimum of two hundred study hours including associated contact hours, independent study and Assessment.

**Credit Level:** An indicator of the relative demand, complexity and depth of learning and of learner autonomy derived from the generic Credit level descriptors.

**Credit Level:** The designation of a Module or Credit within a given Programme shall be defined as follows:

<table>
<thead>
<tr>
<th>CQFW Credit Level</th>
<th>Cardiff University Credit Level (pre 2012-2013)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 3</td>
<td>CQFW Level 3: Credit normally acquired on foundation Programmes, the standard of which is equivalent to GCE ‘A’ level, and which would prepare students for entry to undergraduate degree study;</td>
</tr>
<tr>
<td>Level 4</td>
<td>CQFW Level 4: Credit normally acquired in the first year of undergraduate Programmes and appropriate to the award of a University Certificate of Higher Education;</td>
</tr>
<tr>
<td>Level 5</td>
<td>CQFW Level 5: Credit normally acquired in the second year of undergraduate Programmes, and appropriate to the award of a University Diploma of Higher Education;</td>
</tr>
<tr>
<td>Level 6</td>
<td>CQFW Level 6: Credit normally acquired in the final year of undergraduate Programmes, and appropriate to the award of an honours degree;</td>
</tr>
<tr>
<td>Level 7</td>
<td>CQFW Level 7: Credit normally acquired in taught postgraduate Programmes, and appropriate to the award of an Integrated Master's Degree or of a Master's Degree;</td>
</tr>
<tr>
<td>Level 8</td>
<td>CQFW Level 8: Credit normally acquired in postgraduate research Programmes and appropriate to the award of a Doctorate.</td>
</tr>
</tbody>
</table>
Examination Period: A period determined by Senate which is set aside for the conduct of Examinations and, where necessary, Practical-Based Examinations following a specified period of study. For modular Programmes of Study, the Examination Periods shall fall at the end of a Semester. The Examination Periods will be notified to students at the beginning of each Session.

Examination Venue: A venue specified by the Superintendent of Examinations as one in which an Examination may be held.

Examing Board: a Board established in accordance with Senate Regulations to:
- consider the performance of students;
- confirm marks and make recommendations on progression and awards to the Awards and Progress Committee; and
- monitor the quality and standards of awards.

For taught Programmes, Examining Boards fall into the following types:

Progression Examining Board: established to make recommendations on the progression of students between levels, stages, or years of study. Progression Examining Boards may, where appropriate, determine eligibility for Exit-Point Awards.

Final Examining Board: established to make recommendations on final Awards and their classification, where appropriate.

Exit-Point Award: An award conferred upon a student who has been awarded Credit for appropriate Modules for a defined stage of a Programme where:

i the student does not progress to the next part of the Programme; or

ii the student fails the next part of the Programme or the final award and is unable for whatever reason to retrieve the failure.

Experiential and/or Professional Learning: Work-related learning undertaken and assessed within one or more prescribed Modules, at an appropriate Level and over a defined period. Such learning may include periods of professional/industrial training and periods of study/work experience. Credit shall be awarded for Experiential and/or Professional Learning.

Extenuating Circumstances: Personal Circumstances, such as illness or bereavement, which may seriously disrupt a student's ability to study and/or affect their performance in an Assessment.

Extenuating Circumstances Group: a Group established in accordance with Senate Regulations to consider and report to an Examining Board on Extenuating Circumstances.
**FHEQ:** The Framework for Higher Education Qualification in England, Wales and Northern Ireland (describes the range of qualifications awarded across higher education). It applies to degrees, diplomas, certificates and other academic awards granted by institutions with degree awarding powers.

**Final Mark:** The combined average of the Module Marks contributing to the final award, weighted according to the Classification Set for the Programme and Credit rating of the Modules calculated, rounded, and recorded as a whole number.

**Home School:** The School responsible for the administration of a Programme.

**Learning Outcomes:** Statements of what a learner can be expected to know, understand and/or do as a result of a learning experience.

**Level Result:** The combined average of the marks for Modules contributing to a level of study calculated, rounded and recorded to a whole number.

**Module(s):** An identifiable component of learning. Modules may be delivered in units of 10-Credits, 15-Credits (postgraduate Programmes only), 20-Credits, 30-Credits or 40-Credits. No Module shall be greater than a 40-Credit Module or extend for more than one Session,save in respect of projects and dissertations and of periods of professional/industrial training or study/work experience abroad. Modules fall into the following types:

- **Core Module:** A Module that all students registered on a particular Programme must take.

- **Co-requisite Module:** A Module that must be studied concurrently by students registered on a particular Programme.

- **Free-Standing Module:** A Module(s) which may be available to any student or identified group of students registered on a Programme. The inclusion of one or more Free-Standing Modules within a Programme shall be at the discretion of the School Board.

- **Option Module:** A Module which is optional for students registered on a Programme.

- **Placement / Fieldwork Module:** A Module which may be pursued at a location away from the University or at the University and which may be scheduled outside the approved Semester dates.

- **Precursor Module:** A Module, the study hours of which a student shall be required to have completed in order to proceed to a subsequent specified Module or Modules, but for which Credit may not necessarily have been awarded.

- **Prerequisite Module:** A Module in which a student shall be required to have received Credit in order to proceed to a subsequent specified Module.

- **Re-assessment:** A second (or third) Assessment taken by a student subsequent to a formal Examining Board confirming that a student has failed specific Module(s) and that Credit shall not be awarded. There are two types of Re-assessment:

  - **Re-sit assessment:** component and/or Module Re-assessment undertaken prior to the next enrolment point in the Programme.
Repeat Assessment: Re-assessment in a component and/or Module, subsequent to the next enrolment point in the Programme.

Internal Student: A student who is repeating Module(s) with attendance on the Module(s).

External Student: A student who is repeating Module(s) without attendance on the Module(s).

Required Module: A Module that all students registered on a particular Programme must take and for which students require Credit to be able to progress to the next Year or Stage of the Programme, or to graduate from the Programme with a designated Award.

Module Description: A concise description of a Module including:

– learning outcomes;
– how the Module will be delivered;
– skills that will be practised and developed;
– how the Module will be assessed;
– reassessment opportunities;
– syllabus content; and
– indicative reading and resource list.

Module Mark: The total mark for an individual Module, calculated according to the weightings for each component summative assessment specified in the Module description, rounded and recorded as a whole number. The marks for the component summative assessments will be whole numbers between 0 and 100.

Programme: A diet of approved Modules / Units of Study leading to a designated award or to the award of Credit.

Programme of Study: The approved Modules / Units of Study pursued by an individual student and leading to a designated award or to the award of Credit.

Programme Information: The information set that will be made available to a student about their individual Programme of Study.

Semester: As determined by Council on the advice of Senate, a specified period of study normally including any in-course assessment and/or Class Test(s).

Session: One academic year, as determined by Council on the advice of Senate.

Superintendent: The Superintendent of Examinations designated by the Vice-Chancellor.

Unit of Study: An identifiable component of learning associated with a Non-Modular Programme. Units of Study fall into the following types:

Core Unit of Study: A Unit of Study that all students registered on a particular Programme must take.

Co-requisite Unit of Study: A Unit of Study that must be studied concurrently by students registered on a particular Programme.
Free-Standing Unit of Study: A Unit of Study which may be available to any student or identified group of students registered on a Programme. The inclusion of one or more Free-Standing Units of Study within a Programme shall be at the discretion of the School Board.

Option Unit of Study: A Unit of Study which is optional for students registered on a Programme

Placement / Fieldwork Unit of Study: A Unit of Study which may be pursued at a location away from the University and which may be scheduled outside the approved Semester dates.

Precursor Unit of Study: A Unit of Study, the study hours of which a student shall be required to have completed in order to proceed to a subsequent specified Unit of Study.

Prerequisite Unit of Study: A Unit of Study which a student shall be required to pass in order to proceed to a subsequent specified Unit of Study.

Required Unit of Study: A Unit of Study that all students registered on a particular Programme must take and which students must pass to be able to progress to the next Year or Stage of the Programme, or to graduate from the Programme with a designated Award.

Unit of Study Mark: The total mark for an individual Unit of Study, calculated according to the weightings for each component assessment specified in the Module description, rounded and recorded as a whole number.

Target Award: The designated award of a Programme to which a student has been admitted.

University: Cardiff University.

University Assessor: A person approved by a Head of School for carrying out assessment duties in respect of Modules or Units of Study delivered by that School.

Year Result: The combined average of the marks for Modules / Units of Study contributing to a year of study calculated, rounded and recorded to a whole number.
1. **AWARDS OF CARDIFF UNIVERSITY**

1.1 The Awards of Cardiff University shall be designated as follows:

**Senior Doctorates**

<table>
<thead>
<tr>
<th>Degree</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DMus</td>
<td>Doctor of Music/Doethur mewn Cerddoriaeth</td>
</tr>
<tr>
<td>DD</td>
<td>Doctor of Divinity/Doethur mewn Diwinyddiaeth</td>
</tr>
<tr>
<td>DLitt</td>
<td>Doctor of Letters/Doethur mewn Llên</td>
</tr>
<tr>
<td>DSc</td>
<td>Doctor of Science/Doethur mewn Gwyddoniaeth</td>
</tr>
<tr>
<td>DDSc</td>
<td>Doctor of Dental Science/Doethur mewn Gwyddoniaeth Ddeintyddol</td>
</tr>
<tr>
<td>DScEcon</td>
<td>Doctor of Economic and Social Studies/Doethur mewn Astudiaethau Economaidd a Chymdeithasol</td>
</tr>
<tr>
<td>LLD</td>
<td>Doctor of Laws/Doethur yn y Cyfreithiau</td>
</tr>
</tbody>
</table>

**Doctoral D Level** (HEQF); (CQFW credit level 8)

<table>
<thead>
<tr>
<th>Degree</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MD</td>
<td>Doctor of Medicine/Doethur mewn Meddygaeth</td>
</tr>
<tr>
<td>DDS</td>
<td>Doctor of Dental Surgery/Doethur mewn Llafweddyaeth Ddeintyddol</td>
</tr>
<tr>
<td>DNursSci</td>
<td>Doctor in Nursing Science/Doethur mewn Gwyddor Nyrsio</td>
</tr>
<tr>
<td>PhD</td>
<td>Doctor of Philosophy/Doethur mewn Athroniaeth</td>
</tr>
</tbody>
</table>

**Professional Doctorates**

<table>
<thead>
<tr>
<th>Degree</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DClinPsy</td>
<td>Doctor of Clinical Psychology/Doethur mewn Seicoleg Glinigol</td>
</tr>
<tr>
<td>DEdPsy</td>
<td>Doctor of Educational Psychology/Doethur mewn Seicoleg Addysg</td>
</tr>
<tr>
<td>EdD</td>
<td>Doctor of Education/Doethur mewn Addysg</td>
</tr>
<tr>
<td>EngD</td>
<td>Doctor of Engineering/Doethur mewn Peirianneg</td>
</tr>
<tr>
<td>DSW</td>
<td>Doctor of Social Work/Doethur mewn Gwaith Cymdeithasol</td>
</tr>
<tr>
<td>DAHP</td>
<td>Doctor of Advanced Healthcare Practice/ Doethur mewn Ymarfer Gofal Iechyd Uwch</td>
</tr>
<tr>
<td>DNurs</td>
<td>Doctor of Nursing/Doethur mewn Nyrsio</td>
</tr>
<tr>
<td>DHS</td>
<td>Doctor of Health Studies/Doethur mewn Astudiaethau Iechyd</td>
</tr>
<tr>
<td>SPPD</td>
<td>Doctor of Social and Public Policy/Doethur mewn Polisi Cymdeithasol a Chyhoeddus</td>
</tr>
</tbody>
</table>

**Master's M Level** (HEQF); (CQFW credit level 7)

**Master's Degrees**

<table>
<thead>
<tr>
<th>Degree</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MA</td>
<td>Master of Arts/Athro yn y Celfyddydau</td>
</tr>
<tr>
<td>MSc</td>
<td>Master of Science/Athro mewn Gwyddoniaeth</td>
</tr>
<tr>
<td>MScEcon</td>
<td>Master of Economic and Social Studies/Athro mewn Astudiaethau Economaidd a Chymdeithasol</td>
</tr>
<tr>
<td>MBA</td>
<td>Master of Business Administration/Athro mewn Gweinyddiaeth Fusnes</td>
</tr>
<tr>
<td>MDA</td>
<td>Master of Design Administration/Athro mewn Gweinyddu Dylumio</td>
</tr>
<tr>
<td>MPA</td>
<td>Master of Public Administration/Athro mewn Gweinyddiaeth Gyhoeddus</td>
</tr>
<tr>
<td>MEP</td>
<td>Master of Education/Athro mewn Addysg</td>
</tr>
<tr>
<td>MEP</td>
<td>Master of Educational Practice/Athro mewn Ymarfer Addysgol</td>
</tr>
<tr>
<td>LLM</td>
<td>Master of Laws/Athro yn y Cyfreithiau</td>
</tr>
<tr>
<td>MMus</td>
<td>Master of Music/Athro mewn Cerddoriaeth</td>
</tr>
<tr>
<td>MTh</td>
<td>Master of Theology/Athro mewn Diwinyddiaeth</td>
</tr>
</tbody>
</table>
MPH Master of Public Health/Athro mewn Iechyd Cyhoeddus
MScD Master of Dental Science/Athro mewn Gwyddoniaeth Ddeintyddol
MRes Master of Research/Athro mewn Ymchwil
MPhil Master of Philosophy/Athro mewn Athroniaeth
MClinDent Master of Clinical Dentistry/Athro mewn Deintyddiaeth Glinigol

Integrated Master's Degrees:

MArch Master of Architecture/Athro mewn Pensaernïaeth
MBiochem Master in Biochemistry/Athro mewn Biocemeg
MBiol Master in Biological Sciences/Athro mewn Gwyddoriau Biolegol
MBiomed Master in Biomedical Sciences/Athro mewn Gwyddoriau Biofeddygol
MChem Master in Chemistry/Athro mewn Cemeg
MEng Master of Engineering/Athro mewn Peirianteg
MSci Master in Earth Science/Athro mewn Gwyydor Daear
MMath Master in Mathematics/Athro mewn Mathemateg
MMORS Master in Mathematics, Operational Research and Statistics/Athro ym Mathemateg, Ymchwil Weithredol ac Ystadegaeth
MNeuro Master in Neuroscience
MPharm Master of Pharmacy/Athro mewn Fferylliaeth
MPhys Master in Physics/Athro mewn Ffiseg

BDS Bachelor of Dental Surgery/Baglor mewn Llawfeddygaeth Ddeintyddol
MB BCh Bachelor of Medicine and Bachelor of Surgery/Baglor mewn Meddygaeth a Baglor mewn Llawfeddygaeth

PGCE Professional Graduate Certificate in Education (PCET)/Tystysgrif Raddedig Broffesiynol mewn Addysg (Addysg a Hyfforddiant Ól-orfodol) (PCET)

Honours H Level (HEQF); (CQFW credit level 6)

BA Bachelor of Arts/Baglor yn y Celfyddydau
BSc Bachelor of Science/Baglor mewn Gwyddoniaeth
BScEcon Bachelor of Economic and Social Studies/Baglor mewn Astudiaethau Economaidd a Chymdeithasol
BEng Bachelor of Engineering/Baglor mewn Peirianteg
BED Bachelor of Education/Baglor mewn Addysg
LLB Bachelor of Laws/Baglor yn y Cyfreithiau
BMus Bachelor of Music/Baglor mewn Cerddoriaeth
BArch Bachelor of Architecture/Baglor mewn Pensaernïaeth
BN Bachelor of Nursing/Baglor mewn Nyrsio
BMid Bachelor of Midwifery/Baglor mewn Bydweiriagiaeth
BSD Bachelor of Science in Dentistry/Baglor mewn Gwyddoniaeth mewn Deintyddiaeth

Honours H Level (HEQF); (CQFW credit level 6)

Grad Dip Graduate Diploma/Diploma Graddedig
Graduate Certificate/Tystysgrif Raddedig
Intermediate I Level (HEQF); (CQFW credit level 5)

Diploma of Higher Education/Diploma Addysg Uwch
National Qualification for Tutors of Welsh for Adults/Cymhwyster Cenedlaethol Tiwtoriaid Cymraeg i Oedolion

Certificate C Level (HEQF); (CQFW credit level 4)

Certificate of Higher Education/Tystysgrif Addysg Uwch
Diploma in Legal Studies (for exchange students)/Diploma mewn Astudiaethau Cyfreithiol (ar gyfer myfyrwyr cyfnewid)

Foundation Studies (CQFW credit level 3)

Certificate of Foundation Studies/Tystysgrif Astudiaethau Sylfaen

1.2 The language of tuition, supervision and assessment will be in English and/or in Welsh, except in Programmes that are designed to include the acquisition of language skills.

2. ADMISSION

2.1 All applicants for admission to a taught Programme or programme of research shall be required:

2.1.1 to meet the conditions of the University General Entrance Requirement, as agreed by Senate; and

2.1.2 to meet any particular requirements specified for the relevant taught Programme or programme of research.

The University General Entrance Requirement, as agreed by Senate, is attached as an Annex to this Senate Regulation.

2.2 The decision as to whether an applicant shall be admitted shall rest with the relevant Head of School. In addition, Heads of School shall retain the right to determine the maximum or minimum intake for individual Modules or other Units of Study, providing that an applicant may not be denied admission to any Core Modules or Units of Study which contribute to the Programme for which s/he is registered.

2.3 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or (as appropriate) to apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

3. REGULATIONS FOR SPECIFIC AWARDS

3.1 The following academic regulations, procedures and codes of practice shall apply, as appropriate, to Awards of Cardiff University:

Senate Regulations for Senior Doctoral Degrees
Senate Regulations for PhD (Doctor of Philosophy)
Senate Regulations for PhD (Doctor of Philosophy) by Published Works
Senate Regulations for Doctorates by Examination and Thesis (Professional Doctorates)
Senate Regulations for MD (Doctor of Medicine)
Senate Regulations for MPhil (Master of Philosophy)
Senate Regulations for MScD (Master of Dental Science) (by Research)
Senate Regulations for MRes (Master of Research)
Senate Regulations for the Non-Modular Bachelor of Dental Surgery Hons (BDS)
Senate Regulations for the Non-Modular Bachelor of Medicine – Bachelor of Surgery (MB BCh)
Code of Practice for Research Degrees
Senate Regulations for Postgraduate Taught Programmes – Modular Programmes
Senate Regulations for Postgraduate Taught Programmes – Non-Modular Programmes
Senate Regulations for Modular Undergraduate Programmes
Senate Regulations for Aegrotat and Posthumous Awards
Definition of Generic Terms Used in Senate Regulations
Programme Regulations / Programme Information.

4. ATTENDANCE, PROGRESS, DISCIPLINE AND FITNESS TO PRACTISE

4.1 The following academic regulations, codes of practice and procedures shall apply, as appropriate, to Awards of Cardiff University:

Senate Attendance and Engagement Procedures (including Interruption of Study Procedure, Non-Engagement with Programme Procedure, Unsatisfactory Academic Progress Procedure, Research Student Progress Monitoring Procedure and Procedures for the Appeals and Return to Study)
Senate Regulations Governing Personal Tutors
Research Student Monitoring Procedure
Student Behaviour Procedure
Students’ Fitness to Practise Procedure
Students’ Fitness to Study Procedure.

5. ASSESSMENT

5.1 The following academic regulations, codes of practice and procedures shall apply, as appropriate, to Awards of Cardiff University:

Senate Assessment Regulations for Taught Programmes
6. **VARIATION OF ARRANGEMENTS**

6.1 The University will make all reasonable efforts to deliver Programmes and research opportunities leading to its awards as described in materials published by the University.

6.2 The University reserves the right for the Vice-Chancellor to vary arrangements in exceptional circumstances, which are beyond the University’s reasonable control. Examples of such circumstances may include:

a) acts of God, flood, earthquake, windstorm or other natural disaster, including epidemics of infectious diseases;

b) fire, explosion or accidental damage;

c) collapse of building structures, failure of machinery, computers or vehicles;

d) labour disputes, including strikes and industrial and other action;

e) interruption or failure of utility service, including but not limited to electric power, gas or water;

f) the acts, decrees, legislation, regulations or restriction of any government;

g) the unexpected absence or departure of a key member of staff;

h) where the numbers recruited to a programme and/or module are so low that it is not possible to deliver an appropriately high quality of educational experience to students enrolled on it;

i) in response to the requirements of an accrediting body or professional regulator;

j) where an aspect of a course relies on the specific expertise of a member of staff who is ill or leaves, and it is not reasonably possible to find a replacement with the relevant expertise.

Where such events occur the University will seek to minimise the impact on the student learning experience by, for example:

- delivering a modified version of the same Programme; or
by making available to affected students such learning support and/or services and facilities as it considers appropriate; or

offering affected students the opportunity to transfer to another Programme, or to withdraw and be given reasonable support to move to another university.

The University will provide continued assurances of the standard and quality of the award. Students will be informed of any changes to learning support, services and facilities by the University as soon as is practicable.

6.3 In addition to the circumstances described in paragraph 6.2 above, the University will be entitled to make reasonable changes to its Programmes where that will enable the University to deliver an equivalent or better quality of educational experience to students enrolled on the Programme. Examples of such circumstances may include:

a) the content and syllabus of the Programme where developments in the subject area make that necessary;

b) the location of the Programme;

c) the method of delivery of the Programme.

In making any such changes, the University will aim to keep the changes to the minimum necessary to achieve the required quality of experience and will notify and consult with affected students in advance about any changes that are required. If the University changes a Programme, students who are not satisfied with the changes will be offered the opportunity to transfer to another Programme or, if required, to withdraw and be given reasonable support to move to another university.

ANNEX TO SENATE REGULATION FOR AWARDS OF CARDIFF UNIVERSITY

Statement of the University's General Entrance Requirement

The University seeks to provide fair and equal access to all who have the potential to benefit from the University's research-led learning and teaching environment.

1.1 Applicants for entry to taught Programmes or to programmes of research must:

1.1.1 satisfy any applicable University language competency requirements, as detailed in the University English Language Policy and/or the University Welsh Language Policy.

1.1.2 satisfy any additional entry requirements specified for the particular taught Programme or programme of research.

1.2 Applicants for entry to postgraduate taught Programmes or programmes of research must, in addition to meeting the minimum requirements set out in paragraph 1.1 above:

1.2.1 hold a UK higher education qualification at CQFW credit level 6 or above from a UK institution with relevant degree awarding powers as recognised by the UK government and detailed on its website at: https://www.gov.uk/recognised-uk-degrees; or
1.2.2 hold a non-UK qualification equivalent to CQFW credit level 6 or above; or

1.2.3 for postgraduate taught Programmes only:

i be able to demonstrate to the satisfaction of the Head of School or nominee that they have held, for a minimum period of two years, a position of responsibility relevant to the Programme which they intend to pursue; or

ii in exceptional circumstances, to be deemed to be able to demonstrate equivalent skills that are sufficient to meet the demands of the Programme the applicant intends to pursue, and be approved as such by the Head of School or nominee.

1.3 This General Entrance Requirement is supplemented by the following additional provisions:

University English Language Policy;
University Welsh Language Policy;
Cardiff University's Admissions Framework.

1.4 Additionally, the admission of students at the point of entry may be subject to constraints imposed by health and safety legislation and professional, statutory and regulatory bodies' (PSRBs) requirements for specified programmes offered by the University.

1.5 Offers of admission made on the basis of applications containing false or misleading information may be revoked by the Vice-Chancellor (or his/her delegate) in consultation with the appropriate Head(s) of School. The applicant will be informed of their right of appeal via the Applicant Complaints and Appeals Procedure.

1.6 Allegations of applications containing false or misleading information made after the enrolment of an applicant shall be dealt with under the terms of the Student Behaviour Procedure.

ANNEX TO SENATE REGULATION FOR AWARDS OF CARDIFF UNIVERSITY

English Language Policy

1. All prospective students at Cardiff University who will be studying and assessed through the medium of English must demonstrate to the University that their English language competence is at a level which allows them to cope with the demands of higher education and derive full benefit from their chosen taught Programme or programme of research.

2. Whilst minimum standards are set out below, Schools may request a higher level of English language competence than that specified below to reflect the demands of specified taught programmes or programmes of research; where

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1 The National Recognition Information Centre for the United Kingdom (NARIC) ([http://www.naric.org.uk/](http://www.naric.org.uk/)) is the University's primary source of guidance about the acceptability of overseas qualifications for admission to its taught Programmes and programmes of research, but the University will also consider other overseas qualifications where the awarding institution has been subjected to appropriate quality assurance measures.
higher levels are required, these will be clearly indicated in the relevant School admissions criteria.

3. As a **minimum, undergraduate and postgraduate** applicants should satisfy at least one of the following criteria:

3.1 hold one of the following English language qualifications or other equivalent qualification, as detailed in the University's English Language Policy Guidance:

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Minimum Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>GCSE English Language</td>
<td>C</td>
</tr>
<tr>
<td>IELTS (Academic Test)</td>
<td>6.5</td>
</tr>
</tbody>
</table>

English tests or examinations must have been taken no more than two years before the proposed date of entry to the University.

3.2 Where an applicant does not hold one of the recognised English language qualifications stipulated in paragraph 3.1 the applicant must be able to demonstrate the required level of English language competence by means of clear and unambiguous evidence, supported by documentation, to the satisfaction of the University, on the Head of School or nominee’s recommendation and which meets the demands of the taught Programme or programme of research. This evidence may take the form of one or more of the following:

.1 Successful completion of /an appropriate score from a Cardiff University English language course as detailed in the University’s English Language Policy Guidance completed no more than two years before the proposed date of entry to the University; or successful completion of the English language element of the Cardiff University International Foundation Programme.

.2 Other qualifications pursued solely through the medium of English which can be demonstrated to be at an equivalent or higher level to those detailed in paragraph 3.1 and which were completed no more than three years before the proposed date of entry to the University.

3.3 Where the validity period of a qualification as stated in 3.1. or 3.2 has elapsed, an applicant must be able to demonstrate that they have maintained or improved their English language competence by providing evidence from a current employer who can comment in detail and with authority about the applicant’s use of the English language in employment.

3.4 As a **minimum**, applicants to the University’s **International Foundation Programme students** should have achieved the qualifications specified below or an equivalent Home Office approved Secure English Language Test (SELT) result, as detailed in the University’s English Language Policy Guidance:

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>IELTS (Academic Test)</td>
<td>5.5</td>
</tr>
</tbody>
</table>

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2 The English Language Policy Guidance defines the criteria for appointing a nominee who may determine applicants’ suitability for admission in lieu of the Head of School.
The Secure English Language Test (SELT) must have been taken no more than two years before the proposed date of entry to the University.

3.5 International students requiring a Tier 4 (General Student) visa to study in the United Kingdom (UK) must also satisfy any Secure English Language Test (SELT) sub-score requirements stipulated in the University’s offer of admission in order to comply with UK immigration regulations.

Welsh Language Policy

1. All prospective students at Cardiff University who will be studying and assessed through the medium of Welsh must demonstrate that their Welsh language competence is at a level which allows them to cope with the demands of higher education and derive full benefit from their chosen programme of study.

2. Whilst minimum standards are set out below, Schools may request a higher level of Welsh language competence than that specified below to reflect the demands of a specified taught Programme or programme of research; where higher levels are required, these will be clearly indicated in the relevant School Admissions Criteria.

3. As a minimum, undergraduate and postgraduate applicants should satisfy at least one of the following criteria:

3.1 hold one of the following Welsh language qualifications:

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Minimum Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>GCSE Welsh language (first language)</td>
<td>C</td>
</tr>
<tr>
<td>GCE ‘O’ level Welsh Language (first language)</td>
<td>C</td>
</tr>
</tbody>
</table>

Welsh language qualifications must have been taken no more than two years before the proposed date of entry to the University.

3.2 Alternative sources of evidence may take the form of one or more of the following:

.1 An alternative Welsh language qualification at an equivalent level to that specified above in paragraph 3.1 which tests reading, writing, speaking and listening competence completed no more than two years before the proposed date of entry to the University;

.2 Other qualifications pursued through the medium of Welsh which can be demonstrated to be at an equivalent or higher level to that detailed in paragraph 3.1 and which were completed no more than three years before the proposed date of entry to the University;

4. Students for whom Welsh is not their first language admitted to the BA in Welsh (specialised second-language Programme) should either have been awarded the qualification specified below or an accepted equivalent qualification:

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>A level Welsh Language (second language)</td>
<td>C</td>
</tr>
</tbody>
</table>
The A level Welsh Language (second language) must have been taken no more than two years before the proposed date of entry to the University.

5. Where the validity period of a qualification as stated in 3.1 or 3.2 or 4 has elapsed, an applicant must be able to demonstrate that they have maintained or improved their Welsh language competence by providing evidence from a current employer who can comment in detail and with authority about the applicant’s use of the Welsh language in employment.

The University may require an applicant to undertake an additional internal assessment of language skills in addition to or in place of the employer’s evidence.

ANNEX TO SENATE REGULATION FOR AWARDS OF CARDIFF UNIVERSITY

Academic Management and Decision Making – General Principles

1. **The Senate** is the chief academic authority of the University and, subject to the authority of Council, is responsible for:

   - the regulation and conduct of assessment in all its forms
   - the determination of Cardiff University awards
   - the quality and standard of Programmes
   - the rules of student discipline.

2. **STAFF**

   All members of staff are expected to take personal responsibility for the quality of their contributions to the provision of students’ educational experience.

3. **STUDENTS**

   It is the responsibility of each individual student to take full advantage of the opportunities presented by the educational experiences made available through his/her chosen taught Programme or programme of research, by participating therein fully, diligently and regularly.

4. **REGULATORY CHANGES**

   4.1 The academic regulations in force at the point of a student's registration for a period of study shall normally apply to the student for the duration of that period of registration;

   4.2 Changes to regulation may take immediate effect only where there is a legal imperative for the change(s) or where the change(s) cannot disadvantage any student.

5. **UNIVERSITY AWARDS AND PROGRESS COMMITTEE**

   5.1 The University Awards and Progress Committee shall, under authority delegated to it by Senate and Council:
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1. admit to degrees of the University or shall grant diplomas, certificates or other academic awards of the University to persons who have qualified for such an award in accordance with Statutes, Ordinances academic regulations or procedures;

2. rescind decisions to admit persons to awards:
   i. to correct arithmetical or other errors of fact;
   ii. on the recommendation of re-convened Examining Board.

6. SCHOOL DECISION-MAKING

6.1 Each Head of School must consult members of the academic staff of the School upon core academic issues, as required by Ordinances.

6.2 All proposals which require the approval of University Committees or have resource implications, shall be subject to the written approval of the relevant Head(s) of School.

6.3 The role of committees is, essentially, to decide or to advise upon issues of policy; as far as is possible, the responsibility for day-to-day administrative matters shall be delegated to named individuals.

6.4 Students shall have opportunities to participate in making decisions about academic matters through their membership of relevant committees.

6.5 Heads of School shall put in place mechanisms for the sharing of External Examiners' reports (taught Programmes) with their students (normally through student representatives on Boards of Studies).

6.6 Accountability for the quality of the educational experiences made available to students, including those pursuing modules offered by the School within jointly-taught and co-taught programmes, and programmes where the first year is inter-School based, shall rest with the Heads of the participating Schools.

6.7 Every Module (modular Programmes) or taught Unit of Study (non-modular Programmes) (hereafter, the term 'Module' will be used to refer to both) shall belong to one School only; responsibility for Modules cannot be shared.

7. BASIC STRUCTURE FOR MANAGEMENT OF TAUGHT PROGRAMMES

In accordance with Ordinances, it shall be the responsibility of each Head of School to establish the basic structure within his/her School for the management of taught Programmes. This will comprise, as a minimum:-

7.1 THE SCHOOL BOARD

In every School there shall be a senior committee, advisory to the Head of School and chaired by the Head or his/her nominee, which shall be concerned with major issues of policy relating to the School.

Such committees may exist under a variety of names. For the purposes of this Regulation the term "School Board" is employed. This term embraces any sub-committee set up by the School Board to carry out some or all of its functions in relation to learning and teaching.

7.1.1 In relation to taught Programmes these will include:
.1 the establishment of the School's mission and objectives and policies for their review;

.2 the development of the School's Strategic Plan in line with institutional strategies;

.3 consideration of issues arising from the Learning and Teaching Committee (or equivalent) established in the School to consider the development of learning, teaching and assessment policies in accordance with the University's priorities as defined by the Strategies for (i) Learning and Teaching, (ii) the Learning Environment and (iii) Assessment. The locus for these considerations must be clearly defined;

.4 policies for the allocation and monitoring of resources to taught Programmes.

7.2 BOARDS OF STUDIES

All Programmes must come under the aegis of a Board of Studies. The Head of School shall establish such Boards of Studies as are necessary to ensure the co-ordination of all academic and administrative matters associated with taught Programmes provided by the School.

7.2.1 Boards of Studies shall report to the School Board, either directly or via one or more appropriate sub-committees. They shall be concerned with one or more Programmes, or parts of joint Programmes offered by the School. Their core functions shall include the following:

.1 those functions that are described under Section 8 below, and in particular the Annual Review and Enhancement (ARE) of programmes/part programmes under the aegis;

.2 to consider and advise the School Board on policies and regulations relative to each Programme under their aegis on matters such as:

- admissions criteria
- methods of assessment
- academic progress of students (reserved business)
- content and curriculum
- programme development
- equality and diversity issues

.3 to advise the School Board on the method(s) of assessment for each Module or Unit of Study and, where appropriate, the relative contribution of each method of assessment to the mark for each Module or Unit of Study;

.4 to advise the School Board on adjustments to the prescribed Programme of Study and/or schedule of assessment for individual students, according to their Extenuating Circumstances and specific needs;

.5 to advise the Head of School on applications for entry with advanced standing.
7.2.2 Unless modified by implementation of the provisions of Ordinances, distribution of the functions of School Boards and of Boards of Studies shall be in accordance with Section 8 below.

7.2.3 The composition of Boards of Studies shall not be prescribed save that they shall include:

- at least one academic staff representative of each Module under the aegis of the Board of Studies;
- at least one student representative, normally drawn from the Student/Staff Panels administered by the Board of Studies and elected by and from the student members of the Staff/Student Panels. Each Board of Studies shall determine the number of additional student representatives (if any) to be included within its membership.

7.3 EXAMINING BOARDS

7.3.1 Examining Boards shall be established in accordance with Senate Regulations.

7.3.2 Examining Boards shall, as appropriate to a Programme or to a programme of research:

.1 confirm marks and make recommendations on the progression and awards of students to the University Awards and Progress Committee; and

.2 monitor the quality and standards of awards and to make recommendations relating to the enhancement of such matters to Boards of Studies, School Education Committees and School Research Committees.

7.3.3 Examining Boards shall not use any of their powers to vitiate decisions taken by other bodies that are formally empowered by the Senate to apply academic penalties to students found to be in breach of the University’s:

- Academic Progress Procedure
- Student Disciplinary Procedure
- Students’ Fitness to Practise Procedure
- Unfair Practice Procedure.

7.3.4 Where, consequent upon an appeal against the decision of an Examining Board, the University Awards and Progress Committee concludes that the decision taken by a re-convened Examining Board was unreasonable or cannot be sustained by the facts of the case, it shall have the authority to override said decision.

7.4 STUDENT/STAFF PANELS

Each Head of School shall make arrangements for at least two consultative meetings each academic year between representatives of the students and staff of the School.

7.5 VARYING THE BASIC ACADEMIC DECISION-MAKING STRUCTURE
Any case to vary the basic academic decision-making structure approved by Senate shall be made to the Academic Standards and Quality Committee, which shall be authorised to approve such variations.

8. FUNCTIONS

References to any committee in the following paragraphs should be taken to cover any sub-committee established to carry out certain functions under delegated powers.

8.1 The following tasks and responsibilities shall normally be conducted by the bodies indicated as follows:-

8.1.1 Approval of proposed new Programmes

School Board
Programme and Partner Standing Panel
Academic Standards and Quality Committee

8.1.2 Annual and Periodic Review of Programmes (including consideration of reports from External Examiners)

Board of Studies
School Board
Academic Standards and Quality Committee

8.1.3 Major and Intermediate Changes to Existing (as detailed in the Programme Approval Policy Framework)

Board of Studies
School Board
Programme and Partner Standing Panel
Academic Standards and Quality Committee

8.1.4 Minor changes to existing Programmes (as detailed in the Programme Approval Policy Framework)

- changes affecting less than 10% of modules;
- module aims and learning outcomes;
- methods of teaching and assessment;
- module title (also requires allocation of a new module code);
- weighting between approved methods of assessment;
- catalogue entry;
- syllabus content.

Board of Studies
School Board

9. STRUCTURE FOR THE MANAGEMENT OF RESEARCH DEGREES

9.1 Heads of School are responsible for the definition and establishment of a local School Framework for the conduct and management of research degrees, always with regard to the over-arching University principles expressed in the University's Code of Practice for Research Degrees.
9.2 To this end, Heads of School shall establish such bodies or managerial arrangements as are necessary to ensure the co-ordination, promotion and development of research within the School, including the training, development and support of research students.

10. PROFESSIONALS’ DUTY TO REPORT

10.1 Where members of the University’s staff have concerns regarding the conduct or integrity of registered students of the University who are enrolled on programmes of study that lead directly to, or that satisfy a necessary condition of, a professional qualification, and/or which gives the right to practise in one or more professions, they shall report these concerns to the Head of School. The Head of School will investigate their concerns and make a report to the Academic Registrar. The Head of School will then, in consultation with the Academic Registrar, decide whether the matter should be reported to the relevant Professional or Statutory Body forthwith and/or the student is to be referred to a Student Disciplinary Panel or Fitness to Practise Committee or Committee of Enquiry (Unfair Practice).

10.2 Where it is decided under the terms of 11.1 above, that the circumstances warrant a report being made to the relevant Professional or Statutory Body under the terms of their particular Code of Conduct, but do not warrant the student’s being referred to a University Committee, then the Head of School will agree with the member/(s) of staff who raised the concerns how and by whom the matter will be reported to the Professional or Statutory Body.

10.3 Where a student has been referred to a University Committee, and the complaint against the student has been upheld, then the Academic Registrar shall be responsible for reporting the same to the relevant Professional or Statutory Body, on behalf of the University.
AEGROTAT AWARDS

1. Should a candidate be prevented by illness or other medical reasons from completing final examinations or other final assessments of a Programme, the Examining Board, having considered the relevant evidence (which should include satisfactory medical certification) may recommend to the Awards and Progress Committee via the Academic Registrar that an Aegrotat award be made.

2. In doing so, the Examining Board should be satisfied that the candidate’s prior performance shows on the balance of probabilities that he/she would have passed but for the illness/event which occurred. The Awards Committee should be satisfied that the candidate is unlikely to be able to return to complete his/her study at a later date within a reasonable period.

3. The Chair of the Examining Board shall require the candidate to confirm in writing that s/he is willing to accept an Aegrotat award. The student’s signed confirmation of willingness to accept an Aegrotat award shall be presented by the Chair of the Examining Board with the recommendation to the Awards and Progress Committee for an Aegrotat award.

4. Where the student is unwilling to do so, the Examining Board shall seek any appropriate extension to the student’s candidature and permit the candidate to complete the examinations/assessments in question accordingly.

5. An Aegrotat degree, diploma or certificate shall be unclassified and, in all other respects, un-graded. An Aegrotat award does not necessarily entitle the holder to registration with a professional body, or exemption from the requirements of any professional qualification, or progression to another academic programme or another stage of a programme which might otherwise be associated with the Programme concerned.

6. No candidate shall be exempted from submitting and defending a research thesis or from presenting a Master’s dissertation (or equivalent presentation) where such is required. It follows, therefore, that Examining Boards may not recommend the award of Aegrotat research degrees, and that Aegrotat taught Master's degrees may be awarded only where the work done for the dissertation can be examined. This requirement does not prevent the issuing to the candidate of any relevant award which might be made in respect of study completed previously.

POSTHUMOUS AWARDS

1. TAUGHT PROGRAMMES

An Examining Board may recommend to the Awards and Progress Committee via the Academic Registrar that a posthumous award be made where a candidate for a taught award has died and where the Examining Board is satisfied on the balance of probabilities that the candidate’s performance on the Programme shows that he/she would have passed.

2. POSTGRADUATE RESEARCH DEGREES
An Examining Board may recommend to the Awards and Progress Committee via the Academic Registrar that a posthumous award be made where a candidate for a postgraduate research degree has died:

2.1  *after the thesis has been examined, or submitted for examination, but before the oral examination (where required) can be held.*

In such a case, the Board shall consider the work presented and, provided that it is satisfied that the work is the candidate’s own (by means of the receipt of reports from the Head of School and the supervisor), may decide to recommend that an award be made.

2.2  *before submitting the thesis.*

In such a case, the Board shall consider available evidence of the research work completed by the candidate. Normally, such evidence shall be supplied by the candidate’s supervisor, who shall also submit a report for consideration by the examiners. The Head of the School concerned shall also submit an argued recommendation regarding the award of the degree. The following criteria must also be satisfied:

2.2.1  enough of the research project must have been completed to allow a proper assessment to be made of the scope of the thesis;

2.2.2  the standard of the research work completed must be of that normally required for the award of the degree in question, and must demonstrate the candidate’s grasp of the subject;

2.2.3  the written material available (draft chapters, published work, work prepared for publication, presentations to conferences/seminars, progress reports by the candidate for his/her school/institution/sponsor) must demonstrate the candidate’s ability to write a thesis of the required standard.
1. **GENERAL**

1.1 These Regulations apply to undergraduate students following a modular Programme who will complete their Programme in or after academic Session 2013-2014. In all other cases, the Regulations previously in place for the Programme shall apply.

1.2 Subject to the above, these Regulations apply to all modular undergraduate Programmes, including those offered on a part-time basis where these Regulations must be applied on a pro-rata basis equivalent to the volume of Credit associated with study on a full-time Programme.

1.3 The following non-modular undergraduate Programmes operate under the aegis of separate Senate Regulations:

   BDS
   MB BCh.

1.4 Pending its discontinuation, the following non-modular undergraduate Programme shall operate under the aegis of Programme Regulations:

   Diploma of Higher Education in Dental Therapy and Hygiene (combined).

1.5 These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes which include provisions for managing Extenuating Circumstances.

1.6 A Head of School may, exceptionally, seek the approval of the Academic Standards and Quality Committee to vary these Regulations in respect of one or more Programme(s).

2. **DEFINITIONS**

Definitions of terms used in these Regulations can be found in the document 'Definition of Generic Terms in Senate Regulations'.

3. **ADMISSION**

3.1 All applicants for admission to modular undergraduate Programmes shall be required:

3.1.1 to meet the conditions of the University General Entrance Requirement; and

3.1.2 to meet any particular requirements for the Programme applied for, as specified in the relevant Programme Information.

3.2 The decision as to whether an applicant shall be admitted to a Programme shall rest with the relevant Head of School. In addition, Heads of School shall retain the right to determine the maximum or minimum intake for individual Modules, providing that an applicant may not be denied admission to any Required Modules or Core Modules which contribute to the Programme for which s/he is registered.

3.3 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may
be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

4. PROGRAMME INFORMATION FOR STUDENTS

4.1 For each approved modular undergraduate Programme, there shall be approved Programme Information which shall include, *inter alia*:

- Entry Requirements
- Programme Specification
- Structure of the Programme
- Module Descriptions
- Rules on Assessment, Progression and Award.

5. MODULES

5.1 Where a Module is available for more than one Programme, its status as a Required Module, Core Module, Option Module or Free-Standing Module may vary between programmes. The Credit Level of a Module may not vary.

5.2 No Module shall be sub-divided.

5.3 Precursors, Prerequisites and/or Co-requisites may be defined for any Module or for a Module in a specified Programme.

5.4 The Head of School responsible for the management of a Module shall determine whether it shall be made available to students registered on other programmes as a Free-Standing Module and, if it is, shall specify any minimum or maximum intake levels or other restrictions.

5.5 No Module which is timetabled for the Autumn Semester shall be a Prerequisite for entry into a Module which is scheduled for the Spring Semester immediately following.

5.6 Any placement or fieldwork requirements shall form part or all of one or more specified Modules subject to any timetabling or other constraints.

5.7 Modules shall not extend beyond one Session.

6. STRUCTURE OF MODULAR PROGRAMMES

6.1 Save as provided in 6.2, Modular Programmes shall be structured as follows and consist of Credits as indicated below:

<table>
<thead>
<tr>
<th></th>
<th>Level 4 or higher</th>
<th>Level 5 or higher</th>
<th>Level 6 or higher</th>
<th>Level 7 or higher</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate of Higher Education</td>
<td>120</td>
<td></td>
<td></td>
<td></td>
<td>120</td>
</tr>
<tr>
<td>Diploma of Higher Education</td>
<td>120</td>
<td>120</td>
<td></td>
<td></td>
<td>240</td>
</tr>
<tr>
<td>Programme Type</td>
<td>Credits</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>---------</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Honours Degree</td>
<td>120</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Integrated Master's Degree</td>
<td>120</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Certificate</td>
<td>20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Diploma</td>
<td>30</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Intercalated Degree</td>
<td>120</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Programme Type</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honours Degree</td>
<td>120</td>
</tr>
<tr>
<td>Integrated Master's Degree</td>
<td>120</td>
</tr>
<tr>
<td>Graduate Certificate</td>
<td>40</td>
</tr>
<tr>
<td>Graduate Diploma</td>
<td>90</td>
</tr>
<tr>
<td>Intercalated Degree</td>
<td>120</td>
</tr>
</tbody>
</table>

### 6.2
Programmes with a year of Experiential and/or Professional Learning shall, in addition, include a further 120 Credits at a Level indicated in Programme Information.

### 6.3
A Graduate Diploma shall be the appropriate award to a student admitted with advanced standing to the final year of a Cardiff University undergraduate degree on the basis of a first degree in a cognate discipline and where the Credit requirements detailed in 6.1. above have been achieved. This provision serves to prevent double counting of achieved Credit towards two separate degree awards.

### 6.4
Each full-time student shall pursue a Programme of Study comprising Modules to the minimum value of 120 Credits in a session.

### 6.5
Save as provided in 6.6 below, students shall pursue 120 Credits in each year of study, excluding resit opportunities.

### 6.6
Students registered on part-time Programmes shall be permitted a maximum of three sessions to pursue the Modules which are equivalent to a Session of full-time study.

### 6.7
There may be an approved initial period of study, which shall consist of 120 Credits at Level 3 or higher and which may lead to progression to one or more specified Programmes.

### ENTRY WITH ADVANCED STANDING

### 6.8
Heads of Schools shall be authorised to approve entry with advanced standing subject to the following limits:

- Integrated Master's Degree: A maximum of 360 Credits, with the further requirement of a minimum of 120 Credits at Level 7 to be taken at the University;

- Honours Degree: A maximum of 240 Credits, with the further requirement of a minimum of 120 Credits at Level 6 to be taken at the University;

- University Diploma of Higher Education: A maximum of 120 Credits with the further requirement of a minimum of 120 Credits at Level 5 to be taken at the University;

Such approvals shall be on the basis of one or more periods of study at institutions of higher education in lieu of a specified period of study at the
University where the specified period shall comprise the equivalent of not less than one Session of full-time study.

6.9 Where a student is admitted with advanced standing, the student will be awarded the appropriate Credits. In determining the Final Mark an Examining Board shall include only those Modules which the student has attempted as a registered student of the University.

EXEMPTIONS FROM INDIVIDUAL MODULES

6.10 Subject to minimum residence requirement, Heads of Schools shall be permitted to approve exemptions from individual Module(s) where these do not constitute the equivalent of a full Session load for a full-time student providing the Head of School is satisfied that the student concerned has already covered satisfactorily the syllabus content of the Module(s) concerned.

6.11 Where a student is granted exemption from a Module s/he shall be awarded the appropriate number of Credits. In determining the Final Mark an Examining Board shall include only those relevant Modules which the student has attempted as a registered student of the University.

6.12 No student who has been exempted from specified Modules shall be regarded as a full-time student unless s/he is pursuing a Programme of Study comprising a minimum of 120 Credits in one Session.

PROGRAMME OF STUDY

6.13 At the beginning of the Session, all students shall be required to register on a Programme and confirm for the approval of the Head of School, their Programme of Study for the Session.

6.14 Following registration a student may seek the approval of the Head of School to amend his/her Programme of Study within the first three weeks of a Semester.

TIME-LIMIT

6.15 The time-limit for a student to complete his/her Programme shall be no more than two years beyond the normal duration of the Programme as indicated in the Programme Information.

7. ASSESSMENT OF MODULES

7.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

7.2 The forms of Assessment for each Module, including the weighting for each element of the Assessment, shall be indicated in Programme Information.

7.3 Except as provided in 7.4 below, the minimum Module Mark for a pass in each Module shall be 40%. Credit for a Module shall be awarded according to the Regulations in section 8.

7.4 For Modules at Level 4 that are concerned solely with particular professional competencies, an Examining Board may award Credit on the basis of a Module outcome of either "Pass" or "Fail".
Subject to being able to continue on a Programme, a student shall be permitted three attempts to achieve the award of Credit in a Module (a first attempt and two Re-assessment attempts).

Where a student has been awarded Credit in a Module, and where that student cannot retake assessments impacted by Extenuating Circumstances (see Senate Assessment Regulations 11.6), the student shall not be permitted any further Assessment in that Module.

A student who has failed a Module on three occasions shall be required to withdraw from that Module.

A student who passes a Module, in which s/he has previously failed, shall be credited with the minimum Module Mark for a pass or “Pass” as applicable.

A student who has been awarded Credit in a Module shall not be permitted to be reassessed in that Module.

DETERMINATION OF MODULE MARKS AND AWARD OF CREDIT

A Programme Examining Board or Composite Examining Board which meets to consider the progress of students on one or more Programmes, shall consider the performance of each student, in each Module, and shall confirm:

.1 a Module Mark for each Module; and

.2 whether the student:

- is eligible for the award of Credit as provided in 8.2 and 8.3 below; or
- has failed the Module (see Section 12, Resits and Re-Assessments); or
- has had Assessment(s) impacted by Extenuating Circumstances. In such cases, the Examining Board shall deal with the student in accordance with the Senate Assessment Regulations.

An Examining Board shall award Credit in a Module where a student has achieved:

- a Module Mark of 40% or more (or a “Pass” as provided in 7.4 above); and
- where relevant and indicated in the Programme Information, a mark of 40% or more in any individual Assessment(s) designated as having to be passed; and
- where relevant, any required professional competencies.

In addition to 8.2 above, an Examining Board shall award a student Credit in Module(s) to permit Progression / Award where a Module Mark of 35%, 36%, 37%, 38% or 39% has been achieved, provided that all of the below conditions are satisfied:

.1 the Module(s) is being assessed as a first attempt; AND
.2 the student has failed no more than the condonable limits specified in the table below:

<table>
<thead>
<tr>
<th>Programme Duration (in years)</th>
<th>Credit that can be condoned in one Year of Study (maximum)</th>
<th>Credit that can be condoned in a Programme (maximum)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 or 2</td>
<td>20</td>
<td>20</td>
</tr>
<tr>
<td>3 or above</td>
<td>20</td>
<td>60</td>
</tr>
</tbody>
</table>

AND

.3 the student's Level/Year Result in that Level/Year of study, in all contributing Modules, is at least 45%; AND

.4 the Module(s) is/are NOT Required Module(s); AND

.5 in the case of a Module where a qualifying mark is required for one or more Assessment components, the qualifying mark(s) has/have NOT been achieved.

In such circumstances, the Module Mark (35%, 36%, 37%, 38% or 39%) confirmed by the Examining Board shall not be changed and shall be used, where applicable, in calculating any award classification. Examining Boards are not permitted to change individual Module Marks.

8.4 Condonement shall not operate:

.1 in Module(s) being assessed as second or third attempts; OR

.2 where a student has failed more Credits than indicated in the table above; OR

.3 in Required Modules;

.4 in the case of a Module where a qualifying mark is required for one or more Assessment components, the qualifying mark(s) has/have NOT been achieved.

9. PROGRESSION

[Note: These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.]

9.1 To progress to the next stage of their Programme, students must have achieved:

- the Credits set out in the rules adopted from one of the following Progression Sets by their Programme; and
- where relevant, the required professional competencies.
The Programme Information shall inform students of the Progression Set and any other Programme requirements applicable to their Programme.

### 9.1.1 For Three-Year modular undergraduate Programmes.

<table>
<thead>
<tr>
<th>Progression Set 1</th>
<th>Progression Set 2</th>
<th>Progression Set 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All Credits required).</td>
<td>(Students can carry 20 failed Credits).</td>
<td>(For Programmes in which students undertake Level 5 Modules in the second semester of year 1).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 4</th>
<th>120 Credits at level 4 or above</th>
<th>100 Credits at Level 4 or above</th>
<th>60 Credits at Level 4 or above</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 5</th>
<th>240 Credits (including 120 at Level 5 or above)</th>
<th>220 Credits (including 100 at Level 5 or above)</th>
<th>240 Credits (including 180 at Level 5 or above)</th>
</tr>
</thead>
</table>

### 9.1.2 For Four-Year Modular Integrated Master’s undergraduate Programmes.

<table>
<thead>
<tr>
<th>Progression Set 4</th>
<th>Progression Set 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All Credits required).</td>
<td>(Students can carry 20 failed Credits).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 4</th>
<th>120 Credits at level 4 or above</th>
<th>100 Credits at Level 4 or above</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 5</th>
<th>240 Credits (including 120 at Level 5 or above)</th>
<th>220 Credits (including 100 at Level 5 or above)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 6</th>
<th>360 Credits (including 120 at Level 6 or above)</th>
<th>340 Credits (including 100 at Level 6 or above)</th>
</tr>
</thead>
</table>

### 9.1.3 For Four-Year modular undergraduate Programmes that include a Year of Experiential and/or Professional Learning (E/PL).

<table>
<thead>
<tr>
<th>Progression Set 6</th>
<th>Progression Set 7</th>
<th>Progression Set 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All Credits required).</td>
<td>(Students can carry 20 failed Credits).</td>
<td>(For Programmes in which students undertake Level 5 Modules in the second semester of year 1).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>At the end of Level 4</th>
<th>120 Credits at Level 4 or above</th>
<th>100 Credits at Level 4 or above</th>
<th>60 Credits at Level 4 or above</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>----------------------</td>
<td>---------------------------------</td>
<td>---------------------------------</td>
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</tr>
</tbody>
</table>


### 9.1.4 For Five-Year modular undergraduate Programmes that include a Year of Experiential and/or Professional Learning (E/PL).

Where the Year of E/PL is taken between years 2 and 3:

<table>
<thead>
<tr>
<th>Progression Set 9</th>
<th>Progression Set 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All Credits required).</td>
<td>(Students can carry 20 failed Credits).</td>
</tr>
<tr>
<td>At the end of Level 4</td>
<td>120 Credits at level 4 or above</td>
</tr>
<tr>
<td>At the end of Year 2 (i.e. before the Year of E/PL)</td>
<td>240 Credits (including 120 at Level 5 or above)</td>
</tr>
<tr>
<td>At the end of Level 5 (i.e. at the end of the Year of E/PL)</td>
<td>360 Credits (including 240 at Level 5 or above)</td>
</tr>
<tr>
<td>At the end of Level 6</td>
<td>480 Credits (including 120 at Level 6 or above)</td>
</tr>
</tbody>
</table>

Where the Year of E/PL is taken between years 3 and 4:

<table>
<thead>
<tr>
<th>Progression Set 11</th>
<th>Progression Set 12</th>
</tr>
</thead>
<tbody>
<tr>
<td>(All Credits required).</td>
<td>(Students can carry 20 failed Credits).</td>
</tr>
<tr>
<td>At the end of Level 4</td>
<td>140 Credits at level 4 or above</td>
</tr>
<tr>
<td>At the end of Level 5</td>
<td>280 Credits (including 120 at Level 5 or above)</td>
</tr>
</tbody>
</table>

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32
At the end of year 3 (i.e. before the Year of E/PL)

<table>
<thead>
<tr>
<th></th>
<th>400 Credits</th>
<th>380 Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(including 120 at Level 6 or above)</td>
<td>(including 100 at Level 6 or above)</td>
</tr>
</tbody>
</table>

At the end of Level 6

<table>
<thead>
<tr>
<th></th>
<th>520 Credits</th>
<th>500 Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(including 240 at Level 6 or above)</td>
<td>(including 220 at Level 6 or above)</td>
</tr>
</tbody>
</table>

9.2 Where an Examining Board does not permit a student to be re-assessed or to progress to the next academic stage of the Programme, it shall require the student to withdraw from the Programme.

9.3 A student shall only be permitted to continue to pursue a Programme providing it remains possible for him/her to complete the Programme, and do so within the approved time-limit (See Section 6). In addition:

.1 a student who has failed one or more Required or Core Modules on three occasions shall be required to withdraw from the Programme;

.2 a student who has failed any Option Module or Free-Standing Module on three occasions shall be permitted to select an alternative optional Module, subject to being able to graduate within the time limit.

10 RE-ASSESSMENT

[Note: These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.]

10.1 Schools shall define how a Module will be re-assessed and shall communicate this to students at the Module’s outset through Programme Information.

ELIGIBILITY FOR RE-ASSESSMENT

10.2 On completion of a full year of study (i.e. 120 Credits), and where a student has not achieved sufficient Credit to progress, the student shall be permitted to Re-sit failed Module(s) during the Re-sit Examination Period provided they have not failed more Credit than in the rule set adopted by their Programme.

<table>
<thead>
<tr>
<th>Credits failed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Re-sit rule set 1</td>
</tr>
<tr>
<td>Re-sit rule set 2</td>
</tr>
</tbody>
</table>

10.3 On completion of a full year of study (i.e. 120 Credits) and where a student has not achieved sufficient Credits to progress, the student shall be permitted to Repeat failed Module(s) during the following session provided they have not failed more Credits than in the rule set adopted by their Programme.
<table>
<thead>
<tr>
<th>Credits failed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Repeat rule set 1</td>
</tr>
<tr>
<td>Repeat rule set 2</td>
</tr>
<tr>
<td>Repeat rule set 3</td>
</tr>
</tbody>
</table>

10.4 Where a student has failed Module(s) AND has Module(s) that they are permitted to (re)take as a first attempt (e.g. where Module(s) have been impacted by Extenuating Circumstances), the Examining Board shall determine whether it is reasonable for the student to be assessed in all of these Modules in the Re-sit Examination period.

10.5 Where a student has failed Module(s) for a second time in the Re-sit Examination Period, the Re-sit Examining Board shall normally permit the student to Repeat the Module(s) during the following session.

10.6 Where a final-year student has failed up to 20 Credits but has achieved sufficient Credit to complete their studies and achieve an Honours degree, the Examining Board shall determine whether the student should be given the option of re-sitting the failed Credits, e.g. where they could improve their award classification.

RE-SIT ASSESSMENTS

10.7 Re-sit Assessments shall normally be held in the Re-sit Examination Period, prior to the start of the following academic session.

10.8 Where a student is required to Re-sit Module(s) in the Re-sit Examination Period, the student shall EITHER Re-sit the failed components OR undertake a synoptic Assessment, as defined in Programme Information.

REPEAT ASSESSMENTS

10.9 Repeat Assessments shall normally be held in the following academic session. Students shall be informed by the Chair of the Examining Board (or nominee) prior to the start of that session where they must Repeat the Module(s) as an Internal Student.

10.10 Where a student can Repeat the Module(s) as an Internal Student OR as an External Student, this shall be determined by the Chair of the Examining Board (or nominee) and recorded at Enrolment, subsequent to discussion with the student.

10.11 Where a student Repeats Module(s) as an Internal Student, the student shall be taught and assessed in the same way as students taking the Module for the first time and shall undertake all of the component Assessments attached to that Module, including any that the student passed in a previous attempt.

10.12 Where a student Repeats Module(s) as an External student, the student shall be assessed in the same way as they were originally, against the Learning Outcomes applicable at that time, and shall undertake only the component Assessments that the student needs to pass in that Module, excluding any that the student passed in a previous attempt.
THE OUTCOMES FROM RE-ASSESSMENT

10.13 Except as provided in 10.14 below, a student who passes a Module that has been failed previously, shall be credited with the minimum Module Mark for a pass or "Pass" as applicable.

10.14 Where the components failed by a student on the first attempt include only zero weighted components the student shall receive, subsequent to passing these component(s), an uncapped Module Mark.

EXEMPTION

10.15 In cases where the application of these Regulations would disadvantage an individual student unfairly, but not impact on academic standards, an Examining Board Chair (or nominee) may request the Pro Vice Chancellor (Student Experience and Academic Standards) to exempt a student from part of these Regulations.

FORMER STUDENTS

10.16 Heads of Schools may permit former students of the University who have completed their studies at the University to retrieve failure in specified failed Modules, with or without attendance, upon payment of an appropriate fee. The retrieval of failed Modules in this way shall not contribute to any University award.

Guidance

The Guidance below should be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.

The Nature of Re-sit Assessments

Re-sit Assessments must be designed to allow a student to demonstrate achievement of the relevant Learning Outcomes. This can be achieved either by re-sitting the individual Assessment components that have been failed, or by sitting a single synoptic Assessment that covers all of the Module(s) Learning Outcomes. The Re-sit methods used in a Module must be applied consistently in all cases and must be agreed and communicated to students at the start of Module, through Programme Information and in SIMS.

Schools will need to consider what the best Re-sit strategy is for individual Modules and identify any components that students will need to Re-sit to allow students to demonstrate achievement of particular Learning Outcomes. In Modules that use component Re-sits, and where a Module has been failed, students cannot be exempted from re-sitting any failed components.

Where a student is re-sitting a Module in the Re-sit Examination Period, the Module Mark shall be calculated:

1 In the case of a ‘synoptic’ Re-assessment, from the marks achieved in that Assessment only, or;
In the case where a student is re-sitting failed components, from the marks achieved in the Re-assessments combined with the marks achieved in any components passed at the first attempt, according to the weightings specified in Programme Information.

Where students complete Assessment components in-year, or where it is not possible for an Assessment method to be used in the Re-sit Examination Period that enables a student to meet all of the Learning Outcomes (e.g. in a group task, or in an Assessment that requires access to facilities or equipment that will be unavailable at that time), the Chair of the Examining Board (or nominee) may seek to set a Supplementary Assessment to Re-sit that Assessment component (see Senate Assessment Regulations 11.4.4), which shall, where possible, be held before the formal Examining Board held at the end of the session. In such cases, an Examining Board meeting must be held to confirm the student’s original performance in that Assessment component, to ensure that the student maintains their right of appeal.

Where the Examining Board determines that a final-year student can re-sit up to 20 Credits to enable them to achieve an Honours degree, e.g. where they could improve their award classification, the Examining Board should return the re-sit code to inform the student that they will be expected to undertake the Re-sit. If the student does not want to take the Re-sit, they will need to confirm, in writing to the Chair of the Examining Board, that they want their degree calculated on the marks obtained.

Repeat Assessments

Where a student is required to Repeat modules that can be completed only through attendance on that module, this shall be confirmed by the Examining Board and communicated to the student through their Interim Transcript. Circumstances where a student will need to attend modules being repeated include where they need access to specific facilities and/or resources to undertake the Assessments.

Where it is not essential that a student repeats modules with attendance, Examining Boards shall recommend that a student shall be permitted to Repeat the Module(s) either as an Internal or External student. Students will be advised of the recommendations made by an Examining Board through their Interim Transcript. Students should be encouraged to contact Schools to discuss whether they would prefer to take Modules being repeated as an Internal Student, an External Student, or a mixture of the two.

The final decision as to whether (or not) a student repeats individual Module(s) as an Internal or External student should be made at the earliest opportunity by the Chair of the Examining Board (or nominee), and shall be recorded and confirmed on SIMS by the School during enrolment at the start of the next academic session.

The decision to recommend whether a student undertakes Repeat Assessments as an Internal or an External student must be made solely on academic grounds. Where there are no Extenuating Circumstances and where a student has to Repeat Modules in the following session, a student should normally undertake these as an Internal student, to allow the student to benefit from the tuition provided on these modules.

Circumstances where it may be more appropriate for students to Repeat Modules as an External student include where a student has progressed and has been
permitted to carry a failed Module and where a student has narrowly failed individual assessment components that need to be passed to permit Progression.

Where a student is repeating a Module as an Internal student, the student shall undertake all of the component Assessments attached to that Module, including any that the student passed in a previous attempt. The Module mark shall be calculated from the marks achieved in these components, according to the weightings specified in Programme Information. Marks from previous attempts shall not be used to calculate the Module mark, or to determine whether the student shall be awarded Credit in that Module. This will ensure that academic standards are protected appropriately and that students will not be disadvantaged when the weightings or assessment methods on a Module have changed.

Where a student is repeating a Module as an External student, the student shall undertake the component Assessments that the student needs to pass that Module only, excluding any that the student passed in a previous attempt. Marks from assessment that were passed in a previous attempt shall be used to calculate the Module Mark, and determine whether the student shall be awarded Credit in that Module. Modules being repeated shall normally be completed in a single academic session. Students should be made aware of any fees payable where they repeat modules through Programme Information.

The outcomes from Re-assessment

Where a student is re-assessed and where an Examining Board then awards the student Credit, the Module Mark shall be capped at the minimum pass mark (in modular UG Programmes at 40%). The Regulations for the late submission of coursework will apply to Re-assessments that carry a weighted mark (i.e. where there are no Extenuating Circumstances, a mark of zero will be confirmed by the Examining Board).

All Assessment results (i.e. original attempts and Re-assessments) need to be confirmed by a formal Examining Board (i.e. not a Module team meeting) to ensure that students have the right of Appeal. Students cannot be offered a Re-assessment prior to the original mark being confirmed by a formal Examining Board.

Where a student passes a Module that they had failed previously, having been re-assessed only in component(s) that are zero weighted, e.g. where specific competencies are assessed, then the Examining Board shall award a student credit and record an uncapped Module Mark, i.e. one based on the marks achieved in the components that were passed at the first attempt, based on the weighting for each element indicated in Programme Information.

Where a student has failed an Optional Module on three occasions but is otherwise eligible to continue their studies and has obtained sufficient credits to progress, the student may enrol on another Optional Module at the same level, subject to such a Module being available on the Programme at this point.

Where a student has failed Re-assessment(s) and is no longer eligible to continue their studies, the student shall be required to withdraw. Any Institutional Credits awarded to a student prior to this will be recorded on the Transcript issued to the student at this point.

Variations to the Re-assessment Rules

Where a student has failed Module(s) AND has other Module(s) that they are permitted to (re)take as a first attempt, the Examining Board shall determine
whether it is reasonable for the student to be assessed in all of these Module(s) in the Re-sit Examination Period. This scenario could arise where the student has failed modules and where:

- the student can retake Module(s) that were impacted by Extenuating Circumstances as a first attempt;
- the student has not completed Module(s) having been granted an Interruption of Study, and;
- the student has otherwise been unable to complete all of the Module(s) taken in that year of study.

Where the Board determines that it would not be reasonable for the student to be assessed in all of these Modules in the Re-sit Examination Period the Board shall determine:

i. the Re-sit Assessment(s) that the student shall take in the Re-sit Examination Period, AND;

ii. the Repeat Assessment(s) that the student shall take in the next academic session.

In considering whether it is reasonable for a student to undertake a number of Assessments in the Re-sit Examination Period, Examining Boards should consider:

- The Credits that the student needs to acquire to Progress / receive their Award and whether a significant assessment load in the Re-sit Examination Period might disadvantage the student unfairly, and;
- The student’s preference; i.e. whether they have indicated they wish to re-take all the Assessments in the Re-sit Examination Period, or otherwise.

Support and advice to help determine the most appropriate course of action where a student has Modules that can be Re-assessed and Modules that have been impacted by Extenuating Circumstances can be obtained from the Student Cases Team within Registry and Academic Services (tel: ext. 76628, email: studentcases@cardiff.ac.uk).
11. AWARD

11.1 A student who has achieved a minimum of Credits as provided in the following table shall be eligible for the Award indicated.

<table>
<thead>
<tr>
<th>Credits</th>
<th>Level 4 or above</th>
<th>Level 5 or above</th>
<th>Level 6 or above</th>
<th>Level 7 or above</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate of HE</td>
<td>120</td>
<td></td>
<td></td>
<td></td>
<td>120</td>
</tr>
<tr>
<td>Diploma of HE</td>
<td>120</td>
<td>120</td>
<td></td>
<td></td>
<td>240</td>
</tr>
<tr>
<td>Pass Degree</td>
<td>120</td>
<td>120</td>
<td>80</td>
<td></td>
<td>320</td>
</tr>
<tr>
<td>Honours Degree</td>
<td>120</td>
<td>120</td>
<td>100</td>
<td></td>
<td>340</td>
</tr>
<tr>
<td>Integrated Master's Degree</td>
<td>120</td>
<td>120</td>
<td>120</td>
<td>100</td>
<td>460</td>
</tr>
<tr>
<td>Graduate Certificate</td>
<td></td>
<td>20</td>
<td>40</td>
<td></td>
<td>60</td>
</tr>
<tr>
<td>Graduate Diploma</td>
<td></td>
<td>30</td>
<td>90</td>
<td></td>
<td>120</td>
</tr>
<tr>
<td>Intercalated Degree</td>
<td></td>
<td></td>
<td>120</td>
<td></td>
<td>120</td>
</tr>
</tbody>
</table>

11.2 Students registered on Programmes that include a Year of Experiential and/or Professional Learning outside of the home School shall, in addition, be required to achieve a further 120 Credits at a level indicated in Programme Information.

11.3 A student who:

- is unable to proceed further with the Programme, or withdraws from the Programme or fails to meet the requirements for the Programme; and
- has achieved sufficient Credit to be awarded an Exit-Point Award

shall be eligible for an Exit-Point award.

12. CLASSIFICATION OF AWARDS

12.1 The following provisions shall be applied where students are eligible for an award as indicated in 11. above. For the purpose of classification, all Modules pursued at Level 5 and Level 6 and, where appropriate, Level 7 will be combined according to the weighting adopted from one of the following Classification Sets for the Programme to provide a Final Mark. Students will be informed of the Classification Set applicable to their Programme via the Programme Information issued to them.
One-Year (Intercalated Degree) Programmes and where students transfer to Cardiff University direct to the final year of undergraduate degrees, either via articulation agreements with other institutions or individually through entry with advanced standing

<table>
<thead>
<tr>
<th>Set 1</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>6</td>
<td>100%</td>
</tr>
</tbody>
</table>

Three-Year Programmes

Either:

<table>
<thead>
<tr>
<th>Set 2</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>30%</td>
</tr>
<tr>
<td>6</td>
<td>70%</td>
</tr>
</tbody>
</table>

Or:

<table>
<thead>
<tr>
<th>Set 3</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>40%</td>
</tr>
<tr>
<td>6</td>
<td>60%</td>
</tr>
</tbody>
</table>

Four-Year Integrated Master’s Programmes

<table>
<thead>
<tr>
<th>Set 4</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>20%</td>
</tr>
<tr>
<td>6</td>
<td>30%</td>
</tr>
<tr>
<td>7</td>
<td>50%</td>
</tr>
</tbody>
</table>

Four-Year Programmes Where Year 3 is a Year of Experiential and/or Professional Learning (E/PL)

Either:

<table>
<thead>
<tr>
<th>Set 5</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>20%</td>
</tr>
<tr>
<td>Year of E/PL</td>
<td>10%</td>
</tr>
<tr>
<td>6</td>
<td>70%</td>
</tr>
</tbody>
</table>

Or:

<table>
<thead>
<tr>
<th>Set 6</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>30%</td>
</tr>
<tr>
<td>Year of E/PL</td>
<td>10%</td>
</tr>
<tr>
<td>6</td>
<td>60%</td>
</tr>
</tbody>
</table>
Five-Year Programmes Integrated Master's Programmes Where Year 3 or Year 4 is a Year of Experiential or Professional Learning (E/PL)

Either:

<table>
<thead>
<tr>
<th>Set 7</th>
<th>Set 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
<td>Level</td>
</tr>
<tr>
<td>Weighting</td>
<td>Weighting</td>
</tr>
<tr>
<td>5</td>
<td>10%</td>
</tr>
<tr>
<td>6</td>
<td>30%</td>
</tr>
<tr>
<td>Year of E/PL</td>
<td>10%</td>
</tr>
<tr>
<td>7</td>
<td>50%</td>
</tr>
<tr>
<td>5</td>
<td>10%</td>
</tr>
<tr>
<td>Year of E/PL</td>
<td>10%</td>
</tr>
<tr>
<td>6</td>
<td>30%</td>
</tr>
<tr>
<td>7</td>
<td>50%</td>
</tr>
</tbody>
</table>

Where a student is admitted with advanced standing and none of the above Classification Sets are appropriate, the Head of School shall recommend to the Pro Vice-Chancellor for Student Experience and Academic Standards for approval a Classification Set appropriate to the student’s Programme of Study.

Programmes leading to the Target Award of Diploma of Higher Education

<table>
<thead>
<tr>
<th>Set 9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level</td>
</tr>
<tr>
<td>Weighting</td>
</tr>
<tr>
<td>5 or above</td>
</tr>
</tbody>
</table>

12.2 The classification of awards will be worked out as in 11.1 above except for Programmes that offer Level 6 Modules in year 2, where the Level 5 weighting shall be applied to Modules taken in year 2.

12.3 Subject to 12.4 below, the overall classification for each student shall be determined by applying the Final Mark as detailed below:

<table>
<thead>
<tr>
<th>Final Mark</th>
<th>Classification of Degrees</th>
</tr>
</thead>
<tbody>
<tr>
<td>70% +</td>
<td>First Class Honours</td>
</tr>
<tr>
<td>60%&lt;70%</td>
<td>Second Class Honours, Division I (2:1)</td>
</tr>
<tr>
<td>50%&lt;60%</td>
<td>Second Class Honours, Division II (2:2)</td>
</tr>
<tr>
<td>40%&lt;50%</td>
<td>Third Class Honours</td>
</tr>
<tr>
<td>&lt;40%</td>
<td>Fail</td>
</tr>
</tbody>
</table>
Classification of Target Awards of:
Diploma of Higher Education
Graduate Certificate
Graduate Diploma

<table>
<thead>
<tr>
<th>Score</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>70% +</td>
<td>Distinction</td>
</tr>
<tr>
<td>60%&lt;70%</td>
<td>Merit</td>
</tr>
</tbody>
</table>

Provisions for the award of Pass Degrees can be found at 11.1 above.

12.4 In addition to the provisions of 12.3 above:

**for One-Year (Intercalated Degree) Programmes and where students transfer to Cardiff University direct to the final year of undergraduate degrees** (either via established articulation agreements with other institutions or individually through entry with advanced standing)

- Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that they have achieved a Module Mark of 70% or more in Modules at Level 6 to the value of at least 60 Credits.

- Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that they have achieved a Module Mark of 60% or more in Modules at Level 6 to the value of at least 60 Credits.

- Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that they have achieved a Module Mark of 50% or more in Modules at Level 6 to the value of at least 60 Credits.

- Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that they have achieved a Module Mark of 40% or more in Modules at Level 6 to the value of at least 60 Credits.

**for Three-Year Programmes**

- Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that
  - they have achieved a Module Mark of 70% or more in Modules at Level 5 or Level 6 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that:
  - they have achieved a Module Mark of 60% or more in Modules at Level 5 or Level 6 to the value of at least 120 Credits; and
- at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that:
  - they have achieved a Module Mark of 50% or more in Modules at Level 5 or Level 6 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that:
  - they have achieved a Module Mark of 40% or more in Modules at Level 5 or Level 6 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

for Four-Year Programmes Where Year 3 is a Year of Experiential and/or Professional Learning (E/PL)

- Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that:
  - they have achieved a Module Mark of 70% or more in Modules at Level 5 or Level 6 (excluding the Year of E/PL) to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that:
  - they have achieved a 2:1 Module Mark of 60% or more in Modules at Level 5 or Level 6 (excluding the Year of E/PL) to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that:
  - they have achieved a Module Mark of 50% or more in Modules at Level 5 or Level 6 (excluding the Year of E/PL) to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

- Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that:
  - they have achieved a Module Mark of 40% or more in Modules at Level 5 or Level 6 (excluding the Year of E/PL) to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 6.

for Four-Year Integrated Master's Programmes

- Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that:
- they have achieved a Module Mark of 70% or more in Modules at Level 6 or Level 7 to the value of at least 120 Credits; and
- at least 60 of these Credits were achieved at Level 7.

- Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that:
  - they have achieved a Module Mark of 60% or more in Modules at Level 6 or Level 7 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 7.

- Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that:
  - they have achieved a Module Mark of 50% or more in Modules at Level 6 or Level 7 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 7.

- Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that:
  - they have achieved a Module Mark of 40% or more in Modules at Level 6 or Level 7 to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 7.

<table>
<thead>
<tr>
<th>for Five-Year Integrated Master's Programmes Where Year 3 or Year 4 is a Year of Experiential and/or Professional Learning (E/PL)</th>
</tr>
</thead>
</table>
| - Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that:
  - they have achieved a Module Mark of 70% or more in Modules at Level 6 or Level 7 (excluding the Year of E/PL) to the value of at least 120 Credits; **and**
  - at least 60 of these Credits were achieved at Level 7. |
| - Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that:
  - they have achieved a Module Mark of 60% or more in Modules at Level 6 or Level 7 (excluding the Year of E/PL) to the value of at least 120 Credits; **and**
  - at least 60 of these Credits were achieved at Level 7. |
| - Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that:
  - they have achieved a Module Mark of 50% or more in Modules at Level 6 or Level 7 (excluding the Year of E/PL) to the value of at least 120 Credits; **and**
  - at least 60 of these Credits were achieved at Level 7. |
• Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that:
  - they have achieved a Module Mark of 40% or more in Modules at Level 6 or Level 7 (excluding the Year of E/PL) to the value of at least 120 Credits; and
  - at least 60 of these Credits were achieved at Level 7.

where students transfer to Cardiff University direct to the final year of undergraduate degrees (either via established articulation agreements with other institutions or individually through entry with advanced standing)

• Students who achieve a Final Mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that they have achieved a Module Mark of 70% or more in Modules at Level 6 to the value of at least 60 Credits.

• Students who achieve a Final Mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division I (2:1) provided that they have achieved a Module Mark of 60% or more in Modules at Level 6 to the value of at least 60 Credits.

• Students who achieve a Final Mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division II (2:2) provided that they have achieved a Module Mark of 50% or more in Modules at Level 6 to the value of at least 60 Credits.

• Students who achieve a Final Mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours provided that they have achieved a Module Mark of 40% or more in Modules at Level 6 to the value of at least 60 Credits.

12.5 The following Awards are not classified:
Certificate of Higher Education
Exit-Point Awards of Diploma of Higher Education.

Supplementary Regulations for Exchange Students Undertaking a Programme of Modules not Leading to the Award of a Qualification

General

1. A student undertaking a programme of Modules at Cardiff University under the auspices of an Institutional Contract under either the SOCRATES-ERASMUS scheme or other bilateral exchange arrangement shall be designated as an "exchange student".

2. A Cardiff University School which has entered into an Institutional Contract with a partner institution shall be designated as the "initiating School" for the purpose of these Supplementary Regulations.

3. The partner institution/School to an Institutional Contract under paragraph 1 above shall be designated as the "sending institution/School" for the purpose of these Supplementary Regulations.
4. These Supplementary Regulations shall form part of the Institutional Contract.

5. In accordance with the provisions of Ordinance 7 (Schools and Heads of Schools), Heads of Schools shall be responsible for the allocation of the financial and other resources necessary for the administration and monitoring of students involved in exchange programmes at Cardiff University.

**Programme of Study for Exchange Students**

6. Normally each "initiating School" will enter into an agreement with each of its partner "sending institutions/Schools", on the programmes of Modules to be pursued at Cardiff University by in-coming exchange students, in accordance with the provisions of these Supplementary Regulations.

Before entering into any such agreement the "initiating School" must obtain the written approval for the terms of the agreement from any other Head of School of Cardiff University who might be required to contribute Modules or other resources to incoming exchange students' programmes of Modules.

7. Each exchange student shall pursue a Programme of Study of one or two Semesters' duration.

8. Unless otherwise specified in the agreement, exchange students will be required to pursue Programmes of Study comprising the equivalent of 60 Credits (one Semester) or 120 Credits (two Semesters).

9. Unless otherwise specified in the agreement, exchange students will be required to be assessed in all Modules studied, wherever appropriate and/or practical by the normal Assessment methods for the Modules concerned.

10. All exchange students shall be required to pursue at least two-thirds of the Modules which constitute their programme of Modules in one School of Cardiff University. The School in which an exchange student pursues at least two-thirds of his/her Modules shall be deemed to be the student's "home" School and shall be specified in any agreement.

11. Any exchange student not covered by an agreement as specified under 6 above, will select a programme of Modules from amongst those Modules which are available to exchange students, provided that s/he complies with the requirements of these Supplementary Regulations.

12. For the purposes of paragraph 11 above, Schools shall specify which, if any, of their Modules they are willing to make available to exchange students and any restrictions thereon. The full list of Modules will be included in a "Module Catalogue for Exchange Students" which shall be made available to in-coming students prior to enrolment at the University.

**Status of Exchange Students**

13. For all University purposes exchange students shall be regarded as students of Cardiff University and shall be required to enrol formally with the University.

14. For all School purposes the designated "home" School shall regard its exchange students as students of the School. In particular, the "home"
School shall provide each of its exchange students with a Personal Tutor or equivalent.

15. Any School which is to make Modules available to exchange students shall be required to participate in such procedures for the selection and enrolment of exchange students as may be determined from time to time.

Certification of the Performance of Exchange Students

16. Each exchange student shall receive certification of his/her performance from the University Registry in a format approved by Senate.

Supplementary Regulations for Students undertaking Credits of an Institution other than the University

General

1. Subject to paragraphs 3 and 4 below, a student who has enrolled in the University may be granted permission to pursue no more than the equivalent of 240 credits at an institution other than the University as part of his or her Programme on the understanding that the remaining credits for the award shall be taken at Levels appropriate to the Programme at the University.

2. A student may apply to pursue Credits at an institution other than the University either independently or in relation to an Institutional Agreement between Cardiff University and another academic institution which includes provision for student exchange. These Supplementary Regulations shall form part of any such Institutional Agreement. Any application submitted by a student either independently or as part of such an Agreement shall be considered in accordance with these Supplementary Regulations.

3. No approval shall be given to any application where the student intends to pursue less than the equivalent of 60 Credits at an institution other than the University.

4. No student shall be permitted to pursue Credits at any institution which is not accepted by the competent government authorities in the Country in which the institution is situated as being a recognised university-level institution.

Approval

5. The consideration of an application from any student to undertake Credits at one or more institutions other than the University shall accord with procedures approved by Senate on the advice of the Academic Standards and Quality Committee.

Credit-rating

6. It shall be a matter for the appropriate School Board to credit-rate the courses/modules which the student proposes to undertake, in accordance with the provisions of the Senate Regulations for Modular Undergraduate Programmes.

Assessment

7. The determination of the award of Credit shall be a matter for the appropriate Examining Board.
8. The Examining Board shall determine what information it requires to enable it to come to a decision on the award of Credit. Unless the Examining Board has made other arrangements, it shall be the responsibility of the student to ensure that the Examining Board is provided with this information from the institution at which the Credits have been pursued.

9. In respect of Credits which contribute to the Final Mark, the determination of the contribution of those Credits to the award and to any classification thereof shall be a matter for the appropriate School Board/Board of Studies.

10. The Examining Board shall determine what information it requires to enable it to come to a decision on the award and any classification thereof. Unless the Examining Board has made other arrangements, it shall be the responsibility of the student to ensure that the Examining Board is provided with this information from the institution at which the Credits have been pursued.

11. No student shall be permitted more than one attempt to achieve Credit under these arrangements. Where a student fails to achieve Credit the Examining Board shall determine within its Programme Information and the Senate Regulations for Modular Undergraduate Programmes whether the student shall be permitted to proceed with the Programme and, where appropriate, what provision shall be made for the student to acquire the required number of Credits at the required Levels.

University Records

12. The Examining Board shall provide the Registry with a statement of the title(s) of the courses/modules pursued by the student, the credit-rating of each course/module and the Credit(s) achieved, if any.

Student Status

13. A student who pursues Credits under the terms of these Supplementary Regulations shall, for the period of absence from the University, be regarded in the same manner as a student who is on placement or on a year abroad as part of his or her Programme and shall be subject to the same duties and commitments as such students, save in respect of fee payment where bespoke fee structures have been agreed under the terms of any Institutional Agreement.
1. GENERAL

1.1 Subject to 1.2 below these Regulations apply to students in Years 2-5 of the Five-Year Programme and Six Year Programmes in 2016-2017.

1.2 Any student whose progress is delayed (for example due to interruption of studies) shall be subject to the Regulations applicable to the cohort they rejoined.

1.3 These Regulations shall be read in conjunction with:
- Senate Regulation for Awards of Cardiff University;
- Senate Assessment Regulations for Taught Programmes;
- Programme Regulations for the Preliminary Year.

Definitions of terms provided in Senate Definition of Terms Used in Senate Regulations shall apply save as otherwise varied or supplemented below.

**Unit(s) of Study**
A separate identifiable component of learning

**Unit(s) of Assessment**
A separate identifiable component of assessment.

2. ENTRY REQUIREMENTS

2.1 Applicants for admission to the Five-Year and Six-Year Programmes (See Table 1) shall be required to satisfy the requirements of the Cardiff University General Entrance Requirement and, in addition, satisfy the requirements of the School of Dentistry, Cardiff University.

2.2 The decision as to whether an applicant shall be admitted to the BDS Programme shall rest with the Head of the School of Dentistry.

**Entry with Advanced Standing**

2.3 The Head of the School of Dentistry shall be authorised to approve entry with advanced standing to an identified Year of study. Such approvals shall be on the basis of one or more periods of study at institutions of higher education in lieu of a specified period of study at Cardiff University where the specified period shall comprise the equivalent of not less than one session of full-time study.

2.4 In determining the classification of the award the Examining Board shall include only those Units of Assessment which the student has attempted as a registered student of the University.

2.5 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications.
The University reserves the right to refuse admission or to apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

3 STRUCTURE OF THE PROGRAMME

Table 1: Outline of the BDS Programme

<table>
<thead>
<tr>
<th>Six-Year Programme (A204)</th>
<th>Five-Year Programme (A200)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Year</td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Year 1</td>
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<tr>
<td>Year 2</td>
<td>Year 2</td>
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<tr>
<td>Year 3</td>
<td>Year 3</td>
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<tr>
<td>Year 4</td>
<td>Year 4</td>
</tr>
<tr>
<td>Year 5</td>
<td>Year 5</td>
</tr>
</tbody>
</table>

3.1 The Programme shall be full-time.

3.2 Candidates for entry to the Programme who have reached a satisfactory standard, as determined by the BDS Board of Studies, may be exempted from any or all elements of the Preliminary Year.

3.3 Assessments and examinations for each Year of study shall be grouped into Units of Assessment which shall be considered by the appropriate Examining Board at points identified within each Year of the programme.

3.4 Candidates are required to attend all Units of Study to the satisfaction of the University and to present themselves for, and reach an acceptable standard in, University assessments and examinations. Candidates failing to meet these requirements may be excluded from the Programme either permanently or for a period, or required to repeat Unit(s) of Study or Unit(s) of Assessment of the Programme.

3.5 The Programme shall be structured as follows:

The modular Preliminary Year shall be of two Semesters' duration

The non-modular Year 1 shall be of at least 30 weeks' duration and be equivalent to 120 credits at CQFW Level 4 or higher.

The non-modular Year 2 shall be of at least 45 weeks duration and be equivalent to 120 credits at CQFW Level 5 or higher.

The non-modular Year 3 shall be of at least 45 weeks' duration and be equivalent to 120 credits at CQFW Level 6 or higher.

The non-modular Year 4 shall be of at least 45 weeks duration and be equivalent to 120 credits at CQFW Level 6 or higher.
The non-modular Year 5 shall be of at least 40 weeks’ duration and shall be equivalent to 120 credits at CQFW level 7.

3.6 The Programme shall be pursued in the Cardiff University School of Dentistry and in hospitals, General Practices and other healthcare institutions approved from time to time by the Board of Studies. Candidates are required to attend hospital practice or to pursue other approved clinical studies throughout the Programme.

4. TIME LIMIT

4.1 The time limit for a student to complete his/her Programme shall be no more than two years beyond the normal duration of the Programme as indicated in these Senate Regulations. This period may be extended by the Academic Standards and Quality Committee on the recommendation of the Board of Studies under exceptional circumstances.

5. PROGRAMME

5.1 The Units of Study, rules on assessment, progression and award and requirements relating to clinical competence shall be confirmed by the Board of Studies.

6. ASSESSMENT

6.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

6.2 The method of assessment for each Unit of Study shall be determined by the Board of Studies and indicated in the Programme Information.

6.3 The mark achieved by each student in each Unit of Study shall be determined by the relevant Examining Board.

6.4 The minimum mark for a pass in each Unit of Study shall be 40%.

6.5 A student who passes a Unit of Study, in which s/he has previously failed, shall be credited with the minimum mark for a pass.

6.6 Candidates who fail any of the Units of Assessment of the Programme (as determined by the Board of Studies and stated in the summative marking scheme within the Programme Information) shall be required to re-present themselves for examination or assessment at the next available opportunity, having pursued such further instruction as the Examining Board may determine. Such candidates shall not normally be allowed more than two further attempts at the Unit(s) of Assessment.

7. PROGRESSION

7.1 At the end of each Year of the Programme and following resit events, subject to the provisions of 6.6 the Examining Board shall consider the progress of each student in each Unit of Study, including Professional Behaviour Assessments, and shall determine whether he/she:

7.1.1 shall be permitted to proceed to the next Year of the Programme or is eligible for an exit-point award; or
7.1.2 shall be permitted to attempt to retrieve one or more failed Units of Assessment prior to the commencement of the next Year of the Programme; or

7.1.3 is not eligible to proceed to the next Year of the Programme or is not eligible to receive an award and must repeat the Year in its entirety as an internal student; or

7.1.4 is required to withdraw from the Programme.

7.2 A student shall only be permitted to continue to pursue the BDS providing it remains possible for him/her to complete the Programme, and do so within the approved time-limit. In addition, a student who has failed one or more assessments on three occasions shall be required to withdraw from the Programme.

7.3 Where a student is permitted to attempt to retrieve one or more failed Units of Study prior to the commencement of the next Year of the Programme, the Examining Board shall meet again to consider the performance of each student in these assessments and shall determine the status of the student in accordance with 7.1 and 7.2 above.

8. STRUCTURE AND CONTENT OF RE-ASSESSMENTS

8.1 Where a student is required to be re-assessed for one or more Units of Study prior to the start of the following academic year, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the Assessment at the time of the initial failure.

8.1.1 For re-assessment within one year of the initial failure, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the assessment at the time of the initial failure. In all cases the Examining Board shall ensure that retrieval of failure is carried out either through re-assessment by the same method(s) or by method(s) designed to cover all learning outcomes;

8.1.2 For re-assessment beyond one year of the initial failure, the re-assessment may, at the discretion of the School Board, be of the same structure and be based upon the syllabus taught to all internal students at the time of the re-assessment.

8.2 Where a student is permitted to repeat the Year in its entirety as an internal student as provided in 7.1.3 above, the re-assessment shall be of the same structure and be based upon the syllabus taught to all students at the time of his/her re-assessment.

8.3 Where, under 8.1.2 above, a student is required to be re-assessed and the structure of the assessment is different from that at the time of the initial failure and/or the re-assessment is to be based upon a different syllabus, the Head of School concerned shall make arrangements for the student:

8.3.1 to be informed of changes in the structure of the assessment and the syllabus content; and

8.3.2 to be offered, at an appropriate charge, the opportunity of attending a suitable programme of scheduled classes.
8.4 The mark for a student who passes a Unit in which he/she has previously failed shall be awarded in accordance with 6.5 above.

9. **PROVISIONS FOR EXIT-POINT AWARDS**

9.1 A student who has successfully completed all elements of Year 3 - the equivalent of 360 Credits including a minimum of 120 Credits at CQFW Level 4 or higher, a minimum of 120 Credits at CQFW Level 5, and a minimum of 120 Credits at CQFW Level 6 or higher - shall be eligible for the award of an unclassified **Bachelor of Science in Dentistry (BSD)**

9.2 On admission to the exit-point award indicated in 9.1 above the graduate will no longer be eligible for the award of the Degree of Bachelor in Dental Surgery.

10 **AWARD OF DEGREE**

10.1 Candidates who have satisfied the requirements of the Programme shall be eligible for the award of the Degree of Bachelor in Dental Surgery.

10.2 Classification of the Degree of Bachelor in Dental Surgery shall be in accordance with the criteria as set out in 11. and based upon the weighting set described below:

<table>
<thead>
<tr>
<th>Year</th>
<th>Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary BDS Year 1</td>
<td>6%</td>
</tr>
<tr>
<td>Primary BDS Year 2</td>
<td>9%</td>
</tr>
<tr>
<td><strong>Total Primary BDS</strong></td>
<td><strong>15%</strong></td>
</tr>
<tr>
<td>Intermediate BDS Year 3</td>
<td>25%</td>
</tr>
<tr>
<td>Final BDS Year 4 and 5</td>
<td>60%</td>
</tr>
<tr>
<td><strong>Total BDS</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

11 **CLASSIFICATION**

11.1 The overall Honours classification for each student shall be determined by the Examining Board at the end of the Final BDS stage by:

11.1.1 calculating a weighted average Final Mark for each contributing Unit of Study, subject to the condition that, where a student has passed a Unit of Study which he/she had failed previously, the mark credited shall be 40%; and

11.1.2 applying the combined weighted average for all contributing Units of Study in order to calculate the final honours classification for each student as detailed below:

<table>
<thead>
<tr>
<th>Class</th>
<th>Mark Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>First class honours</td>
<td>A Final Mark of 70% or above</td>
</tr>
<tr>
<td>Second class honours, division I (2:1)</td>
<td>A Final Mark between 60% and 69%</td>
</tr>
<tr>
<td>Second class honours, division II (2:2)</td>
<td>A Final Mark between 50% and 59%</td>
</tr>
<tr>
<td>Third Class Honours</td>
<td>A Final Mark between 40% and 49%</td>
</tr>
<tr>
<td>---------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>Fail</td>
<td>A Final Mark below 40%</td>
</tr>
</tbody>
</table>

11.2 In addition to the provisions of 11.1 above:

Students who achieve a final mark of 68% or 69% will be awarded a Degree Classification of First Class Honours provided that:

- They have achieved 70% or more in Final BDS (Years 4 and 5)

Students who achieve a final mark of 58% or 59% will be awarded a Degree Classification of Second Class Honours, Division 1 (2:1) provided that:

- They have achieved 60% or more in Final BDS (Years 4 and 5)

Students who achieve a final mark of 48% or 49% will be awarded a Degree Classification of Second Class Honours, Division 2 (2:2) provided that:

- They have achieved 50% or more in Final BDS (Years 4 and 5)

Students who achieve a final mark of 38% or 39% will be awarded a Degree Classification of Third Class Honours, provided that:

- They have achieved 40% or more in Final BDS (Years 4 and 5)
1. GENERAL

1.1 Subject to 1.2 below these Regulations apply to:
- students entering Year 1 of the Six-Year and Five-Year Programmes in September 2016;
- students subsequently joining the above student cohort; and
- students entering Year 1 of the Programme after September 2016.

1.2 These Regulations shall be read in conjunction with:
- Senate Regulation for Awards of Cardiff University;
- Senate Assessment Regulations for Taught Programmes; and
- Programme Information for the Preliminary Year.

Definitions of terms provided in the Definition of Generic Terms Used in Senate Regulations shall apply save as otherwise varied or supplemented below.

Unit(s) of Study A separate identifiable component of learning.

Unit(s) of Assessment A separate identifiable component of assessment.

2. ENTRY REQUIREMENTS

2.1 Applicants for admission shall be required to satisfy the requirements of the Cardiff University General Entrance Requirement and, in addition, satisfy the requirements of the School of Dentistry, Cardiff University.

2.2 The decision as to whether an applicant shall be admitted to the BDS Programme shall rest with the Head of the School of Dentistry.

2.3 The Head of the School of Dentistry shall be authorised to approve entry with advanced standing to an identified Year of study. Such approvals shall be on the basis of one or more periods of study at institutions of higher education in lieu of a specified period of study at Cardiff University where the specified period shall comprise the equivalent of not less than one session of full-time study.

2.4 In determining the classification of the award the Examining Board shall include only those Units of Assessment which the student has attempted as a registered student of the University.

2.5 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications.
The University reserves the right to refuse admission or to apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

3. **STRUCTURE OF THE PROGRAMME**

**Table 1: Outline of the BDS Programme**

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<td>Year 4</td>
<td>Year 4</td>
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<tr>
<td>Year 5</td>
<td>Year 5</td>
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</tbody>
</table>

3.1 The Programme shall be full-time.

3.2 Candidates for entry to the Programme who have reached a satisfactory standard, as determined by the BDS Board of Studies, may be exempted from any or all elements of the Preliminary Year.

3.3 Assessments and examinations for each Year of study shall be grouped into Units of Assessment which shall be considered by the appropriate Examining Board at points identified within each Year of the Programme.

3.4 Candidates are required to attend all Units of Study to the satisfaction of the University and to present themselves for, and reach an acceptable standard in, University assessments and examinations. Candidates failing to meet these requirements may be excluded from the Programme either permanently or for a period, or required to repeat Unit(s) of Study or Unit(s) of Assessment of the Programme.

3.5 The modular Preliminary Year shall be of two Semesters' duration.

The non-modular Year 1 shall be of at least 30 weeks' duration and be equivalent to 120 credits at CQFW Level 4 or higher.

The non-modular Year 2 shall be of at least 45 weeks' duration and be equivalent to 120 credits at CQFW Level 5 or higher.

The non-modular Year 3 shall be of at least 45 weeks' duration and be equivalent to 120 credits at CQFW Level 6 or higher.

The non-modular Year 4 shall be of at least 45 weeks' duration and be equivalent to 120 credits at CQFW Level 6 or higher.

The non-modular Year 5 shall be of at least 40 weeks' duration and shall be equivalent to 120 credits at CQFW Level 7.

3.6 The Programme shall be pursued in the Cardiff University School of Dentistry and in hospitals, General Practices and other healthcare institutions approved from time to time by the Board of Studies. Candidates
are required to attend hospital practice or to pursue other approved clinical studies throughout the Programme.

4. **TIME LIMIT**

4.1 The time limit for a student to complete their Programme shall be normally no more than two years beyond the normal duration of the Programme as indicated in these Senate Regulations. This period may be extended by the Academic Standards and Quality Committee on the recommendation of the Board of Studies under exceptional circumstances.

4.2 Students will not be permitted to repeat more than one year of the Programme following academic failure.

6. **PROGRAMME**

5.1 The Units of Study, rules on assessment, progression and award and requirements relating to clinical competence shall be confirmed by the Board of Studies.

6. **ASSESSMENT**

6.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

6.2 The method of assessment for each Unit of Study shall be determined by the Board of Studies and indicated in the Programme Information.

6.3 The minimum mark for a pass in each Unit of Study shall usually be 50% after standard setting has been applied.

6.4 A student who passes a Unit of Study, in which s/he has previously failed, shall be credited with the minimum mark for a pass.

6.5 Candidates who fail any of the Units of Assessment of the Programme (as determined by the Board of Studies and stated in the summative marking scheme within the Programme Information) shall be required to re-present themselves for examination or assessment at the next available opportunity, having pursued such further instruction as the Examining Board may determine. Such candidates shall not normally be allowed more than two further attempts at the Unit(s) of Assessment.

7. **PROGRESSION**

7.1 At the end of each Year of the Programme and following re-sit events and subject to the provisions of 6.5, the Examining Board shall consider the progress of each student in each Unit of Study, including Professional Behaviour Assessments, and shall determine whether s/he:

7.1.1 shall be permitted to proceed to the next Year of the Programme or is eligible for an Exit-Point Award;

7.1.2 shall be permitted to attempt to retrieve one or more failed Units of Assessment prior to the commencement of the next Year of the Programme;

7.1.3 is not eligible to proceed to the next Year of the Programme or is not eligible to receive an award and must repeat the year in its entirety as an internal student.
7.1.4 is required to withdraw from the Programme.

7.2 A student shall only be permitted to continue to pursue the BDS providing it remains possible for him/her to complete the Programme, and do so within the approved time-limit. In addition, a student who has failed one or more assessments on three occasions shall be required to withdraw from the Programme.

7.3 Where a student is permitted to attempt to retrieve one or more failed Units of Study prior to the commencement of the next Year of the Programme, the Examining Board shall meet again to consider the performance of each student in these assessments and shall determine the status of the student in accordance with 7.1 and 7.2 above.

8. STRUCTURE AND CONTENT OF RE-ASSESSMENTS

8.1 Where a student is required to be re-assessed for one or more Units of Study prior to the start of the following academic year, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the Assessment at the time of the initial failure.

8.1.1 For re-assessment within one year of the initial failure, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the assessment at the time of the initial failure. In all cases the Examining Board shall ensure that retrieval of failure is carried out either through re-assessment by the same method(s) or by method(s) designed to cover all learning outcomes;

8.1.2 For re-assessment beyond one year of the initial failure, the re-assessment may, at the discretion of the School Board, be of the same structure and be based upon the syllabus taught to all internal students at the time of the re-assessment.

8.2 Where a student is permitted to repeat the Year in its entirety as an internal student as provided in 7.1.3 above, the re-assessment shall be of the same structure and be based upon the syllabus taught to all students at the time of his/her re-assessment.

8.3 Where, under 8.1.2 above, a student is required to be re-assessed and the structure of the assessment is different from that at the time of the initial failure and/or the re-assessment is to be based upon a different syllabus, the Head of School concerned shall make arrangements for the student:

8.3.1 to be informed of changes in the structure of the assessment and the syllabus content; and

8.3.2 to be offered, at an appropriate charge, the opportunity of attending a suitable programme of scheduled classes.

8.4 The mark for a student who passes a Unit in which s/he has previously failed shall be awarded in accordance with 6.4 above.

9. PROVISIONS FOR EXIT AWARDS

9.1 Any student who does not successfully complete the BDS Programme may, at the discretion of the Examining Board be recommended for one of the following awards:
9.1.1 A student who has successfully completed all elements of Year 1 - the equivalent of 120 Credits at CQFW Level 4 or higher - shall be eligible for the award of a University Certificate of Higher Education in Dental Science which is an unclassified award.

9.1.2 A student who has successfully completed all elements of Year 2 - the equivalent of 240 Credits including a minimum of 120 Credits at CQFW Level 4 or higher and a minimum of 120 Credits at CQFW Level 5 or higher - shall be eligible for the award of a University Diploma of Higher Education in Dental Science which is an unclassified award.

9.1.3 A student who has successfully completed all elements of Year 3 - the equivalent of 360 Credits including a minimum of 120 Credits at CQFW Level 4 or higher, a minimum of 120 Credits at CQFW Level 5, and a minimum of 120 Credits at CQFW Level 6 or higher - shall be eligible for the award of a Bachelor of Science in Dental Science.

9.2 On admission to one of the Exit-Point Awards indicated in 9.1 above the graduate will no longer be eligible for the award of the Degree of Bachelor of Dental Surgery.

10 AWARD OF DEGREES

10.1 Candidates who have satisfied the requirements of the Programme shall be eligible for the award of the Degree of Bachelor in Dental Surgery.

10.2 Classification of the Degree of Bachelor in Dental Surgery shall be in accordance with the criteria as set out in 11. below and based upon the following weightings:

<table>
<thead>
<tr>
<th>Primary BDS Year 1</th>
<th>6%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary BDS Year 2</td>
<td>9%</td>
</tr>
<tr>
<td>Total Primary BDS Contribution</td>
<td>15%</td>
</tr>
<tr>
<td>Intermediate BDS Year 3</td>
<td>25%</td>
</tr>
<tr>
<td>Final BDS Year 4 and 5</td>
<td>60%</td>
</tr>
<tr>
<td>Total BDS</td>
<td>100%</td>
</tr>
</tbody>
</table>

11. CLASSIFICATION

BDS

11.1

<table>
<thead>
<tr>
<th>Honours</th>
<th>A Final Mark of 70% or above</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commendation</td>
<td>A Final Mark between 60% and 69%</td>
</tr>
<tr>
<td>Pass</td>
<td>A final mark between 50% and 59%</td>
</tr>
</tbody>
</table>
BSc Dental Science – Exit-Point award

11.2 Classification will be based on performance in Year 2 and 3 assessments only and will be based upon the overall mark resulting from assessments completed in those Years of the Programme only.

11.3 Classification will be determined using the following rule set in the first instance:

<table>
<thead>
<tr>
<th>Classification</th>
<th>Final Mark Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>First class honours</td>
<td>A Final Mark of 70% or above</td>
</tr>
<tr>
<td>Second class honours, division I (2:1)</td>
<td>A Final Mark between 60% and 69%</td>
</tr>
<tr>
<td>Second class honours, division II (2:2)</td>
<td>A Final Mark between 50% and 59%</td>
</tr>
</tbody>
</table>

11.4 Students who do not achieve an overall Final Mark of 50% or more overall, but who have achieved at least 50% overall in the Dental Science domain will be eligible to receive Third Class Honours.

11.5 BSc Dental Science Secondary rule

Subsequent to the above the following rules will apply to candidates who achieve a final mark within 2% of the higher band.

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 68 or 69 will be awarded a first class degree provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 70 or above in Year 2.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 58 or 59 will be awarded a 2:1 provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 60 or above in Year 2.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 48 or 49 will be awarded a third class degree provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 50 or above in Year 2.</td>
<td></td>
</tr>
</tbody>
</table>
1. **GENERAL**

1.1 Subject to 1.2 below these Regulations apply to:
   - students who were in Years 2-5 of the Five-Year Programme and Six Year Programmes in 2013-2014, and
   - students who were in Years 1-4 of the Four-Year Programme in 2013-2014.

1.2 Following the application of 1.1 any student whose progress is subsequently delayed (for example due to interruption of studies) shall be subject to the Regulations applicable to the cohort they have joined.

1.3 These Regulations shall be read in conjunction with:
   - Senate Regulation for Awards of Cardiff University;
   - Senate Assessment Regulations for Taught Programmes;
   - Programme Regulations for the Preliminary Year;

Definitions of terms provided in the Definition of Generic Terms Used in Senate Regulations shall apply save as otherwise varied or supplemented below.

- Degrees: the Degrees of Bachelor of Medicine and Bachelor of Surgery (MB BCh)
- Programme: a schedule of approved Units of Study leading to the award of the Degrees of Bachelor of Medicine and Bachelor of Surgery (MB BCh)
- Unit(s) of Study: A separate identifiable component of learning
- Unit(s) of Assessment: A separate identifiable component of assessment.

2. **ENTRY REQUIREMENTS**

2.1 Applicants for admission to the Four Year, Five Year and Six Year Programmes (See Table 1) shall be required to satisfy the requirements of the Cardiff University General Entrance Requirement and, in addition, satisfy the requirements of the School of Medicine, Cardiff University.

2.2 The Head of the School of Medicine shall be authorised to approve entry with advanced standing to an identified Year of study. Such approvals shall be on the basis of one or more periods of study at institutions of higher education in lieu of a specified period of study at Cardiff University where the specified period shall comprise the equivalent of not less than one session of full-time study.
2.3 In determining the classification of the award the Examining Board shall include only those Units of Assessment which the student has attempted as a registered student of the University.

2.4 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or to apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

3. **STRUCTURE OF THE PROGRAMME**

Table 1: Outline of the MB BCh Programme

<table>
<thead>
<tr>
<th>Six-Year Programme</th>
<th>Five-Year Programme</th>
<th>Four-Year Programme (Graduate Entry)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Year</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary MB Year 1</td>
<td>Primary MB Year 1</td>
<td></td>
</tr>
<tr>
<td>Intermediate MB Year 2</td>
<td>Intermediate MB Year 2</td>
<td>Swansea University Intermediate MB Year 1</td>
</tr>
<tr>
<td>Intermediate MB Year 3</td>
<td>Intermediate MB Year 3</td>
<td>(Leading to Intermediate MB) Intermediate MB Year 2</td>
</tr>
<tr>
<td>Final MB Year 4</td>
<td>Final MB Year 4</td>
<td>Final MB Year 3</td>
</tr>
<tr>
<td>Final MB Year 5</td>
<td>Final MB Year 5</td>
<td>Final MB Year 4</td>
</tr>
</tbody>
</table>

3.1 The Programme shall be full-time.

3.2 Candidates for entry to the Programme who have reached a satisfactory standard, as determined by the Board of Medical Studies, may be exempted from any or all elements of the Preliminary Year.

3.3 Assessments and examinations for each Year of study shall be grouped into Units of Assessment which shall be considered by the appropriate Examining Board at points identified within each Year of the programme.

3.4 Candidates are required to attend all Units of Study to the satisfaction of the University and to present themselves for, and reach an acceptable standard in, University assessments and examinations. Candidates failing to meet these requirements may be excluded from the Programme either permanently or for a period, or required to repeat Unit(s) of Study or Unit(s) of Assessment of the Programme.

3.5 The modular Preliminary Year shall be of two Semesters' duration.

3.6 The non-modular **Primary MB Year 1** shall be of at least 30 weeks' duration.

3.7 The non-modular **Intermediate MB Year 2 and Year 3 (Year 1 and 2 of the Four-Year Programme)** shall be of at least 75 weeks' duration. Year 2 (Year 1 of the Four-Year Programme) shall comprise at least 30 weeks and
Year 3 (Year 2 of the Four-Year Programme) shall comprise at least 45 weeks.

3.8 The non-modular Final MB Year 4 (Year 3 of the Four-Year Programme) and Year 5 (Year 4 of the Four-Year Programme) shall be of at least 86 weeks' duration and shall comprise four Parts. Year 4 (Year 3 of the Four-Year Programme) shall comprise at least 45 weeks and Year 5 (Year 4 of the Four-Year Programme) shall comprise at least 41 weeks.

3.9 Clinical studies shall be pursued in the Cardiff University School of Medicine and in hospitals, General Practices and other healthcare institutions approved from time to time by the Board of Medical Studies. Candidates are required to attend hospital practice or to pursue other approved clinical studies throughout the Programmes.

4. TIME LIMIT

4.1 The time limit for a student to complete his/her Programme shall be normally no more than two years beyond the normal duration of the Programme as indicated in these Senate Regulations or three years for students undertaking an intercalated degree year. This period may be extended by the Academic Standards and Quality Committee on the recommendation of the Board of Medical Studies under exceptional circumstances.

4.2 Students will not be permitted to repeat more than one year of the Programme following academic failure.

7. PROGRAMME

5.1 The Units of Study, rules on assessment, progression and award and requirements relating to clinical competence shall be confirmed by the Board of Medical Studies.

5.2 Students pursuing the Five-year or Six-year Programmes may interrupt their studies on successful completion of the Intermediate MB to undertake an approved Intercalated degree. Students can be granted one opportunity to complete an intercalated degree. Such students must return to the Programme after one academic year.

5.3 Candidates presented for the Final MB Year 5 examinations and assessments by the University shall be certified as having complied with all conditions required by the University and must not be the subject of an ongoing Fitness to Practise or other disciplinary investigation.

6. ASSESSMENT

6.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

6.2 The method of assessment for each Unit of Study shall be determined by the Board of Medical Studies and indicated in the Programme documentation.

6.3 Candidates who fail any of the Units of Assessment of the Programme (as determined by the Board of Medical Studies and stated in the summative marking scheme within the Programme documentation) shall be required to re-present themselves for examination or assessment at the next available opportunity, having pursued such further instruction as the Examining Board
may determine. Such candidates shall not normally be allowed more than one further attempt at the Unit(s) of Assessment.

7. PROGRESSION

7.1 At the end of each Year of the Programme and following resit events, the Examining Board shall consider the progress of each student in each Unit of Study, and shall determine whether he/she:

7.1.1 shall be permitted to proceed to the next Year of the Programme or is eligible for an exit-point award;

7.1.2 shall be permitted to attempt to retrieve one or more failed Units of Assessment prior to the commencement of the next Year of the Programme;

7.1.3 is not eligible to proceed to the next Year of the Programme or is not eligible to receive an award and must repeat the year in its entirety as an internal student.

7.1.4 is required to withdraw from the Programme.

7.2 Where a student is permitted to attempt to retrieve one or more failed Units of Study prior to the commencement of the next Year of the Programme, the Examining Board shall meet again to consider the performance of each student in these assessments and shall determine the status of the student in accordance with 7.1.1, 7.1.3 or 7.1.4 above.

7.3 PROVISIONS FOR THE AWARD OF BACHELOR OF MEDICAL SCIENCE (BMedSc)

7.3.1 Any student who does not successfully complete the MB BCh Programme may, at the discretion of the Examining Board for the Intermediate MB Year 3 (and Year 2 for the Four-Year Programme), for the Final MB Year 4 (and Year 3 of the Four-Year Programme) or Final MB Year 5 (and Year 4 of the Four-Year Programme), be recommended for the unclassified award of a Bachelor of Medical Science (BMedSc) provided that, as a minimum, they have satisfied the Examining Board in the Primary and Intermediate MB examinations (but not necessarily the clinical competence assessments).

7.3.2 On admission to the degree of BMedSc the graduate will no longer be eligible for the award of the Degrees of Bachelor of Medicine and Bachelor of Surgery.

8. AWARD OF DEGREES

8.1 Candidates who have satisfied the requirements of the Programme shall be eligible for the award of the Degrees of Bachelor of Medicine and Bachelor of Surgery.

8.2 Classification of the Degrees of Bachelor of Medicine and Bachelor of Surgery shall be:

- MB BCh with Honours
- MB BCh with Commendation
- MB BCh

in accordance with the relative weighting determined by the Board of Medical Studies as provided to students.
8.3 Candidates who have failed to satisfy the examiners at any time in examinations and assessments (other than in the Preliminary Year) as defined by the Board of Medical Studies, shall not be eligible for the award with Honours or with Commendation.

8.4 Candidates who have been unsatisfactory in their progress and thus are not eligible to present themselves for their Final MB Year 5 (and Year 4 of the Four-Year Programme) examinations and assessments at the expected time may be permitted, at the discretion of the Board of Medical Studies, one attempt only at the relevant Units of Assessment of the Final MB Year 5 (and Year 4 of the Four-Year Programme).
1 GENERAL

1.1 These Regulations apply to:

- students entering Year 1 of the Six-Year and Five-Year Programmes in September 2013;
- students subsequently joining the above student cohort, including students entering Year 1 of the Four-Year Programme, from September 2014; and
- students entering Year 1 of the Programme after September 2013.

1.2 These Regulations shall be read in conjunction with:

- Senate Regulation for Awards of Cardiff University;
- Senate Assessment Regulations for Taught Programmes;
- Programme Regulations for the Preliminary Year.

Definitions of terms provided in Senate Definition of Terms Used in Senate Regulations shall apply save as otherwise varied or supplemented below.

Degrees the Degrees of Bachelor of Medicine and Bachelor of Surgery (MB BCh)

Unit(s) of Study A separate identifiable component of learning

Unit(s) of Assessment A separate identifiable component of assessment.

2 ENTRY REQUIREMENTS

2.1 Applicants for admission to the Four-Year, Five-Year and Six-Year Programmes (See Table 1) shall be required to satisfy the requirements of the Cardiff University General Entrance Requirement and, in addition, satisfy the requirements of the School of Medicine, Cardiff University.

2.2 The decision as to whether an applicant shall be admitted to the MB BCh Programme shall rest with the Head of the School of Medicine.

Entry with Advanced Standing

2.3 The Head of the School of Medicine shall be authorised to approve entry with advanced standing to an identified Year of study. Such approvals shall be on the basis of one or more periods of study at institutions of higher education in lieu of a specified period of study at Cardiff University where the specified period shall comprise the equivalent of not less than one session of full-time study.
2.4 In determining the classification of the award the Examining Board shall include only those Units of Assessment which the student has attempted as a registered student of the University.

2.5 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or to apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

3. STRUCTURE OF THE PROGRAMME

Table 1: Outline of the MB BCh Programme

<table>
<thead>
<tr>
<th>Six-Year Programme (A104)</th>
<th>Five-Year Programme (A100)</th>
<th>Four-Year Programme (Graduate Entry) (A101)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Year</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 1</td>
<td>Year 1</td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td>Year 2</td>
<td>Year 1</td>
</tr>
<tr>
<td>Year 3</td>
<td>Year 3</td>
<td>Year 2</td>
</tr>
<tr>
<td>Year 4</td>
<td>Year 4</td>
<td>Year 3</td>
</tr>
<tr>
<td>Year 5</td>
<td>Year 5</td>
<td>Year 4</td>
</tr>
</tbody>
</table>

3.1 The Programme shall be full-time.

3.2 Candidates for entry to the Programme who have reached a satisfactory standard, as determined by the Board of Medical Studies, may be exempted from any or all elements of the Preliminary Year.

3.3 Assessments and examinations for each Year of study shall be grouped into Units of Assessment which shall be considered by the appropriate Examining Board at points identified within each Year of the programme.

3.4 Candidates are required to attend all Units of Study to the satisfaction of the University and to present themselves for, and reach an acceptable standard in, University assessments and examinations. Candidates failing to meet these requirements may be excluded from the Programme either permanently or for a period, or required to repeat Unit(s) of Study or Unit(s) of Assessment of the Programme.

3.5 The Programme shall be structured as follows:

The modular **Preliminary Year** shall be of two Semesters' duration

The non-modular **Year 1** shall be of at least 30 weeks' duration and be equivalent to 120 credits at CQFW Level 4 or higher.
The non-modular **Year 2 (Year 1 of the Four-Year Programme)** shall be of at least 30 weeks duration and be equivalent to 120 credits at CQFW Level 5 or higher.

The non-modular **Year 3 (Year 2 of the Four-Year Programme)** shall be of at least 45 weeks’ duration and be equivalent to 120 credits at CQFW Level 6 or higher.

The non-modular **Year 4 (Year 3 of the Four-Year Programme)** shall be of at least 45 weeks duration and be equivalent to 120 credits at CQFW Level 6 or higher.

The non-modular **Year 5 (Year 4 of the Four-Year Programme)** shall be of at least 40 weeks’ duration and shall be equivalent to 120 credits at CQFW level 7.

3.6 The Programme shall be pursued in the Cardiff University School of Medicine and in hospitals, General Practices and other healthcare institutions approved from time to time by the Board of Medical Studies. Candidates are required to attend hospital practice or to pursue other approved clinical studies throughout the Programme.

4. **TIME LIMIT**

4.1 The time limit for a student to complete his/her Programme shall be normally no more than two years beyond the normal duration of the Programme as indicated in these Senate Regulations or three years for students undertaking an intercalated degree year. This period may be extended by the Academic Standards and Quality Committee on the recommendation of the Board of Medical Studies under exceptional circumstances.

4.2 Students will not be permitted to repeat more than one year of the Programme following academic failure.

8. **PROGRAMME**

5.1 The Units of Study, rules on assessment, progression and award and requirements relating to clinical competence shall be confirmed by the Board of Medical Studies.

5.2 Students pursuing the Five-Year or Six-Year Programmes may interrupt their studies on successful completion of Year 2 to undertake an approved Intercalated degree. Students can be granted one opportunity to complete an intercalated degree. Such students must return to the Programme after one academic year.

6. **ASSESSMENT**

6.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

6.2 The method of assessment for each Unit of Study shall be determined by the Board of Medical Studies and indicated in the Programme documentation.

6.3 The mark achieved by each student in each Unit of Study shall be determined by the relevant Examining Board.
6.4 The minimum mark for a pass in each Unit of Study shall usually be 50% after standard setting has been applied.

6.5 A student who passes a Unit of Study, in which s/he has previously failed, shall be credited with the minimum mark for a pass.

6.6 Candidates who fail any of the Units of Assessment of the Programme (as determined by the Board of Medical Studies and stated in the summative marking scheme within the Programme documentation) shall be required to re-present themselves for examination or assessment at the next available opportunity, having pursued such further instruction as the Examining Board may determine. Such candidates shall not normally be allowed more than one further attempt at the Unit(s) of Assessment.

7. PROGRESSION

7.1 At the end of each Year of the Programme and following resit events, subject to the provisions of 6.6 the Examining Board shall consider the progress of each student in each Unit of Study, including Professional Behaviour Assessments, and shall determine whether he/she:

7.1.1 shall be permitted to proceed to the next Year of the Programme or is eligible for an exit-point award; or

7.1.2 shall be permitted to attempt to retrieve one or more failed Units of Assessment prior to the commencement of the next Year of the Programme; or

7.1.3 is not eligible to proceed to the next Year of the Programme or is not eligible to receive an award and must repeat the Year in its entirety as an internal student; or

7.1.4 is required to withdraw from the Programme.

7.2 A student shall only be permitted to continue to pursue the MB BCh providing it remains possible for him/her to complete the Programme, and do so within the approved time-limit. In addition, a student who has failed one or more assessments on two occasions shall be required to withdraw from the Programme.

7.3 Where a student is permitted to attempt to retrieve one or more failed Units of Study prior to the commencement of the next Year of the Programme, the Examining Board shall meet again to consider the performance of each student in these assessments and shall determine the status of the student in accordance with 7.1 and 7.2 above.

8. STRUCTURE AND CONTENT OF RE-ASSESSMENTS

8.1 Where a student is required to be re-assessed for one or more Units of Study prior to the start of the following academic year, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the Assessment at the time of the initial failure.

8.1.1 For re-assessment within one year of the initial failure, the re-assessment shall, unless the Examining Board decides that this is not practical, be of the same structure and be based upon the same syllabus as the assessment at the time of the initial failure. In all cases the Examining Board shall ensure
that retrieval of failure is carried out either through re-assessment by the same method(s) or by method(s) designed to cover all learning outcomes;

8.1.2 For re-assessment beyond one year of the initial failure, the re-assessment may, at the discretion of the School Board, be of the same structure and be based upon the syllabus taught to all internal students at the time of the re-assessment.

8.2 Where a student is permitted to repeat the Year in its entirety as an internal student as provided in 7.1.3 above, the re-assessment shall be of the same structure and be based upon the syllabus taught to all students at the time of his/her re-assessment.

8.3 Where, under 8.1.2 above, a student is required to be re-assessed and the structure of the assessment is different from that at the time of the initial failure and/or the re-assessment is to be based upon a different syllabus, the Head of School concerned shall make arrangements for the student:

8.3.1 to be informed of changes in the structure of the assessment and the syllabus content; and

8.3.2 to be offered, at an appropriate charge, the opportunity of attending a suitable programme of scheduled classes.

8.4 The mark for a student who passes a Unit in which he/she has previously failed shall be awarded in accordance with 6.5 above.

9. **PROVISIONS FOR EXIT AWARDS**

9.1 Any student who does not successfully complete the MB BCh Programme may, at the discretion of the Examining Board be recommended for one of the following awards:

9.1.1 A student who has successfully completed all elements of **Year 1** (the equivalent of 120 Credits at CQFW Level 4 or higher) shall be eligible for the award of a **University Certificate of Higher Education in Medical Science** which is an unclassified award.

9.1.2 A student who has successfully completed all elements of **Year 2** (**Year 1 of the Four-Year Programme**) - the equivalent of 240 Credits including a minimum of 120 Credits at CQFW Level 4 or higher and a minimum of 120 Credits at CQFW Level 5 or higher - shall be eligible for the award of a **University Diploma of Higher Education in Medical Science** which is an unclassified award.

9.1.3 A student who has successfully completed all elements of **Year 3** (**Year 2 of the Four-Year Programme**) - the equivalent of 360 Credits including a minimum of 120 Credits at CQFW Level 4 or higher, a minimum of 120 Credits at CQFW Level 5, and a minimum of 120 Credits at CQFW Level 6 or higher - shall be eligible for the award of a **Bachelor of Medical Science (BMedSc) with Honours**. The classification of the award will be determined in accordance with the criteria set out in 11.

9.1.4 In addition to 9.1.3, a student who has successfully completed all elements of **Year 4** (**Year 3 of the Four-Year Programme**) - the equivalent of 480 Credits including a minimum of 120 Credits at CQFW Level 4 or higher, a minimum of 120 Credits at CQFW Level 5, a minimum of 240 Credits at CQFW Level 6 or higher - shall also be eligible for the award of a **Graduate**
Diploma in Medical Science. The classification of the award will be determined in accordance with the criteria set out in 11.

9.2 On admission to one of the exit-point awards indicated in 9.1 above the graduate will no longer be eligible for the award of the Degrees of Bachelor of Medicine and Bachelor of Surgery.

10 AWARD OF DEGREES

10.1 Candidates who have satisfied the requirements of the Programme shall be eligible for the award of the Degrees of Bachelor of Medicine and Bachelor of Surgery.

10.2 Classification of the Degrees of Bachelor of Medicine and Bachelor of Surgery shall be:

- MB BCh with Honours
- MB BCh with Commendation
- MB BCh

in accordance with the criteria as set out in 11.

11 CLASSIFICATION

MB BCh

11.1 Students Who Entered the Penultimate Year of the Programme in 2016-2017 and Students Entering the Penultimate Year of the Programme in 2017-2018

Classification will be based on performance in the final year assessments only and will be based upon ranking position in the final year.

Students ranked in the top 10% of the cohort in the final year will receive the degrees of MB BCh with Honours.

Students ranked in the top 11-20% of the cohort in the final year will receive the degrees of MB BCh with Commendation.

Students Entering the Penultimate Year of the Programme from 2018-2019

Classification will be based on a rank of performance across penultimate year and final year assessments (as determined by the Board of Medical Studies and stated in the summative marking scheme within the Programme Information).

Students ranked in the top 10% of the cohort will receive the degrees of MB BCh with Honours.

Students ranked in the top 11-20% of the cohort will receive the degrees of MB BCh with Commendation.

11.2 Student achievement in Years 1-4 (Years 1-3 of the Four-Year Programme) will be recognised in the award of prizes and certificates of merit.
To be eligible for the degrees of MB BCh with Honours or with Commendation students must have completed all required assessments as detailed in the Programme Information.

**BMedSci – exit-point award**

Subject to 11.7 below, classification will be based on performance in Year 3 (Year 2 in the Four-Year Programme) assessments only and will be based upon the overall mark resulting from assessments completed in that Year of the Programme only.

Classification will be determined using the following rule set in the first instance:

<table>
<thead>
<tr>
<th>Classification</th>
<th>Minimum Mark</th>
</tr>
</thead>
<tbody>
<tr>
<td>First class honours</td>
<td>A final mark of 70% or above</td>
</tr>
<tr>
<td>Second class honours, division I (2:1)</td>
<td>A final mark between 60% and 69%</td>
</tr>
<tr>
<td>Second class honours, division II (2:2)</td>
<td>A final mark between 50% and 59%</td>
</tr>
</tbody>
</table>

Students who do not achieve an overall mark of 50% or more overall, but who have achieved at least 50% overall in the Science domain will be eligible to receive Third Class Honours.

**BMedSci Secondary rule**

Subsequent to the above the following rules will apply to candidates who achieve a final mark within 2% of the higher band.

<table>
<thead>
<tr>
<th>Candidate Group</th>
<th>Specific Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidates who achieve a final mark of 68 or 69</td>
<td>They have achieved a mark of 70 or above in Year 2 (Year 1 of the Four-Year Programme)</td>
</tr>
<tr>
<td>Candidates who achieve a final mark of 58 or 59</td>
<td>They have achieved a mark of 60 or above in Year 2 (Year 1 of the Four-Year Programme)</td>
</tr>
<tr>
<td>Candidates who achieve a final mark of 48 or 49</td>
<td>They have achieved a mark of 50 or above in Year 2 (Year 1 of the Four-Year Programme)</td>
</tr>
</tbody>
</table>

**Graduate Diploma – exit-point award**

Subject to 11.11 below, classification will be based on performance in the Year 4 (Year 3 of the Four-Year Programme) assessments only and will be based upon the overall mark resulting from assessments completed in Year 4 (Year 3 of the Four-Year Programme) of the Programme only.

Classification will be determined using the following rule set in the first instance:
<table>
<thead>
<tr>
<th>Graduate Diploma with Distinction</th>
<th>A final mark of 70% or above</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Diploma with Merit</td>
<td>A final mark between 60% and 69%</td>
</tr>
<tr>
<td>Graduate Diploma</td>
<td>A final mark between 50% and 59%</td>
</tr>
</tbody>
</table>

11.10 Students who do not achieve an overall mark of 50% or more overall, but who have achieved at least 50% overall in the Science domain will be eligible to receive the Graduate Diploma.

11.11 **Graduate Diploma Secondary rule**

Subsequent to the above the following rules will apply to candidates who achieve a final mark within 2% of the higher band.

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 68 or 69 will be awarded a Graduate Diploma with Distinction provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 70 or above in Year 3 (Year 2 of the Four-Year Programme).</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 58 or 59 will be awarded a Graduate Diploma with Merit provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 60 or above in Year 3 (Year 2 of the Four-Year Programme).</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Candidates who achieve a final mark of 48 or 49 will be awarded a Graduate Diploma provided that:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>They have achieved a mark of 50 or above in Year 3 (Year 2 of the Four-Year Programme).</td>
<td></td>
</tr>
</tbody>
</table>
1. GENERAL

1.1 These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes.

1.2 These Regulations apply to all modular taught postgraduate Programmes, and also to the MRes (Master of Research).

1.3 A Head of School may, exceptionally, seek the approval of the Academic Standards and Quality Committee to vary these Regulations in respect of one or more Programme(s).

2. DEFINITIONS

Definitions of terms used in these Regulations can be found in the document 'Definition of Generic Terms Used in Senate Regulations'.

3. ADMISSION

3.1 All applicants for admission to modular postgraduate Programmes shall be required:

3.1.1 to meet the conditions of the University General Entrance Requirement; and

3.1.2 to meet the particular requirements for the Programme applied for, as specified in the relevant Programme Information.

3.2 The decision whether an applicant shall be admitted to a Programme shall rest with the relevant Head of School. In addition, Heads of Schools shall retain the right to determine the maximum or minimum intake for individual Modules, providing that an applicant may not be denied admission to any Required Module or Core Module which contribute to the Programme of Study for which s/he is registered.

3.3 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification of academic qualifications. The University reserves the right to refuse admission or apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

4. PROGRAMME INFORMATION FOR STUDENTS

4.1 For each approved postgraduate Programme, there shall be approved Programme Information which shall include, inter alia:

Entry Requirements;
Programme Specification;
Structure of the Programme;
Module Descriptions;
Rules on Assessment, Progression and Award.
5. **MODULES**

5.1 Where a Module is available for more than one Programme, its status as a Required Module, Core Module, Option Module or Free-Standing Module may vary between programmes. The Credits and Credit Level of a Module may not vary.

5.2 No single Module shall be sub-divided.

5.3 Precursors, Prerequisites and/or Co-requisites may be defined for any Module or for a Module in a specified Programme.

5.4 The Head of School responsible for the management of a Module shall determine whether it shall be made available to students registered on other programmes as a Free-Standing Module and, if it is, shall specify any minimum or maximum intake levels or other restrictions.

5.5 Any fieldwork requirements shall form part or all of one or more specified Modules subject to any timetabling or other constraints.

5.6 Taught Modules shall not extend beyond one Session.

5.7 A Dissertation Module shall be at least equal to 60 Credits at Level 7. A Dissertation submitted for examination as a requirement of a Master's Programme shall be a bound submitted work, of not more than 20,000 words.

6. **STRUCTURE**

6.1 Each Programme leading to a Master's Degree shall be divided into two or three Stages as follows:

<table>
<thead>
<tr>
<th>Two Stage</th>
<th>Three Stage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate Diploma Stage;</td>
<td>Postgraduate Certificate Stage;</td>
</tr>
<tr>
<td>and</td>
<td>and</td>
</tr>
<tr>
<td>Master's Degree Stage;</td>
<td>Postgraduate Diploma Stage;</td>
</tr>
<tr>
<td></td>
<td>and</td>
</tr>
<tr>
<td></td>
<td>Master's Degree Stage.</td>
</tr>
</tbody>
</table>

Each Programme leading to a Postgraduate Diploma shall be divided into one or two stages as follows:

<table>
<thead>
<tr>
<th>One Stage</th>
<th>Two Stage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate Diploma Stage.</td>
<td>Postgraduate Certificate Stage;</td>
</tr>
<tr>
<td></td>
<td>and</td>
</tr>
<tr>
<td></td>
<td>Postgraduate Diploma Stage.</td>
</tr>
</tbody>
</table>

Each Programme leading to a Postgraduate Certificate shall comprise one stage.

Postgraduate Certificate Stage
The structure of modular Programmes shall be set out in Programme Information which shall as a minimum accord with the following requirements:

6.1.1 a modular Programme leading to a **Postgraduate Certificate** shall consist of Modules at least to the value of 60 Credits of which no more than 20 Credits shall be at Level 6;

6.1.2 a modular Programme leading to a **Postgraduate Diploma** shall consist of Modules at least to the value of 120 Credits of which no more than 30 Credits shall be at Level 6;

6.1.3 a modular Programme leading to the award of a **Master's Degree** shall consist of Modules at least to the value of 180 Credits which shall include a Dissertation of at least 60 Credits at Level 7, and of which no more than 30 credits shall be at Level 6;

6.1.4 a modular Programme leading to the award of a Postgraduate Certificate, or a Postgraduate Diploma, or a Master's Degree shall include no Modules which are at a Level less than Level 6;

6.1.5 a **Graduate Diploma (Level 6)** may, in accordance with the appropriate Programme Information, be awarded as an exit-point award to a student admitted to a postgraduate Programme which includes the initial and additional completion of Modules to the value of 120 Credits including a minimum of 90 Credits at Level 6 and no more than 30 Credits at Level 5.

6.1.6 no student may be permitted or required to pursue and/or be assessed in Modules to the value of:

- more than 120 Credits in any session; and
- more than 180 Credits in any calendar year.

6.1.7 Programme Information shall identify all Exit-Point Awards associated with the Programme and shall stipulate the Modules contributing to each award.

6.2 **ADMISSION WITH ADVANCED STANDING, MODULE EXEMPTIONS AND MODULE SUBSTITUTION**

6.2.1 Admission with Advanced Standing - Heads of Schools shall be authorised to admit students with advanced standing to the Diploma or Master's stage of a Programme following submission and subsequent approval by Academic Standards and Quality Committee of a special case, either on an individual or programme basis, which should include a rationale and demonstrate evidence of the establishment of rigorous local protocols for determining equivalence.

Where a student successfully completes the Postgraduate Certificate or Postgraduate Diploma Stage of a Programme and exits with an award, and subsequently wishes to return to complete further stages of the same Programme, subject to any tighter time limits provided in Programme Information, they will be able to do so within three years. A special case should be made to Academic Standards and Quality Committee on an individual or programme basis for the approval of any longer hiatus.

6.2.2 Module Exemption - Heads of Schools shall be authorised to exempt students from specified Modules provided always that the structure of the Programme in its entirety complies with the stipulations of 6.1.1 – 6.1.4
above, and following submission and subsequent approval by Academic Standards and Quality Committee of a special case on an individual basis, which should include a rationale and demonstrate evidence of the establishment of rigorous local protocols for determining equivalence.

6.2.3 Module Substitution - Heads of Schools shall be authorised, in exceptional circumstances, to approve an alternative Programme which permits students to substitute Modules of the existing Programme with alternative Module(s) subject to the following limits:

<table>
<thead>
<tr>
<th>Programme</th>
<th>Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate Certificate</td>
<td>up to 20 Credits</td>
</tr>
<tr>
<td>Postgraduate Diploma/Master's</td>
<td>up to 30 Credits</td>
</tr>
</tbody>
</table>

6.2.4 Where a student is granted Admission with Advanced Standing or Exemption from a Module in accordance with 6.2.1 or 6.2.2 above, s/he shall be awarded the appropriate number of Credits. In determining the final award an Examining Board shall include only those relevant Modules which the student has attempted as a registered student of the Programme.

6.2.5 Entry with Advanced Standing, Module Exemption and Module Substitution shall normally only be made available when recognition is being given for previous study and/or experience undertaken or gained within three years prior to admission to the Programme.

6.3 PROGRAMME OF STUDY

6.3.1 At the beginning of the Session, all students shall be required to register on a Programme and confirm for the approval of the Head of School, their Programme of Study for the Session.

6.3.2 Following registration a student may seek the approval of the Head of School to amend his/her Programme of Study within the first three weeks of a Semester.

6.4 PROGRAMME COMPLETION

6.4.1 The due date for submission of the Dissertation for Master's Programmes shall be stipulated in the Programme Information. For full-time, one-year Programmes, the due date shall be no more than 50 weeks from the date of initial registration unless otherwise varied under 6.4.2 below. For part-time Programmes, the due date shall be no less than 28 weeks and no more than one year from the date of commencement of the Master’s Degree (Dissertation) Stage.

6.4.2 In the case of full-time, 180-Credit Master's programmes involving significant clinical or clinically-related engagement at the Master's (dissertation) stage, the Academic Standards and Quality Committee may, on the recommendation of a Head of School, approve for identified programmes a due date for submission of the Dissertation of no more than 18 months from the date of initial registration.

6.4.3 If a Master's Degree candidate fails to submit a Dissertation by the due date stipulated s/he will be awarded a mark of zero for the Dissertation.

6.4.4 The overall Deadline for Programme Completion shall be no more than two years beyond the normal duration of the Programme as indicated in the Programme Information. The Deadline may be extended in exceptional circumstances by the Academic Standards and Quality Committee.
6.4.5 The due date for submission of the Dissertation for Master's Programmes shall be extended by three months in the case of full-time Programmes where a candidate is permitted at the end of the Diploma Stage to resit Modules in the next Re-sit Examination Period.

7. **ASSESSMENT**

7.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes.

7.2 Forms of Assessment for each Module, including the weighting for each element of the Assessment, shall be indicated in the Programme Information.

7.3 The pass mark in each Module shall be 50%.

7.4 Subject to being able to continue on a Programme, a student shall be permitted two attempts to achieve the award of Credit in a Module:

   - A first attempt, AND
   - A Re-sit OR Repeat attempt.

7.5 Where a student has been awarded Credit in a Module, and where that student cannot retake Assessments impacted by Extenuating Circumstances (see Senate Assessment Regulations 11.6), the student shall not be permitted any further Assessment in that Module.

7.6 A student who has failed a Module on two occasions shall be required to withdraw from that Module.

8. **DETERMINATION OF MODULE MARKS AND AWARD OF CREDIT**

8.1 As appropriate to the structure and/or mode of the Programme, a Programme Examining Board or Composite Examining Board shall meet at the end of each Stage, Session or Calendar Year, to consider:

   - the performance of students in all Modules completed during the Stage, Session or Calendar Year; and
   - the progression and/or Final Assessment of students

and shall determine:

1. a Module Mark for each Module; and

2. whether the student:
   - Is eligible for the award of Credit as provided in 8.2 and 8.4 below; or
   - has failed the Module (see Section 12, Resits and Re-Assessments); or
   - has had Assessment(s) impacted by Extenuating Circumstances. In such cases, the Examining Board shall deal with the student in accordance with the Senate Assessment Regulations.
An Examining Board shall award Credit in a Module where a student has achieved:

- a Module Mark of 50% or more (or a "Pass" as provided in 7.3 above); and
- where relevant and indicated in the Programme Information, a mark of 50% or more in any individual Assessment designated as having to be passed; and
- where relevant, any required professional competencies.

**Master's Degree Dissertation**

The Dissertation of each candidate for the degree of Master shall be assessed by at least two members of the Examining Board.

**Condonement**

In addition to 8.2 above, an Examining Board shall award a student Credit in Module(s) to permit Progression / Award, where a Module Mark of 45%, 46%, 47%, 48% or 49% has been achieved provided that the below conditions are satisfied:

.1 the Module(s) is being assessed as a first attempt; AND
.2 the student has NOT failed more than 30 Credits; AND
.3 the student’s Level/Year Result in that Level/Year of study, in all contributing Modules, is at least 55%; AND
.4 the Module(s) is/are NOT a Required Module(s); AND
.5 in the case of a Module where a qualifying mark is required for one or more Assessment components, the qualifying mark(s) HAS/HAVE been achieved; AND
.6 the student’s target award is NOT a Postgraduate Certificate.

In such circumstances, the Module Mark (45%, 46%, 47%, 48% or 49%) confirmed by the Examining Board shall not be changed and shall be used, where applicable, in calculating any award classification. Examining Boards are not permitted to change individual Module Marks.

Condonement shall not operate:

.1 in Required Modules; OR
.2 in Module(s) being assessed as second or third attempts; OR
.3 in the case of a Module where a qualifying mark is required for one or more Assessment components, the qualifying mark(s) has/have NOT been achieved; OR
.4 in Master’s Degree Dissertations.
9 PROGRESSION

[Note: These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.]

9.1 To progress to the next stage of their Programme, students must have achieved:

- the Credits set out in the rules adopted from one of the following Progression Sets by their Programme;
- Credit in any Required Modules; and
- where relevant, the required professional competencies.

The Programme Information shall inform students of the Progression Set and any other Programme requirements applicable to their Programme.

<table>
<thead>
<tr>
<th>Progression Set 1</th>
<th>Progression Set 2</th>
<th>Progression Set 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Three Stage Programmes)</td>
<td>(Two Stage Programmes)</td>
<td>(programmes that include a Year of Experiential and/or Professional Learning (E/PL))</td>
</tr>
<tr>
<td>(All Credits required)</td>
<td>(All Credits required)</td>
<td>(All Credits required)</td>
</tr>
</tbody>
</table>

### At the end of the Certificate Stage

- Students who have been awarded 60 Credits at Level 6 or above, at least 40 of which are at Level 7 shall:
  - EITHER progress to the Diploma stage of their Programme;
  - OR be awarded a Postgraduate Certificate

### At the end of the Diploma Stage

- Students who have been awarded 120 Credits at Level 6 or above, at least 90 of which are at Level 7 shall:
  - EITHER progress to the Master's Degree Stage of their Programme;
  - OR be awarded a Postgraduate Diploma

- Students who have been awarded 120 Credits at Level 6 or above, at least 90 of which are at Level 7 shall:
  - EITHER progress to the Year of E/PL;
  - OR be awarded a Postgraduate Diploma
At the end of the Year of E/PL

Students who have been awarded 240 Credits at Level 6 or above, at least 210 of which are at Level 7 shall:

- EITHER progress to the Master’s Degree Stage of their Programme;
- OR be awarded a Postgraduate Diploma

9.2 Where an Examining Board does not:

- permit a student to proceed to the next academic stage of the Programme; or
- recommend eligibility for a student to receive an award; or
- permit a student to be re-assessed in failed Module(s) (see Section 10 Re-Assessment)

it shall require the student to withdraw from the Programme.

9.3 A student shall only be permitted to continue to pursue a Programme providing it remains possible for them to complete the Programme, and do so within the approved time-limit (See Section 6). Where a student is permitted to continue to pursue a Programme they shall be permitted two attempts at a Module’s Assessment, including the initial attempt.

9.4 A student for a Master’s award may, with the Head of School's approval, begin supervised or unsupervised preparatory work on the Dissertation prior to completion of the Postgraduate Diploma Stage, but may not submit work for assessment unless and until the Postgraduate Diploma Stage of the Programme has been passed.

10 RE-ASSESSMENT

[Note: These Regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.]

10.1 Schools shall define how a Module will be re-assessed and shall communicate this to students at the Module’s outset.

ACTION TO BE TAKEN IN RESPECT OF FAILED STUDENTS: CERTIFICATE/DIPLOMA STAGE

10.2 Eligibility for Re-assessment in a modular Postgraduate Certificate Programme (and on the completion of 60 credits, where this is a defined Progression point):

On completion of the taught Modules students shall re-sit any failed Module(s) provided that they can complete their Programme within the specified timeframe, and have failed no more than 45 Credits.
10.3 Eligibility for Re-assessment in a modular Postgraduate Diploma or on the completion of the Diploma stage of a Master’s Programme:

On completion of the taught Modules students shall be re-assessed in failed Module(s), provided that they can complete their Programme within the specified timeframe, as set out in the tables below.

<table>
<thead>
<tr>
<th>To Re-sit Modules in the next Re-sit Examination Period a student must have failed no more than:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PGT Re-sit rule set 1</td>
<td>60 Credits</td>
</tr>
<tr>
<td>PGT Re-sit rule set 2</td>
<td>40 Credits</td>
</tr>
<tr>
<td>PGT Re-sit rule set 3</td>
<td>30 Credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>To Repeat Modules in the next session a student must have failed no more than:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PGT Repeat rule set 1</td>
<td>105 Credits</td>
</tr>
<tr>
<td>PGT Repeat rule set 2</td>
<td>80 Credits</td>
</tr>
<tr>
<td>PGT Repeat rule set 3</td>
<td>60 Credits</td>
</tr>
</tbody>
</table>

10.4 Where a student has failed taught Module(s) but has achieved sufficient Credit to receive an Award, the Examining Board shall determine whether the student should be given the option of re-sitting the failed Credits, e.g. where they could improve their award classification.

10.5 Where a student has failed Module(s) AND has Module(s) that they are permitted to (re)take as a first attempt, (e.g. where Module(s) have been impacted by Extenuating Circumstances), the Examining Board shall determine whether it is reasonable for the student to be assessed in all of these Modules in the Re-sit Examination period.

RE-SIT ASSESSMENTS

10.6 Re-sit Assessments shall normally be held in the Re-sit Examination Period, prior to the start of the following academic session.

10.7 Where a student is required to Re-sit Module(s) in the Re-sit Examination Period, the student shall EITHER Re-sit the failed components OR undertake a synoptic Assessment, as defined in Programme Information.

REPEAT ASSESSMENTS

10.8 Repeat Assessments shall normally be held in the following academic session. Students shall be informed by the Chair of the Examining Board (or nominee) prior to the start of that session where they must Repeat the Module(s) as an Internal Student.
10.9 Where a student can Repeat the Module(s) as an Internal Student OR as an External Student, this shall be determined by the Chair of the Examining Board (or nominee) and recorded at Enrolment, subsequent to discussion with the student.

10.10 Where a student Repeats Module(s) as an Internal Student, the student shall be taught and assessed in the same way as students taking the Module for the first time and shall undertake all of the component Assessments attached to that Module, including any that the student passed in a previous attempt.

10.11 Where a student Repeats Module(s) as an External student, the student shall be assessed in the same way as they were originally, against the Learning Outcomes applicable at that time, and shall undertake the component Assessments that the student needs to pass in that Module only, excluding any that the student passed in a previous attempt.

ACTION TO BE TAKEN IN RESPECT OF FAILED STUDENTS: MASTER'S DEGREE STAGE

10.12 A candidate for the degree of Master who fails to submit a Dissertation within the deadline specified, and the submission deadline has not been extended by the University in accordance with Senate Regulations for Taught Postgraduate Master’s Degrees – Dissertation Submission, shall be regarded as having failed the assessment of the Dissertation by non-submission and shall be awarded a mark of zero.

10.13 Where a candidate’s Dissertation has failed to satisfy the Examining Board (including failure by non-submission), s/he shall be permitted to (re-)present his/her Dissertation for Re-Assessment on one occasion only, upon payment of a re-submission fee, not more than six months from the date of the official communication of the result to the candidate.

10.14 Where a candidate is allowed to re-submit a Dissertation and will require extended access to University and School facilities, over and above access to his/her supervisor, Heads of Schools shall have discretion to require such a candidate to re-register and to pay tuition fees, pro rata.

THE OUTCOMES FROM RE-ASSESSMENT

10.15 Except as provided in 10.16 below, a student who passes a Module that has been failed previously shall be credited with the minimum Module Mark (50%).

10.16 Where the components failed by a student on the first attempt include only zero weighted components the student shall receive, subsequent to passing these component(s), an uncapped Module Mark

EXEMPTION

10.17 In cases where the application of these Regulations would disadvantage an individual student unfairly, but not impact on academic standards, an Examining Board Chair (or nominee) may request the Pro Vice Chancellor (Student Experience and Academic Standards) to exempt a student from part of these Regulations.
FORMER STUDENTS

10.18 Heads of Schools may permit former students of the University who have completed their studies at the University to retrieve failure in specified failed Modules, with or without attendance, upon payment of an appropriate fee. The retrieval of failed Modules in this way shall not contribute to any University award.

Guidance

The Guidance below should be read in conjunction with Senate Assessment Regulations for Taught Programmes, which include provisions for managing Extenuating Circumstances.

The Nature of Re-sit Assessments

Re-sit Assessments must be designed to allow a student to demonstrate achievement of the relevant Learning Outcomes. This can be achieved either by re-sitting the individual Assessment components that have been failed, or by sitting a single synoptic Assessment that covers all of the Module(s) Learning Outcomes. The Re-sit methods used in a Module must be applied consistently in all cases and must be agreed and communicated to students at the start of Module, through Programme Information and in SIMS.

Schools will need to consider what the best Re-sit strategy is for individual Modules and identify any components that students will need to Re-sit to allow students to demonstrate achievement of particular Learning Outcomes. In Modules that use component Re-sits, and where a Module has been failed, students cannot be exempted from re-sitting any failed components.

Where a student is re-sitting a Module in the Re-sit Examination Period, the Module Mark shall be calculated:

i. In the case of a 'synoptic' Re-assessment, from the marks achieved in that Assessment only, or;

ii. In the case where a student is re-sitting failed components, from the marks achieved in the Re-assessments combined with the marks achieved in any components passed at the first attempt, according to the weightings specified in Programme Information.

Where students complete component Assessments in-year, or where it is not possible for an Assessment method to be used in the Re-sit Examination Period that enables a student to meet all of the Learning Outcomes (e.g. in a group task, or in an Assessment that requires access to facilities or equipment that will be unavailable at that time), the Chair of the Examining Board (or nominee) may seek to set a Supplementary Assessment to retake that Assessment component (see Senate Assessment Regulations 11.4.4), which shall, where possible, be held before the formal Examining Board held at the end of the session. In such cases, an Examining Board meeting must be held to confirm the student's original performance in that Assessment component, to ensure that the student maintains their right of appeal.

Repeat Assessments
Where a student is required to Repeat modules that can be completed only through attendance on that module, this shall be confirmed by the Examining Board and communicated to the student through their Interim Transcript. Circumstances where a student will need to attend modules being repeated include where they need access to specific facilities and/or resources to undertake the Assessments.

Where it is not essential that a student repeats modules with attendance, Examining Boards shall recommend that a student shall be permitted to Repeat the Module(s) either as an Internal or External student. Students will be advised of the recommendations made by an Examining Board through their Interim Transcript. Students should be encouraged to contact Schools to discuss whether they would prefer to take Modules being repeated as an Internal Student, an External Student, or a mixture of the two.

The final decision as to whether (or not) a student repeats a Module as an Internal or External student should be made at the earliest opportunity by the Chair of the Examining Board (or nominee), and shall be recorded and confirmed on SIMS by the School during enrolment at the start of the next academic session.

The decision to recommend whether a student undertakes Repeat Assessments as an Internal or an External student must be made solely on academic grounds. Where there are no Extenuating Circumstances and where a student has to Repeat Modules in the following session, a student should normally undertake these as an Internal student, to allow the student to benefit from the tuition provided on these modules.

Circumstances where it may be more appropriate for students to Repeat Modules as an External student include where a student has progressed and has been permitted to carry a failed Module and where a student has narrowly failed individual assessment components that need to be passed to permit Progression.

Where a student is repeating a Module as an Internal student, the student shall undertake all of the component Assessments attached to that Module, including any that the student passed in a previous attempt. The Module mark shall be calculated from the marks achieved in these components, according to the weightings specified in Programme Information. Marks from previous attempts shall not be used to calculate the Module mark, or to determine whether the student shall be awarded Credit in that Module. This will ensure that academic standards are protected appropriately and that students will not be disadvantaged when the weightings or assessment methods on a Module have changed.

Where a student is repeating a Module as an External student, the student shall undertake the component Assessments that the student needs to pass that Module only, excluding any that the student passed in a previous attempt. Marks from assessment that were passed in a previous attempt shall be used to calculate the Module mark, and determine whether the student shall be awarded Credit in that Module. Modules being repeated shall normally be completed in a single academic session. Students should be made aware of any fees payable where they repeat modules through Programme Information.

The outcomes from Re-assessment

Where a student is re-assessed and where an Examining Board then awards the student Credit, the Module Mark shall be capped at the minimum pass mark (in modular PGT Programmes at 50%). The Regulations for the late submission of coursework will apply to Re-assessment (i.e. where there are no Extenuating Circumstances, a mark of zero will be confirmed by the Examining Board).
All Assessment results (i.e. original attempts and Re-assessments) need to be confirmed by a formal Examining Board (i.e. not a Module team meeting) to ensure that students have the right of Appeal. Students cannot be offered a Re-assessment prior to the original mark being confirmed by a formal Examining Board.

Where a student passes a Module that they had failed previously, having been re-assessed in component(s) that are zero weighted only, e.g. where specific competencies are assessed, then the Examining Board shall award a student Credit and record an uncapped Module Mark, i.e. one based on the marks achieved in the components that were passed at the first attempt, based on the weighting for each element indicated in Programme Information.

Where a student has failed an Optional Module on two occasions but is otherwise eligible to continue their studies and has obtained sufficient credits to progress, the student may enrol on another Optional Module at the same level, subject to such a Module being available on the Programme at this point.

Where a student has failed Re-assessment(s) and is no longer eligible to continue their studies, the student shall be required to withdraw. Any Institutional Credits awarded to a student prior to this point will be recorded on the Transcript issued to the student at this point.

Where a student on Master's programme is required to re-sit modules in the Re-sit Examination period, Examining Boards shall not permit students to start their dissertation and receive supervision prior to their progression being confirmed by an Examining Board.

**Variations to the Re-assessment Rules**

Where a student has failed Module(s) AND has other Module(s) that they are permitted to (re)take as a first attempt, the Examining Board shall determine whether it is reasonable for the student to be assessed in all of these Module(s) in the Re-sit Examination Period. This scenario could arise where the student has failed modules and where:

- the student can retake Module(s) that were impacted by Extenuating Circumstances as a first attempt;
- the student has not completed Module(s) having been granted and taken an Interruption of Study, and;
- the student has otherwise been unable to complete all of the Module(s) taken in that stage of the Programme.

Where the Board determines that it would not be reasonable for the student to be assessed in all of these Modules in the Re-sit Examination Period the Board shall determine:

i. the Re-sit Assessment(s) that the student shall take in the Re-sit Examination Period, AND;

ii. the Repeat Assessment(s) that the student shall take in the next academic session.
In considering whether it is reasonable for a student to undertake a number of Assessments in the Re-sit Examination Period, Examining Boards should consider:

- The Credits that the student needs to acquire to Progress / receive their Award and whether a significant Assessment load in the Re-sit Examination Period might disadvantage the student unfairly, and;
- The student’s preference; i.e. whether they have indicated they wish to re-take all the Assessments in the Re-sit Examination Period, or otherwise.

Support and advice to help determine the most appropriate course of action where a student has Module(s) that can be re-assessed and Module(s) that have been impacted by Extenuating Circumstances can be obtained from the Student Cases Team within Registry and Academic Services (tel: ext. 76628, email studentcases@cardiff.ac.uk).
Re-assessment on Modular Postgraduate Taught Programmes: Process Map

Examinining Board does not permit student to Progress

Student has failed modules and is ELIGIBLE for Re-assessment

Student MEETS the Re-sit rule set operated by the programme

Student takes RE-SITS in the Re-sit Examination Period

Student MEETS the Repeat rule set operated by the programme

Student is required to REPEAT failed Modules

Examinining Board to determine how student will be re-assessed

Student repeats Module as an INTERNAL student

Student repeats Module as an EXTERNAL student

Student is required to take ALL Module assessments, these being used to give a Re-assessment Module mark

Student is required to repeat FAILED ASSESSMENTS, these being combined with the marks from assessments already passed to give a Re-assessment Module mark

Examinining Board meets to determine whether the student can PROGRESS

Examinining Board permits the student to PROGRESS

Examinining Board determines that the student is required to WITHDRAW
11. AWARD

11.1 Subject to such additional requirements provided in Programme Information, a student who has achieved a minimum number of Credits as provided in the following table, including Credit in any Required Modules, shall be eligible for the Award indicated.

<table>
<thead>
<tr>
<th>Programme Certificate</th>
<th>Credits Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate Certificate</td>
<td>60 Credits at Level 6 or above, including at least 40 Credits at Level 7</td>
</tr>
<tr>
<td>Postgraduate Diploma</td>
<td>120 Credits at Level 6 or above, including at least 90 Credits at Level 7</td>
</tr>
<tr>
<td>Master's Degree</td>
<td>180 Credits at Level 6 or above, including at least 150 Credits at Level 7</td>
</tr>
</tbody>
</table>

11.2 Students registered on Programmes that include a Year of Experiential and/or Professional Learning outside of the University shall, in addition, be required to achieve a further 120 Credits at Level 7 as indicated in Programme Information.

11.3 A student who:
- is unable to proceed further with the Programme or fails to meet the requirements for the Programme; and
- has achieved sufficient Credit to be awarded an Exit-Point award
shall be eligible for an Exit-Point award in accordance with provisions detailed in Programme Information.

11.4 Examining Boards are not permitted to use compensation to adjust individual Final Marks.

12. CLASSIFICATION OF AWARDS

Master's Awards

12.1 The following provisions shall be applied where students are eligible for an award as indicated in 10. above. For the purpose of classification of Master's awards, Module Marks will be combined according to the weighting adopted from one of the following Classification Sets for the Programme to provide a Final Mark. Students will be informed of the Classification Set applicable to their Programme via the Programme Information issued to them.

<table>
<thead>
<tr>
<th>Classification Set</th>
<th>Weighting</th>
<th>Classification Set</th>
<th>Weighting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Taught Modules</td>
<td>2/3 (66.6%)</td>
<td>Taught Modules</td>
<td>1/2 (50%)</td>
</tr>
<tr>
<td>Master's Degree Stage</td>
<td>1/3 (33.3%)</td>
<td>Master's Degree Stage</td>
<td>1/2 (50%)</td>
</tr>
</tbody>
</table>
### Set 3 (Programmes that include a Year of Experiential and/or Professional Learning (Year Out))

<table>
<thead>
<tr>
<th>Weighting</th>
<th>Taught Modules</th>
<th>Year Out</th>
<th>Master’s Degree Stage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>9/20 (45%)</td>
<td>1/10 (10%)</td>
<td>9/20 (45%)</td>
</tr>
</tbody>
</table>

### Set 4 (MBA Programmes)

<table>
<thead>
<tr>
<th>Weighting</th>
<th>Taught Modules</th>
<th>Master’s Degree Stage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5/6 (83.3%)</td>
<td>1/6 (16.6%)</td>
</tr>
</tbody>
</table>

To be awarded a **Master’s Degree with Distinction** a student must:

- achieve a Final Mark of 70% or above, AND
- achieve a mark of at least 70% in their Master’s Degree Stage, AND
- achieve an average mark of at least 65% in their taught Modules.

To be awarded a **Master’s Degree with Merit** a student must:

- achieve a Final Mark of 60% or above, AND
- achieve a mark of at least 60% in their Master’s Degree Stage, AND
- achieve an average mark of at least 55% in their taught Modules.

### Postgraduate Certificate and Postgraduate Diploma Awards

12.2 For the purpose of classification of Postgraduate Certificate and Postgraduate Diploma awards, Module Marks will be combined and weighted according to their Credit rating to provide a Final Mark.

12.3 The overall classification for each student shall be determined by applying the Final Mark as detailed below:

<table>
<thead>
<tr>
<th>Final Mark</th>
<th>Award Classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>70% or above</td>
<td>Distinction</td>
</tr>
<tr>
<td>60%≤69%</td>
<td>Merit</td>
</tr>
</tbody>
</table>
Senate Regulations for Non-Modular Postgraduate Taught Programmes

1. GENERAL

1.1 These regulations are to be read in conjunction with Senate Assessment Regulations for Taught Programmes.

1.2 These Regulations apply to all non-modular taught postgraduate Programmes.

1.3 A Head of School may, exceptionally, seek the approval of the Academic Standards and Quality Committee to vary these Regulations in respect of one or more Programme(s).

2. DEFINITIONS

Definitions of terms used in these Regulations can be found in the document 'Definition of Generic Terms Used in Senate Regulations'.

3. ADMISSION

3.1 All applicants for admission to non-modular postgraduate Programmes shall be required:

3.1.1 to meet the conditions of the University General Entrance Requirement; and

3.1.2 to meet the particular requirements for the Programme applied for, as specified in the relevant Programme Information.

3.2 The decision whether an applicant shall be admitted to a Programme shall rest with the relevant Head of School. In addition, Heads of Schools shall retain the right to determine the maximum or minimum intake for individual Units of Study, providing that an applicant may not be denied admission to any Required Unit of Study or Core Unit of Study which contributes to the Programme for which s/he is registered.

3.3 An individual verification of the academic qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

4. PROGRAMME INFORMATION FOR STUDENTS

4.1 For each approved postgraduate Programme, there shall be approved Programme Information which shall include:

- Entry Requirements;
- Programme Specification;
- Structure of the Programme;
- Unit of Study Descriptions;
- Rules on Assessment, Progression and Award.
5. **UNITS OF STUDY**

5.1 Where a Unit of Study is available for more than one Programme, its status as a Required Unit of Study, Core Unit of Study or Option Unit of Study may vary between Programmes.

5.2 Precursors, Prerequisites and/or Co-requisites may be defined for any Unit of Study or for a Unit of Study in a specified Programme.

5.3 Any Fieldwork requirements shall form part or all of one or more specified Units of Study subject to any timetabling or other constraints.

6. **STRUCTURE**

6.1 The structure of the Postgraduate Diploma or Master's Degree shall be set out in the Programme Information.

6.1.1 Candidates may qualify for a Postgraduate Certificate after pursuing and partially successfully completing an approved taught Programme (Postgraduate Diploma Stage) at Master's Level (Level 7). The Programme Information shall stipulate the conditions under which a Postgraduate Certificate may be awarded, which may include successful completion of one or more specified Units of Study. A Postgraduate Certificate shall not be awarded unless at least 50% of the Units of Study contributing to the Postgraduate Diploma Stage have been successfully completed.

6.1.2 Candidates may qualify for a Postgraduate Diploma after pursuing and successfully completing an approved taught Programme (Postgraduate Diploma Stage) at Master's Level (Level 7).

6.1.3 Candidates may qualify for a Master's Degree after pursuing and successfully completing an approved taught Programme (Postgraduate Diploma Stage) at Master's Level (Level 7) and a Dissertation submitted for examination (Master's Degree Stage).

6.1.4 The relative weightings of the Postgraduate Diploma Stage and the Master's Degree Stage shall be as stipulated in the Programme Information.

6.1.5 The Dissertation shall not exceed 20,000 words in length.

6.2 **ADMISSION WITH ADVANCED STANDING, UNIT OF STUDY EXEMPTION AND UNIT OF STUDY SUBSTITUTION**

6.2.1 Admission with Advanced Standing - Heads of Schools shall be authorised to admit students with advanced standing to the Diploma or Master's Stage of a Programme following submission and subsequent approval by the Academic Standards and Quality Committee of a special case, either on an individual or programme basis, which should include a rationale and demonstrate evidence of the establishment of rigorous local protocols for determining equivalence.

Where a student successfully completes the Postgraduate Certificate or Postgraduate Diploma Stage of a Programme and exits with an award, and subsequently wishes to return to complete further stages of the same Programme, subject to any tighter time limits provided in Programme Information, they will be able to do so within three years. A special case should be made to Academic Standards and Quality Committee on an individual or programme basis for the approval of any longer hiatus.
6.2.2 Unit of Study Exemption - Heads of Schools shall be authorised, in exceptional circumstances, to exempt students from specified Units of Study following submission and subsequent approval by the Academic Standards and Quality Committee of a special case on an individual basis, which should include a rationale and demonstrate evidence of the establishment of rigorous local protocols for determining equivalence.

6.2.3 Unit of Study Substitution - Heads of Schools shall be authorised, in exceptional circumstances, to approve an alternative Programme of Study which permits students to substitute not more than one sixth of the existing Programme with alternative Unit(s) of Study.

6.2.4 Where a student is granted Admission with Advanced Standing or Exemption from a Unit of Study in accordance with 6.2.1 or 6.2.2 above, this exemption will be recorded against the relevant Unit(s) of Study on the student's record. In determining the Final Assessment an Examining Board shall include only those relevant Units of Study which the student has attempted as a registered student of the Programme.

6.2.5 Admission with Advanced Standing, Unit of Study Exemptions and Unit of Study Substitutions shall normally only be made available when recognition is being given for previous study and/or experience undertaken or gained within three years prior to admission to the Programme.

6.3 PROGRAMME OF STUDY

6.3.1 At the beginning of the Session, all students shall be required to register on a Programme and confirm for the approval of the Head of School, their Programme of Study for the Session.

6.3.2 Following registration a student may seek the approval of the Head of School to amend his/her Programme of Study within the first three weeks of a Semester.

6.4 PROGRAMME COMPLETION

6.4.1 The due date for submission of the dissertation for Master's Programmes shall be as stipulated in the Programme Information. For full-time, one-year Programmes, the due date shall be no more than 50 weeks from the date of initial registration unless otherwise varied under 6.4.2 below. For part-time Programmes, the due date shall be no less than 28 weeks and no more than one year from the date of commencement of the Master's Degree (Dissertation Stage).

6.4.2 In the case of full-time, one-year Master's programmes involving significant clinical or clinically-related engagement at the Master's (dissertation) Stage, the Academic Standards and Quality Committee may, on the recommendation of a Head of School, approve for identified programmes a due date for submission of the Dissertation of no more than 18 months from the date of initial registration.

6.4.3 If a Master's Degree candidate fails to submit a dissertation by the due date stipulated s/he will be awarded a mark of zero for the Dissertation.

6.4.4 The overall Deadline for Programme Completion shall be no more than two years beyond the normal duration of the Programme as indicated in the Programme Information. The Deadline may be extended in exceptional circumstances by the Academic Standards and Quality Committee.
6.4.5 The due date for submission of the Dissertation for Master's Programmes shall be extended by three months in the case of full-time Programmes where a candidate is permitted at the end of the Diploma Stage to re-sit Modules in the next Re-sit Examination Period.

7. ASSESSMENT

7.1 Assessment shall be conducted in accordance with Senate Assessment Regulations for Taught Programmes:

7.2 Forms of Assessment for each Unit of Study, including the weighting for each element of the Assessment, shall be indicated in the Programme Information.

7.3 The pass mark in each Unit of Study shall be 50%.

8. DETERMINATION OF UNIT OF STUDY AND STAGE RESULTS

8.1 As appropriate to the structure and/or mode of the Programme, a Programme Examining Board or Composite Examining Board shall meet at the end of each Stage, Session or Calendar Year, to consider:

8.1.1 the performance of students in all Units of Study completed during the Stage, Session or Calendar Year and shall take into consideration all components of the Unit of Study Assessment; and

8.1.2 the progression of students and/or final Award.

8.2 DETERMINATION OF UNIT OF STUDY RESULT

8.2.1 The Examining Board which meets to consider the performance of each student in each Unit of Study shall determine whether:

.1 the student has passed the Unit of Study; or

.2 the student has failed the Unit of Study; or

.3 the student has had Assessment(s) impacted by Extenuating Circumstances. In such cases, the Examining Board shall deal with the student in accordance with the Senate Assessment Regulations.

8.2.2 Examining Boards are not permitted to change individual Unit of Study marks.

8.3 DETERMINATION OF STAGE RESULTS AND PROGRESSION

8.3.1 To be eligible for the award of Postgraduate Diploma, and/or to progress from the Postgraduate Diploma Stage to the Master's Degree Stage, an overall mark of at least 50% must be achieved in the examination of the Postgraduate Diploma Stage, in accordance with the weightings set down in the Programme Information.

8.3.2 A candidate may, with the Head of School's approval, begin supervised or unsupervised preparatory work on the Dissertation prior to completion of the Postgraduate Diploma Stage, but may not submit work for examination unless and until the Postgraduate Diploma Stage of the Programme has been passed.
8.3.3 On the basis of the Examining Board's determination of the result of each student in each Unit of Study, the Examining Board shall as appropriate determine, in accordance with the approved Programme Information whether:

.1 the student shall be permitted to proceed to the Master's Stage of the Programme and, as appropriate to the structure of the Programme, shall be eligible to receive the Exit-point qualification of Postgraduate Diploma;

.2 the student shall not be permitted to proceed to the Master's Stage of the Programme and shall not be eligible to receive the Exit-point qualification of Postgraduate Diploma;

.3 the student shall be awarded the final qualification of Postgraduate Diploma or Master's Degree;

.4 the student shall not be awarded the final qualification of Postgraduate Diploma or Master's Degree;

.5 the student shall be required to withdraw from the Programme.

8.3.4 The Programme Information shall inform students of the Progression Set and any other Programme requirements applicable to their Programme.

8.3.5 Master's Degree Dissertation

The Dissertation of each candidate for the degree of Master shall be assessed by at least two members of the Examining Board.

8.4 Examining Boards are not permitted to change individual Final Marks.

9. AWARDS

9.1 To be eligible for the award of Postgraduate Diploma or Master's Degree a student must have satisfied the requirements of the award and achieved an overall mark of not less than 50% in accordance with such weightings and any additional criteria as may be ascribed in the Programme Information.

10. CLASSIFICATION

10.1 The following provisions shall be applied where students are eligible for an award as indicated in 9. above. The award of the qualification with Distinction or with Merit may be made in the Postgraduate Diploma or Master's Degree and, where provided by 6.1.1 above, the Postgraduate Certificate.

10.2 To be eligible for the award of a Distinction:

10.2.1 In the Postgraduate Diploma and, where provided by 6.1.1 above, in the Postgraduate Certificate, a student must have satisfied the requirements of the award and achieved an average of at least 70% across the Units of Study in accordance with such weightings as may be ascribed to the Units of Study in the Programme Information.

10.2.2 In the Master's Degree a student must have satisfied the requirements of the award and:
- achieved a Final Mark of 70% or above, AND
- achieved a mark of at least 70% in the Master’s Degree Stage, AND
- achieved an average mark of at least 65% across taught Units of Study in accordance with such weightings ascribed to the Units of Study in the Programme Information.

10.3 To be eligible for the award of a Merit:

10.3.1 In the Postgraduate Diploma and, where provided by 6.1.1 above, in the Postgraduate Certificate, a student must have satisfied the requirements of the award and achieved an average of more than 60% and less than 70% across the Units of Study in accordance with such weightings as may be ascribed to the Units of Study in the Programme Information.

10.3.2 In the Master’s Degree a student must have satisfied the requirements of the award and:
- achieved a Final Mark of 60% or above, AND
- achieved a mark of at least 60% in the Master’s Degree Stage, AND
- achieved an average mark of at least 55% across taught Units of Study in accordance with such weightings ascribed to the Units of Study in the Programme Information.

11. RESITS AND REASSESSMENTS

ACTION TO BE TAKEN IN RESPECT OF FAILED STUDENTS:
POSTGRADUATE DIPLOMA STAGE

11.1 Where the student has not been required to withdraw from the Programme, the Examining Board shall determine whether:

.1 the student is required to be re-assessed in the Examinations, Class Tests, Coursework Assessment or Practical-based Examination that comprise the Postgraduate Diploma Stage, as a whole; or

.2 the student is required to be re-assessed in parts (Units of Study) of the Postgraduate Diploma Stage.

11.2 The Examining Board shall further determine whether the student shall be permitted to be re-assessed once only in the failed Unit(s) if Study either:

.1 at the next Resit Examination Period; or

.2 with or without attendance on the Unit(s) of Study during the following session or calendar year.

11.3 A student who is permitted to be re-assessed in any form of Coursework shall, at the discretion of the Examining Board be permitted either to re-submit modified versions of his/her original work, or to submit for assessment a new work on different topics from those which originally failed to satisfy Examiners.
11.4 In all cases the Examining Board shall ensure that retrieval of failure is carried out either through re-assessment by the same method(s) or by method(s) designed to cover all failed learning outcomes.

11.5 A student who has failed to satisfy the examiners in the assessment of the Postgraduate Diploma Stage on two occasions shall be required to withdraw from the Programme or may be awarded a Postgraduate Certificate, subject to the provisions provided in 6.1.1 above.

ACTION TO BE TAKEN IN RESPECT OF FAILED STUDENTS:
MASTER'S DEGREE STAGE

11.6 A candidate for the degree of Master who fails to submit a dissertation within the specified deadline, and the submission deadline has not been extended by the University in accordance with Senate Regulations for Taught Postgraduate Master’s Degrees – Dissertation Submission, shall be regarded as having failed the assessment of the Dissertation by non-submission and shall be awarded a mark of zero.

11.7 Where a candidate’s Dissertation has failed to satisfy the Examining Board (including failure by non-submission), they shall be permitted to (re-)present his/her Dissertation for Re-Assessment on one occasion only, upon payment of a re-submission fee, not more than six months from the date of the official communication of the result to the candidate.

11.8 Where a candidate is allowed to re-submit a dissertation and will require extended access to University and School facilities, over and above access to their supervisor, Heads of Schools shall have discretion to require such a candidate to re-register and to pay tuition fees, pro rata.

FORMER STUDENTS

11.9 Heads of Schools may permit former students of the University who have completed their studies at the University to retrieve failure in specified failed Units of Study, with or without attendance, upon payment of an appropriate fee. The retrieval of failed Modules in this way shall not contribute to any University award.
1. INTERRUPTIONS AND EXTENSIONS TO THE SUBMISSION DUE DATE

1.1 A registered period of study may be interrupted or a time limit extended by the University in accordance with the Senate Attendance and Engagement Procedures and/or the Extenuating Circumstances Procedures as set out in the Senate Assessment.Regulations for Taught Programmes.

2. SUBMISSION OF THE DISSERTATION

2.1 References in these regulations to 'a Dissertation' shall include any non-standard forms of submission/assessment approved by the Academic Standards and Quality Committee in respect of particular Programmes or candidatures.

2.2 For the purpose of examination (including re-examination), a candidate shall submit the items listed in 2.2.1 and 2.2.2 below to the relevant Head of the School, or his/her designated nominee:

2.2.1 two typed and bound copies of the Dissertation (but see 6.1), each of which shall contain:

.1 a summary not exceeding three hundred words;

.2 a statement signed by the candidate showing the extent to which the work submitted is the result of the candidate’s own investigation, and an explicit acknowledgement (with references) of any other sources used;

.3 a full bibliography;

.4 a signed declaration to certify that the work submitted has not been accepted in substance for any degree or award, and is not being submitted concurrently in candidature for any degree or other award;

.5 a signed statement regarding availability of the Dissertation (see 7.1 below);

2.2.2 a completed 'Notice of Submission' form.

2.3 Where this is in accordance with the School's policy on the submission of Taught Master's Dissertations:

2.3.1 candidates may submit their work for examination in temporary binding (see 6.1 below);

2.3.2 candidates may be instructed by the Schools to submit one of the two required copies in an approved electronic format (see 6.1 below).

2.4 A candidate may not amend, add to or delete from the Dissertation after it has been submitted, unless this is required as a result of a decision of an Examining Board.
3. PUBLICATION OF WORK PRIOR TO SUBMISSION

3.1 A student is at liberty to publish work produced during his/her period of registration that has not yet been submitted as the whole or part of a Dissertation, provided that in the published work it is nowhere stated that it is in consideration for a higher degree. Such published work may later be incorporated into the Dissertation that is submitted.

4. LENGTH OF DISSERTATIONS

4.1 The Dissertation Stage of a taught Master's degree Programme shall take the form of a Dissertation, the length of which shall not exceed 20,000 words. Programme Information may also stipulate a minimum word-length for the Dissertation.

5. SAMPLING OF TAUGHT MASTER'S DISSERTATIONS BY EXTERNAL EXAMINERS

5.1 External Examiners shall be expected to see prescribed numbers and ranges of Dissertations, but not to mark them, on the following basis:

5.2 At least 10% of Dissertations for a taught Master's Programme, or a minimum of 10 (whichever is the higher figure) must be seen by the External Examiner(s). Where the total number is less than 10, all Dissertations must be seen by the External Examiner(s).

5.3 Dissertations seen by External Examiners should include examples from across the whole range of achievement (i.e. Pass with Distinction, Pass with Merit, Pass, Fail).

5.4 External Examiners will retain the right to see other Dissertations at random.

6. FORMAT FOR THE PRESENTATION OF DISSERTATIONS

6.1 Taught Master's candidates submitting Dissertations for examination shall submit the required number of copies either in a condition suitable for eventual deposit and use in libraries (see 9.2 below) and/or, where this is in accordance with the policy of the School concerned, in temporary binding and/or, in an approved electronic format. Candidates choosing to submit their work for examination in temporary binding or electronic format shall:

6.1.1 consult their School at an early stage to determine whether such a submission is in accordance with the School's policy on the submission of Dissertations;

6.1.2 ensure that any work submitted for examination in temporary binding is sufficiently secure to withstand transit to and from the examiners and shows on the spine, in a form which cannot easily be erased or detached, the candidate's name and the degree for which s/he is a candidate;

6.1.3 ensure that any work submitted for examination in electronic format is enclosed in a container suitable for storage on a library shelf and shows on the spine, in a form which cannot easily be erased or detached, the candidate's name and the degree for which s/he is a candidate.

6.2 Irrespective of the type of binding or format of submission used for examination purposes, Taught Master's Degree Dissertations which are to be deposited in the National Library or in the University Library shall, prior to
the transmission of successful candidates' results by the School concerned to the Registry, be bound in a format that is appropriate for library deposit.

6.3 Successful Taught Master's Degree Dissertations which are not to be deposited in the National Library or in the University Library need not be bound in a format that is appropriate for library deposit either before or after the release of results if submitted in another format.

6.4 In the case of all works which are to be deposited in libraries, the permanently bound volumes shall bear on the spine the surname and initials of the candidate, the full or abbreviated title of the work, the name of the degree for which it was submitted and the date of submission. This information shall be printed along the spine in such a way as to be readable when the volume is lying flat with the front cover uppermost. If the work consists of more than one volume the spine shall also bear the number of each volume.

6.5 All copies of Dissertations, whether for the purpose of examination or for deposit in libraries, shall be presented in permanent and legible form in typescript or print and the characters employed in the main text (but not necessarily in illustrations, maps etc) shall be not less than 12pt; characters employed in all other texts, notes, footnotes, etc, shall be not less than 10pt. Typing shall be of even quality with clear black characters, and capable of photographic reproduction. Double or one-and-a-half spacing shall be used in the main text, but single spacing shall be used in the summary and in any indented quotations and footnotes. Drawings and sketches shall be in black ink; unnecessary detail should be omitted and the scale should be such that the minimum space between lines is not less than 1mm. Colour graphics for charts, diagrams etc and colour photographs may be used, but candidates shall in all cases ensure that material is capable of being photocopied and microfilmed. Copies produced by xerographic or comparable permanent processes are acceptable. A4 paper shall be used and should be of good quality and sufficient opacity for normal reading.

6.6 Diagrams, maps and similar documents, of a size unsuited to be bound within a Dissertation, shall be submitted in a portfolio of reasonable size and shall bear the particulars stated to be necessary for the volume.

6.7 Candidates may submit non-book material such as audio or video recordings, with their Dissertation, if such material forms a useful addition to, or explanation of, work contained in the written submission and if such material constitutes the most appropriate method of presenting the information concerned. Any material of this type shall be enclosed in a container which is suitable for storage on a library shelf and which bears the same information as that required on the spine of the Dissertation, so placed as to be readily legible when the container is in its stored position. Candidates considering the submission of audio or video material as adjuncts to their Dissertation are advised to consult their supervisor and the University Librarian for advice at an early stage of their project.

6.8 SPECIAL PROVISIONS RELATING TO PROGRAMMES IN THE CREATIVE ARTS

6.8.1 In the case of candidates following approved Taught Master's Programmes of Study which fall within the subject area of Creative Writing and Performing Arts, the Dissertation may take one or more of the following forms: musical score, portfolio of original works, or performance. The submission shall be accompanied by a written commentary (normally of
6.8.2 In all cases the submission and written commentary shall be bound, and other required items (e.g. tape or other media) shall be enclosed in a container suitable for storage on a library shelf and shall carry the same information on the spine as is required for Dissertations/theses. This information shall be placed so as to be readily readable from the container in its stored position.

7. AVAILABILITY OF DISSERTATIONS

7.1 A Dissertation which is to be deposited in libraries (see 9.2 below) shall normally be openly available and subject to no security or restriction of access. On submission, a candidate shall be required to sign a statement indicating:

*either*

that the Dissertation, if successful and to be deposited in libraries, may be made available for inter-library loan or photocopying (subject to the law of copyright), and that the title and summary may be made available to outside organisations;

*or*

that the Dissertation, if successful and to be deposited in libraries, may be made so available after expiry of a bar on access (see below). In this case, the title and summary of the Dissertation shall normally be freely available.

8. BAR ON ACCESS

8.1 Notwithstanding the provisions in paragraph 7.1 above, a request may be submitted to the Academic Standards and Quality Committee to place a bar on photocopying and/or access to a candidate's work for a specified period, normally of no longer duration than two years. In exceptional cases a bar on access may exceed two years, but shall not exceed five years.

8.2 Any recommendation for a bar on access must be made to the Academic Standards and Quality Committee by a candidate's supervisor, supported by the Head of School. It shall be the responsibility of the supervisor to make the application as soon as is reasonably practicable, and normally at the time of initial registration.

8.3 The recommendation must include a statement of the grounds on which the request is being made. [Most requests of this nature are made on the grounds of the commercial sensitivity of the research, which may have been partially sponsored by a commercial or industrial organisation.]

8.4 Any approved bar on access will also apply to members of the University's academic staff.

8.5 When a bar on access has been granted, Registry will notify the Head of School. Following a successful examination, Registry will notify the Head of School, and, if applicable, the University Librarian and the National Librarian, that the work is to be withheld from access for a specified period.
8.6 Although the bar shall be regarded as operative as soon as the work is submitted, the period approved shall be calculated from the date on which the candidate is formally notified by the University that s/he has qualified for a degree.

9. **ACTION TO BE TAKEN IN RESPECT OF SUCCESSFUL DISSERTATIONS POST-EXAMINATION**

9.1 Both copies of every Dissertation approved by the examiners shall become the property of the University.

9.2 If the examiners consider a successful Taught Master's Dissertation to be of particular value, the Head of School shall arrange for the deposit of one copy in the National Library of Wales, Aberystwyth, and may, in addition, arrange for the deposit of a second copy in the University Library. A Dissertation shall be considered to be of particular value for this purpose in the following cases:

9.2.1 where it has been judged by the Examining Board to be of Distinction standard (whether or not the candidate has qualified for the degree with Distinction by virtue of having achieved the necessary overall level of performance);

9.2.2 where it is of particular relevance to Wales or is in one of the following academic disciplines: Welsh, Celtic Studies, Welsh History.

9.3 All copies of a failed Dissertation submitted by the candidate shall be retained by the School for a period of up to three months, once the process of examination (and the hearing of any subsequent appeal) has been completed, until and unless they are reclaimed by the candidate by written application.

9.4 Each School shall have procedures in place to govern the retention and disposal of Taught Master's Dissertations.
1. **PREAMBLE**

These Regulations apply to all:

- Undergraduate Programmes leading to an award of the University;
- Postgraduate taught Programmes leading to an award of the University, including the Master's Degree Stage.

2. **DEFINITIONS**

Definitions of terms found in these Regulations can be found in the document ‘Definition of Generic Terms in Senate Regulations’.

3. **DUTIES OF THE SUPERINTENDENT OF EXAMINATIONS**

3.1 The Vice-Chancellor shall designate a person as the Superintendent of Examinations.

3.2 The duties of the Superintendent are:

- to be responsible for the conduct of all Examinations;
- to arrange Examination Venues;
- to appoint invigilators and make arrangements for invigilation of Examinations;
- to be responsible for the printing and custody of Examination papers, and arrange for the delivery of Examination papers to the invigilators;
- to ensure that stationery and other necessary materials are available for each Examination;
- to take action in respect of cases of suspected or alleged unfair practice as established by the Unfair Practice Procedure.

4. **DOCUMENTATION TO BE ISSUED TO STUDENTS BY ACADEMIC SCHOOLS**

4.1 The Head of the Home School, or nominee, shall be responsible for ensuring that all registered students are informed, in writing, at the beginning of each Session of the following information:

**Programme Details**

- the Programme title;
- the Chair of the Programme or Subject Examining Board and the name, position and home institution of the External Examiner(s). Where practicable, the Head of School shall inform students of any subsequent change of Chair or External Examiners;
where the Assessment of Modules is to be completed by the end of the Autumn Semester, whether confirmed or provisional marks will be issued at that time;

- guidance on the avoidance of unfair practice, including plagiarism;
- for non-modular programmes, the Examination Period(s);
- the relative contribution of each Module or Unit of Study to the year and/or determination of the award;
- the requirements for progression from one year of a Programme to the next and for the award of the qualification and, where appropriate, its classification;
- opportunities, if any, to be assessed in the Resit Examination Period;

4.2 The Head of the School responsible for the delivery of each Module or Unit of Study, or nominee, shall be responsible for ensuring that students are informed, in writing, at the beginning of the Session of the following information:

**Form of Assessment**

- the form(s) of Assessment for each Module or Unit of Study and, where appropriate, the relative contribution of each form of Assessment to the mark for each Module or Unit of Study.

**Details of Examinations/Class Tests/Practical-Based Assessment**

- the duration of any Examination/Class Test/Practical-Based Assessment (where appropriate);
- where any restriction on the use of calculators and translation dictionaries has been agreed by the Head of School;
- where the use of electronic aids other than calculators has been agreed by the Superintendent on the recommendation of the Head of School;
- full information on, and referencing of, any texts and/or other materials approved by the Examining Board for use in Examinations and/or Class Tests and whether or not such texts shall be unmarked (no markings, underlining, highlighting or annotations) or unannotated (may contain underlining or highlighting but no annotations);
- details of any Examinations/Class Tests/Practical-Based Examinations where prior release of material relevant to an Examination/Class Test/Practical-Based Assessment has been approved by the Examining Board.

**Coursework Details**

- the form of any Coursework requirements;
- the deadlines and procedures for the submission of Coursework;
the timing of any \textit{viva voce} assessments which contribute to the overall Assessment of a Module or Unit of Study;

- whether any electronic plagiarism detection will be put in place.

5. SCHEDULING OF EXAMINATIONS

All Examinations for modular Programmes shall be held during the Examination Periods or in the Resit Examination Period. The Superintendent shall be responsible for the scheduling of Examinations. The Examination Periods will be set aside exclusively for the conduct of Examinations and students' private study.

6. EXAMINATION PAPERS

6.1 Heads of School shall establish School verification mechanisms to ensure that each Examination paper is verified by more than one member of staff before being submitted for printing.

6.2 Convenors of Programme or Subject Examining Boards shall submit Examination papers for printing to the Superintendent, in a format, and by the deadline, specified by the Superintendent. In submitting Examination papers for printing the Convenor shall signify that the School verification mechanisms have been followed in each case.

6.3 Following the Examination Period, unless requested otherwise by the Convenor of a Programme or Subject Examining Board, the Superintendent shall deposit the Examination question papers in the University Library where they shall be retained for a minimum period of ten years.

7. Marking

The ways in which assessments are marked and graded is one of the fundamental ways in which we define and exemplify academic standards. It is central to the operation of an assessment system that is valid, reliable, and transparent. The purpose of this document is to set out the basis by which equity and transparency in marking will be maintained across the University. Following the guidance will ensure that the confidence already evident in the standards of the University's awards and in the probity of marking will be maintained. It will also enhance the links between marking, academic feedback, and other assessment related policies and processes.

7.1 Assessment Criteria and Marking Schemes

Assessment criteria help define the standards evident at different mark points and guide students on the learning journey on which they have embarked. They provide a valuable tool for staff to help grade assessments and provide academic feedback. They help inform students of some of the qualities that need to be evident in assignments and help them identify what they must do to improve. Staff and students must work together to ensure they have a shared common understanding of the criteria that apply to different tasks, learning outcomes, and levels of academic study. Where
appropriate, criteria will be supplemented by marking schemes that provide a more precise framework for the allocation of marks. Marking schemes help assessors to mark assignments by indicating how marks will be awarded for different components of a question or number of questions. They often accompany indicative answers, but should provide for flexibility where students give different answers that equate to the same standard of achievement relevant to the learning outcomes.

Principles

Clear assessment criteria and/or marking schemes shall be adopted in assessments within taught programmes. These shall:

- be shared with staff and students to ensure a common understanding of academic standards is maintained;
- be linked with and focussed upon learning outcomes;
- be inclusive and capable of meeting different student needs;
- be appropriate to the demands of particular tasks at different academic levels;
- act as a reference point to support academic staff in utilising their professional judgement with confidence;
- be drawn on to provide students with academic feedback on assessments, and;
- as appropriate, be aligned with professional, discipline-specific and sector-wide reference points.

Regulations

7.1.1 Boards of Studies shall make information available to students in advance of assessment tasks, which specifies the standards expected within that task and indicates the assessment criteria and/or marking schemes that will be used.

Guidance

Setting out assessment criteria

Assessment Criteria set out the knowledge, understanding and skills that students will seek to demonstrate in different assessment tasks. Generic Assessment Criteria have been adopted by the University and have been designed as a reference point to support Schools and their students to develop a better shared understanding of assessment requirements and academic standards. They have been designed to be used flexibly, alongside specific marking schemes and the criteria used by Schools. They can be used for a range of different assessment methods and processes and help support assessment activities across all taught Programmes at Cardiff University.
Schools should make clear whether accuracy of spelling, grammar and punctuation is being assessed even when minor errors do not affect clarity of meaning. Specific guidance on Assessing students with disability related writing difficulties is also available.

**Understanding and using assessment criteria**

Staff need to ensure that students are involved in and participate in discussions and dialogue to help engender a shared understanding of assessment criteria. This will enable students to better understand the assessment process and the knowledge, understanding and skills they need to demonstrate in assessment tasks. In turn, this will help students to identify how they can use feedback to improve their learning.

Marking teams should adopt mechanisms through which the shared understanding of standards can be maintained and strengthened. Activities that enable this include shared marking parties, post Examining Board review and calibration of different markers, and staff development activities that draw upon external discipline specific expertise.

It is good practice to reflect regularly on the ways in which assessment criteria are used to support marking. Schools should seek to maintain an archive of marked anonymised assessments and should use this to help all staff maintain a common understanding of criteria and standards. The archive should be used to help communicate and share academic standards with new staff.

**Assessment criteria, learning outcomes and academic feedback**

Academic feedback provided to students on individual tasks should relate to the criteria relevant to that assessment. This will help students identify what they need to do to improve their performance. The criteria adopted in an individual assessment should relate to the learning outcomes that are being assessed in that task, which will be drawn from the learning outcomes for that module. The alignment between assessment criteria and learning outcomes must be clear and transparent. This does not mean that staff should limit feedback to comments against the assessment criteria. Feedback should illustrate the overall strengths and weaknesses of a piece of work and consider any unintended outcomes evident in the assessment.

Ongoing dialogue with students around assessment criteria will help ensure that students become assessment literate, that they understand the learning skills that are more important at higher levels, the progressive demands that will be placed on them, what they need to do improve their performance, and consider how they can use and feed forward comments received on previous assessments.

**Categorical marking**

In discursive disciplines, it is good practice to identify the specific points within each decile at which marks will be awarded (e.g. 62, 65 and 68). Using categorical marking better recognises the level of precision that can realistically exist within many assessment tasks.

Where categorical marking is used, it should be used by all markers and operate at standard points (i.e. 2, 5 and 8). Categorical marking helps simplify and guide the allocation of marks in many assessment tasks. Where used, marks other than the defined points should not be awarded for individual pieces of work. The final assessment and/or module mark may be at a different point however, where
Categorical marks are combined to arrive at an overall average mark for that task and/or module. Categorical mark points must cover the full mark range.

Marking schemes

Where appropriate, and depending on the nature of the task, assessment criteria should be supplemented by marking schemes (e.g. in assessments in which marks will be awarded for different components of a question or number of questions.) It is good practice for indicative answers to be developed for assessments for which marking schemes exist, particularly where multiple markers are used, to help guide markers.

Accessibility

Every student must have an equal opportunity to demonstrate their achievement against the learning outcomes. Assessment tasks, together with criteria and marking schemes, should therefore be designed with accessibility in mind. Some students may because of certain circumstances need to complete a different task, or the same task under different conditions, in order to demonstrate achievement of the same learning outcomes. The University normally arranges such adjustments to assessments through the Specific Provision Regulations Section 9.

When an alternative assessment task is provided as a reasonable adjustment for a disabled student, the learning outcomes should not be altered, and Schools should ensure that the alternative task is an appropriate way to test them. However, the assessment criteria may need to be modified to maintain alignment with the learning outcomes in the context of the particular task.

Schools should ensure that students are aware of their approach to marking work from students with disabilities affecting written language expression. Specific guidance on Assessing students with disability-related writing difficulties is available. Reasonable adjustments of these kinds should ensure that disabled students have an equal opportunity to demonstrate their achievement without compromising academic standards or affecting prescribed standards of Professional Bodies.

Marking, academic standards, and academic judgement

Staff need to ensure that students are aware of the fundamental role that academic judgement plays in determining assessment outcomes. While staff must use marking schemes and/or assessment criteria to support their judgement, students should be informed that many assessment tasks will require assessors to exercise their academic and/or professional judgement. Students should be made aware that appeal applications that question the academic judgement of assessors are not admissible.

Communicating standards with External Examiners

Programme teams must ensure that assessment criteria, marking schemes and approaches to making reasonable adjustments for disabled students are shared with External Examiners, and where appropriate relevant professional and statutory bodies. Marking teams should engage in an ongoing dialogue with External Examiners to ensure that there is a shared understanding of the academic standards.
Moderation is the generic term used to define the range of processes undertaken by which staff can be assured that an assessment outcome is valid and reliable. Internal moderation, together with that undertaken with External Examiners, are key parts of the ways in which standards are protected and probity guaranteed within higher education. Methods of moderation include the review of a sample of scripts, second marking, marking team meetings, and the scrutiny and review of marks undertaken by Examining Boards. Ensuring that moderation processes are appropriate will require schools to consider the risks of variation (or perceived error) in marks and to consider the importance of individual assessments to students. Where both of these are high, schools will need to ensure that appropriate safeguards are in place to support reliability and probity of marking. Where the risks of error and significance of assessment tasks is lower, the degree of moderation can be lower. In determining their approach, schools will need to ensure their processes meet the expectations set out below and that they satisfy External Examiners and Professional and Statutory bodies.

Principles

Assessments shall be managed in ways that ensure equity, consistency, and transparency.

Regulations

7.2.1 Heads of School, on the advice of the School Board, are required to put in place procedures and processes that ensure equity, consistency, and transparency of marking.

Guidance

Schools shall put in place and operate processes and procedures that ensure reliability, consistency and accuracy of marking. These shall be made known to students. The processes used may include sampling, second marking, and/or other internal and external moderation methods.

In determining the processes that will be used, Schools should consider the risk of errors occurring in marking and the importance of an assessment to students. The higher the risk of error and the greater the significance of an assessment task to students, the more rigorous the degree of scrutiny needs to be. Factors that impact on the risk of error include the number of markers and their level of experience, the nature of the assessment, the availability of indicative answers, the clarity of marking schemes, and the degree of objectivity associated with the assessment. The importance to the student should be judged on the possible impact it might have on degree outcomes and/or progression decisions, the weight given to the task, and the credit rating of the module. The risk of error and the significance to students of all tasks that contribute to final awards should be considered by schools to determine what, if any, moderation will take place. It is not expected that the outcomes from very small assessments in which there is a ‘right’ answer will require moderation.
Moderation should take place after the first marking of an assessment element has been completed and not at the completion of that module. This will allow judgements to be made as to whether the standard of marking of that assessment is appropriate for that task. Schools need to balance moderation practices with the need to conduct marking efficiently and provide students with timely and detailed feedback. Schools must be able to justify the moderation processes and procedures they adopt, and to provide details of these through reviews undertaken via the University’s quality processes.

Details that should be within School processes include:

- The procedures used to ensure accurate calculation and transcription of marks;
- Which pieces of work will be subject to specific moderation processes;
- What proportion of the cohort’s work will be subject to moderation;
- Definitions of groups of assessors whose marking may be subject to greater scrutiny;
- The decision making processes used when marks differ between assessors, and;
- The ways in which moderation outcomes are reported to Examining Boards.

Verification and scrutiny of marks

It is crucially important that schools ensure that the marks awarded are correct, that marks are tallied correctly and that the final marks are recorded against the correct student’s record. School must ensure that the processes used safeguard against error and ensure the accurate transcription of marks. These processes must be applied to all assessments.

Sampling

In many written assessment tasks, a review of a sample of scripts will provide sufficient security to enable a judgement to be made on the appropriateness of the initial marks. Schools should scrutinize and review a sample of scripts graded at different points in tasks that require academic staff to interpret and judge answers. The sample needs to be determined by considering the size of the cohort and the benefits to learning that will be gained by providing prompt and detailed feedback. Hence, it is likely that the proportion of work sampled in larger classes will likely be smaller. At a minimum, it is recommended that all scripts marked below the pass mark are moderated and that a sample of, at least, the square root of the number of students undertaking the assignment is reviewed.

Second marking

Second marking of all assignments within an individual assessment task should take place only where the risk of variability in marking (or perception of risk) is high, and when the assessment could have a significant impact on a student’s progression and/or final award. Examples of assessments where it is advisable for second marking to be employed are listed below. This list is not exhaustive.

- Dissertations and extended projects;
• Work marked by non academic staff (As confidence in individuals who are inexperienced markers increases, the degree of moderation can be reduced);

• Where practicable, work undertaken on a placement outside of the University;

• Where an alternative assessment task has been substituted as a reasonable adjustment for a disabled student;

• Work in which anonymity cannot be maintained, and;

• Assessment tasks undertaken at another institution (e.g. within a collaborative programme).

Where second marking does take place, schools need to determine whether the second marker will have access to the marks and/or comments generated by the first marker. Having access to this information will help develop a better shared understanding of academic standards, but may risk the second marker being unduly influenced by these comments. Blind second marking (i.e. where the second marker is unaware of the marks and/or comments a first marker has given) should only be employed in assessments where the risk of marking error has been identified as very high and where the mark can impact significantly on a student’s final outcome.

Schools will need to determine whether dissertations and other extended projects will be first marked by the project supervisor or otherwise. Extended pieces of coursework should normally be marked by supervisors only when it would not be possible for other members of staff to make an academic judgement on the specific content covered by the piece of work.

**Supporting moderation**

Schools should seek to introduce ways through which markers come together, discuss, and share information on marking and the standards that students have achieved. Team meetings held to review marks provide a relatively efficient way in which moderation can be undertaken, and, at the same time, help cultivate a better shared understanding of academic standards. It is good practice for marking teams to review the mark ranges awarded within different tasks and modules outside of that undertaken by an Examining Board.

**Resolving disputes between markers**

Schools should define how final marks will be determined in cases where different marks are arrived at by two markers. Where possible, the markers should seek to come together and agree a mark, and in cases where the difference is considered significant, by negotiation between the markers using the relevant assessment criteria, and where appropriate marking schemes. If the markers are unable to reach an agreement, a further internal ‘third marker’ should be appointed by the Chair of the Examining Board. The ‘third marker’ should be given access to the two original marks and should determine the mark, documenting their reasons for this. In some assessments, e.g. presentations, vivas etc. it is recognised that it will not normally be possible to appoint a third marker. Where markers disagree, and where it is not possible for a ‘third marker’ to be appointed, an average of the two initial marks should be taken.

External Examiners must not be requested to arbitrate and/or ‘third mark’ assessments where two internal markers have arrived at substantially different
marks. Where ‘third marking’ does take place, both of the original marks should be made available to External Examiners to help illustrate standards.

Reasonable adjustments for disabled students

Schools shall make clear:

- their approach to marking work from students with disabilities affecting written language expression;
- whether and how the work of students with disabilities affecting written language expression is identified (‘flagged’) to assessors;
- the process used to determine whether an alternative assessment task should be substituted as a reasonable adjustment for a disabled student, and;
- the process used for assuring comparability of marks for alternative assessments, for instance, those agreed as reasonable adjustments for disabled students.

Scaling

In a small number of assessments, scaling may need to be undertaken to enable the distribution of marks to be made broadly comparable across different assessments on the same programme. While this is rare, and more often used in disciplines and assessments in which all students can either be awarded very high or very low marks through initial marking (e.g. in mathematical assessments), students should be informed where this is done and how it will be undertaken should it need to be undertaken.

Combining Assessment Components

In a small number of (often practically focused) modules, individual component assessments can be attached to individual classes. Where this occurs, it is recommended that schools, where possible, combine multiple assessments into a single assessment component. By doing this, schools will be able to enter a single mark for the different assessments, which can be calculated from the best X out of Y individual assessment tasks (where Y is the total number of assessments, and X is the number of assessments a student must complete).

Combining multiple assessments in this way will ensure that students who are absent from an occasional assessment are not penalised unfairly and do not have to complete an Extenuating Circumstances form. It will also encourage students to complete all of the tasks, given the opportunity for their mark to improve, should they complete all of individual assessments. Where individual assessments are combined in this way, schools must ensure that completion of the specified number of assessments will enable students to demonstrate achievement of the relevant learning outcomes, and allow students to meet any relevant professional competencies and/or other professional requirements.

Script legibility

Students may occasionally submit work that is not legible. When this occurs, and the deadline for the assessment has been passed, Schools should seek, where possible, to have the script transcribed. Schools may charge students for this
service. Where this is not possible, students should normally be offered the opportunity to rewrite the script to ensure it is legible and can be marked.

Making information available

Students must be made aware of the moderation processes used within their Programme. This information should be published in programme handbooks and/or published on Learning Central. External Examiners shall be invited to consider and comment on the moderation procedures used in programmes to ensure reliability and consistency of marking.

7.3 Assessments and Anonymity

Anonymous marking takes place where the student’s identity is not known to the assessor at the point when marking is undertaken. The University requires that anonymous marking be undertaken in all assessments, where possible. Anonymous marking removes the perception that preconceived notions of individual students can be brought to the marking process and will help re-assure students of the probity of marking. In ensuring anonymity, schools will need to review and revise the processes operated to receive assessments, make work available to markers, and return work to students. Schools need to be clear as to when identities will be known to markers, at Examining Boards, and to support the provision of ongoing learner specific feedback and feedforward.

Principles

Assessments shall, where possible, be marked anonymously.

Regulations

7.3.1 All assessments shall, where possible, be marked by number.

Guidance

Students must be informed of any assessments that cannot be marked anonymously in advance of that task. Examples of assessments in which it may not be possible to maintain anonymity include oral examinations, clinical practice, and performances. Schools should seek to ensure that dissertations and/or extended projects are marked anonymously where the work is not marked by the supervisor initially.

In assessments where staff will provide individual comments that build on previous feedback and/or elective feedback, student identities will have to be made available to staff when marking. Where these strategies are adopted, students must be made aware of the reasons why markers will know their names and the benefits to their learning that these feedback strategies can provide.

Where marking by number applies, student identities can be revealed after marking and internal moderation has taken. Student names and numbers should be made known when marks are recorded to help ensure that they are recorded accurately.
and can be verified. Examining Boards do not need to be held anonymously as Boards cannot change the marks awarded to an individual student. In exceptional circumstances (e.g. where needed in respect of student disabilities) the Head of School may approve the disclosure of a student’s identity before an internal mark has been determined and shall report such circumstances to the Examining Board.

The policy on assessing work from students with disability related writing difficulties has been designed to support anonymous marking as far as possible. Where such a student has requested it, scripts from University examinations are flagged with a sticker. Under the policy, Schools are asked to consider whether coursework should also be flagged and, if so, to develop mechanisms which are consistent with anonymous marking.

Schools should seek to develop and enhance processes to manage assessment that ensure assessment results are recorded accurately. In undertaking this, Schools should seek to minimise the number of times that marks are recorded and/or transferred between different systems.

### 7.4 Releasing Marks

Making provisional marks available to students will help ensure that assessment processes are transparent and explicit. This should normally be undertaken as soon as results are available. This links with the need to ensure that students are provided with qualitative feedback in a timely manner. Where possible, marks need to be made available to students in ways that protect student anonymity and confidentiality.

#### Principles

An appropriate quality and quantity of information on assessment need to be provided to relevant stakeholder groups in a timely and accessible manner.

Assessment information needs be transparent to all stakeholders.

#### Regulations

7.4.1 Heads of School are required to put in place procedures to ensure that marks are made available to students in a timely manner.

#### Guidance

Students should be given access to provisional marks on completion of an assessment. This should normally be undertaken on completion of any moderation that will be undertaken of an assessment task. Students must be informed that marks are at this point provisional and subject to confirmation by the relevant Examining Board.

Schools should put in place processes through which students are notified of the availability of provisional marks within SIMS. Schools should seek to avoid posting result lists on notice-boards and must ensure, where possible, that results are issued to students in ways that do not compromise student anonymity.
7.5 Assessors

The skills required to mark student work and manage assessment cannot be acquired solely by having a deep understanding of the subject matter. Developing a shared understanding of the academic standards within a programme requires experience, an appreciation of marking culture, and a wider understanding of pedagogy and the principles that support assessment. Schools need to ensure that all involved in assessment are properly prepared and supported when undertaking this role.

Principles

All assessors shall be competent to undertake their role, and educated and supported appropriately.

Regulations

7.5.1 Heads of School are required to put in place procedures to ensure that assessors are appropriately skilled in assessing student work.

Guidance

The reliability and consistency of marking is in part dependent upon the skill of assessors. Schools shall adopt strategies that enable all staff to gain an understanding of marking practices and academic standards. It is important that assessors understand the principles of assessment and can provide assessment for, and of, student learning that is valid, reliable and explicit.

Assessors must have considered diversity issues when planning and designing assessments in order to ensure the equitable treatment of students. Where assessment tasks cannot be anonymously marked, programme teams should consider how procedures and training might assist all staff in minimising any risk that unconscious bias might affect marking.

School staff development programmes should include a variety of activities to enable reliable and consistent assessment of student work. Staff should be encouraged to reflect on marking practices, share experiences, and identify continuing professional development needs. Schools should also seek to ensure that space and time are made available for marking teams to engage in continuing professional development activities and promote the shared dialogue that helps develop a better common understanding of relevant pedagogy and standards.

Schools should encourage research students involved in the assessment of students to supplement the mandatory school-based training through attendance at relevant sessions provided through the University’s Doctoral Academy training programme.

Schools should adopt strategies through which a shared understanding of criteria is developed and maintained across all staff who mark student work. Schools should also ensure that staff new to marking are supported appropriately when they first mark. Approaches that schools should adopt might include:
- Mentoring of new staff;
- Meetings to review marking undertaken by a team;
- Using an anonymised sample of previous students work for practice marking;
- Bespoke staff development events;
- Calibration exercises to review the mark range used by different staff.

### 7.6 Word-limits and Late Submission of Coursework

Taking a consistent approach to the assessment of work that exceeds word limits will help ensure equity and enable students to better develop a range of important skills. This should be done by applying assessment criteria that set out the need for students to confirm to a task’s instructions. Where no Extenuating Circumstances have been accepted, schools must ensure that the Regulations are applied routinely when work is submitted late. Receiving assignments electronically will help ensure that a consistent approach can be applied.

#### Principles

Assessment processes and procedures shall be applied fairly and consistently. Students shall not gain unfair advantage or be unfairly disadvantaged by inconsistencies in the application of procedures relating to Assessment.

#### Regulations

7.6.1 In cases where Coursework Assessments are submitted late, and where there are no Extenuating Circumstances, a mark of zero shall be awarded for those Assessments.

#### Guidance

Schools should not apply discrete penalties to overlong assignments. Schools should, where appropriate, make it clear through the learning outcomes and assessment criteria that assignments require students to be concise and adhere to specified word limits. Schools should seek to ensure that all students are made aware of the need to submit work that does not significantly exceed word limits. This information, with appropriate guidance, should be communicated to students regularly. Where students do submit overlong assessments, markers should complete marking that assignment, where possible, and then utilise their academic judgement to determine a mark for the work against the agreed criteria. Where the criteria include the ability to conform to instructions, such as defined word limits, markers may award work that exceeds the mark length a lower mark. Where multiple markers are involved, they should ensure that the weightings that will be applied to different criteria are agreed in advance of the task and that moderation operates to ensure consistency in the judgements made.
Schools should provide clear instructions to staff and students on the penalty for late submission of work, in that, where Extenuating Circumstances have NOT been reported, students shall be awarded a mark of zero. Schools must not have any other course of action. Schools must ensure that students are notified of assessment deadlines, and should seek to ensure that deadlines occur during normal office hours.

Programme teams should ensure that, where possible, deadlines are not bunched and that consistent and transparent procedures operate to receive assessed work. Schools should seek to adopt and refine systems and processes through which they receive assessments electronically. Having such systems in place will help ensure that consistent approaches can be applied when work is submitted late.

### 7.7 Examination Paper Rubrics

The rubric on the front of an examination paper defines the expectations being placed on students sitting that examination in a clear and transparent way. The greater the variety and complexity of the rubrics used within an individual programme, the greater the chance that students may fail to follow the instructions fully.

#### Principles

Assessment processes and procedures shall be applied fairly and consistently.

#### Regulations

**7.7.1** Heads of School are required to put in place procedures to ensure that the rubrics used in Examination papers are clear and consistent.

#### Guidance

Boards of Studies should review the rubrics used within Examinations periodically, to ensure that they are appropriate, enable students to demonstrate achievement of the requisite learning outcomes, and are, where appropriate, consistent. Rubrics shall be made available to students in advance of the publication of Examination Timetables.

Rubrics shall provide clear guidelines to students on the number of examination questions that should be answered. Where possible, questions should be marked in the order in which they were attempted. If more than the requisite number of questions are answered, schools should not mark any additional questions that the student has attempted. Schools should ensure that students are aware of the need to cross out the answers to any extra questions that should not be marked.

More detailed instructions to guide the production of rubrics are included in the Examination Liaison Officer Handbook.
7.8 The Management of Assessment Outcomes

Adopting consistent and transparent approaches to the release of marks will help ensure that students receive clear information and feedback on their academic performance at appropriate points. By adopting the processes and procedures set out below, Schools will be able to minimise the risk of students being given an incorrect result, help ensure that students do not seek to access results prior to their confirmation by an Examining Board, and ensure that staff can be available to provide guidance and advice where needed.

**Principles**

The outcomes from assessments shall be made available to students in a timely and transparent manner.

**Regulations**

7.8.1 Heads of School shall make arrangements for provisional results from ‘in-year’ Assessments to be released to students via SIMS as they become available.

7.8.2 Heads of School shall notify students in advance of the next Examination Period of the date on which students can expect to receive their end of year / stage results, subsequent to their confirmation by an Examining Board.

7.8.3 Heads of School shall make arrangements to release confirmed results and outcomes to students through SIMS online on the date on which these are scheduled to be released.

7.8.4 Heads of School shall ensure that, on receipt of a formal subject access request, that students are given a copy of the marks and comments on their exam scripts within 40 days after the release of results.

**Guidance**

**Provisional results from in-year Assessments**

Staff should seek to ensure that the provisional results that students achieve in assessments taken outside of the Examination Periods are returned to students as they become available. Schools should inform students that the marks awarded in all in-year assessments are ‘provisional’ and may be amended prior to their confirmation by an Examining Board. Schools shall encourage students to reflect on the marks and feedback provided on individual Assessment tasks, and to utilise this to help them identify how they can improve their performance and future learning.

To support student reflection on performance, staff should ensure that they are familiar with and implement the Policy and Guidance on Academic Feedback to Students. Personal Tutors should ensure that they use the facility within SIMS that allows them to access the range of provisional marks that have been
awarded to their tutees, so that they can support them to identify how they can improve.

The release of results to students

Schools should liaise with staff in Registry and Academic Services to agree dates on which confirmed results will be made available to students. Subsequent to agreeing this date, Schools should add information to SIMS stating the release date of results for a specific cohort. On this day, the results will be released on SIMS Online at 9.30 am. At this point a PDF of the interim transcript will be made available and the student’s module record on SIMS Online will become visible. Subsequent to the completion of their programme, students will receive a complete final Transcript, which will include the marks for all completed modules in their programme.

Schools should seek to ensure that staff are available on the date on which results are released to provide guidance and advice, where needed, to students.

Access to examination scripts / results

Under the Subject Access Request (SAR) procedures of the Data Protection Act 1998, a student can request access to their personal data and is entitled to receive a copy of this data from the University unless an exemption applies. To make an application for the disclosure of written feedback on an examination script, a student must submit a written request to the Information Governance Team, provide proof of identification and pay £10.00. In line with the legislation the University has 40 days to comply with the request and this is co-ordinated by the Information Governance Team on behalf of the School.

Students are not permitted to challenge the academic judgement of the markers and in recognition of this principle, the legislators included a specific exemption to the right of access for examination scripts within the Data Protection Act. This exemption does not extend to any marks or comments made on the scripts by others which means that if students submit a SAR, the law entitles them to receive a copy of the marks and comments on their exam scripts but not the scripts themselves. However, because the information provided must be meaningful the Information Governance Team normally provide a photocopy of any page of a script that has either a mark or a comment on it in response to a Subject Access Request. Schools may wish to review practice to limit the potential release of exam scripts and decide to confine written comments to a separate cover sheet. This will allow the Information Governance Team to respond to Subject Access Requests without having to consider release of substantial portions of the script. All comments should be in the language of the assessment and must be inclusive and non-discriminatory.

The University’s Policy and Guidance on Academic Feedback to Students recommends that students should get feedback on their performance in end of module exams via group feedback. This should be provided on the overall performance of a cohort in examinations and indicate areas where students did well and/or struggled. Additionally, students who have failed modules should be able to meet with academic staff on request to identify ways in which they can improve. This process must be applied consistently across the school and must not be more restrictive than the students’ legal rights.

Results/marks shall not be made available to parents or any other third party unless one of the following conditions applies:
a) Explicit written consent (by email) has been obtained from the student;

b) The University is required by law or statutory instrument (as may be in the case of sponsors);

c) Where required to prevent or detect crime;

d) Where required to release to a third party who is sub-contracted by the University to process the data in a way that meets Data Protection Act 1998 regulations.

Sponsors may have agreements in place enabling the disclosure of a student’s academic performance. This should be outlined in the Terms and Conditions for the Award Holders. If there is any doubt about disclosures please check with the Data Protection Office, at inforequest@cardiff.ac.uk.

Glossary of terms related to Marking

Anonymous Marking

Marking where the identity of students is not known to the assessor(s). Where undertaken, anonymity should be maintained until marking has been complete. Student identities may be revealed subsequently to allow students to be provided with feedback and to ensure that marks are recorded accurately.

Assessor

An individual responsible for setting assessments, marking assessments, and/or the provision of feedback to students. Most assessors will be members of the University’s Academic Staff, although postgraduate research students and other external individuals may contribute to some aspects of assessment.

Assessment Criteria

Statements describing the attributes that will be taken into account in marking an assessment task and the performance required to be awarded marks. The criteria selected for an individual task will be based on the intended learning outcomes, these having been chosen to illustrate the knowledge, understanding and skills that students will typically display in that assessment task.

Categorical Marking

Marking to predetermined and defined percentage mark points rather than marking to every point within the full percentage scale.

Second Marking

Marking of student work by two different assessors. In some cases, the second marker will have access to the first marker’s comments and/or mark (non-blind marking). In other situations, it may be more appropriate for the second marker to be unaware of the first assessors mark (blind marking).

Whether second marking is undertaken (blind or otherwise), both markers will normally make notes to enable subsequent discussions to take place where there is a significant difference between the two markers’ judgements.
Indicative answer  The assessor’s explicit view of what an answer to an assessment task should contain. Indicative and/or model answers are more commonly used where the right answer can be defined precisely.

Marking Scheme  A detailed framework for assigning marks, where a specific number of marks are given to individual components of each question and/or questions in an assessment task.

Moderation  The processes undertaken through which assessment outcomes are confirmed as valid and reliable and that assessment criteria have been applied consistently. Forms of moderation typically include:
- Sample review of first marking, either by an internal or external examiner;
- additional marking, for example of borderlines, firsts and fails;
- review of marks: where there is a significant difference between several assessment marks, within or between modules, which indicate the marks may need to be reviewed.

Rubric  The coversheet that prefaces an assessment that provides instructions to students on the number of questions that should be attempted and on how they should attempt to answer the questions that have been set.

Scaling  The mathematical adjustment made to the marks achieved by a cohort of students should the distribution of marks in that assessment be noticeably different to other tasks. Scaling should not normally need to be undertaken, outside of mathematical assessments in which a markedly different set of marks can result.

Verification  The processes undertaken to check that marks have been calculated and recorded correctly and to ensure that any other relevant factors have been considered properly in determining a student’s results.

8. EXAMINATION VENUE PROCEDURES

8.1 APPOINTMENT OF INVIGILATORS

8.1.1 Senior Invigilators and Invigilators for examinations shall be appointed by the Superintendent in accordance with guidelines approved by Senate.

8.1.2 Senior Invigilators and Invigilators for Class Tests and Practical-Based Assessments shall be appointed by the Head of School responsible for the delivery of the Module or Unit of Study.

8.2 DUTIES OF THE SENIOR INVIGILATOR

A Senior Invigilator shall be responsible for the maintenance of order and the conduct of the Examination(s) in an Examination Venue in accordance
with guidance issued by the Superintendent. Senate Guidelines specify the duties of a Senior Invigilator.

8.3 DUTIES OF INVIGILATORS

Invigilators are responsible for assisting the Senior Invigilator under his/her direction. Senate Guidelines specify the duties of an Invigilator.

8.4 DISPATCH OF EXAMINATION PAPERS

The Superintendent shall be responsible for the dispatch of Examination question papers, Examination stationery, seating arrangements and other related instructions to the Senior Invigilator in the Examination Venue.

8.5 USE OF ELECTRONIC DEVICES

8.5.1 The use of calculators is permitted in all examinations unless a Head of School has indicated otherwise to the students in writing at the beginning of the Session in accordance with 4.2 above. No other electronic devices are permitted in an Examination Venue unless otherwise agreed by the Superintendent in writing.

8.5.2 The calculators which students may use in Examinations must be noiseless, battery- or solar-powered. Calculators which have been pre-programmed and calculators with an alphabetic keyboard are not permitted in any Examination.

8.5.3 Where the use of calculators is not permitted, this shall be indicated on the Examination paper.

8.5.4 All calculators used in Examinations may be subjected to detailed scrutiny by invigilators. Students may be required to demonstrate to an invigilator that calculators have not been pre-programmed.

8.5.5 The Superintendent may, on the recommendation of a Head of School, approve the use of electronic devices other than calculators in Examinations by students.

8.6 USE OF TRANSLATION DICTIONARIES

8.6.1 The use of non-electronic translation dictionaries between English and/or Welsh and another language shall be permitted in all Examinations where this is indicated on the Examination paper. Such dictionaries shall bear an appropriate School stamp which should be dated.

8.6.2 The use of electronic dictionaries is not permitted.

8.6.3 All dictionaries used in examinations may be subject to scrutiny by invigilators.

8.7 CONDUCT OF STUDENTS IN EXAMINATION VENUES

8.7.1 Students in breach of these Regulations and students committing any act which might obtain for him/herself or for another an unpermitted advantage will be reported to the Superintendent and may be liable to the Unfair Practice Procedure and/or Student Disciplinary Procedure.
8.7.2 Personal belongings of students, including coats and bags, shall be left in the place designated for this purpose at the Examination Venue.

8.7.3 Students shall be permitted to take to an Examination desk writing materials and all texts and/or other material approved by the Examining Board for use in an Examination. No other materials shall be permitted unless approved by the Superintendent.

8.7.4 Students shall not be permitted to take to an Examination desk any pencil case or similar receptacle unless the covering is transparent and permits sight of its contents.

8.7.5 Students shall not be permitted to take to an Examination desk any electronic communication device or any other electronic device other than those approved for use in Examinations under 8.5 above.

8.7.6 Each student shall be required to place his/her student identification card on the desk in the Examination Venue for the duration of his/her Examination.

8.7.7 No student shall be permitted to enter an Examination Venue forty-five minutes or more following the commencement of an Examination. No student shall be permitted additional time if starting an Examination later than the time of its commencement.

8.7.8 No student shall be permitted to leave an Examination Venue until a lapse of sixty minutes from the commencement of an Examination.

8.7.9 Before commencing the Examination each student shall be required to complete Examination stationery in accordance with the instructions issued by the Senior Invigilator.

8.7.10 No student shall turn over the first page of the Examination question paper until permitted to do so by the Senior Invigilator.

8.7.11 No student in an Examination venue shall communicate with any other student prior to, during or at the end of the Examination on any matter or in any way whatsoever.

8.7.12 All answers and rough work shall be completed in the stationery provided and written legibly. With the agreement of the Chair of the Examining Board, examiners shall be permitted not to mark an illegible Examination script or have it typed at the expense of the student.

8.7.13 No student shall be permitted to leave the Examination Venue during the last thirty minutes of an Examination.

8.7.14 When the Senior Invigilator announces the end of the Examination:

.1 students shall be required to stop writing immediately; and

.2 students shall remain seated in silence until permitted to leave the Examination Venue by the Senior Invigilator.

9. **SPECIFIC PROVISION**

9.1 The University will permit adjustments to the arrangements for the conduct of Assessment for students with disabilities and for students with other support needs to enable all students to have the same opportunity to
demonstrate the achievement of specific learning outcomes, without compromising academic standards or affecting prescribed standards of Professional Bodies.

9.2 The arrangements to be made by the University for students requiring Specific Provision in Assessment are fully consonant with the requirements arising from the Quality Assurance Agency Code of Practice for Students with Disabilities, the Disability Discrimination Act 1995 the Special Educational Needs and Disability Act 2001 and the Equality Act 2010.

9.3 Where an applicant or student has completed a declaration of disability, the assessment of need shall include consideration of any adjustments required for Assessment as part of that process.

9.4 Applications for Specific Provision should be made on the form made available to all students and should be supported by documentary evidence, such as a report by a Medical Practitioner, a needs assessment recognised for purposes of the Disabled Student's Allowance or an Educational Psychologist's Report.

9.5 Applications for Specific Provision in Examinations and/or Class Tests should be submitted to the Superintendent and applications for Specific Provision in Practical-Based Assessments and/or Coursework should be submitted to the appropriate Head of School. The Superintendent and Heads of Schools are permitted to disregard requests for Specific Provision which are not supported by appropriate documentary evidence.

9.6 Where an application is made for an alternative form of Assessment, this will be referred to the Head(s) of the relevant School(s) for consideration. In such cases, any arrangements for adjustments to the form of Assessment shall be subject to demonstrating the achievement of specific learning outcomes and shall not compromise academic standards or affect prescribed standards of Professional Bodies.

9.7 Applications for Specific Provision can be made at any time but it may not be possible to process applications in time for an Examination, Practical-Based Assessment or Class Test that has already been scheduled. To ensure that the necessary adjustments can be made for Examinations, Class Tests, Practical-Based Assessment or Coursework that will be taken within the first 12 weeks of a Programme, where a student's circumstances are known to be prolonged or permanent and identified prior to the start of the Session, a student should submit a written application to the Superintendent or Head of School, as appropriate, by the end of Week Two of the start date of the Programme.

9.8 Students will be informed of the adjustments that have been approved. The range of adjustments can be amended subsequently, where this is needed to meet the changing needs of the individual student.

9.9 If a student feels that the notified arrangements do not provide for their individual needs, they can request a review of their case. This should be made in writing, stating the reasons for requesting a review and should be submitted via the Academic Registrar. The review will be undertaken by a Deputy Vice-Chancellor or a Pro Vice-Chancellor who has had no previous connection with the case and who is not a member of the School concerned. As part of the review all information provided by the student, the School and the Superintendent as appropriate will be considered. This process may also include a face-to-face meeting with the relevant parties if this is felt to
be appropriate. At the conclusion of the review, the reviewer will confirm the outcome in writing to all the relevant parties. The reviewer may alter the arrangements previously approved, where this is found to be appropriate.

9.10 EXAMINATION THROUGH THE MEDIUM OF WELSH

Any student who wishes to be examined in whole or in part through the medium of Welsh is required to notify the Superintendent in writing by the end of Week Five of each Semester. Whilst every effort will be made to accommodate such requests, it may not be possible to meet these in all cases.

9.11 RELIGIOUS OBSERVANCE DAYS

Any student who anticipates that he/she will be unable on religious grounds to sit Examinations on certain days shall submit a written request to the Superintendent by the end of Week Five of each Semester that the circumstances be taken into account in the scheduling of Examinations. The student shall inform the Superintendent of the reason for his/her inability to sit Examinations on such days. Whilst every effort will be made to accommodate such requests, it may not be possible to meet these in all cases.

10. EXAMINATIONS AND ASSESSMENTS UNDERTAKEN OUTSIDE CARDIFF UNIVERSITY

Under the following provisions the University permits forms of Assessment, including Examinations, to be conducted in locations away from Cardiff and Cardiff University (hereinafter “outside Cardiff University”).

10.1 INDIVIDUAL STUDENTS

The University will consider:

10.1.1 requests from individual students to undertake Assessments, including Examinations, outside Cardiff University in the Resit Examination Period; and

10.1.2 in exceptional circumstances, requests from individual students to undertake Assessments, including Examinations, outside Cardiff University at other times.

10.2 A request by an individual student to sit Examinations outside Cardiff University shall be submitted in writing by the student to the Head(s) of School or nominee concerned for consideration. The student shall detail in his/her request the reason for submitting the request.

10.3 The Head(s) of School or nominee shall forward requests to sit Examinations outside Cardiff University to the Superintendent with a recommendation whether the request should be allowed or disallowed. The final decision shall rest with the Superintendent.

10.4 The deadline for receipt of applications by the Head(s) of School or nominee for sitting an Examination in the Resit Examination Period to be sat outside Cardiff University is the end of Week 12 of the Spring Semester.
In exceptional circumstances or in the case of resit examinations for programmes operating under a non-standard academic calendar, applications to sit Examinations outside Cardiff University shall be considered by the Superintendent of Examinations.

10.5 In submitting a recommendation to the Superintendent, the Head(s) of School or nominee shall specify, if it is not possible for Examinations taken outside Cardiff University to be held concurrently with the same Examination being held at Cardiff University, whether a different Examination paper will be submitted to the Superintendent by the School. The Superintendent shall not approve the application where:

10.5.1 the Examinations cannot be scheduled concurrently at specified Examination Venues and at other venues; and

10.5.2 the Head(s) of School or nominee is not prepared for a different Examination paper to be submitted to the Superintendent.

10.6 The Superintendent shall inform the student and Head(s) of School or nominee in writing of his/her decision.

10.7 If, having approved a request, the Superintendent is unable within a period of four weeks to arrive at satisfactory arrangements for the holding of the Examinations outside Cardiff University, he/she shall inform the student that he/she shall not be permitted to sit the Examinations outside Cardiff University.

10.8 An administrative fee, determined by the University Council, shall be payable by the student, and in addition the student shall be responsible for paying any costs incurred at the distant venue. The Superintendent may waive the administrative fee in exceptional circumstances.

10.9 Where the Superintendent has notified the student in writing that he/she is permitted to sit the Examination(s) outside Cardiff University, the student will be liable for payment of a cancellation fee not exceeding the full administrative fee:

.1 unless written notification from the student stating that he/she will not sit the Examination(s) outside Cardiff University is received by the Superintendent at least two weeks prior to the commencement of the Examination Period;

or

.2 where the student fails to attend the Examination.

10.10 COHORT EXAMINATIONS

The University will consider requests from individual schools to allow, for specified Programmes, Assessment to take place at venues outside Cardiff. Such requests shall be considered for approval by the Academic Standards and Quality Committee, normally as part of the Programme Approval Procedure.
11. Extenuating Circumstances

11.1 Scope and Definition

Principles

The consideration of Extenuating Circumstances will be managed through consistent, fair, and transparent procedures.

Regulations

11.1.1 For the purpose of these Regulations, Extenuating Circumstances are those that are:

- severe and exceptional; and
- unforeseen or unavoidable; and
- close in time to the Assessment, or where the student can demonstrate that the circumstances continued to have an impact on their academic performance in the Assessment.

Such circumstances may be considered to have had an adverse impact on the student’s academic performance in Assessment and/or have prevented a student from submitting a Coursework Assessment and/or attending a scheduled Assessment.

11.1.2 Students on part time programmes may request consideration of an extension on the basis of exceptional professional commitments under this procedure.

Guidance

Students should be encouraged to report any circumstances that they believe have impacted negatively on their performance in an Assessment or Examination. They should be advised that any information they submit will remain confidential, where possible, and will be considered with due sensitivity.

The list below illustrates the kinds of circumstances that may affect a student’s performance. The list is not exhaustive and other circumstances may arise that will have a significant impact on a student’s performance.

- Serious short-term illness or accident;
- Bereavement - for example the death of a close relative or friend, partner or significant other;
- Evidence of a long-term health condition worsening or a change in symptoms;
- Significant adverse personal/family circumstances;
- Being a victim of a serious crime;
- Disability or impairment where it has not been possible to put required adjustments in place.
The list below illustrates the kinds of circumstances that are unlikely to be accepted as Extenuating Circumstances. The list is not exhaustive:

- Statement of a medical condition without reasonable evidence (medical or otherwise) to support it;
- Medical circumstances that occur outside the relevant Assessment or learning period for which appropriate adjustments have already been made (e.g. Extensions, Specific Provision);
- Minor illnesses or ailments which, in a work situation, would be unlikely to lead to absence from work;
- Long-term health conditions for which the student is already receiving reasonable and appropriate adjustments to Assessments;
- Computer, printing or other IT-related problems;
- Poor time management;
- Holidays, weddings or other family-related events;
- Paid employment or other financial issues;
- Attendance at, or participation in, sporting, musical or other events;
- Where there is a reasonable case that the circumstances reported were foreseeable or preventable.

Data Protection and Confidentiality

Students should be advised that completed University Extenuating Circumstances Forms and evidence will be kept confidential and will be treated as sensitive data in line with the Data Protection Act 1998. The form and supporting information will be shared only with appropriate University staff (including the student’s Personal Tutor(s)) and authorised members of the Examining Board / Extenuating Circumstances Group, to allow formal consideration of the impact of the circumstances on the student's academic performance. If a student submits an academic appeal, under the Academic Appeals Procedure, the information may be considered as part of this process where appropriate.

For students who are on a Programme leading to professional accreditation the Extenuating Circumstances may be considered when assessing whether a student is ‘Fit to Practise’.

### 11.2 Information to be Provided to Students

#### Principles

Schools will provide clear, timely, and relevant information related to the procedures that will be followed to manage Extenuating Circumstances.

#### Regulations

11.2.1 Students shall be provided with clear information at the start of the academic year about Extenuating Circumstances procedures.

#### Guidance

Schools shall provide students with information in handbooks at the start of the academic year about Extenuating Circumstances. This should include both the process to be followed in requesting an Extension to a scheduled coursework deadline, and the procedure that is used by Examining Boards to manage requests for consideration of Extenuating Circumstances. Schools should use the
information available on the Registry website. It is good practice to remind students of this information at key points throughout the academic year.

This information should be supplemented in the School by:

- Session-specific deadlines for reporting Extenuating Circumstances;
- Guidance as to where to find the University’s Extenuating Circumstances Form and how it should be completed;
- Information on sources of available independent advice (e.g. the Advice and Representation Centre in the Students’ Union);
- Information on where students should hand in completed forms (e.g. the School Office);
- The name of the Chair of the relevant Extenuating Circumstances Group(s), and;
- The name of the member of staff who is responsible for the co-ordination of the support to this area within the School.

In some Programmes, discipline-specific or professional requirements may mean that the options available to an Examining Board are restricted. In such instances students must be informed of this clearly and unambiguously in handbooks.

<table>
<thead>
<tr>
<th>11.3</th>
<th>Reporting Extenuating Circumstances</th>
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</thead>
<tbody>
<tr>
<td><strong>Principles</strong></td>
<td>Requests for consideration of Extenuating Circumstances must be submitted in writing using the University’s Extenuating Circumstances Form and be supported by independent evidence.</td>
</tr>
<tr>
<td><strong>Regulations</strong></td>
<td></td>
</tr>
<tr>
<td>11.3.1</td>
<td>A student shall report any Extenuating Circumstances which may have an effect on his/her ability to submit an Assessment to the Chair of the relevant Extenuating Circumstances Group (or nominee). A student shall complete the University’s Extenuating Circumstances Form providing a written account and evidence of the circumstances, which should meet the criteria as detailed in 11.1.1 above.</td>
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<tr>
<td>11.3.2</td>
<td>On receipt of a completed University Extenuating Circumstances Form, the Chair of the Extenuating Circumstances Group shall determine whether:</td>
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<td>.1</td>
<td>it is a request to submit assessment(s) subsequent to the stated deadline due to Extenuating Circumstances, which shall be managed in accordance with the Regulations in section 11.4 below, OR</td>
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it is a request to have Extenuating Circumstances considered by the Extenuating Circumstances Group, which shall be managed in accordance with the Regulations in sections 11.5 and 11.6 below.

11.3.3 If any Extenuating Circumstances arise in an Examination, the circumstances shall be reported by the student to an invigilator. The Senior Invigilator shall report such circumstances in writing to the Superintendent of Examinations who shall inform the Chair of the relevant Extenuating Circumstances Group. Any student who believes that they have been affected by Extenuating Circumstances in an Examination shall be required to complete and submit the University’s Extenuating Circumstances Form.

Guidance

The University’s Extenuating Circumstances Form should be used to support applications for both:

- **Extensions to a Coursework Deadline**, which should be submitted, where possible, in advance of the deadline for that Assessment;

- **Consideration of Extenuating Circumstances by an Extenuating Circumstances Group**, which should be submitted as soon as the circumstances arise, where possible, before the Assessment is due to be taken or submitted, and by the deadline published in handbooks. The Examining Board may not be able to consider circumstances that are submitted after this deadline or where the student has failed to provide evidence in verification of the circumstances. Applications that are received after the School deadline, i.e. the date published in relevant handbooks, will normally be considered under the Academic Appeals Procedure. Students will need to demonstrate good reason why the Extenuating Circumstances could not have been made known to the Examining Board in advance of this deadline.

Completed University’s Extenuating Circumstances Forms must be accompanied by independent supporting evidence. This may include a:

- Medical/health certificate which confirms illness for a defined period;

- Photocopy of a death certificate;

- Letter of support/explanation from a support service at the University (for instance, a statement from the Disability and Dyslexia Service);

- Letter of support/explanation from a third party (such as a police report, counsellor’s letter, local authority report, etc.).

Such supporting evidence must be submitted on documentation that is recognisably authentic (e.g. on headed paper) and be signed and dated by the relevant authority. It must be unaltered and not annotated by students. Translated evidence should similarly be authentic and can normally be obtained from the facility issuing the certificate (e.g. hospital, official body).

Completed forms, together with supporting evidence, must be in either English or Welsh. Where necessary, students should arrange for information in other languages to be translated. Forms, together with scanned copies of any supporting evidence can be submitted electronically from either the student’s
Cardiff University email address or from their designated email account registered with the University (i.e. the account recorded on SIMS).

Disability

Students who have Specific Provision in place may still be eligible to raise Extenuating Circumstances in some situations as described below. While the Extenuating Circumstances procedure is not designed to be the mechanism by which students disclose disabilities to the University for the first time, some students may only disclose disabilities in this way. Students who believe they have a disability should be counselled to seek advice from the University’s Disability and Dyslexia Service. The Disability and Dyslexia Service will advise students on how to apply for Specific Provision and reasonable adjustments to support them during their studies.

The Extenuating Circumstances Regulations can be used where disabled students need to raise circumstances that have impacted on their academic performance, for instance:

- Where it has not been possible to put reasonable adjustments in place in time for the assessment, or where the adjustments have not been effective;
- Where a student has a fluctuating condition which suddenly worsens, such as depression or arthritis;
- Where a student’s condition involves sudden episodes of symptoms, such as seizures or migraines.

While it is normal practice for Extenuating Circumstances Groups to receive medical evidence to verify ill health, in the case of disability this may be varied to students with fluctuating conditions who are in receipt of Specific Provision. As a reasonable adjustment the Extenuating Circumstances Group may require a student to provide evidence of the fluctuating condition once a semester in the form of a medical note, a letter of support from the University’s Disability and Dyslexia Service or the University Health Centre as appropriate.

In the case of a student who discloses disability for the first time, the School should seek the student’s consent to refer the information to the University’s Disability and Dyslexia Service at [https://intranet.cardiff.ac.uk/students/support-and-services/disability-and-dyslexia](https://intranet.cardiff.ac.uk/students/support-and-services/disability-and-dyslexia). Students should be encouraged to seek advice from the Disability and Dyslexia Service if they believe they may have a disability and wish to request that reasonable adjustments are put in place.

Personal Tutors

Students may, in the first instance, raise possible Extenuating Circumstances with Personal Tutors. Tutors should be clear that they do not play an official role in the process but may provide support to students as appropriate. **Tutors should make clear that it is the student’s responsibility to complete the University’s Extenuating Circumstances Form and supply supporting evidence. Personal Tutors must not authorise requests for Extensions or approve applications for Extenuating Circumstances.**

Personal Tutors should ensure that students have a realistic understanding of the range of actions and remedies that are available to deal with their circumstances and be aware that students from some cultures may be reluctant to report Extenuating Circumstances and may consider this a sign of weakness or failure.
While Personal Tutors may refer students to the University Student Support Centre and/or University Counselling Service where appropriate, staff at these services will not be able to provide supporting evidence of Extenuating Circumstances if students have had no prior engagement with them. Tutors should not refer students to these services solely to collect further supporting evidence of Extenuating Circumstances.

Fitness to Practise

In some Schools student requests for consideration of Extenuating Circumstances may raise Fitness to Practise issues. These Schools need to ensure that procedures are in place to identify where such issues may arise, and that they are dealt with in an appropriate manner.

11.4 Extensions and Supplementary Assessments

Regulations

Extension Requests

11.4.1 If a student is unable to submit an Assessment by a due date, and Extenuating Circumstances have been reported in accordance with 11.3 above, the Chair of the relevant Extenuating Circumstances Group, or nominee, shall either:

.1 approve an Extension to a submission date which shall be set such that the Assessment may be marked prior to the meeting of the Examining Board; or

.2 not approve the extension to a submission date and refer the matter to the Extenuating Circumstances Group on the grounds that:

• there is insufficient time to permit the Assessment to be marked by the Examining Board; or

• the Extenuating Circumstances as reported are not sufficient to warrant an extension or insufficient evidence was presented.

11.4.2 The Chair of the Extenuating Circumstances Group shall inform the student in writing of his/her decision as soon as possible, and normally within 10 working days of the request. The Chair will formally report any extensions granted to the Extenuating Circumstances Group.

Supplementary Assessments

11.4.3 If a student:

• is absent from all or any part of an Examination; or

• has been present at an Examination:
and Extenuating Circumstances have been reported in accordance with section 11.3 above, the Chair of the Extenuating Circumstances Group may either:

.1 seek the approval of the Chair of Academic Standards and Quality Committee, for the setting of a supplementary Assessment which shall be held before the meeting of the Examining Board concerned; or

.2 report the matter to the Extenuating Circumstances Group on the grounds that:

• the holding of a supplementary Assessment before the meeting of the Examining Board is inappropriate or impractical; or

• the Extenuating Circumstances as reported are not sufficient to warrant the setting of a supplementary Assessment or insufficient evidence of the circumstances has been presented by the student.

11.4.4 The Chair of the Extenuating Circumstances Group shall inform the student in writing of his/her decision as soon as possible, and normally within 10 working days of the decision. The Chair will report his/her actions to the Examining Board as set out in 11.5.6 below.

**Guidance**

**Extension Requests**

Requests for Extensions shall be considered by the Chair of the Extenuating Circumstances Group, or nominee. Schools should seek to ensure that the processes used enable quick decisions to be made and communicated to students. It is good practice to use a generic email account to manage such requests.

Applications for Extensions from students on joint honours Programmes must be submitted to the school responsible for the affected assessment and shared with partner schools, where appropriate. Chairs of Extenuating Circumstances Groups shall make arrangements for summaries of the number of applications received, and a breakdown of the number of successful and unsuccessful applications, to be made available to the relevant Examining Boards.

**Extension Requests – Master’s Dissertation**

The procedure governing requests for Extensions to a Master’s Dissertation time limit is included within Senate Assessment Regulations (see 11.3 and 11.4).

**Supplementary Assessments**

Supplementary Assessments should only normally be held in the latter stages of a student’s Programme, to enable students to graduate with their cohort and to not delay them from being able to continue their career. Where Supplementary Assessments are to be held, staff should liaise with Registry staff to access help and support, and to ensure that this can be accommodated within the available time.
11.5 Extenuating Circumstances Groups

Principles

Information provided by students will remain confidential, where possible, and will be considered with due sensitivity.

Regulations

11.5.1 Heads of School shall establish one or more Extenuating Circumstances Group(s) to support the School’s Examining Boards;

11.5.2 Each Extenuating Circumstances Group shall have:

.1 a Chair who shall be appointed by the Head of School (or nominee) and shall be a member of the Examining Board to which it reports (a Group Chair shall not serve as Chair of the Examining Board);

.2 between three and eight members of staff from within the School, including academic and administrative staff and Disability Contacts.

11.5.3 External Examiners shall not serve as members of Extenuating Circumstances Groups.

11.5.4 There shall be a minimum of three members of the Group in attendance at any meeting to consider student’s Extenuating Circumstances, at least one of whom shall be a member of academic staff.

11.5.5 Extenuating Circumstances Groups shall:

.1 consider whether Extenuating Circumstances, as reported in accordance with section 11.3 above, have impacted on the student’s academic performance in Assessment(s);

.2 ensure that, in conducting their work, they integrate consideration of equality and diversity issues into their deliberations, with a view to valuing and promoting equality and diversity and eliminating discrimination;

.3 disregard reports of Extenuating Circumstances if appropriate supporting evidence is not supplied.

11.5.6 The Chair of the Extenuating Circumstances Group will report to the Examining Board(s):

.1 circumstances that have impacted on the student’s performance in the Assessment that are supported by appropriate evidence; and

.2 circumstances that have impacted on the student’s performance in the Assessment affected, but have already been taken into account by supplementary assessments and/or the student has been granted an extension and therefore no further action is warranted; and
.3 a summary of the Extenuating Circumstances applications that were considered by the Group to have not impacted on the student’s performance at the time of the Assessment.

Guidance

The Operation of Extenuating Circumstances Groups

Schools should consider whether they should have a single group to cover all Extenuating Circumstances submissions, or whether they would prefer to have separate groups to manage requests related to undergraduate and taught postgraduate programmes of study. In a small number of professionally-related programmes it may be appropriate for the Group to be specific for a single programme and/or group of programmes.

The Extenuating Circumstances Group should be chaired by a member of the Academic Staff, but not by a Chair of any of the Examining Boards to which it reports, to remove any perception of bias and avoid any potential conflict of interest. The Chair of the Extenuating Circumstances Group should be appointed by the relevant Head(s) of School.

Extenuating Circumstances Groups should include a minimum of three and no more than eight members of staff, including staff who have lead responsibility for disability and/or student support matters. Extenuating Circumstances Groups should be serviced by a member of staff appointed to co-ordinate the work in this area. Meetings of the Extenuating Circumstances Group must be chaired by and have at least one member of the Academic Staff in attendance.

In Schools in which students submit a number of pieces of summative assessment during the academic year it is good practice for the Extenuating Circumstances Group to meet at regular points throughout that year. This will help Schools to manage the workload in this area more effectively.

Schools that offer joint honours Programmes must ensure that any applications received from students following such Programmes are shared between the relevant Schools, where appropriate. This information should also be shared between the staff who co-ordinate this area in the relevant Schools. Schools should consider inviting Group members from partner Schools to be members of Extenuating Circumstances Groups. Schools should seek to ensure that simple and clear procedures exist to share information as appropriate. Students are advised to email a copy of the completed University Extenuating Circumstances Form to both Schools.

When considering applications for Extenuating Circumstances, Groups should:

* Ensure they consider relevant evidence-based information only;
* Respect student anonymity and confidentiality;
* Exclude any additional information that may be known to and provided by staff, particularly when this cannot be supported by evidence, and;
* Consider ways of redacting names and other personal identifiers from evidence;
Disregard reports of Extenuating Circumstances if appropriate supporting evidence is not supplied.

The Role of Extenuating Circumstances Groups

The role of Groups is to determine whether or not there is evidence that a student’s academic performance has likely been impacted upon by their circumstances and to make a recommendation to the Examining Board to that effect. Groups should not make adjustments to student marks. They should record the following information in a manner consistent with Examining Board guidelines.

- Details of the relevant Assessments and/or modules;
- Confirmation or otherwise that the student submitted verifiable evidence;
- Confirmation or otherwise that the Extenuating Circumstances occurred close to or during the Assessment period;
- Confirmation or otherwise that the Extenuating Circumstances impacted on the student’s performance at the time of Assessment;
- Details of any adjustments that may have already been made to take account of Extenuating Circumstances.

Schools should seek to review the range of decisions taken in this area on an annual basis. This will help to ensure that a consistent approach in this area is maintained.

<table>
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<tr>
<th>11.6</th>
<th>Action to be Taken by Examining Boards</th>
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<td><strong>Principles</strong></td>
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<tr>
<td>The consideration of Extenuating Circumstances will be managed through consistent, fair, and transparent procedures.</td>
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<td>Students who have had Extenuating Circumstances shall not be disadvantaged unfairly.</td>
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<tr>
<td>Students within protected characteristic groups [3], that have had Extenuating Circumstances that clearly relate to that characteristic, shall not be disadvantaged unfairly by the presence of a lower mark on their transcript.</td>
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<tr>
<td>Examining Boards shall not change, amend or estimate marks where Extenuating Circumstances have been reported.</td>
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3 See [http://www.cardiff.ac.uk/public-information/equality-and-diversity/strategic-equality-plan](http://www.cardiff.ac.uk/public-information/equality-and-diversity/strategic-equality-plan) for further information on protected characteristics and [http://www.acas.org.uk/media/pdf/9/p/Equality_Act_2010_Acas_table_JULY_2010.pdf](http://www.acas.org.uk/media/pdf/9/p/Equality_Act_2010_Acas_table_JULY_2010.pdf) for further information of the legislative changes that were contained in the Equality Act 2010
Regulations (General)

11.6.1 A Head of School may seek the approval of the Academic Standards and Quality Committee to vary these Regulations in respect of one or more Programme(s) where they are able to demonstrate, to the Committee’s satisfaction, that such variance is required to meet the requirements of one or more Professional, Statutory or Regulatory Bodies.

11.6.2 Examining Boards shall ensure that the actions they take where a student’s performance is likely to have been affected by Extenuating Circumstances are recorded clearly.

Guidance

Programmes leading to a professional body qualification

Where professional body regulations require that different remedies to the below must apply, Schools can seek ASQC agreement that programmes be exempted from specific aspects of the below Regulations. To do so, they should write to the Secretary of ASQC to request an exemption, setting out which parts of the Regulations that they cannot apply.

Where an exemption is granted, Schools must provide clear information to students (e.g. in programme handbooks and on Learning Central), which sets out the remedies that will be applied where it is found that a student’s performance is likely to have been affected by Extenuating Circumstances.

Record keeping

Extenuating Circumstances Group(s) shall provide a report to the relevant Examining Board(s) that sets out the following:

- Information related to students that are likely to have had their performance affected by Extenuating Circumstances; (student names and numbers, details of Assessment(s) affected, and details of the relevant Module / Unit of Study decisions);

- Summary details of any students that are likely to have had their performance affected by Extenuating Circumstances for which an adjustment (e.g. an extension) has already been made; (student names and numbers, details of Assessment(s) affected, and period of extensions granted); and

- Summary details of any applications for Extenuating Circumstances that were not accepted as having likely affected on the student’s academic performance; (student names and numbers, Assessment(s) against which Extenuating Circumstances were claimed, and the reason for the decisions [e.g. not serious, lack of evidence etc.]).

It is primarily the responsibility of the Examining Board to agree the action that will be taken where Extenuating Circumstances have likely affected a student’s performance (see 11.4 above for the procedures to be followed when granting an extension to a coursework deadline). Decisions should be minuted clearly by the Examining Board. Examining Boards should not receive or discuss the details of individual Extenuating Circumstances cases, should not consider possible Extenuating Circumstances where these have not been reported through
appropriate channels, and should not seek to review or overturn decisions made by Extenuating Circumstances Groups. To do so would risk compromising confidentiality and lead to judgements being made on the basis of partial and/or incomplete information.

Students who request information about the outcomes of the consideration of their application for Extenuating Circumstances should be notified of the dates on which the Extenuating Circumstances Group and Examining Board considered the application and of the decision made. This should include whether the circumstances were accepted or rejected, and if accepted, what actions were taken.

Support within Schools

It is good practice for Schools to nominate a member of staff to co-ordinate the management of Extenuating Circumstances across a School, to be responsible for:

- Making the relevant information available to students;
- Providing procedural advice to staff and students;
- Receiving submissions on the University’s Extenuating Circumstances Form;
- Liaising with Chairs of Examining Boards;
- Servicing Extenuating Circumstances Groups.

Schools should also seek to nominate another member of staff to deputise for the nominated contact should they be unavailable, and should designate a place for submissions to be made within the School (e.g. the School Office or by email to a designated email address).

Regulations (Remedies available to Examining Boards In Modular Taught Programmes)

11.6.3 Module results and the award of Credit at Progression Examining Boards

Where the Extenuating Circumstances Group is satisfied that a student’s performance has been affected by Extenuating Circumstances, Examining Boards shall:

i. Where the student has not reached the pass mark in an Assessment affected by Extenuating Circumstances and has not reached the pass mark in that Module; permit the student to retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place.

ii. Where the student has not reached the pass mark in an Assessment affected by Extenuating Circumstances BUT has reached the pass mark in that Module; offer the student the opportunity to:
- EITHER retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place;

- OR be awarded Credit for the Module without further Assessment.

iii. Where the student has passed a module and all of the Assessment components affected by Extenuating Circumstances, AND where the student’s Extenuating Circumstances relate to a Protected Characteristic; offer the student the opportunity to:

- EITHER retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place;

- OR be awarded Credit for the Module without further Assessment.

iv. Where the student has passed all of the Assessment components affected by Extenuating Circumstances AND reached the pass mark in that Module; award the student Credit for that Module (except as provided under 11.6.3.iii above).

v. Where an adjustment (e.g. an extension) has been made previously; take no further action.

11.6.4 Where the Extenuating Circumstances Group is not satisfied that a student’s performance is likely to have been affected by Extenuating Circumstances; take no further action.

11.6.5 Module results and the award of Credit at Final Examining Boards

Where the Extenuating Circumstances Group is satisfied that a student’s performance has been affected by Extenuating Circumstances, Final Examining Boards shall:

i. Where the student has not reached the pass mark in an Assessment affected by Extenuating Circumstances, has not reached the pass mark in that Module; AND has not achieved sufficient Credit for their target award; permit the student to retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place.

ii. Where the student has not reached the pass mark in an Assessment affected by Extenuating Circumstances, has not reached the pass mark in that Module, BUT has obtained sufficient Credit to be eligible for the target award; offer the student the opportunity to:

- EITHER retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student
has failed previously); at the next occasion on which the Assessment(s) is scheduled to take place;

- OR be awarded the qualification without further Assessment.

iii. Where the student has not reached the pass mark in an Assessment affected by Extenuating Circumstances BUT has reached the pass mark in that Module; offer the student the opportunity to:

- EITHER retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place;

- OR be awarded Credit for the Module without further Assessment.

iv. Where the student has passed the Module and all of the Assessment components affected by Extenuating Circumstances, AND where the student’s Extenuating Circumstances relate to a Protected Characteristic; offer the student the opportunity to:

- EITHER retake the affected Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place;

- OR accept the Board’s recommendation that Credit be awarded for the Module without further Assessment.

v. Where the student has passed all of the Assessment components affected by Extenuating Circumstances) AND reached the pass mark in that Module; award the student Credit for that Module (except as provided under 11.6.5.iv above).

vi. Where an adjustment (e.g. an Extension) has been made previously; take no further action.

11.6.6 Where the Extenuating Circumstances Group is NOT satisfied that a student’s performance has been affected in a Module by Extenuating Circumstances; take no further action.

11.6.7 Award classification at Final Examining Boards

The following shall apply where a student has sufficient Credit to be eligible for their target award and where they have passed both the Module and the Assessment components affected by Extenuating Circumstances or have elected to be awarded Credit for the affected Module without further Assessment. In such circumstances, Examining Boards shall, where it benefits the student, discount Module Marks that have been affected by Extenuating Circumstances from the calculation of the award classification subject to the following limits:

i. Discounting shall be permitted in up to a maximum of 1/6th of the Credits that contribute to the Final Award;
ii. Discounting shall **not** apply to any Credit awarded for the Dissertation and/or research stage of a Modular Taught Postgraduate Programme.

**11.6.8** In exceptional circumstances, where a Head of School believes that discounting affected Modules (within the prescribed limits) is an insufficient remedy, the Head of School (or nominee) may write to the Awards and Progress Committee to request that the Examining Board be permitted to discount further Credits from the award’s classification. The decision of the Awards and Progress Committee shall be final.

**Guidance**

**Module results and the award of Credit at Progression Examining Boards**

Where a student is **permitted** to be re-assessed in components affected by **Extenuating Circumstances**

Where a student retakes affected Assessment(s), the method of assessment shall, where possible, be the same as used previously. Where it is not possible for the same assessment method to be used (e.g. in a group task or in an assessment that requires access to facilities or equipment that will not be available), an assessment task should be designed to allow the student to demonstrate the same learning outcomes tested in the original assessment. If it is not possible for a student to pass a module by retaking the affected component(s), the student should be advised that they will fail the module, and will need to retake it, the mark for which will be capped.

Where a student is granted a resit as a first attempt the transcript will show they have been deemed ‘absent with good cause’ for this assessment. Where a student who has retaken an assessment achieves a lower Module mark than that achieved in their first attempt, the higher mark shall be recorded on transcripts and used in any subsequent award calculations.

**Where the student is offered the opportunity to be re-assessed in Assessment components affected by Extenuating Circumstances**

Where a student has passed affected components, but their performance has been affected by Extenuating Circumstances, **and** where the Extenuating Circumstances are related to a Protected Characteristic as defined by the Equality Act 2010, students shall normally be given an opportunity to be re-assessed in that component. This is to ensure that students are not disadvantaged unfairly by the presence of a lower mark on their transcript. Where a student has been absent from, or failed, a component that has been affected by Extenuating Circumstances and where the student has reached the pass mark in that Module, students should also be given an opportunity to be re-assessed in that component.

**Extenuating Circumstances and Condonement**

Examining Boards shall not normally apply condonement rules to Modules affected by Extenuating Circumstances. The exception to this is where the award of credit will give a student sufficient Credit to be eligible for their target award. Students must be advised of the full implications of the different courses of action available to them, and be made aware of the impact their choice will have on transcripts and degree outcomes.
Consultation with Students

Where a student is given a choice as to whether they retake an assessment or be awarded credit, the student must be made aware of all of the options available to them. Chairs of Extenuating Circumstances Groups (or nominee) should seek to consult with the student and ascertain whether they intend to retake Assessments. Students should be made fully aware, as far as possible, of their provisional mark, of the effect of their choice, and of the impact their choice may have on other parts of their programme.

Where credit is awarded in a module in which Assessment(s) have been affected by Extenuating Circumstances

Where a student is awarded Credit in Module(s) that have been affected by Extenuating Circumstances, this information must be recorded and reported to the Final Examining Board to allow Discounting, where appropriate, to be undertaken.

Where no further action shall be taken

Where a remedy has already been applied (e.g. an Extension has been granted), Examining Boards should take no further action, provided that sufficient adjustment has been made. Should the student have further Extenuating Circumstances that extend beyond the adjustment made, the student will need to submit a new Extenuating Circumstances Form for further consideration.

Module results and the award of Credit at Final Examining Boards

In the majority of cases, Final Examining Boards shall take the same action as Progression Examining Boards. The exception to this applies where a student has failed a Module, but has otherwise achieved sufficient Credit to be eligible for their target award.

Where this occurs, the Examining Board shall offer the student the opportunity to resit that Assessment, but also make the student aware that they are eligible for their award and can receive it without retaking the Assessment. Where a student chooses to be recommended for an award, the classification shall, where permitted, be determined by removing the affected Module result from the award calculation (see ‘Discounting’ below).

Award classification at the Final Examining Board

Discounting

Where a student is eligible for an award, but has passed a Module(s) that has been affected by Extenuating Circumstances, the Board may remove affected Credits from the calculation that determines the classification of that award (Discounting), provided that a sufficient remedy has not been applied previously. A Board may discount failed Credit that has been affected by Extenuating Circumstances, provided the student has achieved sufficient Credit to be eligible for that award.

The Board shall discount Module(s) from this calculation, where it benefits the student, up to the following limits:
Three-year Undergraduate Degree Programmes (with 240 Credits at Levels 5 and 6)
up to 40 Credits

Three-year Undergraduate Degree Programmes (with 300 Credits at Levels 5 and 6)
up to 50 Credits

Four-year Undergraduate Degree Programmes (with 240 taught Credits at Levels 5 and 6 – and a further 120 Credits from a Year of Experiential / Placement Learning)
up to 40 Credits

Four-year Integrated Master's Degree Programmes (with 360 Credits at Levels 5, 6 and 7)
up to 60 Credits

Five-year Integrated Master's Degree Programmes (with 360 taught Credits at Levels 5, 6 and 7; and a further 120 Credits from a Year of Experiential / Placement Learning)
up to 60 Credits

One-year Undergraduate Programmes (with 120 Credits e.g. Graduate Diplomas, Intercalated awards)
up to 20 Credits

Postgraduate Diploma (with 120 Credits at Levels 6 and 7)
up to 20 Credits

Postgraduate Certificate (with 60 Credits at Levels 6 and 7)
up to 10 Credits

Postgraduate Master's Degree Programmes (with 120 taught Credits at Levels 6 and 7, and a 60 Credit dissertation)
up to 20 Credits

Discounting shall not apply to unclassified awards (e.g. Certificate of Higher Education, Diploma of Higher Education).

Application to Awards and Progress Committee to vary the Discounting permitted

A Head of School (or nominee) may make an application to the Awards and Progress Committee to vary the amount of Credit that can be discounted from the final award calculation. In such cases, a written application that outlines the reasons for this request should be submitted to the Student Cases Service. It is anticipated that in order to maintain academic standards, these applications should be made in exceptional cases only. When students have a high proportion of Modules affected by Extenuating Circumstances, the normal advice to the student should be to take an Interruption of Study until the issue has been resolved and they can focus on their studies again. An exceptional case where it may not be possible for the student to take a break from study could be experienced in the case of terminal illness. Such a case could then be put forward by the Head of School for consideration by the Awards and Progress Committee.
Regulations (Remedies available to Examining Boards In Non-Modular Taught Programmes)

11.6.9 At Examining Boards:

The Board shall, in the case of failed Assessment(s), offer the student the opportunity to resit the Assessment(s) as a first attempt (or second/third attempt as appropriate where the student has failed previously) at the next occasion on which the Assessment(s) is scheduled to take place.

Guidance

Where possible (i.e. unless professional body regulations state otherwise), the processes adopted by non-modular programmes to manage Extenuating Circumstances should reflect the Regulations used in modular programmes, as set out above. These should normally include:

- Provision for all students to resit Assessments that are likely to have been affected by Extenuating Circumstances that have not been passed;
- Provision for students to resit Assessments where their performance has likely been affected by Extenuating Circumstances, and where the Extenuating Circumstances are related to a Protected Characteristic as defined by the Equality Act 2010;
- Provision for students whose performance was likely to have been affected by Extenuating Circumstances to carry marks forward where the student has passed that Assessment; and
- Provision for marks affected by Extenuating Circumstances to be taken out of the calculations used to classify awards.

Full details of the rules adopted by non-modular programmes to manage the outcomes of students who are likely to have had their performance affected by Extenuating Circumstances must be made available to students through programme handbooks.
Progression Examining Boards operate to make recommendations on the progression of students between levels, stages or years of study. When a Board receives reports from Extenuating Circumstances Groups of a student whose performance was affected by Extenuating Circumstances, the Board shall take action as outlined below. Progression Examining Boards shall NOT normally take any other actions, and must NOT discuss the nature of any student’s circumstances, or amend marks. Further advice is available from Student Cases in Registry, via tel. extension 76628 or 79429.

- **Student fails the Module**

- **Student passes the Module but has failed/been absent from Module assessment components impacted by Extenuating Circumstances**

- **Student passes the Module, but has had Extenuating Circumstances related to their Protected Characteristic**

- **Student passes the Module and passes all Module assessment components impacted by Extenuating Circumstances**

- **Student has been granted an adjustment (in coursework or a practical assessment)**

- **Consult with student**

- **Take no further action**

- **Student is permitted to resit affected assessment component(s)**

- **Student is awarded Credit, mark is carried forward to the Final Examining Board**
Final Examining Boards operate to make recommendations on final Awards and, where appropriate, their classification. When a Board receives a report from an Extenuating Circumstances Group of a student whose performance was affected by Extenuating Circumstances, the Board shall take action as outlined below. Given many students wish to complete their studies now and graduate with their cohort, where appropriate, students should be consulted to ascertain whether they wish to receive the award they are eligible for, or resit affected assessments that are parts of modules they have not received Credit for. Boards shall NOT normally take any other actions than those indicated below, and must NOT discuss the nature of any student’s circumstances, or amend marks. Further advice is available from Student Cases in Registry, via tel. extension 76628 or 79429.

Extenuating Circumstances Group reports that a student’s academic performance has likely been affected by Extenuating Circumstances

- Student fails the Module and does not have sufficient credit for award
- Student fails the Module but has sufficient credit for award
- Student passes the Module but has not passed a assessment component affected by Extenuating Circumstances
- Student passes the Module, but has had Extenuating Circumstances related to their Protected Characteristic
- Student passes the Module and passes all Module assessment components affected by Extenuating Circumstances
- Student has been granted an extension (in coursework or a practical assessment)

Consult with student

- Where eligible, student can opt to receive the credit and award
- Student is permitted to resit affected assessment component(s)
- Student is awarded Credit, mark is carried forward to classification stage
- Take no further action

If the student fails the Module, the Board may take the following actions:

- Consult with student
- Where eligible, student can opt to receive the credit and award
- Student is permitted to resit affected assessment component(s)
- Student is awarded Credit, mark is carried forward to classification stage
- Take no further action
To determine a student’s award classification, Final Examining Boards may remove affected credits from the calculation that determines the classification of the award (Discounting). This should only be undertaken where it benefits the student’s final mark. Discounting shall be undertaken only up to the limits prescribed in Regulations. In rare and exceptional cases, Examining Boards may apply to the Awards and Progress Committee for variation in the prescribed limits. Boards shall NOT normally take any other actions than those indicated below, and must NOT discuss the nature of any student’s circumstances, or amend marks. Further advice is available from Student Cases in Registry, via tel. extension 76628 or 79429.

Student has achieved sufficient credit for their award but has passed Modules that have been impacted by Extenuating Circumstances, (which were not remedied previously by an extension).

Discounting the affected Modules would NOT benefit the student's final mark

Discounting the affected Modules up to 1/6 of the credit that contributes to the final award would benefit the student's final mark

Discount the affected Modules from the award calculation (up to the prescribed limits)

Examining Board does not feel that the Discounting (up to the prescribed limit) is sufficient remedy

Degree is classified on the marks achieved

Apply to the Awards and Progress Committee for variation in discounting limit

Further information and advice on the Extenuating Circumstances procedure is available from the Student Cases Section in Registry (tel. ext. 76628).
12. Examining Boards

12.1 Functions of Examining Boards

Principles

Examining Boards have responsibility for confirming marks and for making recommendations on the progression and awards of students; in addition, they have responsibility for monitoring the quality and standards of these awards.

Regulations

12.1.1 Examining Boards shall:

.1 confirm marks and progression decisions and make recommendations on awards to the University Awards and Progress Committee; and

.2 monitor the quality and standards of relevant awards and make recommendations relating to the enhancement of quality and standards to Boards of Studies and School Education Committees (or equivalent) as appropriate.

Guidance

Progress and Awards

In all Programmes, unless an exception has been approved by ASQC, schools will use SIMS to record the marks achieved by students in assessments. This will allow progression and award decisions to be arrived at and to allow recommendations for awards to be presented to the Awards and Progress Committee and to be reported to students.

Schools not using SIMS to manage assessments will import the final marks achieved by individual students into SIMS to allow recommendations for awards to be managed as above.

Quality and Standards

Examining Boards have a key role in the management of quality and standards in the University. It is an important role not least because it is one of the few occasions when externality, through the involvement of the External Examiners, is brought to these processes.

Examining Boards will identify ways through which quality and standards can be enhanced. Boards shall record this information and identify the relevant bodies within schools to which recommendations will be passed.

The decision as to whether recommendations should be referred to a Board of Studies and/or the School Education Committee (or equivalent) will depend on the nature of the issue raised and the remit of the relevant bodies within that
Thus, it may be appropriate for matters related to the assessment of an individual module to be considered by the Board of Studies, whereas comments on the nature of feedback that students have received might be more appropriately referred to the School Education Committee.

12.2 Structure and Timing of Examining Boards

**Principles**

Examining Boards shall meet to monitor and confirm student performance in both individual Modules (or Units of Study) and across Programmes. Examining Boards shall consider the quality of provision and the standards of awards across modules, years and programmes. Examining Boards shall normally meet to consider student progression at the end of each academic year. Examining Boards shall meet to confirm the progression of students who have taken a Year of Experiential and/or Professional Learning in advance, where possible, of the start of the next academic year, and if not, as soon as the marks become available.

**Regulations**

12.2.1 Examining Boards shall consider the performance of each student in accordance with Senate Regulations.

12.2.2 The performance of each student shall be considered in two stages, initially on a Module-by-Module or Unit of Study-by Unit of Study basis and subsequently by looking at the overall performance for each year or Stage.

12.2.3 Examining Boards shall be established by Heads of School on the advice of School Boards, in accordance with one of the following structures:

**Unitary Structure**

*Programme Examining Board:* A Programme Examining Board is wholly responsible for one or more Programmes without reference to a Subject Examining Board. Programme Examining Boards shall, where appropriate:

.1 consider any defects or irregularities in the conduct of Examinations,

.2 determine, in accordance with section 11, the action to be taken for a student who has Extenuating Circumstances;

.3 confirm marks for each student for individual Modules or Units of Study;
.4 confirm whether each student has passed or failed each Module or Unit of Study;

.5 confirm the opportunities, if any, for the retrieval of failed Modules or Units of Study;

.6 confirm whether or not a student is permitted to progress to the next year or academic stage of the Programme;

.7 confirm whether or not a student will be eligible for any exit-point award for the Programme, should he/she subsequently withdraw or otherwise fail to complete the Programme;

.8 confirm whether or not a student shall be awarded the designated award for the Programme;

.9 confirm, where appropriate, the classification for each student.

Two-Tier Structure

Subject Examining Board: A Subject Examining Board is a Sub-Board which is responsible for one or more Modules or Units of Study and which makes recommendations to a Composite Examining Board. Subject Examining Boards shall make recommendations, in writing, to the Composite Examining Board on:

.1 the marks to be awarded for each student for each Module or Unit of Study;

.2 any defects or irregularities in the conduct of Examinations.

Composite Examining Board: A Composite Examining Board is responsible for one or more Programmes and receives recommendations from more than one Subject Examining Board. Composite Examining Boards shall, where appropriate:

.1 consider any defects or irregularities in the conduct of Examinations, and the recommendations of the Subject Examining Board thereon, if any;

.2 determine, in accordance with section 11, the action to be taken for a student who has Extenuating Circumstances;

.3 confirm marks for each student for individual Modules or Units of Study;

.4 confirm whether a student has passed or failed each Module or Unit of Study;

.5 confirm the opportunities, if any, for the retrieval of failed Modules or Units of Study;

.6 confirm whether or not a student is permitted to progress to the next year or academic stage of the Programme;
.7 confirm whether or not a student will be eligible for any exit-point award for the Programme, should he/she subsequently withdraw or otherwise fail to complete the Programme;

.8 confirm whether or not a student shall be awarded the designated award for the Programme;

.9 confirm, where appropriate the classification for each student.

12.2.4 Autumn and Spring Semester Exam Boards. Heads of Schools, on the advice of School Boards, shall decide whether Programme or Subject Examining Boards for modular Programmes shall be held to consider the performance of students in each Module completed during the course of the Autumn Semester and to confirm the Module Mark(s) and result(s).

12.2.5 Students shall be informed by the Head of School, or nominee, at the beginning of the session, whether Programme, Subject or Composite Examining Boards are to be held to consider the performance of students in each Module completed during the course of the Autumn Semester and to confirm the Module Mark(s) and result(s).

12.2.6 All Programme and Composite Examining Boards shall meet to consider either:

.1 the performance of students in each Module or Unit of Study for which the Assessment has been completed during the course of the Spring Semester, and confirm the Module Mark(s) and result(s), if an Examining Board has previously been held in accordance with 12.2.4;

or

.2 the performance of students in each Module or Unit of Study for which the Assessment has been completed during the course of the Session, and confirm the Module or Unit of Study Mark(s) and result(s), if no Examining Board has previously been held in accordance with 12.2.4.

12.2.7 All Programme, Subject and Composite Examining Boards which hold Assessments during the Resit Examination Period, or between the Spring Examination Period and the Resit Examination Period, shall meet following the Resit Examination Period and before the commencement of the following Session.


Guidance

Examining Board Structures

Schools shall operate single and/or two-tier structures and will need to agree which model best meets their individual needs. This choice will be influenced by whether schools have modules that contribute to one or to multiple programmes. The above Regulations provide flexibility in this area, so that schools can continue to use the structures they have, over time, developed. Where a two-tier
structure is in operation, it is important that Subject Boards provide the relevant marks to the Programme Board as soon as these are agreed. Whatever structures are operated, schools must notify students of these through handbooks.

**Timing of Examining Boards**

In determining whether Boards shall be held to consider the performance of students in modules completed during the course of the Autumn Semester (see 12.2.4 above), Heads of School and Chairs of Boards are invited to note that these Boards are normally held separately from the Board held to consider Modules completed during the Spring Semester.

Holding Autumn Semester Boards carries the risk that the marks for a module may not be able to be moderated (should the distribution of marks prove to be out of line with other modules). Where it is permitted or required, students who fail modules in the Autumn semester may also find it more difficult to retrieve these modules in the Spring Semester, given that they will be taking these modules in addition to those scheduled in the Spring Semester. Resit opportunities should only be available after an Examining Board has confirmed marks.

**Year of Experiential and/or Professional Learning**

While it is recognised that it can be difficult for Boards to convene and consider such provision to meet in advance of the start of the next academic session, schools should seek to hold such Boards as soon as they can, and should seek to ensure that students are made aware when these Boards will meet and how the progression of students who take a Year of Experiential and/or Professional Learning will be managed. Boards must seek to enter marks into SIMS as soon as they become available.

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<table>
<thead>
<tr>
<th>12.3 Membership of Examining Boards</th>
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<tbody>
<tr>
<td><strong>Principles</strong></td>
</tr>
<tr>
<td>Examin ing Boards shall be chaired by a senior member of the academic staff appointed by the relevant Head of School.</td>
</tr>
<tr>
<td>Examin ing Boards shall include staff nominated to confirm marks and to monitor the quality and standards of the individual Modules/Units of Study being considered by that Board.</td>
</tr>
<tr>
<td>The support of Examining Boards shall be undertaken by a named Convenor who shall be a member of University staff.</td>
</tr>
<tr>
<td>Examin ing Boards shall be quorate and able to make recommendations when the Chair is satisfied that an appropriate spokesperson for each Module or Unit of Study is present.</td>
</tr>
</tbody>
</table>
Regulations

12.3.1 The membership of Examing Boards shall include:

.1 the Chair of the Examining Board;
.2 the Internal Examiner(s);
.3 the External Examiner(s) - where a Module or Unit of Study contributing to the final assessment is considered.
.4 the Chair of the Extenuating Circumstances Group or nominee.

12.3.2 The Chair of a Programme or Subject Examining Board shall be the Head of School, or nominee. The Head of School shall inform the students at the beginning of the session of the name of the Chair of the Programme or Subject Examining Board. Where practicable, the Head of School shall inform students of any subsequent change of Chair. In the absence of Chair from a meeting, the Board shall appoint a deputy, where possible from amongst the senior staff present at the meeting.

12.3.3 The Chair of a Composite Examining Board shall be a Head of School or other senior member of the academic staff. The Chair shall be designated by the Heads of Schools of the Schools responsible for the suite of single and/or joint degree programmes under the aegis of the Board.

12.3.4 Internal Examiners shall be appointed by the Head of School on the advice of the School Board and shall include a spokesperson for each Module/Unit of Study.

All Internal Examiners shall be expected to attend all meetings of the Examining Board unless their absence has been authorised by the Chair of the Examining Board.

12.3.5 External Examiners: The eligibility of persons for appointment as External Examiners and the procedure for the appointment of External Examiners shall be in accordance with section 13.

12.3.6 Advisory Members: The Chair of an Examining Board may invite appropriate persons to attend a meeting of an Examining Board in an advisory capacity. Such persons shall possess no voting rights.

12.3.7 Quorum: The quorum for Examining Boards shall be when the Chair is satisfied that an appropriate spokesperson(s) for each Module/Unit of Study is/are present.

Guidance

Examining Board Chairs

Schools should ensure that students are informed of the names of Examining Board Chairs through handbooks.

Internal Examiners
Heads of School shall appoint module leaders or individual members of staff who can appropriately represent individual modules as Internal Examiners. While Schools should not seek to exclude academic staff from attending Boards, it should be recognised that the main roles of Boards, as set out in 12.4 below, do not require all teaching staff to be in attendance.

Academic staff that have not been appointed as Internal Examiners may wish to attend relevant Boards as Advisory Members and should get the agreement of the Chair for this prior to their attendance.

The membership of Composite Examining Boards held across different schools (e.g. the Composite Board that deals with joint honours programmes in the humanities) shall be determined by the Chair of the Composite Board in conjunction with the relevant schools.

**External Examiners**

While External Examiners are required to attend meetings of Examining Boards at which award classifications are determined, they have an involvement in monitoring the standards of Programmes on a regular basis. Schools may invite External Examiners to attend non-final meetings of the Examining Board but there is no requirement for them to attend. Schools should ensure that External Examiners are apprised fully of the role that they are expected to play at different points (see section 13).

In taught Master’s Programmes, the Chair of an Examining Board should discuss with External Examiners whether it will be preferable for them to attend at the end of the taught stage, after dissertations have been submitted, or at both points.

**Advisory members**

In addition to the attendance of relevant academic members of staff, Chairs of Examining Boards may wish to invite other staff involved in the delivery of Programmes to Examining Boards and to request that relevant members of Registry attend to help support and advise Boards.

**Joint-Honours Programmes**

Where joint-honours Programmes that operate across more than one school, the Heads of those schools shall identify and appoint a Chair to a Composite Board. The Chair shall determine the membership of the Composite Board, ensuring that all of the academic elements that are considered by that Board are represented appropriately.

<table>
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<tr>
<th>12.4 Operation of Examining Boards</th>
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<tbody>
<tr>
<td><strong>Principles</strong></td>
</tr>
<tr>
<td>Examining Boards will have appropriate information available to them to allow them to undertake their roles and responsibilities.</td>
</tr>
<tr>
<td>Examining Boards will confirm, but not amend, individual marks.</td>
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</tbody>
</table>
Schools shall establish Extenuating Circumstances Group(s) to act in accordance with regulations for Extenuating Circumstances.

Examining Boards shall confirm the action to be taken when students are determined to have had Extenuating Circumstances.

Regulations

12.4.1 Examining Boards will use standard University templates and reports to record and present recommendations to the University Awards and Progress Committee, Board of Studies and/or School Education Committee as appropriate.

12.4.2 Examining Boards will determine the action to be taken when students are considered to have had Extenuating Circumstances, in accordance with the relevant Regulations.

12.4.3 Chairs of Examining Boards shall be responsible for:

1 scheduling Examining Board meetings (taking into account deadlines specified by the Academic Registrar and the date of related Examining Boards) and notifying members of the date and time of meetings;

2 chairing meetings of the Examining Board;

3 authorising the absence of member(s) from meetings and, in the event of the absence of any Internal or External Examiners, taking whatever action is felt desirable to complete the business of the meeting;

4 signing any result schedules and mark schedules which are confirmed at meetings of the Examining Board;

5 in a matter of urgency, or when it seems to the Chair to be desirable, acting on behalf of the Examining Board.

Following a meeting of the Examining Board, Chairs of Examining Boards may act executively, subject to the appropriate consultation, in the following circumstances:

i. to correct an error or omission on the result schedule approved at the meeting of the Examining Board;

ii. to correct an error or omission in the Module or Unit of Study result(s) and subsequent progression;

iii. to recommend an amendment to a final award where the correction of the mathematical calculation brings about a change to the award and/or its classification.

Save as indicated in i, ii and iii above, Chairs of Examining Boards may not act executively:

iv. to recommend an award or change its classification; or
v. to require a student to withdraw.

The Chair shall report any action taken to the Board at its next meeting;

.6 taking such action as may be required in respect of procedures for:

- the maintenance of student anonymity;
- the management of Extenuating Circumstances (see section 11);
- the disclosure of Examination marks;
- the Unfair Practice Procedure;
- the Academic Appeals Procedure;
- the retention of confirmed Module or Unit of Study marks for a minimum period of ten years from the date of the meeting at which the marks were confirmed.

.7 ensuring that all marks have been recorded and are readily available to the Examining Board;

.8 ensuring that formal Minutes of the meeting of the Examining Board are taken, and retained for a minimum period of ten years.

Guidance

Duties and Responsibilities of Examining Board Members

Examining Board members shall seek to support the Chair in undertaking the duties set out in these Regulations. Board members should also seek to support External Examiners in undertaking their role and to engage constructively with discussions in matters related to quality and standards, particularly when this focuses on Modules that an individual member of staff has responsibility for.

Using Management Information and Reports to Support the Operation of Boards

To support their work, Examining Boards that utilise SIMS to manage assessment will be provided with reports that detail:

- The distribution of Final Marks achieved by students on the Programme in that session;
- The distribution of classified awards in that Programme in the last three years;
- The number of students who have taken a particular Module;
- The highest, lowest, mean, median and standard deviation of Module Marks over the last three years;
- For each of the students who has taken each module:
- Programme Code
- Student number
- Student name
- The attempt number
- The marks achieved in assessment components
- The Module Mark
- The Module result
- An indication of any Extenuating Circumstances;

- Result schedules (for both Final Award and Continuing Students). These will be available with or without student names and will be able to be ordered by rank or student family name. Students who have not completed a full year of study (withdrawals and interruptions of study) will be shown separately at the bottom of the report.

**Conduct of Meetings**

Boards should first consider the performance of individual students in accordance with 12.2.3 above. The available template should be used to record the minutes of the Board. In undertaking this role, Boards should seek to follow the guidance contained in the Examining Board Processing Manual issued annually by Registry.

Schools should ensure that students are aware that Examining Boards are not able to amend the marks achieved by individual students, and should seek to develop secure and reliable processes that will enable Examining Boards to operate anonymously. Operating Boards anonymously will help re-assure students of the probity of the assessment process.

Boards should then review the overall results and the performance of students in the light of the Management Information provided above and the comments of the External Examiner(s) and members of the Examining Board.

**Using the University Templates**

Examining Boards (and relevant Sub-Groups) should use the University templates provided for:

- recording the minutes of Extenuating Circumstances Groups;
- reporting the Outcomes of the Extenuating Circumstances Groups to relevant Examining Boards; and
- recording the minutes of Examining Boards.

Minutes and outcomes should be recorded formally, noting only decisions and factual details and without reference to particular members of the Board or Extenuating Circumstances Groups.

**Support for Examining Boards**
Heads of School(s) shall appoint an Examining Board Convenor to support the operation and administration of Board(s) and to help Chair(s) ensure that the responsibilities listed in 12.4.3 above are undertaken. Examining Board Convenors also have responsibility for:

- co-ordinating the preparation of Examination question papers for submission to the Superintendent of Examinations by the specified deadline for printing, ensuring, where applicable, that question papers are submitted for the prior approval of the External Examiners;

- making arrangements for the collection of worked Examination scripts from the Examination Venue at the end of an Examination or, alternatively, from the Superintendent.

Convenors may also serve as Examinations Liaison Officers and provide further support for the organisation of Examinations as appropriate.

### 12.5 Consideration of Specific Provision and Extenuating Circumstances

<table>
<thead>
<tr>
<th>Principles</th>
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<tbody>
<tr>
<td>Schools shall establish Extenuating Circumstances Group(s) to act in accordance with Regulations for Extenuating Circumstances.</td>
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<tr>
<td>Examining Boards shall confirm the action to be taken when students are determined to have had Extenuating Circumstances.</td>
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<tr>
<td>Examining Boards (and any Groups thereof) shall follow the relevant Principles, Regulations and Guidance set out in Senate Assessment Regulations.</td>
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<tr>
<th>Regulations</th>
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<tbody>
<tr>
<td><strong>12.5.1 Programme or Subject Examining Boards shall:</strong></td>
</tr>
<tr>
<td>.1 receive a record of all students who have submitted applications for Specific Provision and record whether Specific Provision was approved; (see also section 9);</td>
</tr>
<tr>
<td>.2 consider Extenuating Circumstances in accordance with the relevant section of Senate Assessment Regulations; (see also section 11);</td>
</tr>
<tr>
<td>.3 receive a record of those students permitted a Supplementary Assessment or an extension to the submission date of Coursework; (see also section 11).</td>
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<tr>
<th>Guidance</th>
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<tbody>
<tr>
<td>Schools must consider Specific Provision and Extenuating Circumstances in accordance with the relevant section in Senate Assessment Regulations.</td>
</tr>
</tbody>
</table>
### Declaration of Personal Interest

#### Principle

Staff shall inform their Head of School of any personal interest relating to a student at the earliest opportunity to allow appropriate arrangements to be put in place to protect the probity of the Assessment.

#### Regulations

12.6.1 Members of staff are required to inform their Head of School of any personal interest relating to a student at the earliest opportunity. Where a member of staff has informed the Head of School of a personal interest relating to a student, the Head of School, having consulted the Superintendent, shall as he/she deems appropriate:

.1 put in place arrangements to ensure that the member of staff is not responsible for the setting of Examination question papers to be taken by the student or the marking of any of the student's Assessments, and shall advise the Superintendent of the measures taken;

.2 inform the Chair of the Examining Board of the member of staff's interest relating to the student and that he/she should be required to withdraw from the meeting of the Examining Board when the student's case is discussed;

.3 instruct the Chair of the Examining Board to ensure that a declaration of interest, and withdrawal of the member of staff from the Examining Board, shall be recorded in the Minutes of the meeting of the Examining Board.

### EXTERNAL EXAMINERS

#### Appointment

13.1 One or more External Examiners shall be appointed for each Programme and Subject Examining Board which considers Modules or Units of Study contributing towards the final award. The number of External Examiners to be appointed shall be determined by the nature and size of the Programme and subject to approval by the Academic Standards and Quality Committee.

An External Examiner may be appointed for one or more Programme or Subject Examining Board(s). The budget available for the payment of External Examiners and their expenses shall be approved by the Senate and the University Council. The appointments of External Examiners shall be made within the limits imposed by the budget.

The Academic Registrar will remind Heads of Schools no less than three months in advance of the expiry of the term of office of an External Examiner such that Heads can invite action to seek a replacement.
The nomination form for External Examiners, both new and replacement, shall be as determined by Senate.

Senate has delegated authority for the approval of nominations to the Academic Standards and Quality Committee.

Nominations for both new and replacement External Examiners should be submitted by the appropriate Head of School for consideration by the Academic Standards and Quality Committee no later than the first meeting of the session in which the appointment is to be made.

The Academic Registrar will send a letter of appointment to each External Examiner following approval of the nomination by the Academic Standards and Quality Committee and will inform the Head of School when the appointment has been accepted by the External Examiner.

13.1.2 The Academic Standards and Quality Committee applies the following set of criteria (adapted from the QAA’s UK Quality Code for Higher Education) for appointing External Examiners and makes every effort to ensure that External Examiners are competent to undertake their responsibilities. The criteria are used to ensure that potential conflicts of interest are identified and resolved prior to appointing External Examiners or as soon as they arise.

The Academic Standards and Quality Committee may, on the recommendation of a Head of School, approve legitimate cases for making an appointment that does not fulfil all criteria.

Person Specification – nominees shall normally satisfy the following criteria:

.1 be at Senior Lecturer level or above (or at an appropriate level of seniority in the relevant profession);

.2 demonstrate knowledge and understanding of UK-agreed reference points for the maintenance of academic standards and assurance and enhancement of quality;

.3 competence and experience in the fields covered by the Programme, or parts thereof, in the design and operation of a variety of assessment tasks appropriate to the subject and in the operation of assessment procedures;

.4 possess relevant academic and/or professional qualifications to at least the level of the qualification being externally examined, and/or extensive practitioner experience where appropriate;

.5 be of sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers;

.6 be familiar with the standard to be expected of students to achieve the award that is to be assessed;

.7 possess fluency in English and/or Welsh as appropriate to the Programme, and where Programmes are delivered and/or assessed in other languages, fluency in the relevant language(s) (unless other secure arrangements are in place to ensure that External Examiners are provided with the information to make their judgements);
.8 meet any applicable criteria set by professional, statutory or regulatory bodies, where appropriate;

.9 have an awareness of current developments in the design and delivery of relevant curricula;

.10 have competence and experience relating to the enhancement of the student learning experience.

Where External Examiners from outside higher education institutions are nominated, and where there are no other External Examiners from within higher education institutions as members of the relevant Examining Board, it will be necessary to demonstrate, when nominating, that such persons have relevant experience to meet the above criteria.

Conflicts of Interest – nominees should not fall into the following categories or circumstances:

.11 a member of the University Court, Council or Senate or of any committee of the University or of one of its collaborative partners, or a current employee of the University or one of its collaborative partners;

.12 anyone with a close professional, contractual or personal relationship with a member of staff or student involved with the Programme;

.13 anyone required to assess colleagues who are recruited as students to the Programme;

.14 anyone who is, or knows they will be, in a position to influence significantly the future of students on the Programme;

.15 anyone significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment of the Programme or modules in question;

.16 former staff or students of the University unless a period of five years has elapsed and all students taught by or with the External Examiner have completed their Programme(s);

.17 a reciprocal arrangement involving cognate Programmes at another institution;

.18 the succession of an External Examiner by a colleague from the Examiner’s home department and institution;

.19 the appointment of more than one External Examiner from the same department of the same institution.

Terms of Office

.20 The duration of an External Examiner’s appointment will normally be for four years, with an exceptional extension of one year to ensure continuity. Extensions shall be approved by the Academic Standards and Quality Committee on the nomination of the Head of School.
.21 An External Examiner may be reappointed, in exceptional circumstances but only after a period of five years or more has elapsed since their last appointment.

.22 External Examiners shall normally hold no more than two External Examiner appointments for taught programmes/modules at any point in time.

13.1.3 The appointment of an External Examiner may, in exceptional circumstances, be terminated during the period of the appointment by the Academic Standards and Quality Committee following consultation with the Head of School. This may occur under the following circumstances:

- where it is perceived that the External Examiner has not fulfilled his/her duties and responsibilities associated with the post;
- following the discontinuation of, or non-recruitment to, the Programme;
- where a conflict of interest arises which cannot be satisfactorily resolved.

The Academic Standards and Quality Committee shall take appropriate action to resolve conflicts of interest.

13.1.4 An External Examiner may resign by writing to the Academic Registrar, giving a reasonable period of notice to allow the University to identify and appoint a suitable replacement.

13.2 ROLE AND DUTIES OF EXTERNAL EXAMINERS

External Examiners are regarded as full and equal members of Examining Boards whose key role is to provide advice and guidance, and to give an external perspective to the Board. While External Examiners do not have a right of veto on Board decisions, Examining Boards should pay careful attention to any recommendations made by them.

With regard to the Programme, External Examiners shall:

13.2.1 ensure that the Assessment process is valid, reliable and explicit and be expected to provide informative comment and recommendations upon whether or not:

- the University is maintaining the threshold academic standards set for its awards in accordance with the frameworks for higher education qualifications and applicable subject benchmark statements;
- the assessment process measures student achievement rigorously and fairly against the intended outcomes of the Programmes(s) and is conducted in line with Senate Regulations and related policies and guidance;
- the academic standards and the achievements of students are comparable with those in other UK higher education institutions of which the External Examiners have experience.

[derived from UK Quality Code for Higher Education, Chapter B7: External Examining]
13.2.2 contribute to the Examining Board’s responsibility to monitor the quality and standards of relevant awards and to make recommendations relating to the enhancement of quality and standards to Boards of Studies and School Education Committees (or equivalent) as appropriate.

13.2.3 consider, comment on, and approve all Examination papers contributing to the final award, in the context of the relevant Programme specifications;

13.2.4 consider, comment on, and approve all Class Tests, Practical-Based Assessments and Coursework elements which contribute 50% or more to the mark for any Module or Unit of Study assessment contributing to the final award, in the context of expected outcomes;

13.2.5 be provided with Examination scripts, Class Test scripts, outcome of Practical-Based Assessments and Coursework to determine that internal marking and classifications are of an appropriate standard; (See also Senate Regulations for Taught Master's Degrees – Dissertation Submission: Modular and Non-Modular Programmes, Section 5 Sampling of Taught Master's Dissertations by External Examiners);

13.2.6 as appropriate to the Programme participate in clinical and/or Practical-Based Assessments;

13.2.7 attend meetings of Examining Boards at which Award classifications or specified elements of them are confirmed;

13.2.8 submit written reports annually;

13.2.9 be consulted by Heads of Schools on changes to the forms of Assessment for any Module or Unit of Study contributing to the final assessment of an Award.

In addition:

13.2.10 External Examiners are asked to sign the Examining Board Checklist to confirm that they have been involved in the work of the Examining Board in determining the results;

13.2.11 External Examiners' signatures on the Examining Board Checklist shall not be taken as an endorsement of the standards or the conduct of the Assessment which are matters for consideration in External Examiners' reports to the University;

13.2.12 The University deems that, in confirming the academic standards of a final award in their reports, External Examiners are also deemed to confirm endorsement of the level and standards of its component parts as appropriate to the structure of the award;

13.2.13 In completing their reports, External Examiners are asked to endorse the outcomes of the assessment processes they have been appointed to scrutinise.

13.2.14 Inappropriate Contact From Students

It is inappropriate for students to initiate direct contact with External Examiners. Any direct contact received by External Examiners should be referred to the Academic Registrar. External Examiners should not respond to any direct contact initiated by students.
13.2.15 Conflicts of Interest

External Examiners are required to draw the attention of the Academic Registrar to any possible conflict of interest that might arise during their appointment.

13.2.16 Serious Concerns

External Examiners have a right to raise any matter of serious concern with the Vice-Chancellor, if necessary by means of a separate confidential written report. The University will provide a considered and timely response to any confidential report received, including details of any action that will be taken as a result.

Where an External Examiner has a serious concern relating to systemic failings with the academic standards of a Programme or Programmes and has exhausted all published internal procedures, including the submission of a confidential report to the Vice-Chancellor, he/she may invoke QAA’s concerns scheme or inform any relevant professional, statutory or regulatory body.

Guidance

Approving Forms of Assessment

Heads of School shall clarify for External Examiners, at the start of the academic year procedures for approving forms of assessment, Examination papers and Coursework. Under Senate Assessment Regulations, External Examiners are required to consider, comment on, and approve all Examination papers, and any Class Tests, Practical Assessments and Coursework Elements that contribute 50% or more to the mark for any Module or Unit of Study assessment contributing to the final Award. It is good practice for schools to provide a response to External Examiners on any suggested amendments to papers or other Assessments.

In undertaking their duties it is recommended that External Examiners should seek to ensure that Assessments:

- are appropriate to the level of study;
- will enable learners to demonstrate achievement of the learning outcomes;
- cover the subject content appropriately; and
- are accessible and fair, so that all learners have equal opportunity to demonstrate achievement of the learning outcomes.

Heads of School are required to consult with External Examiners on major changes to the methods of assessment for any Module or Unit of Study contributing to the final Award.

Meetings with Students

Senate encourages the provision of opportunities for External Examiners and students to meet (either in person or by electronic means) to discuss the programme of study and its assessment. Such meetings may lead to the identification of possible programme enhancements and provide the External
Examiner with a rounded overview of the quality and standard of the student experience and enhance the External Examiner’s contribution to the consideration of such matters by the Examining Board. The annual reports of External Examiners often usefully include headline issues raised in such meetings.

The Head of School or Chair of Examining Board is expected to confirm to External Examiners, at the start of the academic year, the opportunities available to them to meet with students in the absence of members of staff.

It is anticipated that such meetings should normally include the opportunity to meet with student representatives in the later stages of the Programme(s) in question. Such students should be well placed to provide informed views of the overall student experience.

Except as indicated above, it is inappropriate for students to initiate direct contact with External Examiners. Any direct contact received by External Examiners should be referred to the Academic Registrar.

**Marking and Moderation**

Heads of School are required to put in place procedures to ensure that there is reliable and consistent moderation of marks. Schools should identify and publicise the processes and procedures used in this area to students and other relevant stakeholders. These may include second marking, moderation and other relevant processes. External Examiners are invited to consider and comment upon procedures in this area, to ensure the reliability and consistency of marking and feedback.

External Examiners should be provided with a sample of Examination scripts, Class Test scripts, outcomes of Practical Assessments and Coursework to determine that internal marking and classifications are of an appropriate standard. Schools are encouraged to enter into a dialogue with External Examiners on arrangements for moderation and sampling. This should begin at the earliest possible opportunity. A sample will normally include a selection of scripts from the top, middle and bottom of the range, of borderline candidates, and from those assessed internally as first class/distinction or fail. Scripts should be provided with the comments of the internal markers and the overall mark-sheet covering all students.

External Examiners must not be requested to arbitrate and/or ‘third mark’ assessments where two internal markers have arrived at substantially different marks. Where ‘third marking’ does take place, both of the original marks should be made available to External Examiners to help illustrate standards.

External Examiners may recommend reconsideration by the Examining Board of the level of marking across student cohorts or across individual Assessment components. External Examiners should not be required or invited to make recommendations on, or change the marks of individual students.

External Examiners should not be involved in marking, except in the case of clinical and/or Practical-Based Assessments.

**Unfair Practice**

If External Examiners suspect that an Unfair Practice has taken place, they must report this to the Chair of the Examining Board, who will invoke the University’s
Unfair Practice Procedure. Examining Boards must not consider suspected cases of plagiarism / unfair practice outside of this Procedure.

13.3 SUPPORT FOR EXTERNAL EXAMINERS

13.3.1 Upon Appointment

The Registry shall provide External Examiners with:

- the latest External Examiner Handbook;
- details of fees and expenses payable;
- a copy of the predecessor’s last report, where available at the time of appointment.

The Head of School or nominee shall provide External Examiners with copy of the Programme Information provided to students registered on the Programme(s) including:

- Entry Requirements;
- Programme Specification;
- Structure of the Programme;
- Module / Unit of Study Descriptions;
- Rules on Assessment, Progression and Award

and shall confirm the names and contact details of appropriate staff in the School (including the Head of School, Chair and Secretary of the Examining Board, Chair of the Board of Studies, Programme Director and appropriate administrative staff).

The Chair of the Programme or Subject Examining Board shall provide External Examiners with details of procedures to operate throughout their term of office including:

- arrangements for the approval of draft Examination papers and other Assessments;
- opportunities for the External Examiner to visit the School prior to their first Examining Board to support them in their role;
- opportunities for the External Examiner to meet with students (either in person or by electronic means) without staff being present

and shall agree the date(s) of Examining Board(s) for the first Session.

13.3.2 After Appointment

The Registry shall annually provide External Examiners with:

- the latest External Examiner Handbook;
- Report Form(s) templates for completion by the External Examiner;
- details of fees and expenses claims.

The Chair of the Programme or Subject Examining Board shall provide External Examiners with details of:
- any proposed changes to the Assessment of any Module or Unit of Study contributing to the final Award, for comment;
- any changes to procedures involving the External Examiner

and shall, for each session, agree the date(s) of Examining Board(s).

**Guidance**

**Induction of External Examiners**

On appointment, External Examiners are provided with a copy of the External Examiner Handbook by Registry. This sets out the roles and duties of External Examiners and includes details of the documentation issued to External Examiners by Heads of School. It also lists the responsibilities on Chairs of Examining Boards to put in place arrangements through which relevant procedures and conventions can be made available to and agreed with External Examiners.

It is the responsibility of schools and Chairs of Examining Boards to ensure that External Examiners are adequately prepared to undertake their role. A checklist of good practice in relation to information and guidance to be provided to External Examiners is provided by Registry to Heads of School with confirmation of new appointments.

Schools may hold specific induction events for External Examiners. Further advice on the range of topics that might be covered through induction events is available from Registry on request. External Examiners may claim fees and expenses associated with induction from the University. Further information on this is available on request from Registry.

External Examiners may request that Chairs of Examining Boards provide additional information at any time. Senate encourages Schools and External Examiners to enter into an early, open dialogue on any aspect of the roles and responsibilities of External Examiners, including the nature of any specific induction activities.

**13.4 MEETING OF THE EXAMINING BOARD**

**13.4.1** In the case of undergraduate Programmes External Examiner(s) shall be expected to attend the meeting of the Programme, Subject and Composite Examining Board where the final award for students is determined. In the case of taught postgraduate Programmes External Examiner(s) shall be expected to attend at least one meeting of the Examining Board per year and the meeting(s) attended should be agreed, in advance, by the External Examiner and the Chair of the Examining Board.

If an External Examiner cannot or does not attend a meeting, he/she shall be available for consultation. In such circumstances, the External Examiner shall dispatch to the Chair of the Programme or Subject Examining Board, in accordance with his/her directions, all documents necessary for the conduct of the business of the meeting.

**13.4.2** The External Examiner(s) shall be required to sign any result schedules and mark schedules which are determined at the meetings of the Examining Board(s) in accordance with 13.2.10 and 13.2.11 above.
Guidance

The key role of External Examiners in the Assessment process is to assure that standards are being maintained. External Examiners also need to ensure that Assessment is valid and reliable. Views on the above are made available to the University through the report forms that External Examiners are required to complete.

External Examiners must be notified of the dates on which Examining Boards meet well in advance of the meeting. External Examiners should seek to make every effort to attend meetings of the Examining Board. As specified in Senate Regulations, External Examiners are full and equal members of the Examining Board, but do not have the power of veto over the decisions made by the Board.

As specified in Senate Regulations, External Examiners are asked to sign the Examining Board Checklist to confirm that they have been involved in the work of the Examining Board in determining the results. External Examiners’ signatures on the Examining Board Checklist shall not be taken as an endorsement of the standards or the conduct of the Assessment which are matters for consideration in External Examiners’ reports to the University.

13.5 REPORTS

13.5.1 External Examiners shall be required at the end of each Session to submit a written report. No payment of fee or expenses shall be made until the report is received from the External Examiner.

Guidance

External Examiners are required to submit an External Examiner's Report to the University on an annual basis. It is the normal expectation that:

- Reports on undergraduate Programmes should be made within six weeks of the final Examining Board;
- Annual Reports on taught Master's Programmes should be submitted within six weeks of the meeting of the Examining Board at the end of the taught Stage of the Programme.

The form of the Report shall be as determined by Senate. The University requires External Examiners to report on:

- whether the standards set are appropriate for its awards, or award elements, by reference to published national benchmarks and by reference to the University's programme specifications and other relevant information;
- the standards of student performance in those Programmes or parts of Programmes which they have been appointed to examine, and on the comparability of the standards with those of similar Programmes or parts of Programmes in other UK higher education institutions;
- the extent to which its processes for Assessment, Examination, and the determination of Awards are sound and have been fairly conducted.
A Report shall be provided by the External Examiner for each Programme examined except where programmes are closely related, where a composite Report may be accepted.

External Examiners' reports are received by the Cardiff University Registry on behalf of the Vice-Chancellor. The Vice-Chancellor has delegated responsibility for responding to External Examiners' Reports to the Academic Registrar. Upon receipt of an External Examiner's Report, the Academic Registrar shall identify any issues which, in the Academic Registrar's view, require an Institutional Response. Unless the School has indicated a preference for an alternative arrangement, (such as a single generic email address or contact person) the Academic Registrar shall send such reports and details of issues to which an Institutional Response are required to:

– the appropriate Head/Dean of School,
– the appropriate Chair of the Examining Board; and/or
– the appropriate Chair of the Board of Studies, or equivalent; and/or
– the appropriate member(s) of the School's senior administrative staff.

The School shall send a copy of the report to the relevant Professional, Statutory or Regulatory Body where this is a requirement of that PSRB.

Where the Report contains comment on the teaching or learning process in the Programme the Head/Dean of School shall make a copy available to the Chair of the School Teaching Committee, or equivalent body.

Where the Academic Registrar identifies no issues within an External Examiner’s Report which require an Institutional Response informed by the School, the Academic Registrar shall issue an Institutional Response to the External Examiner without delay or further input from the School. The Academic Registrar shall send a copy of the Institutional Response and a copy of the Report to the Head of School (or as otherwise instructed by the School).

Reports of External Examiners shall be considered by the relevant Board of Studies and form part of Cardiff University procedures for Annual Review and Enhancement. External Examiner Reports and Institutional Responses will be made publically available online and, for this reason, External Examiners should not identify in their reports individual students or members of staff.

It shall be the responsibility of the Head of School to advise the Academic Registrar within two weeks of such action as it is intended to take on those issues identified in the Report in the form of a draft Institutional Response. Draft Institutional Responses provided to REGIS by persons other than the Head/Dean of School shall be considered to bear the authority of the Head/Dean of School.

On the basis of the draft Institutional Response, and subject to any further liaison with the School concerned, the Academic Registrar shall issue an Institutional Response. The Academic Registrar shall issue a copy of the Institutional Response to the Head of School (or as otherwise instructed by the School).

The Academic Registrar shall report annually to the University Academic Standards and Quality Committee on:
the operation of procedures for the treatment of External Examiner reports;

– the compliance of Schools with the requirements of these procedures;

– generic issues of concern and noteworthy practice identified in External Examiner Reports.

The Vice-Chancellor and/or Academic Registrar may refer any issue raised in an External Examiner's Report for the consideration of the ASQC or other appropriate committee for its consideration. The Vice-Chancellor may also request an immediate response to an External Examiner's Report from the Head/Dean of the relevant School.

14. RESULTS, TRANSCRIPTS AND DISCLOSURE OF MARKS

14.1 RESULTS

14.1.1 Modular programmes

The Academic Registrar shall inform students in writing of decisions taken by the Examining Board(s) in respect of Module marks, Module results, progression, award and classification as appropriate.

14.1.2 Non-modular Programmes

The Academic Registrar shall inform students in writing of decisions taken by the Examining Board(s) in respect of progression, award and classification as appropriate.

14.1.3 Re-registration Fees

The Academic Registrar shall inform students in writing of any Re-registration Fees payable by candidates required to be re-assessed in one or more Module(s) or Unit(s) of Study.

14.2 TRANSCRIPTS

14.2.1 Each student shall receive a transcript in accordance with the Senate Regulations governing the Programme. The transcript shall provide the student with the confirmed Module/Unit of Study marks.

14.2.2 The transcript will be issued by the Academic Registrar in an approved form.

14.2.3 No fee will be charged for the issue of the transcript. A fee, approved by the University Council, will be charged for a replacement.

14.3 DISCLOSURE OF MARKS

14.3.1 The Head of School shall issue confirmed Module Marks to students only in respect of Assessments completed at the end of the Autumn Semester.

14.3.2 The Academic Registrar shall issue confirmed marks following the end of the Spring Semester and following the Resit Examination Period.

14.3.3 No fee shall be charged for the disclosure of marks.
14.3.4 If no Programme or Composite Examining Board is held separately to the Examining Board held to consider Modules completed during the Spring Semester, to consider the performance of students in each Module completed during the course of the Autumn Semester, the Head of School responsible for the Module shall issue students with the provisional mark for each Module awarded by the Internal Examiner(s). The release of the provisional Module mark awarded by the Internal Examiner(s) shall be accompanied by a written statement that the marks concerned are provisional and subject to confirmation by the appropriate Examining Board. In confirming the marks of each student, the Examining Board shall have the right to amend any such provisional mark.

**Senate Guidelines: Examinations Scheduling**

1. The criteria for scheduling Examinations shall be applied uniformly to all students and all Schools.
2. Students should not be expected to sit more than one 3-hour written Examination or two 2-hour Examinations per day.
3. If there is no accommodation constraint, students should not expect to sit more than twelve hours of Examinations in any one week and final year students should not expect to sit more than nine hours of Examinations in any four days.
4. The duration of Examinations in an Examination Venue should be the same in each Examination session.

The above are guidelines and not a set of rules which are inviolable. It may be necessary to depart from the guidelines in certain circumstances either in respect of individuals or groups of students.

**Senate Guidelines: Invigilators**

**APPOINTMENT**

A minimum of two invigilators shall be appointed for an Examination Venue, comprising a Senior Invigilator and Invigilator.

The ratio of invigilators to students in an Examination Venue shall be no less than 1 invigilator for every 50 students.

**DUTIES OF THE SENIOR INVIGILATOR**

A Senior Invigilator shall be responsible for the maintenance of order and the conduct of the Examination(s) in an Examination Venue in accordance with guidance issued by the Superintendent. In particular, a Senior Invigilator shall be responsible for ensuring that:

1. prior to the start of an Examination, all Examination papers are placed with the appropriate Examination stationery on the correct desks;
2. prior to the start of an Examination, the seating arrangements within the Examination Venue are placed on the appropriate notice boards outside the Examination Venue;
3. immediately prior to the start of an Examination, students are instructed of the procedures to be operated within the Examination Venue in accordance with the instructions issued by the Superintendent;

4. no unauthorised person is allowed to enter the Examination Venue prior to, during, or immediately following an Examination;

5. attendance slips are collected and attendance registers are marked during the course of an Examination;

6. no student leaves the Examination Venue until a lapse of sixty minutes from the commencement of an Examination;

7. a record is kept of all students who leave the Examination temporarily and of the time and duration involved;

8. no student may be permitted to enter an Examination Venue forty-five minutes or more after the commencement of an Examination;

9. no extra time may be given to any student arriving late for an Examination;

10. all invigilators maintain constant supervision over students prior to, and during, an Examination and ensure that any student leaving an Examination unattended is not re-admitted to the Examination Venue;

11. the Unfair Practice Procedure is followed if any student is suspected of unfair practice and that such cases are reported to the Superintendent;

12. the students are informed when there are thirty minutes of Examination time remaining, and that after this time no student is permitted to leave the Examination venue unless authorised by the Senior Invigilator;

13. the invigilators collect all Examination scripts, and that the number of scripts collected corresponds exactly with the number of students sitting the Examination;

14. if Examination scripts are not collected by Convenors of Examining Boards following an Examination, the Examination scripts are delivered to the Superintendent in accordance with the instructions issued by the Superintendent;

15. all incidents which may have affected the performance of one or more students are reported to the Superintendent.

DUTIES OF INVIGILATORS

Invigilators are responsible for assisting the Senior Invigilator under his/her direction. In particular invigilators shall:

1. assist with the distribution of Examination question papers, answer books and other stationery in accordance with the seating arrangements and instructions on the Examination question papers;

2. ensure that all bags and coats are left either outside the Examination venue, or at a place allocated for this purpose within the Examination venue, and check that no student has any unauthorised materials on his/her desk and where appropriate, check any stationery or equipment on a student’s desk;
3. after the start of the Examination, collect students’ completed attendance slips and check students’ identification in accordance with these Regulations;

4. remove all Examination stationery and Examination question papers from those desks remaining unoccupied thirty minutes after the start of an Examination;

5. maintain a constant supervision over all students;

6. ensure that the Unfair Practice Procedure is followed if any student is suspected of unfair practice and inform the Senior Invigilator of all such cases;

7. report to the Senior Invigilator all incidents which may have affected the performance of one or more students;

8. at the end of the Examination, collect the Examination scripts as directed by the Senior Invigilator and ensure that no student leaves the Examination Venue until permitted by the Senior Invigilator;

9. ensure that no Examination stationery other than Examination question papers are removed by students from the Examination Venue.
Unfair Practice Procedure

DEFINITIONS

Unfair Practice Co-ordinator – The Unfair Practice Co-ordinator (UPC) must be an experienced member of the academic staff (other than a Chair of an Examining Board) who has been nominated to co-ordinate matters related to suspected unfair practice in coursework within a School. The UPC is responsible for arranging the initial meeting within the School, for completing the record from this meeting, and for sending this note to the student(s) and the relevant Chair of the Examining Board. Heads of School may appoint more than one UPC.

Formative assessment – For the purpose of this Procedure, formative assessment is defined as assessments that DO NOT count towards Module Marks, Unit of Study Marks, the award of Credit, and/or progression.

Summative assessment - For the purpose of this Procedure, summative assessment is defined as assessments that DO count towards Module Marks, Unit of Study Marks, the award of Credit, and/or progression.

1. APPLICATION

The Unfair Practice Procedure applies to all students undertaking examinations and assessments, excluding research degree candidates.

This Procedure should be read in conjunction with the Cardiff University Senate Regulations.

2. DEFINITION

2.1 Unfair Practice is defined generally as any act whereby a person might obtain for him/herself or for another, an unpermitted advantage or a higher mark or grade than his/her abilities would otherwise secure. This Procedure applies to all forms of assessment. Unfair Practice can take one or more of a number of forms in relation to non-examination and examination conditions, including:

2.1.1 Plagiarism: this is using the words or ideas of others without acknowledging them as such and submitting them for assessment as though they were one's own work. 'Words or ideas', includes figures, diagrams, mathematics formulae, and computer programs. These can be plagiarised in a number of ways, which include:

.1 use of any quotation(s) from textbooks, articles, the Web, or in any other format, which have not been clearly identified as such by being placed in quotation marks and correctly referenced in accordance with the citation and referencing conventions used within particular subject disciplines.

.2 work that has been slightly changed or paraphrased in a way that makes it look different from the original.

.3 summary of words or ideas without reference to these in the text and the source(s) in the bibliography.

.4 use of services of essay banks and/or any other external agencies;

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2.1.2 Collusion: this takes place when work that has been undertaken by or with others is submitted and passed off as solely the work of one person. This also applies where the work of one student is submitted in the name of another. Where this is done with the knowledge of the originator both parties can be considered to be at fault.

2.1.3 Self plagiarism: the reproduction and presentation for assessment of work that was previously submitted for another assessment. This includes both work submitted for assessment on the student’s current programme of study, and work previously submitted as part of another programme of study (within or without the University).

2.1.4 Examination misconduct:

.1 the introduction of any unauthorised source of information into any examination room and/or associated facilities;

.2 copying from or communication with any person in an examination room and/or associated facilities, except as authorised by an invigilator;

.3 communication electronically with any other person;

.4 impersonating an examination student or allowing oneself to be impersonated.

2.1.5 Acting dishonestly in any way, including:

.1 fabrication of data;

.2 making false claims to have carried out experiments, observations, interviews or any other form of research;

.3 presenting evidence of extenuating circumstances that is falsified.

2.1.6 The forms detailed above are not exhaustive and other cases may fall within the general definition of unfair practice.

3. GUIDANCE ON UNFAIR PRACTICE

3.1 Academic Schools must provide written advice and guidance to students on the avoidance of plagiarism and other forms of unfair practice. This must include examples of the referencing and citation conventions used within particular subject disciplines. This information must be provided to students as part of the induction process and reinforced throughout the Programme, particularly at the time of assessments.

4. PLAGIARISM AND COLLUSION IN COURSEWORK – FORMATIVE ASSESSMENT

Where incidences of plagiarism and collusion in formative assessments occur, an emphasis should be placed on the support and training of students, to ensure they both understand the nature of academic practice, and the reasons for this. It is however recognised that many academic schools are increasingly opting to include a summative element in assessments that are predominantly formative in nature. It is also custom and practice in some subject areas for evidence of plagiarism or collusion in formative assessments to be utilised by Examining Boards. It is for these
reasons the University has adopted the procedure set out below. Using the procedure will help ensure fairness and consistency of approach.

4.1 HOW CASES ARE HANDLED

Cases of possible unfair practice in a formative piece of coursework shall be considered within schools internally via the Chair of the Examining Board.

4.2 ACTION TO BE TAKEN

If a member of staff identifies a possible unfair practice in a formative assessment s/he must bring it to the attention of the student(s), and provide the student(s) with an opportunity to respond to the concern raised (either orally or in writing).

4.3 The member of staff shall complete a brief record, which records the nature of the concern and the student's response. This record shall then be passed to the Chair of the relevant Examining Board.

4.4 ACTION TO BE TAKEN BY THE CHAIR OF THE EXAMINING BOARD

The Chair of the Examining Board shall consider this record, and may:

4.4.1 dismiss the concern; or

4.4.2 if s/he finds that the student did commit an unfair practice, require the student to undertake study skills training.

When a student is found to have committed an unfair practice in a formative assessment, a note may be placed on the student's record. In making this decision, the Chair of the Examinating Board shall take into account the factors listed in 5.2 below. This note shall remain on the student's record throughout their period of study. Students must be informed that such records will be kept.

4.5 ACTION THAT MAY BE TAKEN BY THE EXAMINING BOARD

The record may be used by the Examin-ing Board when it determines the results for the module, but only:

4.5.1 where the Examin-ing Board has determined that unfair practice is a discretionary factor to be considered by the Examin-ing Board, and

4.5.2 where the Chair of the Examining Board determines that it is appropriate to do so.

5. UNFAIR PRACTICE IN COURSEWORK – SUMMATIVE ASSESSMENT

5.1 HOW CASES ARE HANDLED

Cases of possible unfair practice in a summative piece of coursework may be dealt with in one of two ways:

5.1.1 internally via the Chair of the Examining Board; or

5.1.2 via the University Committee of Enquiry.
5.2 The decision as to whether to follow 5.1.1 or 5.1.2 rests with the Chair of the Examining Board in consultation, if it is thought appropriate, with the Superintendent of Examinations. The decision shall depend on the circumstances of the individual case. Factors to be taken into account include:

5.2.1 the extent and nature of the alleged unfair practice;
5.2.2 whether the student has previously been found guilty of an unfair practice in a summative assessment, in which case the allegation should normally be referred to the University Committee of Enquiry;
5.2.3 whether any offences in formative assessments are noted on the student’s record;
5.2.4 the level of study.

5.3 ACTION TO BE TAKEN

If a member of staff identifies a possible unfair practice in a summative assessment, s/he must report the allegation to the Unfair Practice Co-ordinator. The report must contain a) a summary of the allegation, and b) the documentary evidence on which the allegation is based.

5.4 On receipt of the report (see 5.3), the Unfair Practice Co-ordinator must write to the student inviting them to attend a meeting with the member of staff and Unfair Practice Co-ordinator. This invitation must include the summary of the allegation. The student must then either:

5.4.1 reply to the invitation confirming their attendance at this meeting; or
5.4.2 reply to the invitation confirming their non-attendance at this meeting.

Within this reply, the student may submit their own written response to the allegation. Whether or not the student replies to this invitation, the meeting shall normally be held within ten working days of the date of the invitation.

5.5 The meeting between the Unfair Practice Co-ordinator and the member of staff shall be held with or without the student present. The student may be accompanied, but only by a member of the Students’ Union Council, who shall have observer status.

5.6 The sole purpose of the meeting is to establish the facts relevant to the allegation. The Unfair Practice Co-ordinator must complete a note of this meeting, which will then be forwarded to the Chair of the relevant Examining Board, together with the documentary evidence. A copy of the completed note must also be sent to the student. Students who dispute this note may submit their own written statement to the Chair of the Examining Board within five working days of the date on which the note is sent to the student.

5.7 At the end of this period, the Chair shall consider the allegation, the documentary evidence, and any statement submitted by the student. If the Chair thinks fit, s/he may meet the student(s), the member of staff, and the Unfair Practice Co-ordinator. Students may be accompanied, but only by a member of the Student’s Union Council, who shall have observer status.
5.8 On the basis of this consideration, the Chair shall decide, on the balance of probabilities whether an unfair practice has occurred, and complete the Case Record accordingly.

If the Chair is satisfied that no unfair practice has occurred:

5.8.1 the Chair shall dismiss the case; and

5.8.2 send a copy of the completed Case Record to the student and to the Superintendent of Examinations in Registry. No record of this allegation shall be placed on the student’s file.

If the Chair is satisfied that an unfair practice has occurred, s/he may:

5.8.3 take no further action, or

5.8.4 advise the student to undertake study skills training (as appropriate), and to warn the student of the possible consequences of any future unfair practice allegations, or

5.8.5 require the student to undertake study skills training (as appropriate) and to set the mark for the assessment to zero, or

5.8.6 refer the case to the University Committee of Enquiry, where the offence is considered serious, or if the student has previously committed an unfair practice.

The Chair must send a copy of the completed Case Record to the student. A letter must be sent to accompany this Record setting out:

5.8.7 the reasons for the decision made;

5.8.8 the process of review as detailed in paragraph 5.14 below;

5.8.9 the possibility that the Examining Board may decide not to offer him/her an opportunity to resubmit the assessment concerned.

The Case Record and letter should be sent to the student in writing via recorded delivery. A copy of these documents must be sent to the Superintendent of Examinations in Registry.

5.9 The Chair of the Examining Board shall determine the nature of the study skills training.

5.10 When a student is found to have committed an unfair practice in a summative assessment, a note must be placed on the student’s record. This note must remain on the student’s record throughout their period of study. If a further allegation of unfair practice in a summative assessment is made against a student with such a note on their record, the case shall normally be referred to the University Committee of Enquiry.

5.11 Where an allegation of unfair practice has been substantiated, further individual action may be taken in relation to the Fitness to Practise Procedure.

5.12 No documentation relating to the allegation or the associated investigations shall be retained on the student’s record, if it is determined that no unfair practice has taken place.
5.13 REFERRAL TO UNIVERSITY COMMITTEE OF ENQUIRY

If the Chair decides to refer the case to the University Committee of Enquiry, s/he must forward details to the Superintendent of Examinations. The procedure set out below at paragraph 7 will then operate.

5.14 REVIEW OF A DECISION BY THE CHAIR OF THE EXAMINING BOARD

A student may request a review of the decision of the Chair of the Examining Board to impose a penalty under paragraphs 5.8.4 or 5.8.5. The request must be made to the Superintendent of Examinations, and may only be made on the following grounds:

5.14.1 procedural irregularities;

5.14.2 exceptional circumstances not brought to the attention of the Chair of the Examining Board which can be shown to be relevant to the unfair practice. In appeals based on these grounds, the appellant must show good reason why such extenuating circumstances were not made known to the Chair of the Examining Board;

5.14.3 that the decision taken by the Chair of the Examining Board was unreasonable or could not be sustained by the facts of the case.

The Superintendent of Examinations may also dismiss the request without a hearing if the request discloses no evidence supporting the ground(s) on which it is made, or if it is frivolous or vexatious.

5.15 Any request for a review of the decision of the Chair of the Examining Board must be sent in writing and must be received within ten working days of the date on which the letter informing the student of the Chair's decision was sent.

5.16 The University Committee of Enquiry shall conduct the review.

5.17 The review may lead to a more or less severe penalty being imposed, if the Committee is satisfied that the original penalty was inappropriate to the gravity of the unfair practice.

5.18 A student may appeal the University Committee of Enquiry's decision, as set out in paragraph 16 below.

5.19 EXAMINING BOARD ACTION

The further action to be taken by the Examining Board once a decision has been taken, either by the Chair of the Examining Board or by the Vice Chancellor or his/her nominee, is set out in paragraph 14 below.

6. UNFAIR PRACTICE IN A FORMAL EXAMINATION

6.1 UNFAIR PRACTICE IN AN EXAMINATION VENUE OR CLASS TEST

An invigilator who considers, or suspects, that a student is engaging in an unfair practice must inform such a student, preferably in the presence of a witness, that the circumstances will be reported to the Superintendent of Examinations in Registry. The student shall be allowed to continue the examination and any subsequent examinations without prejudice to any decision which may be taken. Failure to so inform such a student will not
prejudice subsequent proceedings. Where appropriate, the invigilator will confiscate and retain evidence relating to any alleged unfair practice. The Senior Invigilator in the examination must report the circumstance in writing to the Superintendent of Examinations. The Superintendent must forward copies of correspondence to the Chair of the relevant Examining Board.

In the case of an unseen written test, which contributes to the final result, and is conducted within the School, the invigilator must report the allegation to the Chair of the Examining Board in the first instance. The Chair must report the case to the Superintendent of Examinations.

6.2 SUSPECTED UNFAIR PRACTICE DETECTED DURING OR SUBSEQUENT TO THE MARKING PERIOD

An Internal or External Examiner who, whether in the course of the marking period or subsequently, considers or suspects that a student has engaged in an unfair practice, must report the matter in writing to the Chair of the relevant Examining Board as soon as possible. The Chair must retain a copy of any relevant evidence and must report the matter in writing to the Superintendent of Examinations in Registry, and submit relevant sources of evidence. The further action of the Superintendent is set out in paragraph 7 below.

7. ACTION TO BE TAKEN BY SUPERINTENDENT OF EXAMINATIONS

7.1 On receipt of a report concerning an allegation of unfair practice, the Superintendent of Examinations must determine whether a prima facie case has been established on the evidence provided. If satisfied that such a case exists, the Superintendent will arrange for a meeting of the University Committee of Enquiry to be convened, normally within 6 working weeks of the allegation being communicated to the student.

7.2 If it is determined that the case will not be referred to the University Committee of Enquiry, no further action against the student will be taken. No documentation relating to the allegation and the associated investigations will be retained on the student's file. The Superintendent of Examinations or Chair of Examining Board, as appropriate, must inform the student in writing that the matter is closed.

8. UNIVERSITY COMMITTEE OF ENQUIRY - COMPOSITION

8.1 The University must establish a Standing Panel of Enquiry for the purpose of investigating allegations of unfair practice. The Panel will consist of members of Academic Staff of the University chosen by the Academic Registrar.

8.2 Each Committee of Enquiry must consist of three members from the Standing Panel. One of these members will be designated as Chair of the Committee of Enquiry. The members of the Committee must not be involved in cases from their own academic School.

8.3 The Academic Registrar or nominee shall act as Secretary to the Committee of Enquiry.
9. **PRIOR TO THE COMMITTEE OF ENQUIRY**

9.1 As soon as reasonably practicable after the appointment of the Committee of Enquiry, the Secretary must confirm the following in writing to the student by recorded delivery:

9.1.1 the allegation to be considered by the Committee of Enquiry;

9.1.2 copies of statements of witnesses and of documents to be placed before the Committee of Enquiry;

9.1.3 the date, place and time for the Committee of Enquiry;

9.1.4 that the student has the right to be represented or accompanied, to hear all the evidence, to call and question witnesses and to submit other evidence, including a written statement.

9.2 The Secretary must notify the Superintendent, members of the Committee of Enquiry and the Chair of the Examining Board of the date, place and time of the meeting and supply them with copies of the allegation and of any statements or documents.

9.3 A student must provide the Secretary with copies of any witness statements or other relevant documents, and will inform the Secretary:

9.3.1 whether s/he will be attending the Committee of Enquiry;

9.3.2 whether s/he will be accompanied and/or represented, the name of the person and whether s/he has legal qualifications.

9.4 The Superintendent of Examinations may also obtain legal representation if appropriate. The Committee of Enquiry may also obtain legal advice.

9.5 Where a student does not attend the Committee of Enquiry, and provided that all reasonable means have been taken to contact the student, the meeting may proceed in his/her absence.

10. **FUNCTIONS OF THE COMMITTEE OF ENQUIRY**

10.1 The functions of the Committee of Enquiry are:

10.1.1 to consider the evidence submitted to it on the allegation of unfair practice;

10.1.2 to determine whether the allegation has been substantiated;

10.1.3 to determine, in appropriate cases, the penalty that should be imposed.

11. **PROCEDURE DURING THE MEETING**

11.1 In cases where two or more students are accused of connected offences, such as in an allegation of collusion, the Committee of Enquiry may deal with the cases together. However, each student must be given the opportunity to request that the cases be heard separately. The decision on whether separate hearings will be allowed rests with the Chair of the Committee of Enquiry.

11.2 The Superintendent or his/her nominee (who may be a member of the relevant Examining Board) will present the case against the student, calling
such witnesses and presenting such evidence as the Superintendent or
nominee thinks fit. The Superintendent or nominee may question both the
student and witnesses. The student may question the witnesses called by
the Superintendent.

11.3 The Superintendent will invite the Unfair Practice Co-ordinator or any other
member of the relevant Examining Board to be present throughout the
hearing. The Chair may invite contributions from that person.

11.4 The student or, if applicable, his or her representative, will have the right to
call and question witnesses and to submit other evidence. The Chair may
invite contributions from the person representing the student.

11.5 When the submission of evidence and the questioning of witnesses are
completed, all persons, other than the members of the Committee and its
secretariat, must withdraw.

11.6 The Committee of Enquiry must then consider whether the allegation has
been substantiated. It is not necessary to prove that the unfair practice was
a wilful or deliberate act.

11.7 The Committee of Enquiry must not normally be informed, before reaching
its verdict on the allegation under consideration, of any evidence of
previously substantiated allegations of unfair practice; the Committee should
be so informed by the Secretary before determining the penalty.

11.8 If the case has been substantiated, the Committee must then consider the
penalty to be imposed.

11.9 When a case has been substantiated, a note must be placed on the
student's record. This note shall remain on the student's record throughout
their period of study. If a further allegation of unfair practice in a summative
assessment is made against a student with such a note on their record, the
case must automatically be referred to the University Committee of Enquiry.

11.10 The decision of the Committee of Enquiry must be confirmed to the student
as part of the proceedings.

12. PENALTIES AVAILABLE TO THE COMMITTEE OF ENQUIRY

12.1 The Committee of Enquiry may apply one or any combination of the
following penalties:

12.1.1 The issue of a formal reprimand.

12.1.2 The requirement that the student undertake appropriate study skills training,
to be determined in liaison with the Chair of the Examining Board.

12.1.3 The cancellation of the student's marks for all or part of the examination
paper or other assessment component in question.

12.1.4 The cancellation of the student's marks for the whole Module/Unit of Study
concerned.

12.1.5 The cancellation of the student's marks in all of the Modules/Units of Study
for the particular year of study.
12.1.6 Recommendation to the Vice-Chancellor that the student's progress be postponed for one academic year.

12.1.7 The reduction of the degree result by one class or the non-award of a distinction, as appropriate.

12.1.8 Recommendation to the Vice-Chancellor that the student be disqualified from any future examinations.

13. **ACTION TO BE TAKEN FOLLOWING THE COMMITTEE OF ENQUIRY**

13.1 The decision of the Committee of Enquiry and the reasons for this decision must be confirmed in writing by the Academic Registrar or nominee to:

13.1.1 the student: if the finding of the Enquiry is that the allegation has been substantiated the student shall be informed of the findings, the penalty imposed, and the possibility of the Examining Board not allowing resubmission/resit as soon as possible;

13.1.2 the Chair of the Examining Board concerned.

13.2 The Academic Registrar, or nominee, must further inform the student of his/her rights of appeal within ten days of the date on which the letter informing the student of the Committee's decision was sent. Details of the appeals procedure are shown at paragraph 16 below.

13.3 The further action to be taken by the Examining Board following a decision of the Committee of Enquiry is detailed at paragraph 14 below.

13.4 Where the Committee of Enquiry considers that the unfair practice raises concerns that would fall under the remit of any other University disciplinary procedure then they must refer the matter to the appropriate Head of School/Directorate for consideration under those procedures.

13.5 If it is determined that no unfair practice has taken place, no documentation relating to the allegation and the associated investigations may be retained on the student's file.

14. **ACTION BY THE EXAMINING BOARD**

14.1 Where an allegation of unfair practice has been substantiated, the Examining Board concerned must determine the student’s overall examination result in the light of the penalty imposed either by the Chair of the Examining Board or by the Committee of Enquiry. Chairs of Examining Boards and the University Committee of Enquiry must provide information to Examining Boards on the circumstances of individual cases to enable Examining Boards to make an informed decision on whether students may be allowed to resubmit. The Examining Board may decide that a student is not allowed to resit examinations/assessments on which they have been found guilty of unfair practice.

15. **EXAMINATION RESULTS**

15.1 The Academic Registrar, or nominee, in consultation with the Chair of the Examining Board, must arrange for the publication of such supplementary results as may be necessary.
15.2 If a case of alleged unfair practice is under investigation at the time of the meeting of the relevant Examining Board, the Board must defer consideration of the student's work until a decision has been made on the case.

15.3 An Examining Board may cancel a result previously issued and issue a supplementary result should a case of unfair practice arise subsequently to the issue of the original result.

16. **APPEALS AGAINST THE DECISION OF A COMMITTEE OF ENQUIRY**

16.1 A student found guilty of unfair practice in a Cardiff University examination or other summative assessment may lodge an appeal only on grounds of:

16.1.1 irregularities in the conduct of the unfair practice procedure;

16.1.2 extenuating circumstances not brought to the attention of the Committee of Enquiry which can be shown to be relevant to the unfair practice. In appeals based on these grounds, the appellant must show good reason why such extenuating circumstances were not made known to the Committee of Enquiry before, or at, its meeting.

16.2 Details of the process of Appeal are given in paragraph 17 below.

17. **APPEALS BY STUDENTS FOUND GUILTY OF UNFAIR PRACTICE**

17.1 Any appeal against a decision of a Committee of Enquiry will be sent in writing to the Vice-Chancellor and must reach him/her within 10 days of the date on which the letter informing the student of the Committee's decision was sent.

17.2 The Vice-Chancellor may dismiss an appeal that is based wholly on factors that were known to the Committee of Enquiry when the penalty was imposed.

17.3 The Vice-Chancellor must refer an appeal (which has not been dismissed under paragraph 17.2 above) to the University Appeal Board, whose decision will be final.

17.4 The University Appeal Board consists of the Vice-Chancellor or his/her nominee and two members of the Academic Staff chosen by the Vice-Chancellor. The Academic Registrar or nominee, shall act as Secretary to the Appeal Board.

17.5 The Appeal Board shall have delegated powers to act on behalf of the Senate.

17.6 The Appeal Board shall base its decision on the evidence of the appellant's submission and the testimony of the Chair of the Committee of Enquiry concerned, together with any further evidence which it considers relevant, including medical evidence where this is appropriate.

17.7 An appellant will have the right to request a hearing by the Appeal Board and the Appeal Board will have the discretion whether or not to grant such a request. If a request to appear in person is granted, the appellant will be informed by the Academic Registrar, or nominee, in writing by recorded delivery of the time and date of such a hearing and that s/he may be accompanied and/or represented. A student who intends to be
accompanied and/or represented is required to inform the Academic Registrar, or nominee, in writing in advance and must state whether or not the person accompanying him/her has legal qualifications. The University may also obtain legal representation. The hearing will be a review of the Committee’s decision and not a rehearing, unless otherwise determined by the Appeal Board. The Appeal Board will determine its own procedures for the hearing.

17.8 The Appeal Board shall decide to confirm, vary, or revoke the original penalty imposed by the Committee of Enquiry.

17.9 The decision of the Appeal Board is final.

17.10 The decision of the Appeal Board and the reasons for this decision must be conveyed in writing by recorded delivery by the Academic Registrar, or nominee, to the appellant and to the Chair of the Committee of Enquiry.

17.11 If an appeal is upheld, the Academic Registrar, or nominee, in consultation with the Chair of the Programme or Composite Examining Board will then arrange for the issue of such supplementary result as may be necessary.

17.12 If, as a consequence of a successful appeal, a student is regarded as having qualified for a University award, such a student will be admitted to his/her award provided all other necessary conditions for his/her admission have been met.

17.13 The Vice-Chancellor will also have authority to deem a student who has already been admitted to an award to have been admitted to a different award if, following a successful appeal, the Programme or Composite Examining Board decides that the student's award classification will be amended.

18. **AFTER THE DEGREE HAS BEEN AWARDED**

18.1 Where the University receives a complaint about the integrity of assessment after a degree has been awarded in the name of the University, the Head of the School responsible for the examination of the work in question shall conduct an investigation.

18.2 The Head of School shall report his/her findings to the Academic Registrar.

18.3 Where the Head of School has concluded that there is a prima facie case to be answered, the Academic Registrar will then refer the matter to the University Awards and Progress Committee.

18.4 Where the Awards and Progress Committee is satisfied that there is good cause for deprivation of the award, it shall advise the Chair of Senate accordingly. S/he will recommend to Council that a Panel be established to hear the recommendation of the Senate.

18.5 The Panel established by Council will hear the recommendation of the Senate and will receive representation from the person who is the subject of the recommendation.

18.6 The Panel will determine whether there is good cause for deprivation of the award and recommend accordingly to the Council.

18.7 **The decision of the Council shall be final.**
Senate Regulations for the Award of the Degree of PhD
(Doctor of Philosophy)

Senate Regulations for the Award of the Degrees of MD
(Doctor of Medicine)

These Regulations govern the award of the degree of PhD (Doctor of Philosophy) and the award of the degree of MD (Doctor of Medicine).

1. CRITERIA FOR THE AWARD

1.1 The degree of PhD/MD may be awarded by the University in recognition of the successful completion of a programme of further study and research, the results of which are judged to constitute an original contribution to learning and to give evidence of:

1.1.1 the creation and interpretation of new knowledge, through original research, of a quality to satisfy peer review, extend the forefront of the discipline and merit publication;

1.1.2 a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;

1.1.3 an ability to relate the results of such study to the general body of knowledge in the discipline;

1.1.4 the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;

1.1.5 a detailed understanding of applicable techniques for research and advanced academic enquiry.

1.2 In respect of the award of MD, the results of the study and research shall be judged to constitute an original contribution to medical or surgical knowledge, and shall afford evidence of originality either by the discovery of new facts or by the exercise of independent critical power. The candidate shall indicate in what respects the thesis appears to advance clinical knowledge and/or practice.

1.3 In judging the merit of a thesis submitted in candidature for the degree of PhD/MD, the examiners shall bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after the period of registered full-time or part-time study.

1.4 The degree of PhD/MD may not be conferred honoris causa under these Regulations.

2. ENTRY REQUIREMENTS

2.1 An applicant for admission to a programme of research shall be required:

2.1.1 to meet the conditions of the University General Entrance Requirement; and
2.1.2 to meet the particular requirements for the programme of research applied for.

2.2 A candidate for the degree of MD must have qualified for the degrees of Bachelor of Medicine and Bachelor of Surgery at least three years prior to admission.

2.3 Irrespective of a candidate’s qualifications, the School concerned must satisfy itself that a candidate is of the required academic standard to complete the programme of research proposed.

2.4 The decision as to whether an applicant shall be admitted to the programme of research proposed shall rest with the relevant Head of School, in accordance with the University’s entry requirements.

2.5 A candidate may formally commence his/her period of research on the first day of October, January, April or July, subject to the agreement of the Head of School concerned.

3. VERIFICATION OF QUALIFICATIONS

3.1 An individual verification of the academic or other qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Behaviour Procedure if clear and complete certification for such verification is not provided on request.

4. METHOD OF CANDIDATURE

4.1 A candidate may qualify for the degree of PhD/MD by pursuing one of the following methods of study:

4.1.1 by pursuing full-time research at the University (see 4.2 below);

4.1.2 by pursuing part-time research externally;

4.1.3 by pursuing research as a member of staff4.

4.2 A PhD/MD candidate with a full-time registration may undertake their programme of study and research at the University, which may include period(s) at a partner research organisation where this arrangement is supported by a University-approved agreement, or in an external place of employment approved by the University (see 4.4 below).

4.3 It is possible, in appropriate cases, to transfer from one method of candidature to another (e.g. from full-time to part-time and vice versa). In such cases the University will determine a revised minimum registered period of study and will fix the earliest and latest dates for the submission of the thesis. The revised registered period of study is calculated by establishing the proportion of full-time or part-time study a candidate has already completed, then converting the

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4 Staff candidature is restricted to members of staff, holding a contract of salaried employment equivalent to at least one-third of that of a full-time member in the appropriate categories of staff.
remaining proportion of study into its part-time or full-time equivalent. The revised time-limit is calculated on the same basis.

4.4 Where a School proposes to admit a PhD candidate who will pursue full-time research in an external place of employment, the following written assurances shall be provided by the employer:

4.4.1 that the candidate will be working on full-time research on a particular, agreed project;

4.4.2 that the research work shall be undertaken under the direct supervision and control of a main supervisor nominated by the Head of School (in accordance with 8.1 below) with specific duties related to the candidature; such control shall include the right of the supervisor to have access to the candidate and his/her work at all times in the place of his/her employment.

5. MINIMUM PERIODS OF STUDY

5.1 A candidate must register at the University, pay the appropriate fee prescribed and pursue the programme of research for the minimum registered period of study defined below:

In respect of PhD

5.1.1 by pursuing a PhD candidature full-time in the University, or full-time in an external place of employment, or as a member of staff:

three years, the first year of which shall be regarded as probationary;

5.1.2 by pursuing a PhD part-time external candidature, or by pursuing the programme on a part-time basis as a member of staff, where the case for a period of registration commensurate with part-time study has been demonstrated:

five years, the first two years of which shall be regarded as probationary.

In respect of MD

5.1.3 by pursuing a MD candidature full-time in the University, or full-time in an external place of employment, or as a member of staff: two years;

5.1.4 by pursuing a MD part-time external candidature, or by pursuing the programme on a part-time basis as a member of staff, where the case for a period of registration commensurate with part-time study has been demonstrated:

three years.

5.2 Notwithstanding 5.1 above, the Head of School may, at his/her discretion, require a candidate to pursue research for longer than these minimum periods.

5.3 A PhD/MD candidate is permitted to submit a thesis no earlier than six months before the expiry of the registered period approved.
5.4 Notwithstanding 5.1 above, a candidate for PhD may, in exceptional cases only, be granted exemption from the probationary period where, to the satisfaction of the Head of School concerned, s/he:

5.4.1 holds a postgraduate Master's degree obtained by research or advanced study of an approved University which provides sufficient academic background to permit the completion of the proposed research within the reduced period; or

5.4.2 has completed a minimum of one year's full-time or two years' part-time supervised postgraduate work in the same academic discipline as the proposed programme of research; or

5.4.3 has submitted postgraduate research work of a standard approximate to that of a Master's degree; or

5.4.4 has had at least one year's relevant experience since graduation.

5.5 Candidates shall be granted exemption from the probationary period in the case of structured four year training programmes (or their part-time equivalent) approved for the purpose by the Academic Quality and Standards Committee.

5.6 Heads of Schools shall be authorised to approve entry with advanced standing on the basis of one or more periods of pursuance of a programme of research at an approved university, deemed equivalent by the Head of School concerned, in lieu of a specified period of the programme of research at the University. The combined registered periods of further study and research must equal or exceed the minimum period described in 5.1 above.

5.7 Tuition fees are payable in respect of a candidate's period of study as a registered student. Heads of School may recommend for fees to be charged in respect of students who continue to receive supervision and/or facilities after the expiry of the stipulated period of study.

6. TIME LIMITS

In respect of PhD

6.1 A candidature for PhD shall lapse if a thesis is not submitted, in the form and manner prescribed by the University, by the following time limit for completion:

6.1.1 by pursuing a three-year, or longer, full-time registered period of study in the University, or in an external place of employment, or as a member of staff registered on a programme which commenced after 1 August 2017:

        four years from the beginning of the candidate's period of study;

6.1.2 by pursuing a two-year full-time registered period of study in the University, or in an external place of employment, being exempt the probationary year:

        three years from the beginning of the candidate's period of study;

6.1.3 by pursuing a five-year, or longer, part-time external registered period of study, or by pursuing the programme on a part-time basis as a member of staff where the programme commenced after 1 August 2017, where the
case for a period of registration commensurate with part-time study has been demonstrated:

seven years from the beginning of the candidate’s period of study;

6.1.4 by pursuing a three-year part-time external registered period of study, being exempt the probationary period:

five years from the beginning of the candidate’s period of study;

6.1.5 by pursuing a three-year, or longer, registered period of study as a member of staff, where the programme commenced before 1 August 2017:

seven years from the beginning of the candidate’s period of study;

6.1.6 by pursuing a two-year registered period of study as a member of staff, being exempt the probationary year, where the programme commenced before 1 August 2017:

five years from the beginning of the candidate’s period of study.

In respect of MD

6.2 A candidature for MD shall lapse if a thesis is not submitted, in the form and manner prescribed by the University, by the following time limit for completion:

6.2.1 by pursuing a registered period of study full-time in the University, or full-time in an external place of employment, or as a member of staff registered on a programme which commenced after 1 August 2017:

three years from the beginning of the candidate’s period of study;

6.2.2 by pursuing a registered period of study as a part-time external student, or by pursuing the programme on a part-time basis as a member of staff where the programme commenced after 1 August 2017, and where the case for a period of registration commensurate with part-time study has been demonstrated:

five years from the beginning of the candidate’s period of study.

7. INTERRUPTIONS AND EXTENSIONS TO TIME LIMITS

7.1 A period of study may be interrupted or a time limit extended by the University in accordance with the Student Attendance and Engagement Procedures and/or Extension to Time Limit Procedure – Postgraduate Research Candidates.

8. THE APPOINTMENT OF SUPERVISORS

8.1 For each candidature, the Head of School concerned shall appoint at least one main supervisor who is a member of staff employed in that School and either:
8.1.1 a member of the academic staff\textsuperscript{5} or senior research staff\textsuperscript{6}, holding a contract of employment equivalent to at least 50\% of that of an equivalent full-time member of staff;

8.1.2 a part-time member of the academic/research staff who has formerly satisfied 8.1.1 above.

8.2 Staff appointed as additional supervisors by the Head of School may be external to the School concerned or to the University.

9. PRESENTATION AND SUBMISSION OF THESES

The following regulatory provisions for the presentation and submission of theses are presented in Senate Regulations for the Presentation and Submission of Research Degree Theses:

General Requirements

Publication of Work Prior to Submission and its Inclusion in a Thesis

Presentation of Research Degree Theses for Examination

Format for the Presentation of Theses

Additional Materials

Special Provisions Relating to the Creative and Performing Arts

Post-Examination: Deposit of successful Theses in the Digital Repository

Post-Examination: Unsuccessful Outcomes

Ownership and Access.

10. EXAMINATION

10.1 All PhD/MD degree candidates are required to undergo an oral examination.

10.2 In the case of candidates re-submitting a thesis for further examination, and if the Examining Board is satisfied that the re-submitted work meets the criteria for the award for which the thesis was submitted, the requirement for a further oral examination may be waived with the agreement of all members of the Examining Board.

11. ARRANGEMENTS AND CONDUCT OF ORAL EXAMINATION

11.1 The oral examination shall be arranged and conducted in accordance with the University's 'Procedures for the Arrangement and Conduct of Research Degree Examinations'.

12. RECOMMENDATIONS FOR AWARD

\textsuperscript{5} For this purpose, 'academic staff' is defined as professors, readers, senior lecturers and lecturers of the University.

\textsuperscript{6} For this purpose, 'senior research staff' is defined as senior research associate grade or higher.
12.1 Examining Boards, in recommending a candidate for the degree, shall certify that the thesis submitted by the candidate substantially covers the programme of research approved for him/her.

In respect of PhD/MD

12.2 Examining Boards considering PhD/MD submissions may recommend one of the following options:

**Pass** - that the candidate be approved for the award of PhD/MD subject to the satisfactory completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

**Pass Subject to Corrections and Amendments** - that the candidate be approved for the award of PhD/MD subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

**Not Approved, Resubmit for PhD/MD** - that the candidate be not approved for the award of PhD/MD but be allowed to modify the thesis and re-submit it for the award of PhD/MD on one further occasion only, upon payment of a re-submission fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination.

**Not Approved for PhD/MD, Approved for MPhil** - that the candidate be not approved for the award of PhD/MD, but be approved for the award of MPhil subject to the completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

**Not Approved for PhD/MD, Approved for MPhil Subject to Corrections and Amendments** - that the candidate be not approved for the award of PhD/MD, but be approved for the award of MPhil subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

**Not Approved for PhD/MD, Resubmit for MPhil** - that the candidate be not approved for the award of PhD/MD, but be allowed to modify the thesis and re-submit it for the award of MPhil on one further occasion only, upon payment of the examination fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination.

**Not Approved** - that the candidate be not approved for the award of PhD/MD and no further submission is permitted.
12.3 Successful candidates shall be required to conform to the provisions outlined in Senate Regulations for the Presentation and Submission of Research Degree Theses. The Convenor of the Examining Board shall confirm in writing that the student has completed any corrections to the satisfaction of the Examining Board and that the thesis has been deposited in the University's digital repository or presented in a format appropriate for library deposit in accordance with current requirements prior to the award process being initiated.

13. **AFTER THE EXAMINATION**

13.1 After completion of the examination, the Convenor shall return the completed Result and Report Form to the Registry. The form will contain the examiners' independent and joint reports and the Examining Board's formal recommendation of result. The formal recommendation of result sheet shall record the exact decision of the Examining Board and shall be signed by the Chair and the examiners.

13.2 Following receipt of the examiners' reports and the Examining Board's formal recommendation of result, the Registry shall inform the candidate in writing of the outcome of the examination.

13.3 Candidates who are not recommended by the Examining Board for the award of PhD/MD may appeal against the decision reached, in accordance with the Academic Appeals Procedure.
These regulations govern the award of degrees of Doctoral Degrees by Examination and Thesis (Professional Doctorates) at Cardiff University as listed as Professional Doctorates in Senate Regulation for Awards of Cardiff University:

1. **CRITERIA FOR THE AWARD**

1.1 The degree of Doctor may be awarded in recognition of the successful completion of

   - an approved Component of Directed Learning which may include periods of approved professional, clinical, industrial practice and/or training; and

   - an approved Component of Independent Study and Research

   the results of which are judged to constitute an original contribution to learning and to give evidence of:

1.1.1 the creation and interpretation of new knowledge, through original research, of a quality to satisfy peer review, extend the forefront of the discipline and merit publication;

1.1.2 a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;

1.1.3 an ability to relate the results of such study to the general body of knowledge in the discipline;

1.1.4 the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;

1.1.5 a detailed understanding of applicable techniques for research and advanced academic enquiry.

1.2 In judging the merit of a thesis submitted in candidature for the degree of Doctor, the examiners shall bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after the period of registered study.

1.3 The degree of Doctor may not be conferred *honoris causa* under these regulations.

1.4 The examination of the Component of Directed Learning and of the Component of Independent Study and Research must both be passed in order to qualify for the award of Doctor.
2. **ENTRY REQUIREMENTS**

2.1 An applicant for admission to a Programme leading to the Award of a Doctoral Degree by Examination and Thesis (Professional Doctorate) shall be required:

2.1.1 to meet the conditions of the University General Entrance Requirement; and

2.1.2 to meet the particular requirements for the Programme applied for, as specified in the relevant Programme Information.

2.2 Irrespective of a candidate's qualifications, the School concerned must satisfy itself that a candidate is of the required academic standard to complete the programme of research proposed.

2.3 The School must also satisfy itself that the candidate is engaged in an appropriate level of professional activity that provides them with a current and relevant professional context necessary for completion of the Programme.

2.4 The decision as to whether an applicant shall be admitted to the Programme shall rest with the relevant Head of School, in accordance with the University's entry requirements.

2.5 A candidate may formally commence his/her Programme on the first day of any month, subject to the agreement of the Head of School concerned.

3. **VERIFICATION OF QUALIFICATIONS**

3.1 An individual verification of the academic or other qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Behaviour Procedure if clear and complete certification for such verification is not provided on request.

4. **METHOD OF CANDIDATURE**

*In respect of: DClinPsy, DEdPsy*

4.1 A candidate for DClinPsy or DEdPsy may qualify for the degree by pursuing the programme of study and research by one of the following methods:

4.1.1 full-time in the University (prior to professional qualification);

4.1.2 part-time externally (after professional qualification).

*In respect of: DHS, DNurs, DSW, EdD, DAHP, SPPD*

4.2 A candidate may qualify for the degree by pursuing the programme of study and research by one of the following methods:

4.2.1 full-time in the University;

4.2.2 part-time externally;
4.2.3 as a member of staff\textsuperscript{7}.

\textit{In respect of EngD}

4.2 A candidate may qualify for the degree of EngD by pursuing the programme of study and research on a full-time basis.

5. MINIMUM PERIODS OF STUDY

5.1 Tuition fees are payable in respect of a candidate's period of study as a registered student. Heads of School may recommend for fees to be charged in respect of students who continue to receive supervision and/or facilities after the expiry of the stipulated period of study.

5.2 A candidate is permitted to submit a thesis no earlier than six months before the expiry of the registered period approved.

\textit{In respect of DClinPsy, DEdPsy, DHS, DNurs, DSW, EdD, DAHP, SPPD}

5.3 A candidate for the degree of Doctoral Degree by Examination and Thesis, with the exception of EngD, must register at the University, pay the appropriate fee prescribed and pursue the Programme for the minimum registered period of study defined below, in accordance with specific Programme requirements.

5.3.1 by pursuing a full-time candidature in the University, or as a member of staff (where permitted under 4.2 above):
   - three years;

5.3.2 by pursuing a part-time external candidature, or by pursuing the programme on a part-time basis as a member of staff, where the case for a period of registration commensurate with part-time study has been demonstrated:
   - five years.

5.4 Notwithstanding 5.3 above, a candidate may be granted exemption from certain elements of the Component of Directed Learning, where authorised by the Head of School concerned, and in no case exceeding one-third of the Component of Directed Learning.

5.5 Where exemptions have been granted from specified elements of the Component of Directed Learning, candidatures shall extend over no less than the minimum period specified below, in accordance with specific Programme requirements:

5.5.1 by pursuing a full-time candidature in the University, or as a member of staff (where permitted under 4.2 above) - two years;

\textsuperscript{7} In the case of members of staff, candidature is restricted to members of staff holding a contract of salaried employment equivalent to at least one-third of that of a full-time member in the appropriate categories of staff.
by pursuing a part-time external candidature, or by pursuing the programme on a part-time basis as a member of staff, where the case for a period of registration commensurate with part-time study has been demonstrated:

- three years.

**In respect of EngD**

5.5.2 All registered periods of study for the degree of EngD shall extend over a period of four years, the first year of which shall be regarded as probationary.

5.6 Notwithstanding 5.5.2 above, the Head of School may, at his/her discretion, require a candidate to pursue research for longer than the minimum period.

5.7 A candidate is permitted to submit a thesis no earlier than six months before the expiry of the registered period approved.

5.8 Notwithstanding 5.5.2 above, a candidate may, in exceptional cases only, be granted exemption from the probationary period where, on the recommendation of the EngD Programme Director and to the satisfaction of the Head of School concerned, s/he:

- holds a postgraduate Master's degree obtained by research or advanced study of an approved university which provides sufficient academic background to permit the completion of the proposed research within the reduced period; or

- has completed a minimum of one year's full-time or two years' part-time supervised postgraduate work in the same academic discipline as the proposed research programme; or

- has submitted postgraduate research work of a standard approximate to that of a Master's degree; or

- has had at least one year's relevant experience since graduation.

5.9 Heads of Schools shall be authorised to approve entry with advanced standing on the basis of one or more periods of pursuance of a research programme at an approved university, deemed equivalent by the Head of School concerned, in lieu of a specified period of the Programme at the University. The combined registered periods of further study and research must equal or exceed the minimum period described in 5.5.2 above.

6. **TIME LIMITS**

**In respect of DClinPsy, DEdPsy, DHS, DNurs, DSW, EdD, DAHP, SPPD**

6.1 A candidature for a Doctoral Degree by Examination and Thesis, with the exception of EngD, shall lapse if a thesis is not submitted, in the form and manner prescribed by the University, by the following time limit for completion:

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8 EngD programmes may be of longer duration than the minimum stipulated in Senate Regulations, as will be stated in the offer of admission to the University. In addition, where circumstances necessitate, a Head of School may require the registered period to be extended beyond the duration for which the offer of admission was made.
6.1.1 by pursuing a three-year, full-time registered period of study in the University, or as a member of staff registered on a programme which commenced after 1 August 2017:

four years from the beginning of the candidate’s period of study;

6.1.2 by pursuing a five-year, or longer, part-time external registered period of study, or as a staff candidate registered on a programme which commenced before 1 August 2017 (where permitted under 4.2 above), or as a staff candidate registered on a programme which commenced after 1 August 2017, and where the case for a period of registration commensurate with part-time study has been demonstrated:

seven years from the beginning of the candidate’s period of study.

In respect of EngD

6.2 A candidature for EngD shall lapse if a thesis is not submitted, in the form and manner prescribed, by the following time limit for completion:

6.2.1 by pursuing a four-year full-time registered period of study in the University:

four years and six months from the beginning of the candidate’s period of study;

6.2.2 by pursuing a three-year full-time registered period of study in the University, being exempt the probationary year:

three years and six months from the beginning of the candidate’s period of study.

7. INTERRUPTIONS AND EXTENSIONS TO TIME LIMITS

7.1 A period of study may be interrupted or a time limit extended by the University in accordance with the Student Attendance and Engagement Procedures and/or Extension to Time Limit Procedure – Postgraduate Research Candidates.

8. THE APPOINTMENT OF SUPERVISORS FOR THE COMPONENT OF INDEPENDENT STUDY AND RESEARCH

8.1 For each candidature, the Head of School concerned shall appoint at least one main supervisor who is a member of staff employed in that School and who is either:

8.1.1 a member of the academic staff\(^9\) or senior research staff\(^{10}\), employed in that School, holding a contract of employment equivalent to at least 50% of that of an equivalent full-time member of staff;

8.1.2 a part-time member of the academic/research staff who has formerly satisfied 8.1.1 above.

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\(^9\) For this purpose, ‘academic staff’ is defined as professors, readers, senior lecturers and lecturers of the University.

\(^{10}\) For this purpose, ‘senior research staff’ is defined as senior research associate grade or higher.
8.2 Additional supervisors appointed by the Head of School may be external to the School concerned or to the University and may include honorary appointees of the University.

8.3 In respect of EngD, for each candidature, the Head of School concerned shall approve an industrial supervisor nominated by the EngD Programme Director. The industrial supervisor shall be engaged full-time or part-time by the industrial organisation associated with the approved research programme.

9. **ASSESSMENT OF THE COMPONENT OF DIRECTED LEARNING**

*In respect of DClinPsy, DEdPsy, DHS, DNurs, DSW, EdD, DAHP, SPPD*

9.1 Programme Information shall include details of:
- the nature and timing of assessment(s);
- provisions for the report and consideration of extenuating circumstances which may have an effect on performance in an assessment;
- the decisions open to Examining Boards, including any progression decisions and opportunities for the reassessment of failed assessments;
- the timing of reassessments.

9.2 The examination of the Component of Directed Learningshall comprise assessments of an advanced character in fields of study prescribed by the Programme Information. These examinations shall include evaluation of the professional/clinical practice and training and may take the form of unseen written examination papers or set projects or other forms of course assessment.

9.3 There shall be an Examining Board for the Component of Directed Learning which shall operate in accordance with Examining Boards established under provisions of the Senate Assessment Regulations for Taught Programmes.

9.4 A candidate who fails any summative examination of the Component of Directed Learning may, at the discretion of the Examining Board, re-present himself/herself for examination on one further occasion only, not more than fifteen months from the date of the original examination. A fee shall be payable for re-examination.

9.5 A candidate who is permitted to be re-assessed in any form of coursework assessment shall, at the discretion of the Examining Board, be permitted either to re-submit modified versions of his/her original work, or to submit for assessment a new work on different topics from those which originally failed to satisfy the Examiners.

*In respect of EngD*

9.6 The examination of the Component of Directed Learning shall comprise assessments of an advanced character in fields of study prescribed by the Programme Director. These examinations shall include evaluation of the professional/industrial practice and training and may take the form of unseen written examination papers or set projects or other forms of course assessment.
9.7 A candidate who fails the examination may, at the discretion of the Programme Examining Board, re-present himself/herself for examination on one further occasion only, not more than fifteen months from the date of the original examination. A fee shall be payable for re-examination.

9.8 A candidate who is permitted to be re-assessed in any form of coursework assessment shall, at the discretion of the Examining Board, be permitted either to re-submit modified versions of his/her original work, or to submit for assessment a new work on different topics from those which originally failed to satisfy the Examiners.

10. **PRESENTATION AND SUBMISSION OF Theses**

The following regulatory provisions for the presentation and submission of theses are presented in Senate Regulations for the Presentation and Submission of Research Degree Theses:

- General Requirements
- Publication of Work Prior to Submission and its Inclusion in a Thesis
- Presentation of Research Degree Theses for Examination
- Format for the Presentation of Theses
- Additional Materials
- Special Provisions Relating to the Creative and Performing Arts
- Post-Examination: Deposit of successful Theses in the Digital Repository
- Post-Examination: Unsuccessful Outcomes
- Ownership and Access.

11. **EXAMINATION OF THE COMPONENT OF INDEPENDENT STUDY AND RESEARCH**

11.1 The examination of the Component of Independent Study and Research shall take the form of a thesis (which may be referred to alternatively as a 'research portfolio'), embodying the methods and results of a research project and submitted in accordance with 11 above.

11.2 All candidates for the award of Doctor are required to undergo an oral examination.

11.3 In the case of candidates re-submitting a thesis for further examination, and if the Examining Board is satisfied that the re-submitted work meets the criteria for the award of Doctor, the requirement for a further oral examination may be waived with the agreement of all members of the Examining Board considering the thesis.

*In respect of the EngD*

11.4 The first part of the examination of the Component of Independent Study and Research shall take the form of an oral presentation of his/her work by the candidate to an audience comprising one or more members of the Component of Independent Study and Research (research thesis) Examining Board and
representatives of the associated industrial organisation. The presentation and subsequent discussion period are intended to demonstrate the candidate’s communication skills and his/her understanding of the research project and its professional/industrial context. The presentation may be made at the University or, with the approval of the Chair of the Examining Board, on the premises of the associated industrial organisation.

11.5 The member(s) of the Component of Independent Study and Research (research thesis) Examining Board present at the presentation and subsequent discussion shall provide a written report on the candidate’s performance. The report shall recommend either that the presentation be considered to have passed or that the presentation be not considered to have reached the standard required for the award of pass to be made.

11.6 In cases where the presentation is deemed not to have passed, the report shall outline any particular areas which require improvement. An unsuccessful candidate shall be allowed to make a second presentation not sooner than one month nor later than six months after the date of the original presentation. A re-examination fee shall be required.

11.7 The second part of the examination of the Component of Independent Study and Research shall take the form of a thesis, embodying the methods and results of a research project and submitted in accordance with 11 above.

12 ARRANGEMENTS AND CONDUCT OF ORAL EXAMINATION

12.1 The oral examination of the Component of Independent Study and Research shall be arranged and conducted in accordance with the University's 'Procedures for the Arrangement and Conduct of Research Degree Examinations'.

13. RECOMMENDATIONS FOR AWARD

13.1 Examining Boards, in recommending a candidate for the degree, shall certify that the thesis submitted by the candidate substantially covers the programme of research approved for him/her.

*In respect of DClinPsy, DEdPsy, DHS, DNurs, DSW, EdD, DAHP, SPPD*

13.2 Examining Boards considering submissions may recommend one of the following options:

**Pass** - that the candidate be approved for the doctoral degree subject to the satisfactory completion of any minor typographical corrections as may be required by the Examining Board (subject, in the case of the DClinPsy and the DEdPsy, to the candidate passing the Component of Directed Learning). If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

**Pass Subject to Corrections and Amendments** - that the candidate be approved for the award of the doctoral degree subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board (subject, in the case of the DClinPsy and the DEdPsy, to the candidate passing the Component of Directed Learning). Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections
made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

**Not Approved, Resubmit for the Doctoral Degree** - that the candidate be not approved for the award of the doctoral degree but be allowed to modify the thesis and re-submit it for the award of the doctoral degree on one further occasion, upon payment of a re-presentation fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination.

**Not Approved for Doctoral Degree, Approved for Taught Master's Degree** - that the candidate be not approved for the award of the doctoral degree, but be approved for the award of the taught Master's degree specified for the programme of study subject to the completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated. [This option is not available in the case of DClinPsy and DEdPsy.]

**Not Approved for Doctoral Degree, Approved for Taught Master's Degree Subject to Corrections and Amendments** - that the candidate be not approved for the award of the doctoral degree, but be approved for the award of the taught Master's degree specified for the programme of study subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated. [This option is not available in the case of DClinPsy and DEdPsy.]

**Not Approved for Doctoral Degree, Resubmit for Taught Master's** - that the candidate be not approved for the award of the doctoral degree, but be allowed to modify the thesis and re-submit it for the award of the taught Master's degree specified for the programme of study on one further occasion, upon payment of the examination fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination. [This option is not available in the case of DClinPsy and DEdPsy.]

**Not Approved** - that the candidate be not approved for the award of a degree and no further submission is permitted.

*In respect of EngD*

**13.3** Examining Boards considering EngD submissions may recommend one of the following options:

**Pass** - that the candidate be approved for the degree of EngD subject to the satisfactory completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

**Pass Subject to Corrections and Amendments** - that the candidate be approved for the degree of EngD subject to the satisfactory completion of such corrections and amendments as may be required by the Examining
Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

Not Approved, Resubmit for EngD - that the candidate be not approved for the degree of EngD but be allowed to modify the thesis and re-submit it for the degree of EngD on one further occasion only, upon payment of a re-submission fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination.

Not Approved, Re-take Oral Presentation – that the candidate be not approved for the degree of EngD, but be allowed to re-take the oral presentation on one subsequent occasion. The candidate will retain eligibility for the award of EngD upon successful completion of the oral examination element; this element shall be completed within a period of three months from the date of the official notification to the candidate of the outcome of the examination.

Not Approved for EngD, Approved for MPhil - that the candidate be not approved for the degree of EngD, but be approved for the degree of MPhil subject to the completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

Not Approved for EngD, Approved for MPhil Subject to Corrections and Amendments - that the candidate be not approved for the degree of EngD, but be approved for the degree of MPhil subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

Not Approved for EngD, Resubmit for MPhil - that the candidate be not approved for the degree of EngD, but be allowed to modify the thesis and re-submit it for the degree of MPhil on one further occasion only, upon payment of the examination fee. The re-submission shall take place within a period not exceeding one year from the date of official notification to the candidate of the outcome of the examination.

Not Approved - that the candidate be not approved for the degree of EngD and no further submission is permitted.

13.4 Successful candidates shall be required to conform to the provisions outlined in Senate Regulations for the Presentation and Submission of Research Degree Theses. The Convenor of the Examining Board shall confirm in writing that the student has completed any corrections to the satisfaction of the Examining Board and that the thesis has been deposited in the University’s digital repository or presented in a format appropriate for library deposit in accordance with current requirements prior to the award process being initiated.
14. AFTER COMPLETION OF THE EXAMINATION OF THE PROGRAMME

14.1 After completion of all elements of the examination of the Programme, the Convenor shall return the completed Result and Report Form to the Registry. The form will contain the examiners' independent and joint reports and the Examining Board's formal recommendation of result. The formal recommendation of result sheet shall record the exact decision of the Examining Board and shall be signed by the Chair and the examiners.

14.2 Following receipt of the examiners' reports and the Examining Board's formal recommendation of result, the Registry shall inform the candidate in writing of the outcome of the examination.

14.3 Candidates who are not recommended by the Examining Board for the award of Doctor may appeal against the decision reached, in accordance with the Academic Appeals Procedure.
These Regulations govern the award of the degree of MPhil (Master of Philosophy) and the award of the degree of MScD (Master of Dental Science) (by Research) at Cardiff University.

1. **CRITERIA FOR THE AWARD**

1.1 The degree of MPhil/MScD (by Research) may be awarded by the University in recognition of the successful completion of a programme of further study and research, the results of which are judged to constitute a critical evaluation and analysis of a body of knowledge and/or an original contribution to knowledge, and to give evidence of:

1.1.1 a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of the academic discipline, field of study, or area of professional practice;

1.1.2 a comprehensive understanding of techniques applicable to the research or advanced scholarship;

1.1.3 originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;

1.1.4 conceptual understanding that enables:

1.1.4.1 the critical evaluation of current research and advanced scholarship in the discipline; and

1.1.4.2 the evaluation of methodologies, the development of critiques of them and, where appropriate, the proposal of new hypotheses.

1.2 The degree of MPhil/MScD (by Research) may not be conferred *honoris causa* under these Regulations.

2. **ENTRY REQUIREMENTS**

2.1 An applicant for admission to a programme of research shall be required:

2.1.1 to meet the conditions of the University General Entrance Requirement; and

2.1.2 to meet the particular requirements for the programme of research applied for.

2.2 A candidate for the degree of MScD (by Research) must have qualified for the degree of Bachelor of Dental Surgery (BDS or BChD).

2.3 Irrespective of a candidate's qualifications, the School concerned must satisfy itself that a candidate is of the required academic standard to complete the programme of research proposed.
2.4 The decision as to whether an applicant shall be admitted to the programme of research proposed shall rest with the relevant Head of School, in accordance with the University’s entry requirements.

2.5 A candidate may formally commence his/her period of research on the first day of October, January, April or July, subject to the agreement of the Head of School concerned.

3. VERIFICATION OF QUALIFICATIONS

3.1 An individual verification of the academic or other qualifications obtained prior to entry may be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Behaviour Procedure if clear and complete certification for such verification is not provided on request.

4. METHOD OF CANDIDATURE

4.1 A candidate may qualify for the degree of MPhil/MScD (by Research) by pursuing one of the following methods of study:

4.1.1 by pursuing full-time research in the University;
4.1.2 by pursuing full-time research in an external place of employment approved by the University (see 4.3 below);
4.1.3 by pursuing part-time research externally;
4.1.4 by pursuing research as a member of staff11.

4.2 It is possible, in appropriate cases, to transfer from one method of candidature to another (e.g. from full-time to part-time and vice versa). In such cases the University will determine a revised minimum registered period of study and will fix the earliest and latest dates for the submission of the thesis. The revised registered period of study is calculated by establishing the proportion of full-time or part-time study a candidate has already completed, then converting the remaining proportion of study into its part-time or full-time equivalent. The revised time-limit is calculated on the same basis.

4.3 Where a School proposes to admit a candidate who will pursue full-time research in an external place of employment, the following written assurances shall be provided by the employer:

4.3.1 that the candidate will be working on full-time research on a particular, agreed project;
4.3.2 that the research work shall be undertaken under the direct supervision and control of a main supervisor nominated by the Head of School (in accordance with 8.1 below) with specific duties related to the candidature; such control shall include the right of the supervisor to have access to the candidate and his/her work at all times in the place of his/her employment.

11 Staff candidature is restricted to members of staff, holding a contract of salaried employment equivalent to at least one-third of that of a full-time member in the appropriate categories of staff.
5. **MINIMUM PERIODS OF STUDY**

5.1 A candidate must register at the University, pay the appropriate fee prescribed and pursue the programme of research for the minimum registered period of study defined below:

5.1.1 by pursuing a candidature full-time in the University, or full-time in an external place of employment, or full-time as a member of staff: one year;

5.1.2 by pursuing a part-time external candidature, or by pursuing the programme part-time as a member of staff: two years.

5.2 Notwithstanding 5.1 above, the Head of School may, at his/her discretion, require a candidate to pursue research for longer than these minimum periods.

5.3 A one-year candidate may submit a thesis, at the earliest, two weeks before the expiry of the registered period of study. A two-year candidate may submit a thesis, at the earliest, six months before the expiry of the registered period of study.

5.4 Heads of Schools shall be authorised to approve entry with advanced standing on the basis of one or more periods of pursuance of a programme of research at an approved university, deemed equivalent by the Head of School concerned, in lieu of a specified period of the programme of research at the University. The combined registered periods of further study and research must equal or exceed the minimum period described in 5.1 above.

5.5 Tuition fees are payable in respect of a candidate's period of study as a registered student. Heads of Schools may recommend for fees to be charged in respect of students who continue to receive supervision and/or facilities after the expiry of the stipulated registered period of study.

6. **TIME LIMITS**

6.1 A candidature shall lapse if a thesis is not submitted, in the form and manner prescribed by the University, by the following time limit for completion:

6.1.1 by pursuing a registered period of study full-time in the University, or full-time in an external place of employment, or as a member of staff, where the programme commenced before 1 August 2016:

    three years from the beginning of the candidate's period of study;

6.1.2 by pursuing a registered period of study full-time in the University, or full-time in an external place of employment, or by pursuing the programme full-time as a member of staff, where the programme commenced after 1 August 2016:

    two years from the beginning of the candidate's period of study;

6.1.3 by pursuing a part-time external registered period of study, where the programme commenced before 1 August 2016:

    five years from the beginning of the candidate's period of study.
6.1.4 by pursuing a part-time external registered period of study, or by pursuing the programme on a part-time basis as a member of staff, where the programme commenced after 1 August 2016:

three years from the beginning of the candidate’s period of study.

7. INTERRUPTIONS AND EXTENSIONS TO TIME LIMITS

7.1 A period of study may be interrupted or a time limit extended by the University in accordance with the Student Attendance and Engagement Procedures and/or Extension to Time Limit Procedure – Postgraduate Research Candidates.

8. THE APPOINTMENT OF SUPERVISORS

8.1 For each candidature, the Head of School concerned shall appoint at least one main supervisor who is member of staff employed in that School and either:

8.1.1 a member of the academic staff\textsuperscript{12} or senior research staff\textsuperscript{13}, holding a contract of employment equivalent to at least 50% of that of an equivalent full-time member of staff;

8.1.2 a part-time member of the academic/research staff who has formerly satisfied 8.1.1 above.

8.2 Staff appointed as additional supervisors by the Head of School may be external to the School concerned or to the University.

9. PRESENTATION AND SUBMISSION OF THESES

The following regulatory provisions for the presentation and submission of theses are presented in Senate Regulations for the Presentation and Submission of Research Degree Theses:

General Requirements

Publication of Work Prior to Submission and its Inclusion in a Thesis

Presentation of Research Degree Theses for Examination

Format for the Presentation of Theses

Additional Materials

Special Provisions Relating to the Creative and Performing Arts

Post-Examination: Deposit of successful Theses in the Digital Repository

Post-Examination: Unsuccessful Outcomes

Ownership and Access.

\textsuperscript{12} For this purpose, ‘academic staff’ is defined as professors, readers, senior lecturers and lecturers of the University.

\textsuperscript{13} For this purpose, ‘senior research staff’ is defined as senior research associate grade or higher.
10. **EXAMINATION**

10.1 All MPhil/MScD (by Research) degree candidates are required to undergo an oral examination.

10.2 In the case of candidates re-submitting a thesis for further examination and if the Examining Board is satisfied that the re-submitted work meets the criteria for the award of MPhil/MScD (by Research), the requirement for a further oral examination may be waived at the Examining Board's discretion.

11. **ARRANGEMENTS AND CONDUCT OF ORAL EXAMINATION**

11.1 The oral examination shall be conducted in accordance with the University's 'Procedures for the Arrangement and Conduct of Research Degree Examinations'.

12. **RECOMMENDATIONS FOR AWARD**

12.1 Examining Boards, in recommending a candidate for the degree, shall certify that the thesis submitted by the candidate substantially covers the programme of research approved for him/her.

12.2 Examining Boards considering MPhil/MScD (by Research) submissions may recommend one of the following options:

- **Pass** - that the candidate be approved for the degree of MPhil/MScD (by Research) subject to the satisfactory completion of any minor typographical corrections as may be required by the Examining Board. If required, such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

- **Pass Subject to Corrections and Amendments** - that the candidate be approved for the degree of MPhil/MScD (by Research) subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

- **Not Approved, Resubmit for MPhil/MScD** - that the candidate be not approved for the degree of MPhil/MScD (by Research) but be allowed to modify the thesis and re-submit it for the degree of MPhil/MScD (by Research) on one further occasion only, upon payment of a re-submission fee. The re-submission shall take place within a maximum period of one year from the date of the official notification to the candidate of the outcome of the examination.

- **Not Approved** - that the candidate be not approved for the degree of MPhil/MScD (by Research).

12.3 Successful candidates shall be required to conform to the provisions outlined in Senate Regulations for the Presentation and Submission of Research Degree Theses. The Convenor of the Examining Board shall confirm in writing that the student has completed any corrections to the satisfaction of the Examining Board and that the thesis has been deposited in the University’s digital repository or presented in a format appropriate for
library deposit in accordance with current requirements prior to the award process being initiated.

13. **AFTER THE EXAMINATION**

13.1 After completion of the examination, the Convenor shall return the completed Result and Report Form to the Registry. The form will contain the examiners' reports and the Examining Board's formal recommendation of result. The formal recommendation of result sheet shall record the exact decision of the Examining Board and shall be signed by the Chair and the examiners.

13.2 Following receipt of the examiners' reports and the Examining Board's formal recommendation of result, the Registry shall inform the candidate in writing of the outcome of the examination.

13.3 Candidates who are not recommended by the Examining Board for the award of MPhil/MScD (by Research) may appeal against the decision reached, in accordance with the Academic Appeals Procedure.
Senate Regulations for the Award of the Degree of MRes
(Master of Research)

1. GENERAL

1.1 Senate Regulations for Modular Taught Postgraduate Programmes shall apply to MRes Programmes except as indicated in the table below:

<table>
<thead>
<tr>
<th>Senate Regulations for Modular Taught Programmes</th>
<th>Senate Regulations for the Award of the Degree of MRes (Master of Research) (these Regulations)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regulation 5 - Modules</td>
<td>Regulation 2., below, replaces Regulation 5.7 of Senate Regulations for Modular Taught Postgraduate Programmes</td>
</tr>
<tr>
<td>Regulation 6 - Structure</td>
<td>Regulation 3., below, replaces Regulation 6.1 of Senate Regulations for Modular Taught Postgraduate Programmes</td>
</tr>
<tr>
<td>Regulation 9 - Progression</td>
<td>Regulations 4.1 and 4.2, below, replace Regulations 9.1 and Regulation 9.4 of Senate Regulations for Modular Taught Postgraduate Programmes</td>
</tr>
<tr>
<td>Regulation 11 - Award</td>
<td>Regulation 5., below, replaces Regulation 11.1 of Senate Regulations for Modular Taught Postgraduate Programmes</td>
</tr>
<tr>
<td>Regulation 12 – Classification of Awards</td>
<td>Regulation 6., below, replaces Regulation 12.1 of Senate Regulations for Modular Taught Postgraduate Programmes</td>
</tr>
</tbody>
</table>

2. MODULES

2.1 A Dissertation Module for an MRes Programme shall be at least equal to 90 Credits and no more than 120 Credits at Level 7.

2.2 For MRes Programmes a traditional ‘Dissertation’ may be replaced by an alternative format (with single or multiple assessed outputs) that presents the results of independent research.

Where a traditional Dissertation format is used as a requirement of an MRes Programme it shall be a bound submitted work and the maximum word limit shall accord with the following:
3. STRUCTURE

3.1 Unless approved as an exception by the Academic Standards and Quality Committee each Programme leading to an MRes Degree shall be divided into two Stages as follows:

Postgraduate Certificate Stage;

Master's Degree Stage (MRes).

The structure of MRes Programmes shall be set out in Programme Information which shall as a minimum accord with the following requirements:

3.1.1 a modular Programme leading to the award of MRes shall consist of Modules at least to the value of 180 Credits at Level 7 which shall include a Dissertation or equivalent outputs of research of at least 90 Credits at Level 7;

3.2 no student may be permitted or required to pursue and/or be assessed in Modules to the value of:

more than 120 Credits in any academic year; and
more than 180 Credits in any calendar year.

3.3 Programme Information shall identify all Exit-Point Awards associated with the Programme and shall stipulate the Modules contributing to each award.

4 PROGRESSION

4.1 To progress from the Postgraduate Certificate Stage to the Master's Degree Stage of an MRes Programme, students must have achieved:

- the Credits set out below;
- Credit in any Required Modules; and
- where relevant, the required professional competencies.

<table>
<thead>
<tr>
<th>At the end of the Certificate Stage</th>
<th>Students who have been awarded 60 Credits at Level 7 shall:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- EITHER progress to the Master’s stage of their MRes Programme;</td>
</tr>
<tr>
<td></td>
<td>- OR be awarded a Postgraduate Certificate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>90-Credit Dissertation</th>
<th>30,000 words</th>
</tr>
</thead>
<tbody>
<tr>
<td>100-Credit Dissertation</td>
<td>33,000 words</td>
</tr>
<tr>
<td>110-Credit Dissertation</td>
<td>37,000 words</td>
</tr>
<tr>
<td>120-Credit Dissertation</td>
<td>40,000 words</td>
</tr>
</tbody>
</table>
4.2 A student for an MRes award may, with the Head of School's approval, begin supervised or unsupervised preparatory work on the Dissertation prior to completion of the Postgraduate Certificate Stage, but may not submit work for assessment unless and until the Postgraduate Certificate Stage of the Programme has been passed.

5. AWARD

5.1 Subject to such additional requirements provided in Programme Information, a student who has achieved a minimum number of Credits as provided in the following table, including Credit in any Required Modules, shall be eligible for the Award indicated.

<table>
<thead>
<tr>
<th></th>
<th>Credits at Level 7</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate Certificate</td>
<td>60</td>
</tr>
<tr>
<td>Master's Degree</td>
<td>180</td>
</tr>
</tbody>
</table>

6. CLASSIFICATION OF AWARDS

6.1 The following provisions shall be applied where students are eligible for an MRes award as indicated in 5. above. For the purpose of classification of MRes awards, Module Marks will be combined and weighted according to their Credit Weighting to provide a Final Mark. Students will be informed of the Classification Set applicable to their Programme via the Programme Information issued to them.

To be awarded an **MRes Degree with Distinction** a student must:

- achieve a Final Mark of 70% or above, AND
- achieve a mark of at least 70% in their Dissertation, AND
- achieve an average mark of at least 65% in their taught Modules.

To be awarded an **MRes Degree with Merit** a student must:

- achieve a Final Mark of 60% or above, AND
- achieve a mark of at least 60% in their Dissertation, AND
- achieve an average mark of at least 55% in their taught Modules.
Senate Regulations for the Award of the Degree of PhD (by Published Works)

These Regulations govern the award of the degree of PhD (Doctor of Philosophy) (by Published Works) at Cardiff University.

1. CRITERIA FOR THE AWARD

1.1 The criteria for the award of the degree of PhD (by Published Works) shall be the same as those established for the degree of PhD, and as provided in 1.2 below.

1.2 The degree of PhD may be awarded by the University in recognition of the successful completion of a programme of further study and research, the results of which are judged to constitute an original contribution to learning and to give evidence of:

1.2.1 the creation and interpretation of new knowledge, through original research, of a quality to satisfy peer review, extend the forefront of the discipline and merit publication;

1.2.2 a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;

1.2.3 an ability to relate the results of such study to the general body of knowledge in the discipline;

1.2.4 the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;

1.2.5 a detailed understanding of applicable techniques for research and advanced academic enquiry.

2. DEFINITION OF PUBLISHED WORKS

2.1 For the purpose of these Regulations, ‘published works' may be defined as works which are in the public domain or which have at least been accepted for publication (provided that the candidate can provide adequate proof that this is the case). As a consequence, research reports prepared for a restricted readership and/or on a confidential basis will not be eligible normally for inclusion in a submission for this degree.

2.2 Works submitted for examination should not normally have been published more than ten years previous to the date of registration.

3. ELIGIBILITY OF CANDIDATES

3.1 Except as provided in 3.3 below, any candidate for the degree of PhD (by Published Works) shall satisfy at least one of the following eligibility criteria:

i) be a graduate of Cardiff University, or of the University of Wales following candidature at Cardiff University, of at least six years’ standing prior to registration for such a degree; or
ii) be a member of staff of at least six years' standing at Cardiff University prior to registration for the degree; or

iii) be a holder of an honorary title of Cardiff University of at least six years' standing prior to registration for the degree.

3.2 A candidate for the degree must be registered as a student/staff candidate at the University prior to examination for the degree.

3.3 A person shall not be eligible to proceed to the degree of PhD (by Published Works) under these regulations if he or she has been previously approved for a PhD or other related doctoral degree of Cardiff University or of the University of Wales following candidature at Cardiff University.

3.4 A graduate of Cardiff University or of the University of Wales following candidature at Cardiff University who has been examined for a doctoral degree but who has not been approved for such a degree may not become a candidate for the degree of PhD under these Regulations.

4. APPLICATION

4.1 Through preliminary enquiries, a prospective candidate for the degree of PhD (by Published Works) shall identify the most appropriate School for registration and shall write to the Head of that School stating the subject with which his or her contribution to scholarship appears to be most nearly connected, and specifying the published work or works on which his or her claim to the degree is based.

4.2 A candidate, in submitting an application, shall be required to:

4.2.1 declare that the proposed submission as a whole is not substantially the same as any that he or she has previously made or is currently making, whether in published or unpublished form, for a degree, diploma, or similar qualification at any university or similar institution;

4.2.2 state what parts (if any) of the work or works proposed to be submitted have previously been submitted for another qualification;

4.2.3 declare that, until the outcome of the current application to the University is known, the work or works proposed to be submitted will not be submitted for any such qualification at another university or similar institution.

5. REGISTRATION

5.1 If the School concerned is willing to accept the candidature, s/he shall be required to register at the University and to pay the appropriate fee.

5.2 For each candidature, the Head of School concerned shall assign an advisor or advisors. The advisor(s) shall provide general guidance on the presentation of the published works for examination and advise on the

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14 The fee for PhD (by Published Works) shall be equivalent to the standard per annum tuition fee charged by the University to part-time PhD students, as current at the time of registration. One-third of the fee shall be payable at the point of registration; the remaining two-thirds shall be payable at the point of submission. Cardiff University Staff Candidates are required to pay only a staff submission fee, equivalent to that charged to PhD Staff Candidates.
critical commentary that shall accompany the works. The following categories of staff are eligible for appointment as an advisor:

5.2.1 a member of the academic staff\textsuperscript{15} or senior research staff\textsuperscript{16}, holding a contract of employment equivalent to at least 50\% of that of an equivalent full-time member of staff;

5.2.2 a part-time member of the academic/research staff who has formerly satisfied 5.2.1 above.

6. MINIMUM PERIOD OF REGISTRATION

6.1 A candidate for PhD (by Published Works) must register at the University for a minimum period of three months prior to the submission of the work to be examined.

7. SUBMISSION OF THE WORK TO BE EXAMINED

7.1 PhD (by Published Works) candidates shall submit three copies of the submission to the Head of School concerned or his/her nominee.

7.2 The submission shall comprise:

7.2.1 a list of the works submitted;

7.2.2 the published works to be examined;

7.2.3 a critical commentary, as described in 7.3 below;

7.2.4 any other documentation which may be required, as described in 7.4 below.

7.3 Candidates shall be required to provide a critical commentary of some 5,000 - 10,000 words giving an evaluation of the field in which they have worked, and indicating also the original contribution to learning in that field which in their opinion their work has made.

7.4 Candidates may submit work(s) done in collaboration with others in support of the candidature, but such work shall be accompanied by a statement signed by each collaborator indicating the nature and amount of the work done by the candidate.

7.5 The submission shall be accompanied by a 'Notice of Submission Form'\textsuperscript{17}, and the remaining portion of the fee, as applicable.

8. EXAMINATION

8.1 The Head of School, or his/her nominee, shall arrange for a Panel (comprising the Head of School concerned, the candidate's advisor(s) and one other internal assessor who shall normally be a senior member of the School's staff (to be appointed by the Head of School)) to consider the

\textsuperscript{15} For this purpose, 'academic staff' is defined as professors, readers, senior lecturers and lecturers of the University.

\textsuperscript{16} For this purpose, 'senior research staff' is defined as senior research associate grade or higher.

\textsuperscript{17} Forms for the submission of theses are provided to Schools by the University.
works submitted in order to decide whether or not there is a *prima facie* case to support the referral of the works for examination.

### 8.2
Where the Head of School is also the candidate's advisor, two other internal assessors shall be appointed.

### 8.3
The Head of School, must be satisfied that a *prima facie* case exists for accepting the submission and referring the thesis for examination.

### 8.4
Determining that a *prima facie* case exists for accepting the submission shall in no way prejudice the findings and decision of the Examining Board.

### 8.5
Should the Panel decline to accept the works for examination, two-thirds of the fee paid shall be returned to the candidate, together with the three copies of the work concerned.

### 8.6
All candidates for PhD (by Published Works) are required to undergo an oral examination on the work submitted and on the general field of knowledge within which it falls.

### 9. ARRANGEMENTS AND CONDUCT OF ORAL EXAMINATION

### 9.1
The oral examination shall be arranged and conducted in accordance with the University's 'Procedures for the Arrangement and Conduct of Research Degree Examinations'.

### 10. RECOMMENDATIONS FOR AWARD

#### 10.1
Examining Boards, in recommending a candidate for the degree, shall certify that the thesis submitted by the candidate substantially covers the programme of research approved for him/her.

#### 10.2
Examining Boards may recommend one of the following options:

**Pass** - that the candidate be approved for the degree of PhD subject to the satisfactory completion of any minor typographical corrections to the critical summary as may be required by the Examining Board. Such minor corrections shall be completed within one week of the Examining Board. The Examining Board would not ordinarily scrutinise the correction of such minor errors prior to the award process being initiated.

**Pass Subject to Corrections and Amendments** - that the candidate be approved for the degree of PhD subject to the satisfactory completion of such corrections and amendments as may be required by the Examining Board. Such corrections and amendments shall be completed within twelve weeks of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

**Not Approved, Re-take Oral Presentation** - that the candidate be not approved for the degree of PhD, but be allowed to re-take the oral presentation on one subsequent occasion, a maximum period of one year from the date of official communication to him/her of the result by the University Registry. A re-examination fee will be payable by the candidate.

**Not Approved** - that the candidate be not approved for the degree of PhD.
In such circumstances the award of an MPhil or equivalent may not be made. After a first submission, where the published work has been found to be not satisfactory, the Examining Board may, at its discretion, permit a further submission (to include additional works of an appropriate quality and standard) within a period not exceeding five years, to be determined by the Board, for the degree of PhD on payment of a re-submission fee.)

10.3 Successful candidates shall be required to conform to the provisions outlined in the Senate Regulations for the Presentation and Submission of Research Degree Theses. The Convenor of the Examining Board shall confirm in writing that the student has completed any corrections to critical summary to the satisfaction of the Examining Board and that the thesis has been deposited in the University’s digital repository or presented in a format appropriate for library deposit in accordance with current requirements prior to the award process being initiated.

11. AFTER THE EXAMINATION

11.1 Two copies of every work of research approved by the examiners shall become the property of the University.

11.2 The Convenor shall arrange for the deposit of one copy of a successful research thesis in the National Library of Wales, Aberystwyth, and for the deposit of a second copy in the University Library.

11.3 An Examining Board may attach to a work which has not been approved by the Examiners any decision or recommendations or comments which they may desire to communicate to the candidate after the termination of the examination.
1. GENERAL

These Regulations are to be read in conjunction with the Academic Ordinances of Cardiff University, which shall be authoritative in respect of matters relating to the award of Cardiff University qualifications.

The senior doctoral degrees awarded by the University are listed in Senate Regulations for Awards of Cardiff University.

2. DEFINITIONS

The following definitions shall apply in respect of these Regulations:

Published Work

For the purposes of senior doctoral awards, the definition "published work" shall be as follows:

a) Any combination of books, articles, or musical compositions, printed or otherwise reproduced, which are made available to the general public through the normal channels by being distributed by a publishing firm or some other agency.

b) Articles or musical compositions, printed or otherwise reproduced, appearing in a journal or other publication sponsored by a learned society.

3. ADMISSION TO CANDIDATURE

3.1 Graduates of the University of not less than two years' standing may be admitted to candidature for a senior doctoral degree during or subsequently to the second year after having qualified for the degree of Doctor of Philosophy or the third year after having qualified for the degree of Master of Philosophy or other cognate Master's degree or the tenth year after having qualified for an initial degree.

3.2 In the case of the Degree of Doctor of Dental Science, Graduates of the University of not less than two years' standing, and possessing the degree of Bachelor of Dental Surgery, may be admitted to candidature for the degree of Doctor of Dental Science during or subsequently to the second year, after having qualified for the degree of Doctor of Philosophy or the third year after having qualified for the degree of Master of Dental Science, Master of Science or Master of Philosophy or the tenth year after having qualified for the degree of Bachelor of Dental Surgery.

3.3 A member of the teaching, research, administrative, library or technical staff of the University, or an Associated Theological College, who is a graduate of another University, may become a candidate for a senior doctoral degree provided:

3.3.1 that s/he has taken an initial degree at least ten years previously, and
3.3.2 that s/he has been a member of the staff of the University or an Associated Theological College for at least five years.

3.4 For the purpose of these Regulations, Graduates of the University shall include Graduates of the University of Wales presented by Cardiff University or its predecessor institutions.

4. CRITERIA FOR SUBMISSION

4.1 A candidate for a senior doctoral degree is required to submit, to the judgement of the University, his/her contributions to the advancement of knowledge in some subject recognised for the purpose. The subjects recognised for this purpose are those which are open to candidates for the degree of Master of Philosophy as well as any cognate to them.

4.2 In the case of candidates who are potentially eligible to submit for a degree under more than one category (eg either DLitt or DSc), the Vice-Chancellor, on the advice of Senate, will decide upon the appropriate senior doctoral degree to be awarded to a successful candidate.

4.3 Candidates shall be required to submit independent work which is a substantial contribution to knowledge. Work done in collaboration may be submitted in support of the candidature, but such work shall be accompanied by a statement signed by each collaborator indicating the nature and amount of the work done in collaboration. Candidates shall be required to provide a summary, of about four or five pages in length, giving an indication of the field or fields in which they have specialised, and indicating also the contribution to knowledge in that field which in their opinion their work has made. At the discretion of the examiners, the candidate may be summoned to an interview.

4.4 Candidates for the degree of DMus are required to submit published compositions or manuscripts which constitute a substantial contribution to the art of music. Work done in collaboration may be submitted in support of the candidature, but such work shall be accompanied by a statement signed by each collaborator indicating the nature and amount of the work done in collaboration.

5. PROCEDURES FOR SUBMISSION

5.1 Notice of candidature for the degree must be given to the Academic Registrar or nominee, and must be accompanied by two copies of each of the published works it is desired to submit to the judgment of the University. Such notice may be given at any time during the academic year, but if it is given later than 31 January, the result of the candidature will not ordinarily be determined at such date as to allow the candidate, if successful, to be admitted to the degree in that academic year. Candidates shall state when submitting their work, how much, if any, of it has been submitted or is being concurrently submitted in candidature for any other degree.

5.2 The fee for admission to candidature must be forwarded to the Academic Registrar or nominee, together with the official form of notice of candidature.
6. CONSIDERATION OF SUBMISSIONS

6.1 All works submitted by a candidate for a senior doctoral degree shall be considered by a committee consisting of:

6.1.1 The Pro Vice-Chancellor of the relevant College as determined by the field of the Senior Doctoral Degree;

6.1.2 two other members of Senate appointed by the Pro Vice-Chancellor of the relevant College.

6.2 If satisfied that a prima facie case has been established for referring the works for detailed examination for the degree in question, the committee shall appoint three referees, of whom two shall act in the first instance. If the committee is not satisfied it shall inform the Academic Registrar or nominee, who shall notify the candidate.

6.3 Each of the two appointed referees shall send to the Academic Registrar or nominee a detailed and independent report as to the scope, quality and originality of the works, stating whether in his/her opinion the degree should be awarded.

6.4 In making their report on the candidature for the doctorate, referees are requested to consider the following questions, viz:

6.4.1 Does the candidate's work show mastery of the subject?

6.4.2 Does the work possess quality, originality and distinctiveness worthy of the degree for which it has been submitted?

6.4.3 (With the exception of candidates for the degree of DMus) does the work make a substantial contribution to the advancement of knowledge of such a nature as to make the candidate an acknowledged expert in the field covered?

6.4.4 Can the candidate be considered worthy of the award of the degree?

(It would assist the University materially in the final consideration of the work, if, in answering these questions, referees would express briefly the principal reasons that have led them to their conclusions.)

6.5 Referees are reminded that the purpose of requiring publication is to ensure that the work submitted has been available for criticism by relevant experts, and that referees are given discretion to disregard any of the work submitted if, in their opinion, the work has not been so available for criticism either on account of its inaccessibility or because it has been submitted for the degree at too short an interval after its publication.

6.6 The written reports of the referees shall be deposited in the archives of the University.

7. AWARD OF DEGREE

7.1 The reports of the two referees shall be submitted by the Academic Registrar or nominee to the committee appointed in accordance with paragraph 6.1 above.
7.2 The committee shall consider the recommendations of the referees, and shall present a report, including a recommendation as to the award of the degree, to the Senate.

7.3 A recommendation to the Senate may be made by the committee in the light of the quality, detail, etc of the two reports, even though they may not be in agreement. The third referee need not necessarily be asked to submit an independent report.

7.4 The Senate shall make the final decision on the candidature.

8. One copy of every work approved by the examiners shall be deposited in the University Library, and the other in the National Library of Wales, Aberystwyth.
Senate Regulations for the Presentation and Submission of Research Degree Theses

PREAMBLE

These regulations shall apply to all theses submitted for the award of PhD, MD, MPhil, MScD by Research and doctoral degrees by examination and thesis. These regulations shall not apply to PhD by Published Works.

1 GENERAL REQUIREMENTS

1.1 References in these regulations to 'a thesis' should also be taken to include any non-standard forms of submission/assessment approved by the Academic Standards and Quality Committee in respect of particular candidatures.

1.2 Every candidate's research shall be completed by the presentation of a thesis which embodies the methods and results of the research.

1.3 In respect of PhD and EngD, the thesis shall not normally exceed 80,000 words in length (excluding appendices and footnotes).

1.4 In respect of MD, the thesis shall not normally exceed 60,000 words in length (excluding appendices and footnotes).

1.5 In respect of MPhil and MScD, the thesis shall not normally exceed 50,000 words in length (excluding appendices and footnotes).

1.6 In respect of Doctoral Degrees by Examination and Thesis (Professional Doctorates), excluding the EngD, the thesis (which may be referred to alternatively as a 'research portfolio') shall normally be between 35,000 and 50,000 words in length (excluding appendices and footnotes), in accordance with programme regulations.

1.7 There is some degree of flexibility where the nature of the particular thesis justifies a longer than usual length. However, in accepting for examination a thesis that exceeds the stated word limit, the School is required to have determined that its length is appropriate for its particular form, and is expected to have alerted potential Examiners during the initial approach and sought their agreement to examine the thesis.

2 PUBLICATION OF WORK PRIOR TO SUBMISSION AND ITS INCLUSION IN A THESIS

2.1 A candidate is at liberty to publish the whole or part of the work produced during his/her candidature prior to its submission as a whole, or part of a thesis, provided that in the published work it is nowhere stated that it is in consideration for a higher degree.

2.2 A series of academic papers, whether published or otherwise, is not acceptable for submission as a thesis, with the exception of PhD by Published Works.

2.3 Research work already published, or submitted for publication, may be incorporated in a thesis. With the exception of Doctoral Degrees by Examination and Thesis (see 2.4 below), papers themselves may not be
included in the body of a thesis but may be adapted to form an integral part of a thesis and make a relevant contribution to a main theme. Publications derived from the work described in a thesis may be appended as supplementary material, not to be assessed, at the back of a thesis.

2.4 In respect of Doctoral Degrees by Examination and Thesis, the thesis, or research portfolio, may include, as one element, one or more academic papers, in accordance with programme regulations.

3 PRESENTATION OF RESEARCH DEGREE THESESES FOR EXAMINATION

3.1 The thesis should be typed and may be presented for examination in a temporary, but secure binding with a glued spine, which is sufficiently robust to withstand transit to and from the examiners. It should show on the spine the candidate's name and the degree for which s/he is a candidate.

3.2 For the purpose of examination (including re-examination), a candidate shall submit the items listed below to the Head of the School concerned, or his/her designated nominee.

3.2.1 For most candidates the required number of copies will be two. A Head of School / Examining Board Convenor may, however, appoint an additional, advisory examiner; in such cases, the candidate will be required to submit an additional copy of the thesis. Each copy must contain:

.1 a title page, which states:
  – the full title of the thesis
  – the degree award title for which the thesis is presented
  – the year of presentation (or re-presentation in the case of a thesis that is to be re-examined)
  – the candidate's name;

.2 a summary not exceeding three hundred words;

.3 a statement signed by the candidate declaring that, except where indicated by specific reference, the work submitted is the result of the candidate's own investigation and the views expressed are those of the candidate;

.4 a statement signed by the candidate declaring that no portion of the work presented has been submitted in substance for any other degree or award at this or any other university or place of learning, nor is being submitted concurrently in candidature for any degree or other award. The preliminary pages of the thesis may also include a dedication, acknowledgements, list of abbreviations and similar (these are not compulsory);

.5 a list of contents, which includes the page number for each item listed.

3.2.2 a completed 'Notice of Submission' form.

3.3 Where portions of investigation were conducted in collaboration with, or with the assistance of, others, the extent and nature of these contributions
should be highlighted clearly in acknowledgements, as well as referenced within the main body of the text.

3.4 All theses shall be presented in English or Welsh. Quotations and technical terms, however, may be given in the language in which they were written.

3.5 Candidates must ensure that material authored by a third-party that has been used in their thesis has been sufficiently acknowledged.

3.6 Bibliographic citations and references must be consistent throughout the thesis.

3.7 A candidate may not amend, add to or delete from the thesis after it has been submitted, unless this is required as a result of a decision of an Examining Board.

4 FORMAT FOR THE PRESENTATION OF THESES

4.1 For the main text of the thesis, double or 1.5 spacing in a font type and size which ensures readability must be used (for example 11 point in a font such as Arial, Trebuchet, or Helvetica).

4.2 Characters employed in all other texts (e.g. footnotes) must not be less than 10 point. Single spacing may be used for the summary, quotations, footnotes and references.

4.3 The thesis may be single-sided or double-sided: the normal expectation is that the thesis will be double-sided to support the University's sustainability agenda.

4.4 To aid readability, the margin at the binding edge of any page should be not less than 40mm; other margins should be not less than 20mm.

4.5 Preliminary pages must be numbered in roman numerals. Thereafter page numbering must consist of a single sequence of Arabic numerals throughout the thesis.

4.6 A4 paper must be used and should be of good quality and sufficient opacity for normal reading.

4.7 Drawings, figures, charts, etc. may be in black ink and/or in colour; in all cases they must be clear and legible.

4.8 Diagrams, maps and similar documents, of a size unsuited to be bound within the thesis, should be submitted in a portfolio of reasonable size and shall bear the particulars stated to be necessary for the volume.

5 ADDITIONAL MATERIALS

5.1 Candidates may submit non-text material, such as audio or video recordings, with their thesis, if such material forms a useful addition to, or explanation of, work contained in the written submission and if such material constitutes the most appropriate method of presenting the information concerned. Any material of this type shall be submitted in a format approved by the candidate's School for the purpose of the examination.
5.2 SPECIAL PROVISION IN RESPECT OF PROJECTS INVOLVING DESIGN

In the case of candidates for PhD and MPhil, where design is an integral part of the research investigation and has given rise to material that cannot be bound into the thesis, the submission shall include drawings, models or other forms of presentation that result from the design. The design work(s) shall be recorded for examination in an appropriate format determined by the relevant School and form part of the final record.

6 SPECIAL PROVISIONS RELATING TO THE CREATIVE AND PERFORMING ARTS

6.1 In the case of candidates for the degree of PhD in Creative Writing, the submission will take one of the following forms:

i. For prose (novel, short story, work of creative non-fiction or play/film script), the creative portion and critical commentary will not normally exceed 100,000 words with the critical commentary comprising not less than 20,000 words;

ii. For poetry, a collection of poetry, prose poetry or micro-fiction amounting to around 60 pages, with an accompanying critical commentary of not less than 20,000 words;

iii. An integrated Creative/Critical submission of no more than 100,000 words.

6.2 In the case of candidates making practice-led submissions for the degree of PhD or MPhil in Music, the submission should take one of the following forms:

- a major work or portfolio of works of original composition, accompanied by a written commentary (of between 10,000 and 20,000 words for PhD; of between 5,000 and 10,000 words for MPhil) providing a critical analysis and placing the work in its academic context. The submission should include supporting recorded material in an appropriate format determined by the School of Music for the record and form part of the final submission; or

- a public recital or public lecture-recital of approximately ninety minutes' duration, together with either a supporting thesis (of between 40,000 and 50,000 words for PhD; of between 20,000 and 25,000 words for MPhil), or an appropriate scholarly edition with analytical commentary. The public recital or public lecture-recital shall be recorded in an appropriate format determined by the School of Music for the record and form part of the final submission.

6.3 In the case of candidates making practice-led submissions for the degree of PhD in Creative Practice in Architecture, the submission should take the following form:

- an examined exhibition of original design work(s), accompanied by a written commentary (of between 40,000 and 50,000 words) providing a critical analysis and placing the work in its academic context. The submission should include supporting material in an appropriate format determined by the Welsh School of Architecture for the record and form part of the final submission. A list of exhibition components (e.g.
models, films), should be included as an appendix to the written commentary as a durable record of the exhibition.

7 POST-EXAMINATION: DEPOSIT OF SUCCESSFUL THESES IN THE DIGITAL REPOSITORY

7.1 Once the Examining Board has made recommendation for an award, and has approved the required corrections where applicable, the candidate will be required to upload the final version of the thesis into the University’s digital repository before confirmation of the award. Candidates may prepare for their own use printed copies of the final version of the thesis.

7.2 Where the thesis contains material authored by a third-party for which there are copyright restrictions, the candidate must ensure that the copyright licence/permission extends to the preservation of the thesis and for making it available to others for download. Alternatively, the candidate may make available to others a redacted version of their thesis which excludes the third-party material.

7.3 The University Awards and Progress Committee will only consider recommendations for an award following confirmation that the final version of the thesis has been uploaded into the University’s digital repository or, where approval has been granted for the thesis to be provided in printed form only (see 7.4 and 7.5 below), that two printed copies of the final version of the thesis have been provided to the library.

7.4 The thesis may be held by the University in print form and not stored in the digital repository where either:

(i) the submission of the thesis is in accordance with the special provisions relating to the creative and performing arts and a case is made that availability of the thesis via the University’s digital repository would compromise commercial publication of the work; or

(ii) copyright law requires the redaction of significant parts of a thesis.

In both cases, the two hard bound copies of the final thesis must be submitted to the library (in accordance with 7.5) and the title and summary will be recorded in the library catalogue. In the case of special provisions relating to the creative and performing arts the commentary element of the thesis must be uploaded to the University’s digital repository prior to confirmation of the award.

7.5 Where approval is granted by the Chair of Academic Standards and Quality Committee or his/her nominee for the thesis to be provided in print form only, theses must meet the following requirements for library deposit:

(i) Theses shall be bound permanently within boards, the binding being of a fixed kind in which leaves are permanently secured in the manner of a hardback book. The boards shall have sufficient rigidity to support the weight of the work when standing upon a shelf;

(ii) The spine shall bear the surname and initials of the candidate, the full or abbreviated title of the work, the name of the degree for which it was submitted and the date of submission. This information shall be printed along the spine in such a way as to be readable when the volume is lying flat with the front cover uppermost;
(iii) If the work consists of more than one volume the spine shall also bear the number of each volume.

7.6 Where the thesis is lodged only in print form in the University library (see 7.4), the thesis will be available to staff and students of the University and made available for inter-library loan.

8 POST-EXAMINATION: UNSUCCESSFUL OUTCOMES

8.1 All copies of a failed thesis submitted by the candidate shall be returned to the candidate, once the process of examination (and the hearing of any subsequent appeal) has been completed.

9 OWNERSHIP AND ACCESS

9.1 Depositing the final copy of the thesis, approved by the Examining Board, to the University’s digital repository or to the library in print form grants Cardiff University a licence to store a copy of the thesis, but the student remains the copyright owner and is free to publish the thesis elsewhere.

9.2 Candidates (other than those whose registration status was staff-candidature) are not employed by the University and, as such, may own intellectual property (IP; including copyright) in work which they are solely responsible for producing. In some circumstances, however, a student candidate will have assigned his or her ownership interest in IP to the University or to a third party; this usually relates to sponsorship arrangements which have required such assignment. In other circumstances, the student’s supervisor(s) or research group will have contributed to the creation of IP: to maximise the prospect of successfully commercialising the IP, the student may be encouraged to assign ownership rights to the University on the same basis as academic staff.

9.3 An accepted principle of academic research at any level is that the research methods and results should be open to scrutiny, discussion and debate. Hence, a thesis accepted for a doctoral award or MPhil/MScD shall normally be openly available and subject to no security or restriction of access. On uploading the thesis to the digital repository, the candidate shall be required to confirm either:

9.3.1 that the thesis may be made immediately available; or

9.3.2 that the thesis may be made available after expiry of an approved bar on access (see below); in this case, the title and summary of the thesis shall normally be freely available.

9.4 BAR ON ACCESS

Notwithstanding 9.3 above, a request may be submitted to the Chair of the Academic Standards and Quality Committee to place a bar on access to a candidate’s work for a specified period of time.

9.4.1 An application for a bar on access will be considered where, for example, there are grounds for commercial or public sensitivity, individual confidentiality or security, or to allow the author to prepare the work for publication.

9.4.2 The standard period for a bar on access is 12 months. A bar on access that exceeds 12 months is considered non-standard.
9.4.3 An application for a bar on access can be made at any time from the outset of the Programme but must be submitted in advance of uploading the thesis to the digital repository, preferably before the viva voce examination has taken place, to allow time for the application to be reviewed and prevent delays in the awarding of the degree. The application may be made by the candidate or the supervisor.

9.4.4 A standard bar on access can be for no longer than 12 months and a non-standard bar on access can be for no longer than 3 years. Any repeat applications for a bar on access cannot extend the total period to more than 5 years, unless there are truly exceptional circumstances.

9.4.5 All non-standard and repeat bar on access applications must provide a clear justification for a bar on access that exceeds 12 months and be endorsed by the Head of School or his/her nominee. Applications must state whether the student has been funded by a research council.

9.4.6 Non-standard applications where the grounds are preparing the work for publication must include evidence that a publishing deal is in place or has a reasonable level of probability, evidence that the particular publishing house requires an embargo in respect of web publication, and a clear time-line which justifies the period requested. If approved on these grounds, a single print copy of the final thesis must be submitted to the library. The print copy may be provided in temporary binding or hard back binding (in line with the requirements of 7.5). The print copy will be held centrally and securely by Library Service until expiry of the bar and will be available on request to Cardiff University staff and students and for inter-library loan.

9.4.7 Although the bar shall be regarded as operative as soon as the work is submitted for examination, the period approved shall be calculated from the date on which the candidate is formally notified by the University that s/he has qualified for a degree.

9.4.8 Where a bar on access has been approved, the final version of the thesis must be uploaded to the University’s digital repository (in line with 7.3) but will remain in a secure area until expiry of the bar. The summary and title of the thesis shall normally be freely available.

9.4.9 Any approved bar on access will also apply to members of the University's staff. However, where the thesis is lodged temporarily in print form in the University library (as in 9.4.6), the thesis will be available to staff and students of the University and made available for inter-library loan.

9.4.10 Upon expiry of a bar on access the thesis will become immediately available via the digital repository unless an application for an extension to the bar on access has been approved. In addition, for a non-standard bar on access and where the grounds were for the purposes of preparing the work for publication, the print copy of the thesis stored in the library will be made available for collection by the student.
1. **INTRODUCTION**

1.1 The purpose of this document is to provide guidance to those involved in arrangements for and conduct of oral (viva voce) examinations for research degrees, including Convenors, Chairs of Examining Boards, Examiners and Candidates, and to outline the University’s expectations of those involved.

1.2 The oral (viva voce) examination is an integral part of the research degree examination process; it is not merely a ritual. An oral (viva voce) examination, as described in this document, is mandatory for all research thesis submissions, with the exception of the MRes.

1.3 For PhD (including PhD by Published Works), MD and MPhil degrees, the Examining Board that is constituted for the purpose of the viva voce examination undertakes the only summative assessment of a Candidate’s work.

1.4 For professional doctorates, including the EngD, directed learning elements are separately assessed and contribute to the overall assessment of the Candidate. Nonetheless, independent research leading to a thesis submission is a core element of all professional doctorates and a viva voce examination, as described here, is required for the assessment of that work.

1.5 The only circumstances in which the viva voce examination requirement can be waived are where the appointed Examiners are independently of the view that a resubmitted thesis meets the requirements of the intended degree award (see below).

2. **RESPONSIBILITIES FOR THE EXAMINATION: HEAD OF SCHOOL, CONVENOR AND CHAIR**

2.1 A Head of School is responsible to the relevant Pro Vice-Chancellor, Head of College for the overall management of the research students in their School, including their examination, and for assuring the integrity of the examination process.

2.2 Arrangements for the viva voce examination are overseen by the Convenor of the Examining Board. The Head of School will act as the Convenor or will delegate this responsibility to another member of senior academic staff in the School.

2.3 Where the Head of School shares responsibility with an appointed Convenor, the division of duties should be made clear to all parties.

2.4 The Convenor will act as Chair of the Examining Board or will ensure that another senior member of the School’s academic staff is appointed to this role. The Chair is responsible for the fair and proper conduct of the examination and for guiding the Candidate and Examiners through the proceedings.

2.5 A Candidate’s supervisor cannot assume the role of Convenor or Chair. Where the Head of School is the supervisor s/he must appoint other staff member(s) to these roles.
3 ACCEPTING THE THESIS FOR EXAMINATION

3.1 The Convenor of the Examining Board must be satisfied that a *prima facie* case exists for accepting the submission and referring the thesis for examination. The decision to refer the thesis for examination should not be based on the perceived currency or strength of the research and writing, or whether the submitted thesis meets the criteria for the Award, since only the Examining Board is required to make such an assessment. The Convenor may, however, wish to take into account the format and presentation of the thesis in relation to Senate Regulations for the Presentation and Submission of Research Degree Theses.

3.2 If satisfied that a *prima facie* case exists for accepting the submission and referring the thesis for examination, the Convenor shall appoint the Internal Examiner, where appropriate, in accordance with 7 below, and shall make the nomination to the Registry of the proposed External Examiner(s).

3.3 Determining that a *prima facie* case exists for accepting the submission shall in no way prejudice the findings and decision of the Examining Board.

3.4 Where the Convenor is not satisfied that a *prima facie* case exists for accepting the submission, the candidate has the right to appeal against this decision to the Academic Standards and Quality Committee.

4 COMPOSITION OF THE EXAMINING BOARD

4.1 Every research degree Examining Board shall comprise three members: the Chair; an External Examiner; and an Internal Examiner (except in those cases where two External Examiners are appointed, see below). No individual may assume more than one of these roles.

4.2 The Convenor may appoint other appropriate persons to act as expert advisors to the Examining Board if merited by the project's topic or scope (e.g. an industrially-based doctorate). A person so appointed may be invited to attend the *viva voce* examination but has no right to vote on the decision of the Examining Board.

4.3 Two External Examiners are required where, at the time of thesis submission, a Candidate is, or has been within the past three years, a member of Cardiff University staff (at Lecturer grade or above) or holder of an honorary University position. The Examining Board will be constituted with a second External Examiner in lieu of the Internal Examiner.

4.4 Where there is a close personal relationship between the Candidate and a member of staff in the School concerned, the Convenor should consider the appropriateness of appointing a second External Examiner, in lieu of an Internal Examiner, to the Examining Board.

4.5 No member of the Candidate’s supervisory team can act as the Internal Examiner. A supervisor may, however, be invited to attend the *viva voce* examination (see below).

5 APPOINTING THE MEMBERS OF THE EXAMINING BOARD

5.1 External Examiners are nominated by the Convenor of the Examining Board using the ‘Nomination of Examiners’ form and are appointed by the Academic Standards and Quality Committee, except in the case of the DClinPsy, where the Convenor of the Examining Board shall appoint one or
more of the approved External Examiners for the Programme to the Examining Board of each candidate.

5.2 The Internal Examiner and the Chair of the Examining Board are appointed by the Convenor. The appointments are reported to the Registry, using the 'Nomination of Examiners' and 'Confirmation of Examining Board' forms.

6 CHOOSING THE EXTERNAL EXAMINER

6.1 Proposal(s) for the External Examiner are generally made by the Candidate's supervisor(s) to the Convenor and their merits are considered in accordance with the local protocol in the School. The University expects the supervisor(s) to consult the Candidate on the proposal(s).

6.2 The External Examiner should possess specialist knowledge and expertise in the subject area of the Candidate's research project, and should normally:

- be an experienced and published researcher;
- hold a research degree;
- have experience of examining UK research degrees, and particularly the degree for which the thesis has been submitted;
- hold/have held appointment within the university system at Senior Lecturer grade or above.

6.3 In certain cases, it may be appropriate to appoint an External Examiner from outside the university sector (e.g. a leading industrialist, researcher or professional practitioner), and/or to appoint a relatively inexperienced or junior External Examiner, where specialist knowledge and expertise is an overriding consideration. In either case, the School will be required to show that the Internal Examiner and the Chair are well-experienced in research degree examination (including for the degree for which the thesis has been submitted).

6.4 An External Examiner should not normally be a former staff member of the University or a former higher degree student of the School concerned, unless at least five years have elapsed since retirement/resignation or qualification, respectively.

6.5 An External Examiner should not normally be invited on a frequent basis to examine research degrees in the same School: it is unusual for the same External Examiner to be appointed more than twice in a three-year period.

6.6 In addition, an External Examiner should not have direct personal or professional knowledge of the Candidate. It is not uncommon for a Candidate to have met their External Examiner during the course of their research studies, e.g. at a conference, and discussed their work: this would not necessarily prohibit the appointment. The School should exercise caution, however, and ensure that the nominee has not provided direct advice or input into the Candidate's project.

6.7 Where a second External Examiner is appointed in lieu of an Internal Examiner, some flexibility may be permitted in respect of applying the criteria for appointment of one of the Examiners (i.e. 6.5 above).
6.8 Where all the criteria set down in 6.2 – 6.6 above cannot be met, the Convenor of the Examining Board may submit a special case for the consideration of the Chair of the Academic Standards and Quality Committee or their nominee.

7 CHOOSING THE INTERNAL EXAMINER

7.1 The Internal Examiner must be a non-probationary member of the academic staff (defined as professor, reader, senior lecturer or lecturer of the University) or senior research staff (at grade 6 or above), or a person holding an honorary University position of professor, reader, senior lecturer, lecturer, senior research fellow or research fellow. They must also be competent in the area of the work to be examined and have experience in examining research degrees or have received training for this role.

7.2 The Internal Examiner may be appointed from within the School concerned or from another School of the University.

7.3 No member of the Candidate's supervisory team can be appointed as the Internal Examiner.

7.4 The person appointed as an Internal Examiner is likely to be known to the Candidate but it is important that s/he is unconnected to the project and has an impartial view of the final thesis. Where an appropriate level of knowledge in the topic is limited in the School and in the University, the Convenor may appoint as an Internal Examiner a member of staff who has acted as an Independent Reviewer for the candidate's academic progress monitoring, so long as:

- the Independent Reviewer has reviewed and commented only on discrete parts of the Candidate's work, and not the full or substantive thesis; and

- the Independent Reviewer has not acted in that capacity within the last 12 months of the Candidate's fee-paying registration.

7.5 Where it is not possible to appoint an Internal Examiner, the Chair of the Academic Standards and Quality Committee or their nominee may, on the special recommendation of the Convenor of the Examining Board concerned, approve the appointment of a second External Examiner in lieu of an Internal Examiner.

8 ARRANGING THE VIVA VOCE EXAMINATION

8.1 It is the responsibility of the Convenor to ensure that the practical arrangements for the viva voce examination are made.

8.2 The Convenor is responsible for ensuring the following:

- that a comfortable room is set aside for the examination, in a quiet and neutral location;

- that the room is properly accessible, equipped and functioning in respect of any special provision requests of an Examining Board member or the Candidate (including any adjustments following previously reported Extenuating Circumstances), and/or of any specific requirements identified for the viva voce examination (e.g. if the Candidate is required to give a presentation, see below);
- that the arrangements for the examination are confirmed, in writing, to the Candidate and the members of the Examining Board;
- that each Examiner is sent one copy of the thesis, the relevant examination paperwork, and instruction on submission of their pre-examination written reports;
- that the Chair is are provided with the relevant examination paperwork;
- that the Chair of the Examining Board is notified of any known extenuating circumstances that may affect the Candidate's performance during the viva voce examination and is advised of appropriate action.

8.3 The Registry is responsible for sending the 'Procedures for the Arrangement and Conduct of Research Degree Examinations' and payment forms to the External Examiner when making the appointment. The Registry also directs the Chair and the Internal Examiner to the relevant documents on the web when notified of their appointment.

8.4 The viva voce examination should normally take place within three calendar months of the date of submission of the thesis. If this is not possible, the Candidate should be kept informed on the progress being made to arrange the examination. The viva voce examination must be held within twelve months of submission unless there are highly exceptional circumstances.

8.5 An examination may not proceed without both the appointed Examiners being present. In the event of an Examiner’s unexpected incapacity, the examination must be postponed to another date. If circumstances arise that prohibit the appointed Chair from attending, the Convenor may appoint a replacement if an appropriate member of staff is available.

9 HOLDING THE VIVA VOCE EXAMINATION AWAY FROM CARDIFF UNIVERSITY OR BY ELECTRONIC MEANS

9.1 The viva voce examination should take place at Cardiff University and on a face-to-face basis with all concerned present in the same room and at the same time. Notwithstanding this expectation, it is recognised that it may be necessary - under exceptional conditions - for arrangements to be made for an examination to take place either in a different location or through electronic media, providing that the Chair, the Examiners and the Candidate are in unanimous agreement, and that suitable accommodation and other arrangements for the conduct of the examination can be made.

9.2 An application for an examination either to take place in a location other than Cardiff University or by electronic media should be submitted to the Registry for the consideration of the Chair of the Academic Standards and Quality Committee or their nominee.

9.3 The University will not give approval for the use of telephone links alone for the purpose of examination.

Viva Voce Examination Away from Cardiff University

9.4 The Convenor may seek approval for the examination to be held in a location away from Cardiff University if, for example, the Candidate or the
External Examiner has long-term health problems and has difficulty in travelling.

9.5 Each request will be considered on its individual merits, but in the case of examination away from Cardiff University, applications would be expected to include the following:

- written confirmation from the intended participants (including the Candidate) that they have no objection to the examination being held, at an agreed time, away from the University;

- a written statement from the Candidate that s/he has waived any right to appeal against the outcome of the examination on the grounds of the location of the examination or consequences arising from this arrangement;

- written confirmation that the examination will be held in a room suitable for *viva voce* examination;

9.5.1 Where such arrangements are given approval, it is suggested that, provided that the Candidate is in agreement, the supervisor should be invited by the Chair of the Examining Board to be present in the same location as the Candidate during the *viva voce*.

**Viva Voce Examinations by Electronic Means**

9.6 The Convenor may seek approval for the examination to be held through electronic media where:

- conditions have arisen such that it would not be possible otherwise to proceed with a *viva voce* examination (e.g. where a Candidate cannot return to the UK because of visa or other restrictions, or where there is a limited pool of expertise and the nominated External Examiner is unavailable to travel to the UK); or

- agreed arrangements for a face-to-face *viva voce* examination have had to be abandoned because of unexpected circumstances: e.g. severe weather; incapacity of one of the participants. (Note that where such circumstances as these arise, the Convenor should discuss with the Candidate the option to reschedule the *viva voce* examination rather than hold it through electronic media, unless the Candidate would suffer disproportionately as a result of postponement.)

9.7 Each request will be considered on its individual merits, but applications would be expected to include the following:

- written confirmation from the intended participants (including the Candidate) that they have no objection to the examination being held, at an agreed time, through electronic means;

- a written statement from the Candidate that s/he has waived any right to appeal against the outcome of the examination on the grounds of the use of the electronic medium or consequences arising from the use of such medium;

- that sufficient time has been allotted for the *viva voce* examination, and that necessary technical back-up will be available;
that additional time has been made available before the start of the
formal examination to enable the participants to familiarise themselves
with the scope and limitations of the medium in use.

9.8 Where such arrangements are given approval, it is suggested that, where
possible and provided that the Candidate is in agreement, the supervisor
should be invited by the Chair of the Examining Board to be present in the
same location as the Candidate during the \textit{viva voce}.

10 \textbf{SPECIAL PROVISION AND EXTENUATING CIRCUMSTANCES}

10.1 If the Candidate requires special provision, or wishes to report any
extenuating circumstances that will have an impact on his or her
performance during the \textit{viva voce} examination, s/he should notify the
Convenor of the Examining Board as soon as possible after the submission
of the thesis, providing supporting evidence as appropriate. The Convenor
should take such circumstances into account in the timing and/or location of
the \textit{viva voce} examination and in giving advice to the Chair on the conduct
of the examination. A scheduled examination will be postponed only in
exceptional and unforeseen circumstances.

10.2 If, following the outcome of the \textit{viva voce} examination, the Candidate feels
that there were extenuating circumstances that impacted on his or her
performance during the examination, s/he may appeal the result via the
Appeals Procedure.

11 \textbf{RAISING CONCERNS BEFORE THE VIVA VOCE EXAMINATION}

11.1 A Candidate's supervisor(s) shall have the right to convey to the Convenor
of the Examining Board any concerns relevant to the Candidate's research
project, the resulting thesis, or its examination, which the supervisor(s)
consider(s) the Board should take into account prior to reaching its decision.

11.2 The supervisor(s) shall convey these concerns, in writing, both to the
Convenor and to the Candidate as soon as practicable after the submission
of the thesis.

11.3 The Convenor shall invite the Candidate to respond to the
concerns. The
Candidate may submit his/her own written statement within 10 working days
of the date of the note from the Convenor.

11.4 The Convenor shall provide any written submission from a Candidate's
supervisor(s) and any response by the Candidate to the Chair of the
Examining Board before the oral examination. The Examining Board shall
be asked to consider the statements(s) prior to reaching its decision.

12 \textbf{PURPOSE OF THE VIVA VOCE EXAMINATION}

12.1 The \textit{viva voce} examination may serve different purposes, according to a
Candidate's differing qualities and those of the written thesis, but the
essential purposes of the \textit{viva voce} examination are:

- to enable the Examiners to assure themselves that the thesis is the
  Candidate's own work;

- to enable the Examiners to assure themselves that the Candidate
  understands the research that s/he carried out and what s/he has
  written in the thesis;
- to enable the Examiners to assess the Candidate's ability to locate his/her work within the broader context of the particular field of scholarship to which the project relates;

- to give the Candidate an opportunity to defend the thesis and to clarify any obscurities or weaknesses in it: this is particularly important in borderline cases;

- to enable the Examiners to explore how the thesis might be raised to the required standard should they be unable to recommend the award at this stage.

12.2 Examiners may also take the opportunity to discuss with the Candidate their subsequent research or professional direction and/or to explore prospects for publication.

13 THE DUTIES OF THE EXAMINERS BEFORE THE VIVA VOCE EXAMINATION

13.1 The Examiners are required independently to assess the thesis and each to prepare a written report on their reading of the work. These written reports are submitted to the Convenor or the Chair of the Examining Board before the viva voce examination takes place. The required timescale and procedure for the completion of the independent reports should be made clear to the Examiners at the time of receiving the thesis.

13.2 Immediately prior to the viva voce examination, the Examiners will confer with one another, in the presence of the Chair, in order to:

- exchange copies of their independent reports (if this has not already been done via the Convenor);

- identify the issues to be raised in the examination;

- agree the broad strategy for the examination - who will ask which questions and in what order.

14 THE CONDUCT OF THE VIVA VOCE EXAMINATION: DUTIES AND RESPONSIBILITIES OF THE CHAIR

14.1 The Chair is responsible to the relevant Pro Vice-Chancellor, Head of College for the proper conduct of the examination: that it is fair and that due process is followed. The Chair must remain present throughout.

14.2 The Chair should be conversant with the regulations and criteria governing the award of the relevant degree and the range of possible outcomes in order to be able to advise the Examiners as required, and be responsible for seeing that the formal documentation is properly completed once the examination has been held.

14.3 The Chair is also responsible for taking proper account of any extenuating circumstances reported by the Convenor and for adjusting the running of the examination accordingly.

14.4 The Chair should not allow a candidate to be apprised of the likely result at the outset of the viva voce examination. To do so would be to deny one of the primary purposes of the examination - to confirm that the thesis is the Candidate's own work.
14.5 The *viva voce* examination should be allowed to run for as long as necessary for it to serve its proper purpose. This is typically between two and three hours but may be shorter or longer.

14.6 Specifically, the Chair should:
- greet the Candidate on arrival and introduce him/her to the Examiners;
- take care to put the Candidate at ease and explain the form that the examination will take, as has been agreed by the Examiners;
- ensure that each of the Examiners has proper opportunity to contribute to the examination process;
- ensure that the questioning of the Candidate is not allowed to become aggressive;
- ensure that a supervisor, if accompanying the Candidate, does not speak unless asked specifically, by the Chair, to do so;
- ensure that the correct running order is adhered to (see below).

14.7 A supervisor, if present, must be asked to withdraw before the Candidate so as to provide the Candidate with an opportunity to say anything to the Examiners that they would prefer to say without the supervisor being present. The Candidate should be asked whether they wish to make any further points pertinent to the thesis or research project or their supervision. Candidates should not feel obliged to add such comments.

14.8 The Candidate must be asked to withdraw before the Examiners begin their final deliberations.

15 **SUMMARY PRESENTATION BY THE CANDIDATE**

15.1 Typically, a *viva voce* examination starts with the Candidate being asked to give a brief overview of their research project, the research questions, key methods or sources and the main outcomes. It has become common practice in some disciplines/Schools for the Candidate to be asked to prepare a presentation for this purpose. In such cases, the Candidate should not be judged on their presentation skills; it is just a means of conveying the project summary to the Examiners.

15.2 It is the responsibility of the Convenor to ensure that the Candidate has adequate notice of such a requirement, to include this aspect in the notification of arrangements to the Examining Board members and the Candidate, and to ensure that any necessary equipment is provided and functioning in the room assigned for the examination.

16 **ATTENDANCE OF A SUPERVISOR**

16.1 The University permits attendance of the supervisor(s) at the *viva voce* examination. Regardless of the prevailing discipline practice concerning supervisor attendance, all Candidates may invite their supervisor to attend their *viva voce* examination.

16.2 If it is the standard practice of the School to invite a supervisor and the Candidate is uncomfortable with this prospect, the Candidate's views should be respected and the supervisor should not attend. In order to facilitate the
arrangement of the viva voce, the Candidate should inform the Convenor whether they want their supervisor(s) to attend at the earliest opportunity.

16.3 If attending, a supervisor may offer clarification to the Examining Board on a given matter, for example if the PhD is linked to a wider research project, but only when called upon specifically to do so by the Chair; the supervisor may not contribute in any other way to the discussion or answer questions on behalf of the Candidate.

16.4 The supervisor cannot be present at any pre-viva discussion of the thesis or of the Candidate. They must leave the examination before the Candidate does so, to give the Candidate the opportunity to speak freely, and they cannot be present during the Examiners’ deliberations.

17 COMPLETING THE VIVA VOCE EXAMINATION

17.1 Once the Examiners have concluded their deliberations and agreed a recommendation, the Candidate should be invited back into the room and informed of the outcome of the examination. If the Candidate wishes, the supervisor(s) may also be present.

17.2 If the Candidate has not been successful on this occasion, the Chair should outline the key deficiencies of the thesis. If the Candidate is permitted to resubmit, the Chair should advise them that they will receive a written statement of the deficiencies to assist in the revision of the work (see 20 below).

17.3 If the Candidate has been recommended for the award but this is subject to corrections and amendments, the Candidate should be provided with the appropriate instruction when called back in to the examination room to be informed of the outcome: it is the responsibility of the Chair to outline the areas that require correction or amendment, and, where applicable, to advise the Candidate that they will receive a further written statement to assist in the revision of the work (see 20 below).

17.4 At the conclusion of the viva voce examination, the Examiners should agree upon, and sign, the 'Joint Examiners' Report' section of the Result and Report Form, and the 'Formal Recommendation' which must be countersigned by the Chair.

17.5 The External Examiner is asked to complete an additional section of the Result and Report Form, 'Comments on Quality and Standards'.

18 OUTCOME OF THE VIVA VOCE EXAMINATION: EXAMINING BOARD RECOMMENDATIONS

18.1 The permitted Examining Board recommendations are contained within the relevant Senate Regulations ('Senate Regulations for the Award of the Degree of PhD', etc.), and provided on the relevant 'Result and Report Form' for completion by the Examining Board.

17.2 The Result and Report Form also includes advice to Examining Boards on interpreting the decisions available to them. Definitions and example deficiencies are provided to help the Examiners distinguish between 'pass', 'pass subject to corrections and amendments' and 'not approved, permitted to resubmit', etc.
18.3 A thesis should only be recommended for one of the pass category decisions if it is deemed to be satisfactory in substance and any defects are in detail and/or presentation.

18.4 Where a thesis is not approved, a resubmission within a maximum period of one year should only be recommended where the Examiners can see evidence that the Candidate is capable of modifications required for the thesis to meet the criteria for the intended or lesser award.

19 EXAMINERS’ DISPUTE: FAILING TO REACH AGREEMENT

19.1 In the rare event that the Examiners are unable to reach agreement over the outcome of a research degree examination, no decision must be recorded. The Chair of the Examining Board should write, via the Academic Registrar, to the Chair of the Academic Standards and Quality Committee giving a clear account of the disagreement. The full Result and Report Form should accompany this account.

19.2 The Chair of the Academic Standards and Quality Committee shall make appropriate arrangements for arbitration.

19.3 If an Arbitrating Examiner is appointed, the Candidate may be required to undergo a further oral examination.

20 ADVICE TO CANDIDATES AFTER THE VIVA VOCE EXAMINATION

20.1 Where the Examiners do not recommend the award of a research degree but permit a resubmission, then the Candidate will be provided with a written statement of the deficiencies of the thesis, which has been agreed by both Examiners.

20.2 The Convenor will arrange for this statement to be issued to the Candidate as soon after the examination as is practicable; the University expectation is that no more than 10 working days as a maximum are required to provide the Candidate with the statement. A copy of the statement shall be given to the Candidate's main supervisor.

20.2.1 It is the responsibility of the supervisor to advise their student through the resubmission period. This responsibility cannot be assumed by the Internal Examiner since doing so would compromise their impartiality in re-examining the thesis.

20.3 Where the Candidate has been recommended for the award but this is subject to corrections and amendments, and the Examiners agree to provide written guidance to supplement instruction provided at the *viva voce* examination, the University expects that this guidance will be provided within 5 working days of the *viva voce* examination.

20.4 Where the Candidate is required to complete corrections and amendments to the thesis, or to resubmit the thesis for examination on one further occasion, the Candidate should not correspond directly with the Examiners following the completion of the *viva voce* examination (including during a resubmission period), except regarding any points of clarification relating to the required modification of the thesis. Any such correspondence should be strictly limited and should not extend beyond the period immediately following the *viva voce* examination.
20.5 Examiners should not comment or provide feedback to the Candidate or supervisor on the completed corrections or revisions to the thesis prior to the formal submission (or resubmission) of the thesis to the School.

20.6 The Data Protection Act provides that all candidates have the right to request access to any comments or reports made about them, including those made in the context of the examination.

21 REPORTING THE RESULT TO THE REGISTRY

21.1 The outcome of the viva voce examination should be reported immediately to the Registry so that official notification can be issued to the Candidate of the result and of any deadline for the completion of corrections or resubmission.

21.2 Where the recommendation of the Examining Board is to pass the thesis or to pass the thesis subject to corrections and amendments, the Convenor of the Examining Board is required to confirm that any required revisions have been completed by the Candidate to the satisfaction of the Examiners and that the approved thesis has either been uploaded into the University's digital repository or presented in a format suitable for library deposit (pending the expiry of any approved bar on access), before the award process can be initiated.

21.3 Where the recommendation of the Examining Board is not a pass, the Convenor should ensure that the examination paperwork is sent to the Registry immediately following the examination.

22 EXAMINATION OF A RESUBMITTED THESIS

22.1 In the case of Candidates resubmitting a thesis for further examination, the original Examining Board should be reconstituted.

22.1.1 Occasionally, circumstances dictate that a member of the original Examining Board cannot continue in their role. If one of the original Examiners cannot continue, the Registry must be notified and a replacement appointed.

22.2 The Convenor is responsible for ensuring that each Examiner is sent one copy of the thesis, and instruction on submission of their independent written reports.

22.3 If the Examiners are both satisfied that the resubmitted work meets the criteria for the award of the degree for which it is being presented, it is open to them to waive the viva voce examination requirement on this occasion. They may still stipulate that some corrections are required.

22.4 If, however, the Examiners do not agree that the thesis can be approved for the intended degree, a further viva voce examination must be held.

22.5 The same Result and Report Form template is used for resubmissions. The documentation should be completed in full by the members of the reconstituted Examining Board as above and the Convenor should arrange for Registry to be notified, as normal.
23 **APPEALS BY CANDIDATES AGAINST DECISIONS OF RESEARCH DEGREE EXAMINING BOARDS**

23.1 A Candidate who is not recommended for the award of the degree for which s/he submitted a thesis, may appeal against the decision reached by the Examining Board.

23.2 Permitted grounds for appeal and the procedure are described in the Academic Regulations Handbook: Academic Appeals Procedure.

24 **SUSPICION OF UNFAIR PRACTICE**

24.1 If there is reason to suspect unfair practice either during the examination of a thesis pre-viva, or during the viva voce examination of the Candidate, suspicions must be investigated in accordance with the 'Unfair Practice Procedure (Research Degrees)'.

24.2 'Cardiff University's Policy and Procedures in Relation to Academic Integrity in Research Degree Study', which includes the Unfair Practice Procedure, is included in the Academic Regulations Handbook.

25 **EXTERNAL EXAMINERS’ REPORTS**

25.1 The Vice-Chancellor has delegated responsibility for responding to External Examiners’ Reports to the Academic Registrar.

25.2 Upon receipt of the Result and Report Form, the Academic Registrar (or nominee) shall identify any issues which, in their view, require an Institutional Response. Such reports and details of issues to which an Institutional Response is required shall be sent to the appropriate Head of School or other senior member of academic staff with delegated authority to respond to such matters.

25.3 Where there are no issues within an External Examiner’s Report that require an Institutional Response informed by the School, the Academic Registrar (or nominee) shall issue an Institutional Response to the External Examiner without delay or further input from the School.

25.4 It shall be the responsibility of the Head of School (or nominee) to advise of such action that will be taken in response to issues identified in the Report in the form of a draft Institutional Response. Draft Institutional Responses provided by persons other than the Head of School shall be considered to bear the authority of the Head of School.

25.5 On the basis of the draft Institutional Response, and subject to any further liaison with the School concerned, the Academic Registrar (or nominee) shall issue an Institutional Response. A copy of the Institutional Response will be provided to the Head of School.

25.6 The Academic Registrar (or nominee) shall report annually and as part of the University’s Annual Review and Enhancement process overseen by the University Academic Standards and Quality Committee on:

- the operation of procedures for the treatment of External Examiner reports;
- the compliance of Schools with the requirements of these procedures;
- generic issues of concern and noteworthy practice identified in External Examiners' Reports.

25.7 The Vice-Chancellor and/or Academic Registrar may refer any issue raised in an External Examiner's Report for the consideration of the Academic Standards and Quality Committee or other appropriate committee for its consideration. The Vice-Chancellor may also request an immediate response to an External Examiner's Report from the Head of the relevant School.
Extension to Time Limit Procedure – Postgraduate Research Candidates

1. **APPLICATION**

1.1 This Procedure applies to all registered postgraduate research candidates during the writing up Stage of their Programme or in the formal thesis resubmission period. Postgraduate Taught students should refer to the Extenuating Circumstances Procedure.

2. **DEFINITION**

2.1 An extension to a time limit is defined as a period of University approved extension to the postgraduate research candidate’s latest thesis submission deadline.

2.2 An extension to a time limit should not normally exceed 12 calendar months.

3. **GENERAL**

3.1 The responsibility for approving an extension to a time limit shall lie with the Chair of the Academic Standards and Quality Committee (or nominee), on the recommendation of the relevant Head of School.

4. **CRITERIA FOR APPROVING AN EXTENSION TO A TIME LIMIT**

4.1 A time limit for submission may be extended by the University, and only in accordance with the following criteria which can be demonstrated to have severely affected the candidate’s progress and ability to submit by their latest thesis deadline:

4.1.1 Ill health

An extension to a time limit may be granted on the grounds of a serious short term illness, or a long term health condition or disability that has worsened or is fluctuating, and adjustments (such as a previous extension) have not or cannot be put in place.

4.1.2 Compassionate grounds

An extension to a time limit may be granted on compassionate grounds, where the alteration in the personal, domestic or family circumstances of the candidate justifies such a request.

4.1.3 Maternity, paternity, adoption or parental leave

An extension to a time limit may be granted on the grounds of maternity, paternity or adoption leave, or on the grounds of parental responsibility that has prohibited study.

4.1.4 Exceptional professional commitments

An extension to a time limit may be granted on the grounds of exceptional professional commitments that have arisen as a result of changed circumstances beyond the candidate’s control, supported by a statement from the employer.
4.1.5 Unavoidable practical or logistical difficulties

An extension to a time limit may be granted on the grounds of unavoidable practical or logistical difficulties beyond the candidate’s control and that can be demonstrated to have affected severely the candidate’s ability to progress with their studies.

4.1.6 Financial hardship

An extension to a time limit may be granted on the grounds of financial hardship provided that these have arisen as a result of changed circumstances beyond the candidate’s control. Candidates should note that Research Councils will not accept an extension to a time limit on grounds of financial hardship.

4.2 Except in the case of maternity, paternity, adoption or parental leave, such circumstances would normally be:

severe and exceptional; and

unforeseen or unavoidable; and

either close in time to the latest submission deadline or can be demonstrated to have had a continued adverse impact on progress.

5. **HOW TO APPLY FOR AN EXTENSION TO A TIME LIMIT**

5.1 An Application for Extension to Time Limit Form shall be completed by the candidate and Supervisor and submitted to the Head of School for consideration. The Form shall state:

5.1.1 the original submission date;

5.1.2 the requested submission date;

5.1.3 the reason for the extension request;

5.1.4 the name and University number of the candidate;

5.1.5 the candidate’s contact details;

5.1.6 the title of the Programme being pursued by the candidate;

5.1.7 the revised timetable for completion.

5.2 All applications must be supported by current and relevant independent documentary evidence, including medical/health certification or letters of support/explanation from a support service at the University or from a third party, where appropriate.

5.3 Such independent supporting evidence must be submitted on documentation that is recognisably authentic and be signed and dated by the relevant authority. It must be in English or Welsh and unaltered.

5.4 When an application for an extension to time limit is made, the Head of School should consider the application in the context of a statement on the case from the candidate’s Supervisor, and in light of the independent supporting evidence and revised timetable for completion provided.
If the application is endorsed by the Head of School, a clear statement must be included on the Application for Extension to Time Limit Form showing that the full and reasoned written case has been evaluated and that the requested extension is considered to be appropriate.

Applications endorsed by the Head of School shall be submitted to Registry with copies of all supporting documentation for the consideration of the Chair of the Academic Standards and Quality Committee (or nominee).

Applications will normally only be considered in advance of the submission date for the thesis.

The Head of School should notify the candidate and supervisor, in writing, if any application is not endorsed and therefore not forwarded for consideration by the Chair of the Academic Standards and Quality Committee (or nominee). A copy of the written confirmation should be sent to Registry.

6. CONFIRMATION OF DECISION

6.1 Consideration of applications for an extension to a time limit shall take place as soon as possible after a request is submitted.

6.2 The candidate and School will be notified in writing of the decision of the Chair of the Academic Standards and Quality Committee (or nominee) by Registry. The candidate will be informed of any right to appeal against a decision not to grant an extension to a time limit, or against the length of the extension to a time limit that has been granted.

7. APPEALS

7.1 The candidate shall be given ten working days from the date of notification within which to lodge an appeal against a decision not to grant an extension to a time limit.

7.2 Students shall be informed that if they are dissatisfied with a decision of either the of the Head of School or the Chair of the Academic Standards and Quality Committee (or nominee), they can request that the decision is reviewed under the following grounds:

i. procedural irregularities;

ii. that the decision was unreasonable and could not be sustained by the facts of the case;

ii. new relevant evidence unknown to the Head of School or the Chair of the Academic Standards and Quality Committee (or nominee) when making their decision, where students can show good reason why they could not have provided the evidence before the application was considered.

7.3 The appeal shall be made to the Academic Registrar (or nominee) in writing and shall contain details of all circumstances relevant to the appeal which the candidate wishes to be taken into account.

7.4 Appeals shall be considered by a Pro Vice-Chancellor who has had no association with the first consideration of the application for an extension to a time limit.
7.5 As part of the appeals process, the Pro Vice-Chancellor shall consider a report of the deliberations of the Head of School/Chair of the Academic Standards and Quality Committee (or nominee) as relevant, any submission by the candidate and such other evidence as is deemed appropriate.

7.6 The Pro Vice-Chancellor shall determine whether the appeal shall be upheld and, if so, the length of extension to a time limit, if any, that shall be granted.

7.7 The decision of the Pro Vice-Chancellor shall be final and no further submissions shall be considered.
1. **PRINCIPLES**

1.1 Integrity and honesty are fundamental values in any academic institution. Integrity and honesty in research are essential to the function of the academic community, as well as to the University's reputation.

1.2 "All Researchers should maintain exemplary standards of academic practice and honesty in all aspects of research by reading, understanding and incorporating these guidelines into their everyday work. Any breach of these guidelines may be grounds for disciplinary action." (Cardiff University's Research Governance Framework)

1.3 All individuals pursuing research degrees at this University are expected to observe the highest standards of academic integrity and honesty and the University will deal severely with those individuals found to be in breach of these standards.

1.4 The University expects that, by virtue of advanced academic standing and of substantial previous experience in the academic environment, persons admitted to postgraduate study, enter the University with an awareness of the general standards for appropriate academic behaviour, and of what constitutes academic integrity and honesty.

1.5 All candidates registered for postgraduate degrees are assigned at least one academic supervisor who is expert in the field of study in which the research project is located. The supervisor will provide support and guidance as to what constitutes good research practice in the discipline concerned, but the onus is on the individual to conduct themselves and their work honestly and ethically.

2. **RESEARCH MISCONDUCT: DEFINITION**

Research Misconduct specifically encompasses, but is not limited to, the following:

2.1 **piracy** – the deliberate exploitation of the ideas from others without proper acknowledgement;

2.2 **plagiarism** – the copying of ideas, text, software or data (or various combinations thereof) without permission or acknowledgement;

2.3 **misrepresentation** – any deliberate attempt to represent falsely or unfairly facts or the ideas or work of others, whether or not for personal gain or enhancement;

2.4 **fraud** – deliberate deception, which may include the invention, or fabrication, of data;

2.5 **protocols** – failure to follow established protocols if this failure results in unreasonable risk or harm to humans, other sentient creatures generally recognised in this context, or the environment, and facilitating of misconduct in research by collusion in, or concealment of, such actions by others;
2.6 **removal or damage** – intentional, unauthorised removal of or damage to research-related property of another including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.

3. **MISCONDUCT IN RESEARCH DEGREES**

3.1 Cases of Misconduct in Research Degrees are, fortunately, quite rare. When they do arise, they are treated with the utmost seriousness because they offend the University's research community and damage its reputation.

3.2 The University expects that careless or poor research practices and referencing techniques will be eliminated through the normal processes of supervision and progress monitoring within the School.

3.3 Candidates experiencing difficulty with understanding or practising any of the accepted norms of research activity shall be provided with remedial training, by their School or another appropriate provider, as soon as the problem has been identified.

3.4 In the event that a staff or student candidate for the award of a research degree of the University is suspected of any Research Misconduct (as defined above), the matter will be investigated and disciplinary action may be taken under one of the following Procedures, as appropriate:

3.4.1 **misconduct identified before formal thesis submission:**

Staff Disciplinary Procedure or

Procedure for Dealing with Allegations of Misconduct by Employees in Academic Research or

Student Disciplinary Procedure (according to the status of the candidate's registration);

3.4.2 **misconduct identified after formal thesis submission:**

Unfair Practice (Research Degrees) Procedure

3.5 Where a case of unfair practice relates to a thesis submitted in candidature for a research degree of Cardiff University, the normal consequence is failure – with or without the opportunity to re-submit.

4. **UNFAIR PRACTICE PROCEDURE (RESEARCH DEGREES)**

Research misconduct, as defined above, may translate into Unfair Practice in the context of research degree examinations. Unfair Practice is defined generally as any act whereby a person might obtain for him/herself or for another, an unpermitted advantage or a better result than his/her abilities would otherwise secure.

Once a thesis has been submitted for examination, Unfair Practice may be identified at different stages in the examining/award process:

4.1 **AT THE PRE-ORAL EXAMINATION STAGE**

4.1.1 Where one or more of the appointed Examiners has reason to suspect that an Unfair Practice has been committed, this must be reported, in writing, to
the Chair of the Examining Board, before the oral examination is due to take place. The examination shall proceed and the Examining Board will use the oral examination as their opportunity to investigate the suspicions raised by any of the Examiners concerned. It is always open to a Research Degree Examining Board to require the candidate to undergo a written examination also.

**4.1.2** Should the Examining Board conclude that no offence has taken place, then it should proceed to make its decision in the normal way and on the basis of the quality of the thesis and the candidate's performance in the oral examination and (where relevant) written examination, and to record the agreed result on the outcome of the examination. This should then be passed to the Academic Registrar who will confirm the result to the candidate, in the normal way.

**4.1.3** Should the examining process lead the Examiners to conclude that there is a *prima facie* case of Unfair Practice to be answered, the Chair of the Examining Board shall:

.1 advise the candidate that the examination is suspended pending further investigation of their submission, in relation to an allegation of Unfair Practice;

.2 refer the matter to the Academic Registrar, together with a joint report from the Examiners, detailing the evidence to hand.

**4.1.4** The Academic Registrar shall inform the candidate of the case against them and will proceed to establish a Committee of Enquiry (see 5 below).

**4.2** DURING THE ORAL EXAMINATION

**4.2.1** A primary purpose of the oral examination is to confirm that the work, as submitted, is the candidate's own. Should the candidate's performance in the examination lead the Examiners to believe otherwise, or to doubt the integrity of the research data presented, and the Examiners are satisfied that there is a *prima facie* case of Unfair Practice to be answered, the examination must be suspended. The Chair should:

.1 advise the candidate that the examination is suspended pending further investigation of their submission;

.2 refer the matter to the Academic Registrar, together with a joint report from the Examiners, detailing the evidence to hand.

**4.2.2** The Academic Registrar shall inform the candidate of the case against them and will proceed to establish a Committee of Enquiry.

**4.3** AFTER THE DEGREE HAS BEEN AWARDED

**4.3.1** Where the University receives a complaint about the integrity of a thesis, after a research degree has been awarded in the name of the University, the Head of the School responsible for the examination of the work in question shall conduct an investigation.

**4.3.2** The Head of School shall report his/her findings to the Academic Registrar.
4.3.3 Where the Head of School has concluded that there is a *prima facie* case to be answered, the Academic Registrar will then refer the matter to the University Awards and Progress Committee.

4.3.4 Where the Awards and Progress Committee is satisfied that there is good cause for deprivation of the award, it shall advise the Chair of Senate accordingly. S/he will recommend to Council that a Panel be established to hear the recommendation of the Senate.

4.3.5 The Panel established by Council will hear the recommendation of the Senate and will receive representation from the person who is the subject of the recommendation.

4.3.6 The Panel will determine whether there is good cause for deprivation of the award and recommend accordingly to the Council.

4.3.7 **The decision of the Council shall be final.**

5. **COMPOSITION OF COMMITTEES OF ENQUIRY (PRE-AWARD)**

5.1 A Committee of Enquiry established at the pre-award stage shall comprise 3 senior members of the academic staff/Research Tutors from cognate research areas within the University, appointed by the Vice-Chancellor.

No member of the Committee will have had any previous connection with the candidate or his/her research project.

5.2 The Committee of Enquiry shall determine whether:

5.2.1 the case against the candidate is *not substantiated* – in which case the thesis will be referred to a newly-constituted Examining Board, to be examined as if for the first time. No members of the original Examining Board shall be appointed to the new Examining Board. No further examination fee shall be payable;

5.2.2 the case against the candidate is *substantiated* and:

*either*

.1 the candidate be allowed to revise the thesis and submit it for re-examination, to the original Examining Board, upon payment of a full re-submission fee;

*or*

.2 the candidate be disqualified from further examination by the University.

6. **CONDUCT OF COMMITTEES OF ENQUIRY**

Committees of Enquiry into alleged Unfair Practice in Research degrees will be conducted in the same manner as Committees of Enquiry investigating allegations of Unfair Practice against candidates pursuing taught programmes of study, as detailed in the University's Unfair Practice Procedure (Taught Programmes).
7. **APPEALS AGAINST THE DECISION OF A COMMITTEE OF ENQUIRY**

7.1 A candidate for a research degree who has been found guilty of unfair practice may lodge an appeal against the decision of the Committee of Enquiry only on grounds of:

7.1.1 irregularities in the conduct of the Unfair Practice Procedure;

or

7.1.2 extenuating circumstances not brought to the attention of the Committee of Enquiry and which can be shown to be relevant to the unfair practice. In appeals based on these grounds, the appellant must show good reason why such extenuating circumstances were not made known to the Committee, either before or during its meeting.

7.2 The Vice-Chancellor may disallow an appeal that is based wholly on factors which were known to the Committee of Enquiry when the penalty was imposed.

7.3 The Vice-Chancellor will refer an appeal (which has not been disallowed under 7.2 above) to the University Appeal Board (Research Degrees).

7.4 The Appeal Board may decide to confirm, vary or disallow the penalty imposed by the original Committee of Enquiry.

7.5 The Appeal Board (Research Degrees) shall comprise:

The Vice-Chancellor or his/her nominee, plus

2 members of the Academic Standards and Quality Committee, chosen by the Vice-Chancellor.

8. **FURTHER ACTION TO BE TAKEN AGAINST MEMBERS OF UNIVERSITY STAFF IN RELATION TO UNFAIR PRACTICE**

8.1 Where an allegation of Unfair Practice against a member of the University's staff is substantiated, the Staff Disciplinary Procedure may be invoked once the opportunity for appeal has lapsed or an appeal has been disallowed or rejected.
Part 2

Study
1. PROCEDURES AND DEFINITIONS

1.1 The following Procedures relating to student attendance and engagement apply to all registered students (full-time and part-time) of the University:

- **Interruption of Study Procedure**
  
  A student absent for more than 10 consecutive study days will apply for an authorised absence in accordance with this Procedure.

  If a student is known to be absent from their Programme of Study for more than 10 consecutive study days, a Head of School, or nominee, may authorise the absence in accordance with this Procedure.

- **Non-Engagement with Programme Procedure**
  
  If a student fails to comply with the University's Minimum Requirements for Demonstrating Engagement, action will be taken in accordance with this Procedure.

- **Unsatisfactory Academic Progress Procedure**
  
  If a student is failing to meet the academic requirements of their Programme of Study or failing to comply with requirements relating to timetabled activities, action will be taken in accordance with this Procedure.

- **Research Student Progress Monitoring Procedure**
  
  Postgraduate research student progress will be supported and monitored to maximise the likelihood of their completing their degree successfully and within the expected timescale in accordance with this Procedure.

1.2 The following definitions will apply to Procedures relating to student attendance and engagement:

- **.1 Exclusion** – the discontinuance of the registration of a student on his/her Programme(s) of Study for a specified period of time or permanently.

- **.2 Engagement Contacts** – Study-related activity that will be monitored to ensure that students are satisfying the minimum University requirements for demonstrating engagement.

- **.3 University Minimum Requirements for Demonstrating Engagement**
  
  A student shall demonstrate engagement with their studies through the following means:

  - **.1 Taught Programmes Registration to Study with the University**
    
    - Collection of Student Card and demonstration of eligibility to study in the UK (for new students)
    - Payment of Tuition Fees
• Confirmation of Programme of Study and Modules
• Engagement Contacts
  o Submission of Coursework
  o Attendance at Examinations/Class Tests
  o Contact with Personal Tutor
  o Use of University IT systems;

.2 Placement (or a period of study away from the University) greater than 4 weeks on a Taught Programme

Heads of School will specify minimum requirements for demonstrating engagement and ensure that the minimum requirements are monitored and recorded throughout the placement period;

.3 Research Programmes

• Registration to Study with the University
• Collection of Student Card and demonstration of eligibility to study in the UK (for new students)
• Payment of Tuition Fees
• Confirmation of research degree details
• Engagement Contacts
  o Initial and Six-monthly Reporting
  o Annual Progress Review
  o Use of University IT systems.

.4 Heads of School may specify additional and supplementary Engagement Contacts for Programmes to satisfy Professional, Statutory and Regulatory Body (PBBR) requirements.

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<td>Registration to study with the University</td>
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<td>Collection of Student Card</td>
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<td>Confirmation of Programme of Study and modules/ Confirmation of research degree details</td>
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<td>Engagement Contacts:</td>
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A student is regarded as not satisfying the University’s minimum requirements for demonstrating engagement if a student misses any five consecutive Engagement Contacts.

1.3 Application of these Procedures and consequent action by the University to notify external agencies regarding individual students will be fully consonant with the requirements arising from statutory provision.

2. **STUDENT RESPONSIBILITIES**

2.1 All students are required to be engaged with their Programme of Study for the full duration of the published session dates for their Programme of Study and to satisfy at all times the University’s Minimum Requirements for Demonstrating Engagement with their studies. Students will also be expected to demonstrate that they are making satisfactory academic progress by complying with the academic requirements of their Programme.

2.2 Students must complete registration and new entrants must verify identity and eligibility to study, and be issued their Student Card by the latest start date which shall be no later than two weeks after the start of teaching on their Programme, or such earlier date as may be specified by the Head of School. Students should not attend any lectures, seminars, tutorials, or any other study related activity until they have completed registration, and new entrants been issued with their Student Card.

2.3 All students are required promptly to notify the School of all short-term absences (an absence of 10 consecutive study days or less due to illness or other circumstances) from their Programme of Study and also to report extenuating circumstances to be referred to the School’s Extenuating Circumstances Group.

2.4 It is the responsibility of the student to ensure that any necessary actions that are required to mitigate against the academic implications of short-term absences are agreed with the staff concerned.

2.5 Students must submit promptly an application for an Interruption of Study if they are absent for more than 10 consecutive study days.

2.6 Students must respond promptly to any request received from a member of University staff regarding compliance with Procedures relating to student attendance and engagement.
3. **STAFF RESPONSIBILITIES**

3.1 **Academic Registrar**

If a student does not register with the University or does not collect a Student Card by the latest start date, the Academic Registrar, or nominee, will initiate proceedings under the Non-Engagement with Programme Procedure. The Academic Registrar, or nominee, is responsible for ensuring that students annually register to study with the University and that all new students are issued with a Student Card.

3.2 **Director of Finance**
If a student does not pay tuition fees in accordance with an agreed payment schedule, the Director of Finance, or nominee, will initiate proceedings under the Procedures in the Event of Non-Payment of Tuition Fee. The Director of Finance is responsible for ensuring that registered students annually pay tuition fees in full to the University.

3.3 **Head of School**

3.3.1 Heads of School are responsible for ensuring that students are informed of the requirements for their Programme of Study, specifying:

1. the University Minimum Requirements for Demonstrating Engagement;
2. where appropriate, supplementary Engagement Contacts to satisfy Professional, Statutory and Regulatory Body requirements;
3. the academic requirements of their Programme of Study and requirements in relation to timetabled activities;
4. where appropriate, minimum requirements for demonstrating engagement during a Placement (or a period of study away from the University) greater than 4 weeks.

3.3.2 Heads of School are responsible for ensuring that the University Minimum Requirements for Demonstrating Engagement of registered students are accurately recorded and that all absences from study reported by students are retained by the School from the first day of absence or as soon as possible thereafter.

3.3.3 Heads of School are responsible for ensuring that the Research Student Progress Monitoring Procedure is completed for all postgraduate research students.

3.3.4 The Head of the home School, or nominee, shall be responsible for taking action under the Non-Engagement with Programme Procedure if a student:

1. does not confirm their Programme of Study and modules or does not confirm their research degree details by the latest start date; or
2. is not satisfying the University’s Minimum Requirements for Demonstrating Engagement or additional and supplementary Engagement Contacts for Programmes to satisfy Professional, Statutory and Regulatory Body requirements; or
3. if there are any concerns regarding a student’s engagement.

3.3.5 The Head of the home School, or nominee, shall be responsible for applying the Interruption to Study Procedure if a student is known to be absent for more than 10 consecutive study days and has not submitted an application for an Interruption of Study but has consented to the Procedure being applied on their behalf. If the student does not consent to the Interruption of Study Procedure being applied on their behalf, the Head of the home School, or nominee, shall apply the Unsatisfactory Academic Progress Procedure.

3.3.6 The Head of the home School, or nominee, shall be responsible for taking action under the Unsatisfactory Academic Progress Procedure if there are concerns that a student is not satisfying the academic requirements of the Programme.
3.3.7 The Head of the home School, or nominee, shall inform the Head of the partner School if any action is being taken in accordance with the Procedures relating to student attendance and engagement.

Guidance

3.4 Senior Academic

The responsibility for considering appeals against Exclusion on a temporary or permanent basis shall lie with a Senior Academic who has had no previous involvement with the case.

The Vice-Chancellor will appoint a pool of senior members of the Academic Staff (Senior Academics) to consider appeals under the Student Attendance and Engagement Procedures. Each College will be required to nominate a minimum of two senior members of the Academic Staff for consideration by the Vice-Chancellor to join the pool. The Academic Registrar, or nominee, shall appoint one Senior Academic from the pool to consider each individual appeal.
1. APPLICATION

1.1 A student absent for more than 10 consecutive study days shall request an authorised absence by submitting an application for an Interruption of Study. An Interruption of Study should not normally exceed 12 months for any category of student.

1.2 If a student is known to be absent for more than 10 consecutive study days and satisfies the conditions for an Interruption of Study but has not applied for an Interruption of Study, this Procedure can be applied by a Head of School, or nominee, if the student consents. If the student does not consent to the Interruption of Study Procedure being applied on their behalf, the Head of the home School, or nominee, shall apply the Unsatisfactory Academic Progress Procedure.

1.3 Applications for an Interruption of Study should be made in writing to the Head of School stating:

1. the duration of the Interruption of Study being sought; and
2. the reason for the Interruption of Study with supporting evidence.

1.4 Before applying for an Interruption of Study, students are advised to consult with their Personal Tutor or Supervisor in order to discuss the circumstances relating to the request and the likely academic implications of the Interruption of Study. Further guidance on any non-academic implications, including financial or student visa, can be sought from the relevant professional services departments.

1.5 An application for an Interruption of Study shall be considered by the relevant Head of School, or nominee.

1.6 Consideration of an application for an Interruption of Study shall take place as soon as possible after a request is submitted. Arrangements for the refund of any fees relating to a period can only be made from the date at which the student’s absence was first recorded within the University.

2. CRITERIA FOR APPROVING AN INTERRUPTION OF STUDY

An Interruption of Study may be granted on the following grounds:

2.1 Ill Health

Interruption of Study may be granted to a student on grounds of illness.

2.2 Maternity

Interruption of Study may be granted to a student on grounds of maternity.

2.3 Parental Leave

Interruption of Study may be granted on grounds of parental responsibility that would prohibit study.
2.4 **Sabbatical Office**

Interruption of Study may be granted to a student who has been elected to a sabbatical post in the Students' Union.

2.5 **Work Experience**

Interruption of Study may be granted to students on non-sandwich Programmes in order that they may obtain work experience, provided the experience to be gained is relevant to the Programme. Students who are pursuing a sandwich Programme shall not normally be granted an Interruption of Study in order to obtain further work experience, unless there are exceptional circumstances, supported by a statement from the prospective employer.

Students in the UK on a student visa shall not be permitted an Interruption of Study for work experience in the UK.

2.6 **Exceptional Professional Commitments**

Interruption of Study may be granted to students registered on part-time Programmes due to exceptional professional commitments.

2.7 **Study Abroad**

Interruption of Study may be granted to students registered on Programmes which do not already include an intercalated year abroad in order that they may study at an institution of higher education overseas, provided that the experience to be gained is relevant to the Programme. Students who are pursuing a Programme which includes an intercalated year shall not normally be granted an Interruption of Study in order to complete a further period abroad, unless there are exceptional circumstances, supported by a statement from the host institution of higher education.

2.8 **Compassionate Grounds**

Interruption of Study may be granted on compassionate grounds where the alteration in the personal, domestic or family circumstances of the student justifies such a request.

2.9 **Financial Hardship**

Interruption of Study may be granted on grounds of financial hardship provided that these have arisen as a result of changed circumstances beyond the student's control and that the Interruption of Study is not being sought in order to avoid the University's fee collection procedures. (Postgraduate students should note that Research Councils will not accept an Interruption of Study on grounds of financial hardship.)

2.10 **Academic Grounds**

The Head of School, or nominee, may, exceptionally and where it is:

- considered to be in the student’s best interest; and
- wherever practicable, with the student's agreement
require a student to undergo a period of Interruption of Study to ensure the student rejoins the Programme of Study at an appropriate point in the academic year.

3. **APPROVAL OF AN INTERRUPTION OF STUDY**

3.1 The Head of School, or nominee, shall, on receipt of an application for an Interruption of Study from a student, decide whether to approve or reject the application.

3.2 When considering a request for an Interruption of Study, the Head of School, or nominee, shall take into account:

1. any difficulties arising from changes to the structure and content of the Programme which will take place during the period of the interruption: students will normally be required to pursue the Programme as offered at the time studies are resumed;

2. any arrangements regarding assessment so that the student is neither advantaged nor disadvantaged compared with other students pursuing the same Programme. Having determined the nature of these arrangements, the Head of School, or nominee, shall provide the student with a written statement of those assessment requirements which will be allowed to stand and any that will be held over until the return to study. This statement shall include details of any revised submission deadlines.

3.3 An Interruption of Study or multiple interruptions of study for a period in excess of twelve months shall only be granted in exceptional circumstances. Such absences are subject to approval by the Academic Standards and Quality Committee, on a recommendation from the Head of School, or nominee, which may include a recommendation on the appropriateness of allowing assessed work to be carried over.

3.4 The Head of School shall retain details of all applications for an Interruption of Study, including any supporting documentary evidence.

4. **REstrictions on applications**

**taught students**

4.1 Applications for an Interruption of Study shall not be considered by a Head of School, or nominee, during a formal assessment period for the Programme.

4.2 If a student applies for an Interruption of Study during these times he/she shall be advised by the Head of School, or nominee:

1. that the closing date for receipt of applications has passed and that Senate Regulations governing the conduct of Examinations/Assessments shall apply and, if appropriate, the student should submit an application for Extenuating Circumstances;

2. that he/she should write to the Head of School explaining his/her circumstances, providing a medical certificate or other documentary evidence as appropriate;

3. that the application for an Interruption of Study will not be considered by the Head of School until the end of the formal assessment period;
that any decision of the Head of School shall be taken independently and shall not prejudice any subsequent decision of the Examining Board.

Postgraduate Research Students

4.3 An Interruption of Study should not be used as a substitute to seeking approval for an extension to a student's candidature.

4.4 Applications for Interruption of Study will not be considered where the date of return exceeds the submission deadline. In such cases, a formal extension to the thesis deadline should be sought before the submission of an application for and Interruption of Study [see Extension to Time Limit Procedure].

4.5 An Interruption of Study cannot be granted once the deadline for thesis submission has passed. Thereafter, a candidate, who is still intending to submit, will be required to apply for an extension to his/her submission deadline.

4.6 The submission deadline will not be automatically extended by a length of time commensurate with the Interruption of Study. Extensions to time limit will be considered in accordance with Extension to Time Limit Procedure.

5. CONFIRMATION OF DECISION

5.1 Where an application is approved, the following details should be provided, as relevant, to the Academic Registrar:

.1 the name and University number of the student;

.2 the title and year of the Programme being pursued by the student;

.3 the grounds upon which the Interruption of Study has been granted including copies of any evidence submitted by the student such as a medical certificate;

.4 the date of the start of the absence;

.5 the date of return to study;

.6 the point in the Programme at which the student will be permitted to return, together with a detailed statement of any implications for the assessment of the student;

.7 the details of any conditions which must be satisfied before the student shall be permitted to return to the University, which may include an occupational health assessment.

5.2 The student will be notified in writing of the decision on their application for an Interruption of Study by the Academic Registrar, or nominee. The student will be informed of the right to appeal against a decision not to grant an Interruption of Study, or against the length of the Interruption of Study that has been granted (see Student Attendance and Engagement Procedures: Appeals and Return to Study).

5.3 Where a student is granted an Interruption of Study and is subsequently granted a refund of tuition fees for the duration of the absence, he/she shall cease temporarily to be a registered student of the University. As such any
entitlement to the use of University facilities shall be suspended until the
student resumes the payment of fees. The Academic Registrar, or nominee,
shall notify the relevant parties within the University.

5.4 The student's financial sponsor, if any, will be notified by the University of
the Interruption of Study, in accordance with the timescales arising from
statutory and other requirements. A refund of tuition fees will be made as
appropriate.

Guidance

- Student submits an application for Interruption of study
  (Head of School, or nominee, can submit application on
  behalf of student)

- Head of School, or nominee, decides whether to approve
  application
- Academic Registrar, or nominee, informs the student of the
  Head of School's, or nominee’s, decision
Non-Engagement with Programme Procedure

1. The following Procedure shall be used where a student:

.1 has not registered to study with the University; or

.2 has registered to study with the University but has not collected their Student Card; or

.3 has registered to study with the University but has not confirmed their Programme of Study and modules or has not confirmed their research degree details by the latest start date; or

.4 is not satisfying the University’s Minimum Requirements for Demonstrating Engagement or additional and supplementary Engagement Contacts for Programmes to satisfy Professional, Statutory and Regulatory Body requirements; or

.5 there are any concerns regarding a student’s engagement.

2. In the case of 1.1 and 1.2, the Academic Registrar, or nominee, shall write to the student reminding them of the requirement to register with the University and to collect their Student Card. The written communication will:

.1 invite the student to meet with a member of staff to discuss their registration on their Programme of Study;

.2 seek confirmation from the student whether they wish to interrupt or discontinue their studies; and

state that continued failure to complete registration with the University will result in their Exclusion from the University.

If the student does not register to study with the University and/or collect their Student Card within one week of issue of the written communication, the student will be informed in writing by the Academic Registrar, or nominee, that they are permanently excluded.

The student will be informed of their right to appeal against this decision (see Student Attendance and Engagement Procedures: Appeals and Return to Study).

3. In the case of 1.3, the Head of School, or nominee, shall write to the student reminding them of the requirement to confirm their Programme of Study and modules or confirm their research degree details by the latest start date. The written communication will:

.1 invite the student to meet with a member of staff to discuss the confirmation of their Programme of Study and modules or confirmation of their research degree details;

.2 seek confirmation from the student whether they wish to interrupt or discontinue their studies; and

state that continued failure to confirm their Programme of Study and modules or confirm their research degree details with the University will lead to their Exclusion, temporarily or permanently, from the University.
If the student does not confirm their Programme of Study and modules or confirm their research degree details within one week of issue of the written communication, the Head of School, or nominee, shall inform the Academic Registrar that the student should be excluded, temporarily or permanently.

The Academic Registrar, or nominee, will inform the student of the decision of the Head of School that they are excluded, permanently or temporarily.

The student will be informed of their right to appeal against this decision (see Student Attendance and Engagement Procedures: Appeals and Return to Study).

4. **In the case of 1.4 and 1.5**, the Head of School, or nominee, shall write to the student reminding them of the requirement to engage with their Programme. The written communication will:

   .1 invite the student to meet with a member of staff to discuss their engagement with their Programme of Study;

   .2 seek confirmation from the student whether they wish to interrupt or discontinue their studies; and

state that continued non-engagement will result in their Exclusion from the University.

Where the student does not respond to written communication regarding their non-engagement within one week of issue of the written communication and provide evidence of engagement with their Programme, the Head of School, or nominee, shall inform the Academic Registrar that the student should be excluded, temporarily or permanently.

The Academic Registrar, or nominee, will inform the student of the decision of the Head of School that they are excluded, permanently or temporarily.

5. Temporary Exclusions will normally be until the start of the next academic session.

6. The Academic Registrar and Head of School, as appropriate, shall retain a record of all correspondence and decisions taken.
Guidance

Student does not register or does not collect Student Card

- Academic Registrar, or nominee, informs student that failure to register or collect Student Card will result in their exclusion from the University
- If student does not satisfy requirement within one-week, Academic Registrar, or nominee, confirms exclusion

Student does not confirm programme of study/research degree details

- Head of School, or nominee, informs student that failure to satisfy specified requirements will result in their exclusion from the University
- If student does not satisfy the requirements within one-week, Head of School, or nominee, confirms exclusion
- Academic Registrar informs student of the decision

Student is not satisfying the University’s minimum requirements for demonstrating engagement or PSBR requirements

- Head of School, or nominee, informs student that failure to satisfy specified requirements will result in their exclusion from the University
- If student does not satisfy the requirements within one-week, Head of School, or nominee, confirms exclusion
- Academic Registrar informs student of the decision
Unsatisfactory Academic Progress Procedure

1. This Procedure applies to all registered undergraduate and postgraduate taught students. The procedures for postgraduate research students are detailed separately in the Research Student Monitoring Procedure.

   Schools will monitor a student’s compliance with the academic requirements of their Programme of Study to ensure that they are making satisfactory academic progress and bring any issues of concern to the student’s attention in accordance with this Procedure.

2. Any member of staff may bring to the attention of the Head of School, or nominee, details of a student whose academic progress is giving cause for concern.

3. The Head of School, or nominee, shall, on receipt of a report, with appropriate evidence, decide whether the student's academic progress is unsatisfactory.

4. If a Head of School, or nominee, decides that the academic progress of a student is unsatisfactory, he or she shall issue a formal written warning of possible Exclusion to the student. This communication should contain:

   .1 a report on the progress of the student in each Module/Unit of Study deemed to be unsatisfactory (including those taught in other Schools) which shall specify how the student has failed to satisfy the requirements for academic progress on his/her Programme;

   .2 the duration the formal written warning shall remain in force for and the requirements which the student must complete in order to avoid being recommended for Exclusion together with specific deadlines, where appropriate;

   .3 an invitation to the student to bring to the attention of the Head of School information in writing relating to any circumstances which might have had an adverse effect on the student's ability to fulfil the academic requirements of the Programme.

5. A formal written warning of Exclusion issued to a student shall not specify either:

   .1 achievement of a certain level of performance in one or more formal Assessments; or

   .2 an overall result in the formal progression or qualifying assessment/Examination, as determined by an Examining Board; as requirements which the student must achieve.

6. A warning of Exclusion shall not be issued during a formal Examination Period for the specific Programme, but a warning issued before such a period may extend into that Period. The warning shall remain in force for a minimum period of 2 weeks in order that the student may have reasonable opportunity to improve his/her academic standing. The maximum overall period during which a student may remain under warning shall be 4 weeks.
7. At the end of the specified warning period, the Head of School, or nominee, shall review the progress of the student and shall determine whether:

.1 there has been sufficient improvement and no further action should be taken: the student should be notified accordingly in writing; or

.2 there has been some improvement but not sufficient for the warning of Exclusion to be lifted; the period of warning may be extended for one further period (minimum of 2 weeks and a maximum of 4 weeks) and the student should be notified in writing in accordance with paragraph 4. The overall period of warning should not exceed 8 weeks from the date of the letter notifying the student of the first formal written warning; or

.3 there has been insufficient improvement and that the student should attend an Exclusion Panel to consider a formal recommendation for Exclusion. The Head of School, or nominee, shall provide the following information to the Exclusion Panel:

.1 a copy of the formal written warning including a detailed list of the requirements which the student was required to complete in order to avoid being recommended for Exclusion;

.2 a report on the progress of the student in each Module/Unit of Study (including those taught in other Schools) which shall specify how the student has failed to satisfy the requirements of the written warning.

8. If a student has previously been the subject of an official warning of possible Exclusion and, in the same academic year, the Head of School, or nominee, again decides that the student’s academic progress is unsatisfactory, the Head of School, or nominee, shall make a formal recommendation for the Exclusion of the student to an Exclusion Panel.

9. The membership of an Exclusion Panel will be the Head of School, or nominee, as Chair, and one member of academic staff from the School. No member of staff should be a member of an Exclusion Panel if they have been involved in prior consideration of the student case.

10. The Exclusion Panel shall determine whether the student:

.1 shall not be excluded;

.2 shall be excluded temporarily from the Programme for a specified period with a right to re-enter the programme at a defined point;

.3 shall be excluded permanently from the Programme.

11. If the Exclusion Panel decides to exclude a student, permanently or temporarily, the student will be notified in writing of the decision by the Academic Registrar, or nominee. The student will be informed of their right to appeal against this decision (see Student Attendance and Engagement Procedures: Appeals and Return to Study).

The Head of School shall retain a copy of all correspondence and decisions taken.
Guidance

- Concern regarding academic progress referred to Head of School
- Head of School decides whether the academic progress of a student is unsatisfactory

Unsatisfactory Academic Progress

- Head of School issues a formal written warning of exclusion to student
- Head of School reviews progress and considers whether to recommend exclusion

Exclusion Panel

- If exclusion recommended, convene a meeting of Exclusion Panel and student invited to attend
- If exclusion confirmed, inform Academic Registrar of outcome of Exclusion Panel
- Academic Registrar informs student of exclusion
1. **APPEALS AGAINST EXCLUSION**

1.1 The student shall be given 14 days from the date of the letter confirming the University decision, either in respect of an Interruption of Study or Exclusion, in which to lodge an appeal. An appeal can be made:

   .1 against the decision not to grant an Interruption of Study or against the length of the Interruption of Study that has been granted if the length granted is shorter than the student requested;

   .2 against the decision to exclude the student, either temporarily or permanently from their Programme;

   .3 against the decision not to allow the student to return to study following an Interruption of Study or a temporary Exclusion.

1.2 Appeals shall be made in writing to the Academic Registrar and shall contain details of all circumstances and all evidence relevant to the appeal which the student wishes to be taken into account.

1.3 Appeals shall be considered by a Senior Academic who has had no association with the first consideration of the case. The Senior Academic shall be authorised to disallow any appeal which is solely based wholly on facts which were known when the decision regarding the Interruption of Study or Exclusion was taken.

1.4 As part of the appeals process, the Senior Academic shall consider a report of the reason for Exclusion as relevant, any submission by the student, and such other evidence as is deemed appropriate.

1.5 The Senior Academic shall determine whether the appeal shall be upheld or rejected. The decision of the Senior Academic shall be final and no further submissions shall be considered.

1.6 If the appeal is upheld the Senior Academic shall specify the arrangements for return to study.

2. **CONFIRMATION OF EXCLUDED STATUS**

2.1 An excluded person ceases to be a registered student of the University once the appeal period has lapsed, unless the student concerned lodges an appeal.

2.2 Where an appeal is lodged the appellant shall remain a registered student for the duration of the appeals procedure but, in the event that the Senior Academic confirms the Exclusion, the commencement of the period of Exclusion shall be backdated to the date of the original decision to exclude the student.

2.3 From the date of the decision to exclude a student onwards and for the duration of the Exclusion period, the student concerned shall have no entitlement to use the University's facilities. The relevant parties within the University and, where appropriate, the relevant Student Finance Body/Sponsor/Statutory Bodies shall be informed of the termination or
suspension of registered status by the Academic Registrar, or nominee. In the event that a student is excluded, no refund shall be made in respect of fees previously paid for tuition during the period of Exclusion.

3. RETURN TO STUDY

3.1 If the Interruption of Study or temporary Exclusion is not in excess of 12 calendar weeks, the student shall not be required to submit written confirmation of intention to resume studies unless there were conditions that were a requirement for returning to study.

3.2 If the Interruption of Study or temporary Exclusion is in excess of 12 calendar weeks, the student shall be required to submit confirmation of the intention to resume studying, at least one month prior to the expected date of return. This notification should be sent to the Academic Registrar. If such notification is not received, re-admission shall be at the discretion of the Head of School, or nominee.

3.3 Where the Interruption of Study or temporary Exclusion has been approved on medical grounds and fitness to study has been specified as a condition for return to study, the University may require students to obtain an occupational health assessment before resuming study to confirm fitness to resume studies.

3.4 Where a student fails to comply with any other conditions that were a requirement for returning to study, the Head of School, or nominee, may permanently exclude the student from their Programme.

3.5 All students returning to study will be required to register to study with the University and, where appropriate, collect a Student Card, before they are eligible to study.

3.6 Students excluded permanently from their Programme under the terms of paragraph 6.5 above shall have the right of appeal (see paragraph 4, Appeals Against Exclusion).

Guidance

Students who require a student visa to study in the UK will be asked to confirm their intention to return to study at least two months prior to the expected date of return in order that they have sufficient time to apply for and obtain a student visa.
**ACADEMIC APPEALS PROCEDURE**

This Procedure can be made available in the following alternative formats: braille, large print, tape, disk and on coloured paper. Please contact Student Cases to request a copy in your chosen format.

**Contents**

The following table outlines the Sections of the Academic Appeals Procedure and the principles that are adhered to by the University when students raise an appeal.

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1 **Scope and Definition**

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<td>Students have the right to appeal against the decision of the Programme, Composite or PGR <em>viva voce</em> Examining Board.</td>
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1.1 The Programme, Composite or Postgraduate Research Examining Board (*PGR viva voce* Examining Board) formally considers a student’s academic results and recommends action to be taken by the Awards and Progress Committee in accordance with Senate Regulations.

1.2 The University publishes results and awards and informs students of their right of appeal via the Student Information and Management System (SIMS). The information will also be made clearly available to a student in the programme handbook, University Website and Senate Assessment Regulations.

1.3 The Academic Appeals Procedure applies to every student on a programme of study leading to an award granted by Cardiff University, including awards granted by Cardiff University in partnership with other providers, unless otherwise stated in the student handbook.

1.4 The Academic Registrar may delegate the operation of the Academic Appeals Procedure to a nominee.

1.5 A student, following the formal publication of the results by the University, may appeal against the results by submitting a completed Academic Appeal Form within 28 calendar days of the published decision. Students must provide a good reason for submitting their appeal outside of the 28 calendar days in order for the appeal to be considered. The Academic Registrar or nominee shall consider the reason for lateness and confirm whether the appeal will be accepted for consideration; this decision will be final.

**Guidance**

**G1** **Publication of Results**

The Programme, Composite or Postgraduate Research Examining Board (*PGR viva voce* Examining Board) formally considers your results. Examining Boards are either established groups of academics who convene to consider a group of students’ results or the Examiners on the Panel who examine the thesis (*PGR viva voce* examination).

Following the consideration of the Examining Board, the University will write to you, via SIMS, to inform you of the formal results and provide details of your right to appeal against the results.

**G2** **Informing you of your right to appeal**

You can find information about how to appeal in the Student Handbook, on the University website at [www.cardiff.ac.uk/appeals](http://www.cardiff.ac.uk/appeals) and in your formal results letter issued via SIMS.
You can seek independent advice from Student Advice in the Students’ Union on 029 2078 1410 or at advice@cardiff.ac.uk. This information will be provided in all formal correspondence from the University during the Academic Appeals Procedure.

G3 Nominating a representative to manage your appeal

You can nominate a representative to manage your appeal on your behalf. The Students’ Union provide independent advisors who can discuss this option with you. The ‘form of authority’ section on the Academic Appeal Form enables you to give permission for the following:

- to appoint a representative to manage your appeal and act on your behalf;
- if a representative is appointed, to be copied in on any correspondence relating to your appeal;
- to have a supporter copied into communication, please note that a ‘supporter’ is unable to take action on your behalf.

You cannot normally be represented by someone acting in a legal capacity unless this is requested and agreed as a reasonable adjustment. You cannot be represented by an employee of the University.

Any reference in this Procedure to a ‘student’ refers to a student or a student’s representative.

2 Grounds of appeal

Principle

Appeals are only considered on permitted grounds, which will be managed through consistent, fair and transparent procedures in a timely way.

2.1 A student may appeal on one or more of the following grounds only:

i. an arithmetical or other error of fact in the results published following the decision of the Examining Board;

ii. a defect or irregularity in the conduct, the written instructions or written advice relating to an Assessment either: unknown to the Examining Board which can be shown to have had an adverse effect on the student's performance; or known to the Examining Board and where the Board has acted unreasonably;

iii. Extenuating Circumstances either unknown to the Examining Board where the student can show good reason why they could not have been made known to the Examining Board when the student’s results were being considered; or known to the Examining Board and where the Board has acted unreasonably.

2.2 Appeals submitted on any basis other than the permitted grounds, including the academic judgement of examiners, shall not be admissible and the Academic Registrar or nominee will inform the student accordingly in writing.

2.3 A student must include evidence in support of any claims made in the appeal.
2.4 A student shall normally be informed within 7 calendar days in writing whether the appeal will be considered under the Procedure. If the appeal is accepted, the student will receive further information regarding the process and timeframe of the Procedure and the likely outcomes if an appeal were to be successful.

Guidance

G4 Arithmetical or other error of fact in the published results

If you believe an arithmetical or other error has occurred in your published marks, progression or award decision then you should seek clarification from the University by raising an academic appeal.

If you appeal on the ground of arithmetical or factual error, your marks will be checked for errors. However, you cannot challenge the academic judgement of examiners under any University procedure. Appeals made solely on the basis of academic judgement, for example, that a higher mark was deserved based on your knowledge, will be rejected.

G5 Defect or irregularity in the conduct of an assessment or written advice relating thereto

The University normally expects you to raise defects or irregularities in the conduct of the assessment or in the written advice at the time they occur, by writing to the Chair of the Examining Board or their nominee. An example of a defect would be where something disruptive occurs that had a material effect on an exam or PGR viva voce exam or if there is an error on a question paper. If a defect affects all students in an examination venue the invigilators will report it directly to the Examining Board.

You can appeal on this ground if you can demonstrate and provide evidence that:

- a defect or irregularity occurred and it had a serious detrimental impact on your academic performance;
- bias or perception of bias occurred in the marking of your assessment;
- the Examining Board has not addressed defects or irregularities that occurred in the conduct of or the written advice relating to your assessment;
- action the Examining Board took in relation to a defect or irregularity was unreasonable in light of all the facts.

If as a result of personal circumstances, including a disability, a defect or irregularity has had a more serious impact on you than the rest of those affected by the defect, then you should report this to your School using the Extenuating Circumstances Procedure; more information is available in G6.

You cannot use any of the permitted academic appeal grounds to challenge matters relating to teaching or supervision provided during your programme. These issues must be raised under the Student Complaint Procedure at the time they occur which will normally be before the results are received. If you raise a complaint about the teaching or supervision during your programme, and it is upheld, this may be considered as a defect or irregularity under the Academic Appeals Procedure. If you raise a complaint and an appeal then
the appeal may be held in abeyance pending the outcome of the complaint or both Procedures may continue where they relate to different matters.

**G6  Extenuating Circumstances**

You can appeal on the grounds of extenuating circumstances if you can demonstrate and provide evidence setting out:

1. a good reason why extenuating circumstances were not disclosed to the Extenuating Circumstances Group by the deadline given by the School; **and**

2. extenuating circumstances which meet the criteria of the Extenuating Circumstances Procedure and therefore must be:
   - Severe and exceptional;
   - Unforeseeable or unavoidable;
   - Close in time to the assessment, or where you can demonstrate that the circumstances continued to have an impact on their academic performance in the Assessment.

You may also appeal against the reasonableness of a decision made in relation to an application for extenuating circumstances submitted by the School’s deadline. You would have to demonstrate in writing clearly why you believe the decision is unreasonable.

**G7  Evidence for an appeal**

You must attach all relevant evidence to the appeal. You will not normally be permitted to submit further evidence after the submission of the Academic Appeal Form. If you believe there is good reason for submitting evidence after you have submitted your appeal form you will need to give a justification which will be considered by the Academic Registrar or nominee, whose decision will be final.

In appeals based on the ground of extenuating circumstances that were unknown to the Examining Board; evidence is an absolute requirement. If you do not submit any evidence this may make the appeal ineligible as the circumstances cannot be substantiated.

**G8  The operation of the Procedure and related correspondence**

The Academic Registrar will normally delegate the operation of Academic Appeals to the Head of Student Cases. Any correspondence between the University and the student or their representative regarding the process will be directed to and from the Head of Student Cases.

**G9  Appeal timeframe and expediting an appeal**

Appeals will normally be completed within 90 calendar days. However, if you believe there is an exceptional reason why your appeal should be completed more quickly, state this in a covering letter along with evidence, attached to the appeal. The Academic Registrar or nominee will consider whether you have provided good reason to expedite the appeal. An example of good reason for expediting an appeal would be in order to meet a professional or statutory body deadline for a professional programme you are studying. You should be aware that during the summer period, appeals cannot normally be expedited to allow students to sit resit assessments.
Making reasonable adjustments to the appeals process

You should confirm on the appeal form if you have a disability which requires reasonable adjustments to be made to the Academic Appeals Procedure. Students will receive an acknowledgement letter within 7 calendar days which will confirm what adjustments if any have been made.

Ineligible appeal submissions

An appeal will be ineligible if it is not within the permitted grounds. If your appeal is ineligible under the Academic Appeals Procedure, you will be given a letter (known as a Completion of Procedures letter) confirming the reasons for the decision and whether the information in your appeal will be referred to any other University procedure.

Data Protection and Confidentiality

You are advised that completed University Academic Appeal Forms and evidence will be kept securely and will be processed in-line with the Data Protection Act 1998, including the requirements regarding processing sensitive personal data, such as health matters. The form and supporting information will be shared only with appropriate University staff including your Personal Tutor(s) where relevant and the Chair of the Examining Board. If your appeal is referred to a reconvened Examining Board, members of the Board will be aware of your appeal to enable consideration of the impact of the appeal on your academic performance. Information regarding any extenuating circumstances will not be discussed at the Examining Board.

If you are on a Programme leading to professional accreditation and if the information you submit during an appeal raises concerns regarding your fitness to practise (for example it reveals a physical or mental health condition which despite reasonable adjustments or treatment may adversely affect your fitness to practise the particular profession), it will be referred to the Head of School as a concern in accordance with the Fitness to Practise Procedure.

3 School Response to the Appeal

Principle
The Chair of the Examining Board must provide a factual statement and evidence to be considered alongside an appeal.

3.1 The Academic Registrar or nominee, shall require a response to an appeal from the Chair of the Examining Board (who may delegate this role). The factual statement and accompanying evidence shall set out whether:

i. there is an arithmetical or other error of fact in the results published following the Examining Board’s decision;

ii. there was any known defect or irregularity in the conduct, in the written instructions or written advice relating to an Assessment and if so what action, if any, was taken by the Examining Board and the reasons for the action taken; and
iii. any extenuating circumstances reported to the Examining Board, and if so, any action that was taken including any remedy and the reasons for taking that action.

3.2 The Chair of the Examining Board or nominee shall normally provide the written response and evidence to the Academic Registrar or nominee within 14 calendar days of the request.

Guidance

G13 Evidence to support the verification

The Chair of the relevant Examining Board is required to review the evidence and provide a response to the appeal. Evidence could include:

- copies of assessment marks or mark sheets;
- extracts from the Examining Board minutes or Extenuating Circumstances Groups;
- the Student Handbook or other student information issued to students;
- Extenuating Circumstances Forms previously been considered by the School.

The Chair must provide a response and evidence for each ground of the appeal. Where the Board’s decision has been questioned on the ground of unreasonableness all information the Board considered when reaching its decision should be provided.

The Chair of the Examining Board shall not normally be permitted to submit any further evidence following the submission of the response.

4 Consideration of the Appeal

Principle

Each appeal must be considered fairly on the basis of the evidence provided.

4.1 The Vice-Chancellor will appoint a pool of senior members of the Academic Staff (Senior Academics) who will be trained to consider appeals under this Procedure. Each College will be required to nominate a minimum of five senior members of the Academic Staff for consideration by the Vice-Chancellor to join the pool.

4.2 The Academic Registrar or nominee shall appoint one Senior Academic from the pool, not from the same College as the student, to consider the appeal. In the case of appeals from Postgraduate Research students the Senior Academic will be appropriately experienced in the regulations regarding postgraduate research.

For each appeal, the Senior Academic will consider the Appeal Form and the evidence submitted by the student, the information provided by the Chair of the Examining Board, the University Regulations and take one of the following actions:

i. refer the appeal to a reconvened Examining Board to review the original decision in light of the information presented; or
ii. reject the appeal; or

iii. in exceptional circumstances refer the appeal to an Appeal Board for further consideration.

Additionally, for students on Postgraduate Research Degrees where a case is to be referred back to an Examining Board, the Senior Academic (or where appropriate, Appeal Board), shall also specify:

a) whether or not the candidate is permitted to make any revisions to the thesis as originally submitted and if so whether it will require further review or examination by an Examining Board;

b) whether or not the candidate is deemed to be submitting as if for the first time or re-submitting;

c) whether or not the candidate will be liable to pay a further examination fee;

d) the deadline for submission/re-submission.

4.3 A student will be informed of the decision and reasoning of the Senior Academic by the Academic Registrar or nominee. A student will normally receive this within 38 calendar days of submitting their appeal and evidence.

Guidance

G14 The Senior Academic decision

A Senior Academic will consider your appeal and the verification provided by the Chair of the Examining Board and will:

- refer an appeal to a reconvened Examining Board if it meets the grounds for appeal criteria and is supported by evidence; or
- reject an appeal if it does not meet the grounds for appeal criteria or is not supported by evidence; or
- in exceptional circumstances, refer an appeal to an Appeal Board for further consideration where a decision cannot be made regarding the facts of the case.

You will be provided with: the decision of the Senior Academic; the reason for that decision; and the next part of the process. Upon request, you will also be provided with the name of the Senior Academic who made the decision.
5 Appeal Board

Principle
Where an appeal is referred to an Appeal Board by a Senior Academic, a student and a School representative will present information to the Board for consideration.

5.1 An appeal will be referred to an Appeal Board in exceptional circumstances where a Senior Academic cannot make a decision regarding the facts of the case.

5.2 Where an appeal is referred to an Appeal Board, the Academic Registrar shall appoint three Senior Academics as Board members, one of whom shall be Chair. The Board members will not be from the student’s School or have a previous material connection to the student.

5.3 The Academic Registrar or nominee will inform the student in writing that an Appeal Board is to be convened to consider the appeal and confirm:

i. the date, time and venue of the meeting and the student’s right to representation or support at the Appeal Board;

ii. that a student may attend the Appeal Board to present the appeal; and the deadline by which the student must advise the Academic Registrar or nominee in writing, whether or not the student will attend the meeting and the name of anyone who will be accompany them at the Appeal Board.

5.4 If the student does not appear at the hearing without reasonable explanation and the Appeal Board is satisfied that due notice was given to the student, the Appeal Board may proceed in the absence of the student and shall consider at the appropriate stage any representations made by, or on behalf of, the student. The Chair will have discretion as to what constitutes 'reasonable explanation'.

5.5 The Secretary shall ensure that copies of the formal papers which the original Senior Academic considered will be provided to the Appeal Board members and the student at least 14 calendar days prior to the Appeal Board hearing.

5.6 The Appeal Board will consider the papers presented; and oral representations by the student and by a School representative.

5.7 The student and the School representative will not be permitted to introduce new evidence to the Appeal Board.

5.8 The Appeal Board will take one of the following decisions:

i. that the appeal be referred to a reconvened Examining Board to review the case in light of the information presented.

ii. that the appeal be rejected and no further consideration be given to the appeal.
Guidance

G16  Membership of an Appeal Board

Senior Academics who refer the appeal to an Appeal Board are able to be a member of the Appeal Board, provided that they have made no judgement on the merits of the appeal and will have viewed the same information as the rest of the Appeal Board members. However, the referring Senior Academic shall not chair the Appeal Board.

A “material” connection to the student in this context is any connection that could lead a reasonable observer to conclude that the relevant Board member had prior knowledge of the student which could or would affect that Board member’s consideration of the appeal to the detriment of the student.

G17  Student representative at the Appeal Board

You can be accompanied by either a representative or supporter during the Appeal Board. You can permit a representative or supporters to speak on your behalf during the Appeal Board. You cannot normally be represented by someone acting in a legal capacity unless this is requested and agreed as a reasonable adjustment.

6  Reconvening an Examining Board

Principle
A reconvened Examining Board must consider information presented in the appeal and review its original decision in line with Senate Regulations.

6.1 Where an appeal is referred to a reconvened Examining Board under Sections 15.3.2(i) or 15.4.7(i), the Academic Registrar or nominee shall write to the Chair of the Examining Board requiring the Examining Board to re-convene to review the case in the light of the information presented in the appeal. The review may not require a student’s original result to be changed. However, the Examining Board may in light of the appeal information provide a different results decision. The Chair of the Examining Board shall provide the decision of the re-convened Examining Board in writing to the Academic Registrar within 18 calendar days of the request.

6.2 The Academic Registrar or nominee shall inform the student of the outcome of the reconvened Examining Board in writing and, if appropriate, issue a supplementary result, normally within 25 calendar days of the student receiving the decision that the appeal will be referred to a reconvened Examining Board.

6.3 The Academic Registrar or nominee will report all appeal outcomes to the next meeting of the University Awards and Progress Committee. Where the appeal relates to a matter of principle, the University Awards and Progress Committee will confirm or reject the recommendation of the reconvened Examining Board. Where the University Awards and Progress Committee does not accept the recommendation of the reconvened Examining Board, it shall be empowered to substitute its own decision.
Guidance

G18 Examining Board decision – Chair’s Action

Where the Chair is required to reconvene an Examining Board, there are some instances where the Chair can take Chair’s Action. These are confirmed in Section 12.4.3 of the Senate Assessment Regulations for Taught Programmes.

G19 Remedies

The reconvened Examining Board will provide a remedy for appeals where appropriate. Likely remedies include enabling you to be re-assessed, for example as a further first attempt, or a further second attempt. Your mark will be capped at a pass mark where you are having a further second or further third attempt as required by the University Senate Academic Regulations. Reconvened Examining Boards are only permitted to amend marks where there has been a factual error in the published marks.

G20 Informing the University of the decision of the reconvened Examining Board

The reconvened Examining Board or nominee will provide a summary of the decision or an extract of the reconvened Examining Board minutes to the Head of Student Cases as the nominee of the Academic Registrar.

7 Review of the Senior Academic’s or Appeal Board’s decision

Principle

A student can request the decision of the Senior Academic or Appeal Board be reviewed to ensure that the decision is fair and reasonable.

7.1 Students shall be informed that if they are dissatisfied with a decision of either the Senior Academic or the Appeal Board to reject the appeal they can request that the decision is reviewed under the following grounds:

i. procedural irregularities;

ii. that the decision was unreasonable and could not be sustained by the facts of the case;

ii. new relevant evidence unknown to the Senior Academic when making the decision, where students can show good reason why they could not have provided the evidence before the Senior Academic considered the appeal.

7.2 A student will need to submit a request for review in writing to the Academic Registrar or nominee, outlining the grounds of the request and including any evidence within 7 calendar days of receiving the appeal decision. If a student confirms in writing that they do not wish to progress to this stage then no further action will be taken in relation the appeal. A Completion of Procedures letter will be provided to a student at this stage upon request confirming that the internal procedures were not completed.
7.3 On receiving a request for review, the Academic Registrar or nominee will consider the grounds and evidence and dismiss any request for review that is not within the permitted grounds or is not substantiated by evidence.

7.4 Any request for review that is not dismissed will be considered by a Pro Vice-Chancellor who has no prior knowledge of the appeal. The Pro Vice-Chancellor will receive: the student’s submission; the Chair of the Examining Board’s verification; and the Senior Academic’s decision, along with all corresponding evidence. The Pro Vice-Chancellor may seek further clarification from the Senior Academic where required and will either:

   i. substitute a decision permitted under the Senate Academic Regulations; or

   ii. confirm the original decision.

7.5 The Pro Vice-Chancellor’s decision is final and the student will be notified of the decision by the Academic Registrar or nominee within 7 calendar days and will be provided with a Completion of Procedures letter.

**Guidance**

**G21 Office of the Independent Adjudicator**

You will receive a final decision letter following a request for review of the appeal. This letter (also known as a Completion of Procedures Letter) will explain how you can raise a complaint with the Office of the Independent Adjudicator if you remain dissatisfied with the academic appeal outcome.
# Students' Fitness to Study Procedure

## Emergency Situations

The Fitness to Study Procedure is not for dealing with emergency situations. Where it is believed that a student’s behaviour presents an immediate risk to themselves or others, the Emergency Services should be called (999). If appropriate, University Security should be called on 029 208 74444.

Guidelines for dealing with crisis situations can be found at: [www.cardiff.ac.uk/studentsupport/crisis](http://www.cardiff.ac.uk/studentssupport/crisis)

## Fitness to Study Procedure

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.0 Purpose</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1.1</strong></td>
<td>Cardiff University is committed to the wellbeing and safety of all its students. Our community is a friendly and supportive one, where equality is promoted, diversity and inclusivity are valued and individuals are respected. There are rules and regulations to protect everyone studying and working within our community. If appropriate behaviour is not followed, then a student may be subject to action under the Student Behaviour Procedure. The purpose of the Fitness to Study Procedure is to help to manage situations where the cause of potential misconduct is connected to issues relating to a student’s medical, psychological or emotional wellbeing; and therefore it may not be appropriate to follow the Student Behaviour Procedure.</td>
</tr>
<tr>
<td><strong>1.2</strong></td>
<td>The Procedure has been designed to be used in very prescribed circumstances, not for everyday incidents or generalist application. See Scope at Section 5.0 below.</td>
</tr>
<tr>
<td><strong>1.3</strong></td>
<td>The Fitness to Study Procedure is supported by guidance notes throughout.</td>
</tr>
<tr>
<td><strong>2.0 Definition</strong></td>
<td></td>
</tr>
<tr>
<td><strong>2.1</strong></td>
<td>Fitness to study relates to a student’s ability to meet both the academic requirements of the programme and the reasonable social and behavioural requirements expected of a student living and studying within the University environment.</td>
</tr>
<tr>
<td><strong>3.0 Principles and Aims</strong></td>
<td></td>
</tr>
<tr>
<td><strong>3.1</strong></td>
<td>The University has an obligation to provide a safe and supportive learning environment for students. Equally, students have a responsibility for their own wellbeing.</td>
</tr>
</tbody>
</table>

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18 See our Student Charter: [www.cardiff.ac.uk/studentcharter](http://www.cardiff.ac.uk/studentcharter).
19 Student Behaviour Procedure: [https://intranet.cardiff.ac.uk/students/your-study/your-rights-and-responsibilities/student-behaviour-and-discipline](https://intranet.cardiff.ac.uk/students/your-study/your-rights-and-responsibilities/student-behaviour-and-discipline).
20 Programme requirements can be found in each programme’s module specifications.
21 Reasonable social and behaviour requirements are found in the Cardiff University Student Behaviour Procedure.
3.2 When a student is unwilling or unable to manage their own wellbeing and the University has good reason to intervene, it will do so in a way which is proportionate to the risk of harm. The University will seek to respect the student’s dignity and will as far as possible respect the student’s choices and decisions.

3.3 Where a student’s behaviour is of more serious concern, Stage Two - Fitness to Study Consideration\textsuperscript{22} can be instigated. Where a student is causing serious and immediate risk to themselves or the University; and immediate suspension is viewed to be the best option for both their own safety and that of others, then this will be done in line with section 2.5.1 of the Student Behaviour Procedure.

3.4 Wherever possible, any decision reached about a student’s fitness to study will be made through an inclusive process involving the student, University staff and health care or other professionals (as appropriate to each individual case).

3.5 Implementation of the Procedure will be evidence based.

The Procedure provides a framework to:

3.6 enable students to be open about the difficulties they are experiencing; help members of staff to refer students to the right support at an early stage; and ensure a consistent and sensitive approach to managing situations that give rise to serious concern;

3.7 enable students to address and support the challenges that can arise, in managing their medical, psychological or emotional health;

3.8 promote consideration of supportive measures for all students which enable them to succeed.

The Procedure:

3.9 is designed to be supportive in nature and will identify forms of support that may enable a student to continue, or return, to study as soon as they are fit to do so and within a reasonably practicable timescale;

3.10 provides a framework which enables staff within Academic Schools and Departments to work in partnership with the University Professional Services to best address concerns about a student’s fitness to study.

4.0 University Obligations

4.1 The University has a duty of care to act reasonably to protect the health, safety and wellbeing of all students and staff.\textsuperscript{23} We recognise our obligation to respond appropriately to situations where medical, psychological or emotional issues are having a profoundly disruptive impact on students and on the wellbeing of others around them. This will be done by developing and implementing supportive and inclusive policies and procedures\textsuperscript{24} that treat all students fairly, acknowledge individual circumstances, and ultimately increase student success.

\textsuperscript{22}An explanation of all Fitness to Study Support Stages can be found in section 6.0.

\textsuperscript{23}Cardiff University Occupational Safety, Health and Environment Policy Statement \url{http://www.cardiff.ac.uk/public-information/policies-and-procedures/health-and-safety}

\textsuperscript{24}These measures are in line with the University’s Strategic Equality Plan. \url{http://www.cardiff.ac.uk/public-information/equality-and-diversity/strategic-equality-plan}
### 4.2

Information about a student’s medical, psychological or emotional health will be treated as confidential and stored securely in line with the Data Protection Act 1998.\(^{25}\)

Confidentiality will only be broken in exceptional circumstances if:
- a student is in imminent danger of causing serious harm to themselves or others;
- there is a legal requirement to disclose the information;
- professional fitness to practise may be compromised; or
- it is in the substantial public interest to do so.

Unless it will prejudice the purpose of the disclosure, the student’s consent should be sought first.\(^{26}\)

### 4.3

The University will comply with medical records/information and medical confidentiality regulations both statute and professional bodies.

### 5.0 **Scope**

#### 5.1

The Fitness to Study Procedure is available to all students except those studying on programmes covered by the Students’ Fitness to Practise Procedure.

#### 5.2

This Procedure should only be applied when all of the following conditions are met:
- there are concerns regarding a student who appears to be unwilling or unable to manage their fitness to study;
- this is connected to underlying medical, psychological or emotional problems;
- the student’s behaviour is causing significant disruption to the wellbeing or health and safety of themselves, or others within the University community;
- informal action has not resolved the concerns\(^{27}\), and/or the risk is deemed serious enough to initiate Stage Two of the Procedure.\(^{28}\)

#### 5.3

The Fitness to Study Procedure will not normally be applied to a disabled student (if the concern is related to their disability) unless all reasonable adjustments have been made to ensure that the student has had an equal opportunity to meet the University’s academic and behavioural requirements. Where a potential need for such adjustments is identified, the Fitness to Study Procedure will be halted and the student referred to the Disability and Dyslexia Service.

#### 5.4

The Procedure does not replace the Personal Tutor system or other support mechanisms. It is intended to address those situations where it is clear that there are serious fitness to study concerns affecting the individual student and/or the student community.

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\(^{26}\) Wherever feasible, members of staff should seek advice from the Governance and Compliance Division before breaking confidentiality.

\(^{27}\) Informal support mechanisms should have been fully explored, including signposting students to specialist support services within the University.

\(^{28}\) Stage Two – Fitness to Study Consideration, section 10.0.
There are a number of University procedures for managing different situations. Where this may be unclear the Academic Registrar will determine the most appropriate procedure to use in the circumstances.

Members of staff whose work involves non-specialist pastoral contact with students (such as administrative staff within a School Office) will have an important role in identifying potential problems and such staff are advised to seek guidance from specialist support staff in Student Support and Wellbeing Division before applying this Procedure.

### Stages of Fitness to Study Procedure and Support

#### 6.0 Introduction

The Procedure has a number of stages designed to offer the student support and bring about a resolution by enabling the student to contact the appropriate support services:

**6.1 Stage One - Support - Section 9**

For growing concerns about a student’s wellbeing.

For use where informal intervention has not been successful.

For cases serious enough that specialist intervention may be required initially.

**6.2 Stage Two - Fitness to Study Consideration - Section 10**

For serious or persistent concerns about a student’s wellbeing.

For use where the University community and/or the individual student is at serious risk.

**6.3 Appeal Consideration - Section 11**

The student may appeal against the decision of the Case Review Hearing.

**6.4 Return to Study – Section 12**

Actions the student needs to undertake before returning to study

#### 7.0 Fitness to Study Formal Procedure Stages

**7.1** The formal support Procedure has two separate, but linked stages, which do not have to be applied in a consecutive order. The seriousness or perceived seriousness and the attendant risk will influence the stage at which to initiate the Procedure.

#### 8.0 Potential Triggers of the Procedure

**Guidance**

Any concerns in relation to a student’s fitness to study should be brought to the Head of School or another senior member of staff e.g. Director of Campus Services; they will, in conjunction with the Director of Student Support and Wellbeing Division, assess the evidence, consider the impact and decide whether to instigate the Procedure, and at which stage would be most appropriate dependent upon the severity of the issues.

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For a list of University procedures, see the Academic Regulations Handbook: [http://www.cardiff.ac.uk/public-information/policies-and-procedures/academic-regulations](http://www.cardiff.ac.uk/public-information/policies-and-procedures/academic-regulations)
Heads of School may wish to consider nominating a senior tutor (a lead member of staff) who would instigate any Fitness to Study procedures required within the School.

Any initiation of the Procedure must be based on evidence. In most instances, this will take the form of records from informal activities undertaken as part of the normal personal tutor-student relationship. This is particularly important in relation to behaviour where there is known to be a link to an illness or disability. If actions are taken as a result of assumptions, this could be considered as direct unlawful discrimination on the grounds of a student’s disability.\(^{30}\)

The Procedure can be triggered by direct observation; reports from a third party (including other students); from the reactions of others; or by the general presentation or demeanour of the student. It would be unusual and only in the most serious of circumstances that the Procedure would be implemented without having first considered informal intervention as described in the ‘Guidance on University Procedures’. An example may be a breach of University Rules not dealt with under the Student Behaviour Procedure.

Students who have concerns about other’s fitness to study should discuss this with a member of staff with whom they feel comfortable. This member of staff can then raise the issue if appropriate with the Head of School or another senior member of staff e.g. Director of Campus Services. The student will not take further action regarding the situation.

Stage One – Support - can only be initiated after consulting with the Director of Student Support and Wellbeing Division by the Head of School or another senior member of staff e.g. Director of Campus Services, who will have liaised closely with staff who have expressed a concern.

Stage Two - Fitness to Study Consideration - can only be instigated by the Academic Registrar (or nominee) following consultation with appropriate staff in the Academic School/Department.

9.0 Stage One - Support

Regulation

9.1 Stage One - Support is initiated when there are growing concerns about a student’s medical, psychological or emotional health; if initial guidance and support has not been successful and a response from the University is required, or if the case is too serious to be dealt with informally.

9.2 The Head of School or another senior member of staff e.g. Director of Campus Services will consult with the Director of Student Support and Wellbeing Division (or nominee) before a decision is made as to whether there are grounds to initiate Stage One.

9.3 A member of the Student Support and Wellbeing Division will invite the student in writing to attend a formal meeting, *case conference*, with appropriate members of staff to discuss the concerns relating to their fitness to study.

9.4 The case conference will decide:

\[ \text{that no further action is required as the student is fit to study;} \]

\(^{30}\) For further guidance and information about the Equality Act 2010: [http://www.cardiff.ac.uk/public-information/equality-and-diversity](http://www.cardiff.ac.uk/public-information/equality-and-diversity)
that an Individual Action Plan should be developed and agreed in conjunction with the student;

. 

. to recommend that the student be referred with their consent to the University's Occupational Health for a medical assessment of the student’s fitness to study at this time;

. when a review meeting will take place.

9.5 The options open to the case conference include:

. to recommend special academic arrangements such as part-time study, split assessments etc;

. to advise the student to take an interruption from their studies for a mutually agreed period of time to allow for treatment;

. to refer to Stage Two - Fitness to Study Consideration.

9.6 A review meeting (within the agreed timeframe, 9.4) will be held with the Director of Student Support and Wellbeing Division to consider whether the fitness to study concern has been resolved.

9.7 If the student does not fully engage with the Individual Action Plan, the matter will be escalated to Stage Two - Fitness to Study Consideration - of the Procedure. Occasionally a student may be fully co-operating and adhering to their Individual Action Plan but there is still a risk to their health, safety or wellbeing or that of others around them. In these circumstances Stage Two - Fitness to Study Consideration should be instigated.

Stage One - Guidance

An appropriate member of staff from the Student Support and Wellbeing Division will organise a meeting with the student and relevant staff. At Stage One – Support - a flexible approach should be adopted when applying the Procedure to ensure that the needs of the student are at the forefront of any meetings, discussions or actions.

Before the case conference

. Staff involved in the case conference will include the Director of Student Support and Wellbeing Division (or nominee) and those with an appropriate level of decision-making authority such as the Head of School (or nominee), Director of Campus Services, or specialist support staff from Occupational Health Service, Student Support and Wellbeing Division and/or Security.

. The invitation should include details about the Fitness to Study Procedure, the purpose of the meeting and the student’s right to be accompanied and/or represented by a Students’ Union Adviser, a friend, or other appropriate representative.

. Before the meeting, a nominated member of staff should gather any relevant information and clarify any action already taken. This may include details about the interventions at Initial Guidance and any relevant records, reports or statements.

Case Conference

Discussions with the student at the Case Conference meeting should include:
. making the student aware of ongoing concerns about their fitness to study and the University Student Behaviour Procedure\(^{31}\);
. assessing how the student’s actions are affecting them and/or the University community;
. allowing the student to express their views and perceptions, including supportive measures from past experiences;
. reminding the student about relevant support services available;
. discussing what support options are most appropriate to try to improve the current situation. This could include the student agreeing to access University or external support services; allowing for extensions; reviewing existing reasonable adjustments (for disabled students); or it may be more beneficial to the student to discuss an Interruption of Study, or part time study. The panel should consult with Advisers from Student Support and Wellbeing Division, who will advise on implications relating to student funding, prior to amendments to a student’s progression. In some cases it may be appropriate for other students to receive advice or information about their disability;
. clarifying any agreed actions;
. drawing particular attention to the consequences if the causes for concern continue.

**Individual Action Plan**

This will include as appropriate:

. provision of support for the student;
. referral to external services;
. actions that the student needs to take;
. formal agreement of expectations and understanding of the consequences of not adhering to the Individual Action Plan, which may result in referring to Stage Two - Fitness to Study Consideration;
. a formal review date with Director of Student Support and Wellbeing Division (or nominee), as well as more informal regular progress reviews with a nominated member of staff;
. information that may need to be disseminated to other students and staff.

At this stage the student should be informed about undergoing an Occupational Health assessment and referred to Occupational Health with their consent. If a student does not agree to have an Occupational Health assessment or does not agree to disclose the report to the University, then the University should continue with Stage One based on the information already available.

**Initial Meeting Actions**

. The decisions made during the meeting, including details of the Individual Action Plan, will be sent to: the student within 5 working days; the Head of School (or nominee) who will disseminate the information to relevant staff; and Advisers from Student Support and Wellbeing Division who will keep a copy confidentially, for the duration of the student’s studies.

\(^{31}\) [https://intranet.cardiff.ac.uk/students/your-study/your-rights-and-responsibilities/student-behaviour-and-discipline](https://intranet.cardiff.ac.uk/students/your-study/your-rights-and-responsibilities/student-behaviour-and-discipline)
If the student fails to attend the meeting, it will go ahead in the student's absence and any decisions made will be communicated in writing to the student within 5 working days of the meeting taking place.

### Review Meeting
- During the review meeting, progress towards the agreed actions will be explored, any further concerns will be explained and consideration will be given to any new or ongoing support requirements. A decision will be made as to whether the concern has been resolved and the student is fit to continue their studies. If so, no further action will be necessary. The student will be informed of the findings of the review in writing within 5 working days.

### 10.0 Stage Two - Fitness to Study Consideration

#### Regulation

**10.1** The Academic Registrar has the authority to implement Stage Two - Fitness to Study Consideration when serious or persistent concerns are raised about a student's fitness to study: or if the health, safety, mental wellbeing or behaviour is putting the student and/or members of the University community at significant risk; if the student has breached the University Student Behaviour Procedure and it is connected to underlying medical, psychological and emotional problems.

**10.2** A Fitness to Study Consideration Case Review Hearing may be convened to consider the situation where mechanisms at Initial Guidance and Stage One have failed to resolve the issues. It will consider why a resolution has not been achieved from interventions, what additional support or recommendations would achieve the best outcome for the student, and how the case may be progressed.

**10.3** Membership of the Case Review Hearing will be appointed by the Academic Registrar, and confirmed by the Vice-Chancellor. The Academic Registrar, or nominee, will service the panel. Members will have no prior knowledge of the case. The panel will consist of:
- a Deputy Vice-Chancellor, Pro Vice-Chancellor or Head of School, who will act as Chair of the Panel;
- a Students' Union Elected Officer;
- a member of academic staff who is outside of the student’s school;
- a presenting officer\(^{32}\) will be required to present information but will not be part of the decision making process.

**10.4** The student will be invited to attend the Case Review Hearing and may be accompanied and/or represented by a Students’ Union Adviser, a friend, or other appropriate representative. If attending, the student will be present during the presentation of all the evidence, unless medical evidence suggests that this will place the student at risk. In such cases, appropriate medical advice will be obtained from the University Occupational Health Consultant.

**10.5** At the discretion of the Chair and normally decided in advance of the case, the Case Review Hearing may seek advice from the Occupational Health Consultant.

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\(^{32}\) A Presenting Officer presents concerns to the panel, knows about the history of the case, and can respond to questioning. It is likely to be the Director of Student Support and Wellbeing Division or nominee.
Consultant\textsuperscript{33}: Director of Student Support and Wellbeing Division; Head of School; representatives from Counselling, Student Support and Wellbeing Division or Campus Services as appropriate; the Student’s GP or relevant health professional. The student will be advised in writing of any additional individual(s) that will be in attendance at the Hearing and the purpose of their attendance.

10.6 The student will be notified at least 10 days in advance of the Case Review Hearing and will be provided with copies of all the evidence which is due to be considered.

10.7 The student will be invited to provide a statement to members in advance of the meeting along with any evidence they would wish the Panel to consider.

10.8 If the student fails to attend the Case Review Hearing and the Panel is satisfied that due notice was provided, the Hearing may proceed in the absence of the student.

10.9 The case will be outlined by the member of staff who has dealt with the Stage One arrangements, or if this is not possible, someone who is familiar with the case.

10.10 When the Panel is satisfied that all evidence has been presented and they have full understanding of the case based on the evidence available, the student and presenting officer will be asked to withdraw. The Panel will then consider the case.

10.11 The Panel will make a decision, taking into account all of the individual circumstances, all medical guidance and the University’s duty of care. The options open to the Panel are:

- to confirm that the student is fit to study;
- to put in place or revise an individual action plan;
- to suspend any placement that the student is attending, or switching to an equivalent course without a placement requirement;
- to temporarily exclude the student from their studies for a maximum period of 12 months\textsuperscript{34} to be reviewed every two months;
- to permanently exclude the student from their studies.

10.12 The student will normally be informed of the decision of the Panel immediately following the Hearing.

10.13 The student will be informed of the Panel’s decision in writing within 5 working days. A report of the outcomes will be sent to the Head of School (or nominee) and held confidentially by the Student Cases Service.

\textbf{Stage Two - Guidance}

The purpose of the Case Review Hearing will be to:

- summarise the situation, concerns raised and any relevant information (including all previous reports, action plans and formal recommendations);

\textsuperscript{33} The Occupational Health Consultant should review the individual before the Case Review Hearing. Those involved would be appropriately informed with a report from the Occupational Health Consultant (in line with regulations). The Consultant would only be able to give generic advice, not student specific advice without reviewing the student.

\textsuperscript{34} During an Interruption of Study or temporary exclusion, students are permitted to seek advice and support from the University Student Support Centre and the Students’ Union Advice and Representation Centre. Some services may be limited if they require the individual to be a registered student.
highlight the seriousness of a Case Review Hearing in relation to University rules and regulations and re-iterate that a student has a personal responsibility to be fit to study or to seek appropriate support;

- provide the student with an opportunity to give their perspective. They will be advised to consent to the disclosure of the Occupational Health report, which will contain the relevant medical information for the Case Review Hearing;

- emphasise all appropriate support services available to the student;

- consider all options to decide upon the most appropriate course of action including: additional support strategies, or reasonable adjustments that can be put in place (for disabled students\textsuperscript{35}); recommending disciplinary action; recommending temporary or permanent exclusion; or withdrawal from a placement.

### Appeals and Return to Study

#### 11.0 Appeal against a decision of the Case Review Hearing

A student may appeal the decision of the Case Review Hearing Panel by writing to the Academic Registrar within 10 working days of receiving written notice of the decision of the Panel. The student must include the ground(s) of the appeal and all evidence. A student may appeal on the following grounds:

i) irregularities in the conduct of the Case Review Hearing;

ii) exceptional personal circumstances and/or new evidence not brought to the attention of the Case Review Hearing Panel which can be shown to be relevant to the decision. Appeals based on this ground must show good reason why the student did not present this information before or during the Case Review Hearing.

The Academic Registrar is required to disallow an appeal which is purely vexatious or based wholly on factors which were known to the Case Review Hearing when the decision was made. Where an appeal is not disallowed the appeal shall be referred to a Pro Vice-Chancellor, who has not been involved in any earlier stages of the procedure, who will consider the case.

All evidence, decisions and reasons of the Case Review Hearing shall be made available to the Pro Vice-Chancellor along with the student’s appeal and any evidence. The Pro Vice-Chancellor will adjudicate on the case and determine whether the appeal is:

- allowed: the Pro Vice-Chancellor will refer the case back to the Case Review Hearing to review their decision;

- disallowed.

The Pro Vice-Chancellor shall give their written decision within 5 working days of the appeal hearing. The Pro Vice-Chancellor may substitute any alternative decision from Section 12.12.

\textsuperscript{35} After consideration at the Case Review Hearing involving representatives from the Disability Service it may be judged that the limits of reasonableness have been reached at this time (in accordance with the Disability Discrimination Act 1995 and Equalities Act 2010).
Once the University has completed the process and the student has been informed of the final decision, the student will have recourse to the OIA. Details as to how to access this service will be included in the Completion of Procedures letter.

### 12.0 Returning to study

#### Regulation

12.1 Guidelines for returning to study should be made clear at the time of exclusion, discussed with the student and be included in the report of Stage Two - Fitness to Study Consideration.

12.2 During a period of temporary exclusion the student should be encouraged to maintain contact and to advise the University of their progress. This may help to facilitate their return to study when well enough.

12.3 When a student believes they are ready to return to University study they will need to notify the Head of School in writing of their request to return to study at least 2 months prior to the expected date of return.

12.4 In order to satisfy the University that they are fit to return to study, the student will need to provide the University with a report from an independent health professional.

12.5 Students who have been temporarily excluded at Stage Two - Study at Fitness to Study Consideration must attend a mandatory Occupational Health appointment before their return to study.

12.6 The decision to allow a student to return to study will be made by the Head of School in consultation with the Academic Registrar, and with other relevant members of support staff. On some programmes, students may only be able to return to study at certain times of the academic year, or at the start of a new academic year due to the programme requirements.

12.7 For students returning from a temporary exclusion, a member of the Student Support Centre (Mental Health Adviser, Disability Adviser, Student Support Officer) will make contact with the student and arrange to meet with them to complete a return to study assessment. The assessment will consider; past difficulties: risk issues which may need monitoring; and the management and review of recommended support needs, special arrangements or reasonable adjustments. Before their return the student will be expected to agree to all measures put in place, satisfy their conditions for return and cooperate fully.

12.8 Post-Graduate Research students should seek a formal extension to the thesis deadline. Any extension to deadline approved by the University does not imply the approval of the sponsor. It is the student’s responsibility to make suitable arrangements concerning sponsors or visas as appropriate.

### Returning to Study - Guidance

An Occupational Health appointment will be able to advise on the potential impact that returning to study might have on that student’s health and wellbeing, and provide an opportunity for relevant support measures to be arranged prior to return.

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36 See Extension to Time Limit Procedure: Postgraduate Research Candidates.
37 Advice on visa matters can be sought from International Student Support, ISS@cardiff.ac.uk, https://intranet.cardiff.ac.uk/students/support-and-services/international-students
Students who took a voluntary Interruption of Study (at Stage One) may also benefit from: a referral to Occupational Health appointment; a meeting with a member of the Student Support Centre prior to their return to study so that they can discuss any support measures.
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1. Scope and Definition

Principles

The consideration of a student’s fitness to practise will be managed through consistent, fair and transparent Procedures.

1.1 This Procedure covers students when they are enrolled on a Programme that leads directly to, or that satisfies a necessary condition of, a professional qualification, and/or which gives the right to practise in one or more professions.

1.2 A student shall not engage in any conduct which renders them not fit to be admitted to and practise that profession or calling.

1.3 Heads of School are responsible for advising students of the Professional Body requirements and confirming that students do not constitute a risk to themselves and/or others, and meet the requirements for professional fitness to practise. Students on professional programmes must comply with University and relevant Professional Body requirements.

1.4 In accepting the offer of a place at the University, students agree to comply with all rules and procedures of the University and the professional, regulatory or statutory body or organisation.

1.5 Students are required to immediately inform their Personal Tutor or other University staff member of any change to their fitness to practise status, for example if a student is diagnosed with a health condition that could impact upon fitness to practise, or if a student is subject to action by the police. The Academic Registrar, in liaison with the Head of School, will decide whether breaches of the University’s regulations may be subject to the University's Student Behaviour Procedure, Unfair Practice Procedure or Fitness to Practise Procedure as appropriate.

1.6 In all proceedings a student shall be presumed to be innocent of any alleged concern until proven otherwise. Any decision shall be determined under the principles of Natural Justice and decided on the balance of probabilities.

1.7 The University will only disclose information relating to fitness to practise to persons outside of the University once all proceedings have been completed, unless professional or statutory body guidelines state otherwise, where this has been publicised to students in advance or there is a legal requirement to disclose. Refer to Section 10 of the Annex to the Senate Regulations for Awards of Cardiff University – Academic Management and Decision Making – General Principles.

1.8 The University defers to specific Professional or Statutory Body or employer regulations in investigating or determining that a student is deemed to be fit to practise, where required.
1.9 **Rules of Behaviour**

The following are examples of, but not limited to, circumstances which would trigger an investigation of a student’s fitness to practise. They apply to all aspects of a student’s professional and personal life, including online activity and social networking:

i. a breach of the University’s Student Behaviour Procedure or Professional Body or Statutory regulations;

ii. substance misuse;

iii. a criminal offence including any caution or reprimand or an ongoing investigation by the police or a relevant professional, regulatory or statutory body;

iv. a failure to advise the University of a criminal offence including a caution or reprimand;

v. physical or verbal abuse or intimidation of fellow students, patients, clients, colleagues, university staff or members of the public;

vi. failure to rectify behaviour that has been subject to any disciplinary actions under the University's regulations;

vii. repeated unprofessional behaviour;

viii. falsification of documents, clinical, personal or academic records, data or research material;

ix. publishing, including via social networking sites, inappropriate material including statements and images;

x. physical or mental health condition which, despite reasonable adjustments or treatment, affects a student’s fitness to practise;

xi. breaches of confidentiality;

xii. bringing the University or the profession into disrepute;

xiii. any other circumstance which may call into question a student's fitness to practise.

**Guidance**

**G1. Principles of fitness to practise proceedings**

Any investigation or consideration of a fitness to practise concern will adhere to the principles of natural justice. These principles include giving you the full information and evidence regarding any concern that is raised about you;
giving you an opportunity to fully respond to all issues raised; and enabling you to challenge the evidence presented. These principles also require any consideration of a concern to be conducted fairly and without bias.

All decisions within this Procedure are made on the balance of probabilities in accordance with the evidence and information available. This means that the occurrence of the event was more likely than not to have happened.

G2. **Presumption of innocence**

While investigating any concern under this Procedure, you will be presumed to still remain fit to practise until a decision has been made by the Committee. However, where risks are identified, this presumption of innocence does not preclude: suspension from placement or programme; or limiting access to University facilities pending a full investigation. You may also be subject to investigation from other professional bodies or organisations and the University may need to wait until police, professional body or employer investigations have taken place before conducting its own investigation. Each case is considered on the basis of the facts available at the relevant time.

G3. **University rules**

You are required to adhere to the Rules outlined in the Student Disciplinary Procedure, Section 1.9 above and all other rules whilst you remain a registered student of the University. This includes all activity on campus, in placement, off campus, in a social setting and in online activity including social networking sites.

G4. **Head of School as decision-maker**

The Head of School is empowered to make decisions about whether concerns raised are investigated under this Procedure; whether to suspend you or recommend that you are suspended; and whether concerns are dismissed, considered by a School Committee or by a University Committee. The Head of School can delegate these decisions to a single nominated member of staff. Alternatively, when considering whether concerns are investigated under the Procedure this can be delegated to a small nominated panel of staff within the School at the discretion of the Head of School.

2. **Investigating the Concern**

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<td><strong>Concerns should be investigated objectively, proportionately and transparently.</strong></td>
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2.1 A concern regarding a student’s fitness to practise should be submitted in writing by a named complainant together with any evidence to the Head of School.
2.2 On receipt of a written concern, the Head of School shall consider whether, on the face of it, there is sufficient evidence to warrant an investigation. This will include consideration of whether there is a duty to recommend suspension as permitted under Section 7. A decision will then be made by the Head of School as to whether the concern should be investigated. No further action shall be taken for concerns that are not to be investigated. Where it is decided that a concern will be investigated, an Investigating Officer will be appointed and the student will be informed within 14 days of the appointment.

2.3 The role of the Investigating Officer is to establish the facts of the case and make a formal recommendation as to whether, on the face of it, there is a case to answer.

2.4 The Investigating Officer will normally meet with the student and any other relevant parties to clarify matters of fact. The student should normally be given at least 7 calendar days’ notice of the alleged concern and any meetings they are required to attend. Students will be provided with a record of the meeting for them to agree within 7 calendar days.

2.5 The Investigating Officer will make a written report outlining the facts, the supporting evidence and which recommends to the Head of School:

i. There is no case to answer and the matter should be dismissed; or

ii. The case should proceed to a School Committee; or

iii. The case should proceed to a University Committee.

2.6 The Head of School will consider the recommendation of the Investigating Officer and confirm the action taken in relation to the concern. Where the concern relates to a serious matter, it may be referred immediately to a University Committee.

Guidance

G5. Submitting a concern about a student’s fitness to practise

Concerns should be made in writing and can be submitted in hard copy or by email. The person raising the concern should include as much detail as possible about the concern, supporting evidence and the names of anyone else involved to ensure a full investigation can take place.

Anonymous concerns will be exceptionally considered where the matter is deemed serious and primary independent evidence has been provided to verify the concern. Likewise if an individual has produced primary independent evidence verifying a concern and then retracts the concern, the Head of School may still consider the concern in line with the Procedure.

The person raising the concern must be aware that the information will be shared with the student as part of the investigation and formal process.

If you are worried about raising a concern then you can meet informally with staff in the School to discuss the process and support available. If at any time someone raising a concern feels vulnerable or unsafe then they should contact the Investigating Officer who will refer the matter to the Head of School to consider any protective mechanisms that can be put in place.
A concern raised with any member of staff in the School should be forwarded to the Head of School.

G6. **Investigating under multiple procedures**

The Academic Registrar, in conjunction with the Head of School will confirm the appropriate procedure depending on the circumstances of the case. Students will be advised of the appropriate procedures at the time of the investigation depending on the type of offence.

If you have queries about the process which is being followed you can discuss this with your personal tutor or Students’ Union or Professional Union representative. You can seek independent advice from Student Advice in the Students’ Union on 029 2078 1410 or at advice@cardiff.ac.uk. Other profession specific Unions may also be available to offer you independent advice.

G7. **Investigating Officer**

Each School with programmes covered by this Procedure will have at least two trained Investigating Officers; training will be provided centrally by the University.

Investigating Officers will normally investigate concerns within their School and will have no personal connection to a student being investigated, for example they will not be their personal tutor, mentor or supervisor. This is to avoid any bias or perception of bias in the investigation. The Investigating Officer’s role is to undertake fact-finding meetings; collate evidence; identify witnesses where appropriate; recommend the appropriate Committee to consider the case and present the case to the School or University Committee.

G8. **The Investigation**

The Investigating Officer will determine the appropriate method of investigation dependent upon the concern being raised:

**Types of investigation**

1. **Conduct**
   Where a concern relates to your conduct, the Investigating Officer will gather the relevant evidence and conduct a fact-finding meeting with you normally within 14 calendar days of being appointed and meet with any other relevant parties in a timely way. If the allegation relates to a criminal conviction, it will not be necessary to re-investigate the details of the offence. However, the Investigating Officer will still need to ensure you provide all the relevant documentation and any further information through a fact-finding meeting.

2. **Health**
   Where a concern relates to your health, the Investigating Officer will make a referral to the University Occupational Health Department or, where required, an external Occupational Health consultant. The Occupational Health professional will decide whether or not it is suitable to meet you personally and/or whether information should be gathered from your current health practitioners. The Occupational Health professional will provide a report to the Investigating Officer normally within 14 calendar days of the referral.
3. **Conduct and Health**

Where a concern appears to be based around both your conduct and health, the Investigating Officer will make a referral to Occupational Health who will normally provide a report within 14 calendar days of the referral and conduct a fact-finding meeting with you normally within 14 calendar days of being appointed and meet with any other relevant parties in a timely way.

G9. **Meeting with you or other parties**

It may be necessary and appropriate to hold fact-finding meetings with anyone else named as being involved in the concern.

The Investigating Officer will give the following information in advance of the meeting:

- The reason for the meeting;
- The purpose of the meeting;
- A copy of the concern and accompanying evidence;
- A copy of the Fitness to Practise Procedure;
- The staff who will be in attendance at the meeting;
- Your right to be represented or accompanied by someone during the meeting;
- For students of the University: the contact details of Student Advice in the Students' Union who can provide independent advice on any University procedure.

If you are unable to attend the meeting then it should be re-arranged at a mutually convenient time providing that this would not lead to unreasonable delay. If you are unable to attend in person then the meeting can take place via video link or telephone.

You have the opportunity to challenge the evidence presented and offer alternative evidence to defend yourself during the investigation and any subsequent hearing.

A record of the meeting will be provided within 7 calendar days and if there is a dispute as to the content you can submit a statement confirming why you do not believe the meeting record is accurate. This should be included in the investigation documentation that is submitted to the Head of School.

If, following the fact-finding meeting, the Investigating Officer believes that your health may have impacted on your conduct an Occupational Health referral will be made.

Following this meeting, it may be necessary to meet again with you if further information has emerged during the investigation. Sometimes due to the nature of the allegation it may be necessary for the Investigating Officer to meet with other parties before meeting with you.

G10. **Occupational Health referral**
An Occupational Health referral is normally made by the Investigating Officer, but in some situations it may have already been made by other University staff. Depending on the circumstances, a referral may be made to the University Occupational Health Department, or where required, an external physician specialising in Occupational Health.

The University Occupational Health Department will be responsible for seeking medical evidence from your general practitioner, or other medical practitioners, where relevant, and may recommend an independent medical examination. The costs of this will be met by the University.

G11. Decision following investigation

A School Committee will normally consider a concern which brings into question your fitness to practise. However, where the matter is deemed to be serious, in relation to the level of risk to patients, clients, members of the public or University, concerns may be referred directly for consideration by a University Committee.

3. Considering the Concern: School Committee

Principles

Concerns should be considered proportionately and fairly by an independent panel which includes professional expertise.

Committee Composition

3.1 A School Committee will normally be arranged within 28 calendar days of the decision of the Head of School. The Committee membership will consist of at least two members of staff and may also include an external member where this is required by a professional, regulatory or statutory body:

i. a senior member of staff from the School who shall be Chair. This person should have no previous material connection with the student;

ii. a member of staff in the University from a cognate discipline; and

iii. where required, a member of the profession the student’s Programme leads to, who is external to the University and has no formal connection with the Programme where this is required by professional or statutory regulations.

Hearing Arrangements

3.2 The Academic Registrar shall nominate a Student Cases Service Adviser to attend the Committee and provide guidance on the Procedure.

3.3 The Head of School will nominate a Secretary from within the School who will be provided with the Investigating Officer’s Report and organise the date and time for the Committee.
3.4 The student and/or Investigating Officer are able to call witnesses to give evidence during the hearing including the Occupational Health Consultant/nurse for health related concerns.

3.5 14 calendar days before the Committee, the Secretary will provide the formal Committee papers to the student and confirm the entitlement for a student: to be accompanied or represented at the Committee; to present a written submission and any evidence to the Committee; or call any witnesses to the Committee.

3.6 7 calendar days before the Committee, the student will provide the Secretary with any written statement, evidence and the names of any witnesses who will be attending the Committee. These will be sent immediately to the Committee Members and the Investigating Officer. It is the student’s responsibility to notify their witnesses of the hearing arrangements.

3.7 If the student does not attend the Committee and the Chair is satisfied that due notice was given to the student and no reasonable explanation has been provided, the Committee may proceed in the absence of the student.

Decisions of the Committee

3.8 Following consideration of all of the information presented, the Committee may take one of more of the following actions:

i. dismiss the concern;

ii. issue an informal warning which will not be placed on the student’s record;

iii. issue a formal warning to be placed on the student’s record, which will be taken into account if any future breaches of the Procedure arise for a time specified by the Committee;

iv. require the student to attend scheduled support sessions provided by the School, a University service or externally;

v. require the student to write a reflective piece relating to health or conduct which will be supported and monitored by a specified member of staff;

vi. require the student to develop and complete an action plan in conjunction with a specified member of staff;

vii. require the student to continue to be monitored by the University Occupational Health Department and permit the student to continue on the programme with appropriate engagement with treatment and support;

viii. require the student to take an Interruption of Study for a specified period of time;

ix. refer the concern to the University Committee.

3.9 Students shall be provided with a written decision within 7 calendar days of the hearing.
3.10 Students can appeal the decision of the Committee as permitted under Section 6 of the Procedure.

3.11 Where the Head of School considers that a student has not adhered to all of the required actions as stipulated by the Committee, the Head of School will send a Non-Adherence Report to the Academic Registrar as permitted within Section 5.

Guidance

The following guidance relates to a School Committee and a University Committee.

G12. Documentation

The formal Committee papers will include:
- the Investigating Officer’s report including all evidence that has been gathered relating to the concern, any occupational health report, and consideration of the Investigating Officer’s recommendation;
- your current progress on the Programme;
- any regulations you are expected to adhere to relating to your future profession;
- a copy of this Procedure.

G13. Committee members

All Committee members are required to be independent and have had no previous material knowledge of the student, the concern or the person who raised the concern. “Material” in this context is any knowledge that could lead a reasonable observer to conclude that the relevant Panel member had prior knowledge of the student which could or would affect that Panel member’s consideration of the appeal to the detriment of the student.

All internal Committee members are required to attend centrally-organised training relating to decision-making. Any external Committee members will have experience in making decisions relating to fitness to practise.

G14. Before the Hearing

You can provide any documentation you wish to the Committee which you believe to be pertinent to the case relating to the allegation; your character; or your conduct. The documentation will be sent out to the Committee prior to the hearing and will form part of the formal Committee papers.

If the Investigating Officer is unavailable for the Committee then another trained member of staff from the School can be nominated by the Head of School who will act as the School Representative to present the case.

If you are unable to attend the Committee for good reason then it should be re-arranged. If you are unable to attend the Committee in person then the meeting can take place via video link or telephone.
In your absence the Committee shall consider at the appropriate stage any representations made by you. The Chair will have discretion as to what constitutes 'reasonable explanation'.

G15. During the Hearing

The Committee may, at its discretion, adjourn the proceedings at the reasonable request of you, the Investigating Officer or a Committee member.

The Investigating Officer will present the concern and information to the Committee, calling witnesses as appropriate. Committee members, students or their representatives can ask questions of clarification.

You will then be invited to present your response and evidence to the Committee, calling witnesses as appropriate. The Committee members or the Investigating Officer can ask questions of clarification.

The Investigating Officer can give a summary of the case and you will then have the opportunity to make a final statement to the Committee before you and the Investigating Officer or School Representative are invited to withdraw from the Committee.

The Committee will then have a private meeting with the Advisor and Secretary in attendance to consider the verbal and written evidence that has been presented.

Committee members when reaching a decision and any penalty will consider:

- the committee papers;
- the oral representations from the student, the student’s representative and the School or University representative;
- the Fitness to Practise Procedure;
- the Professional or Statutory body regulations.

Following its deliberations, the Committee shall:

i. make findings of fact;

ii. decide whether the facts found to be proven amount to impairment of fitness to practise by reason of misconduct or ill health;

iii. consider whether there are any mitigating or remediating factors which may affect the Committee’s decision regarding the student’s fitness to practise. This may include any training or treatment that the student had undergone in the interim period;

iv. decide upon any penalty or action which should be put in place taking into account any mitigating circumstances;

v. decide upon the consequences of you not adhering with any penalty or action that is put in place.

Following the Committee’s decision, you should be informed of the following:
i. the decision of the Committee;

ii. the reasons for the decision of the Committee;

iii. the consequences of not adhering to any actions the Committee has required; and

iv. the right of appeal.

All members of the Committee shall have equal voting rights. In the absence of an unanimous verdict, the decision of the majority shall prevail.

Only when a Committee has decided that an allegation is substantiated will they be informed of any previous warnings that need to be taken into account in considering an appropriate penalty.

G16. After the Hearing

No penalty imposed by a Committee shall be implemented until the appeal period has elapsed, or where you have lodged an appeal, until the appeal has been considered.

The staff specified to monitor required actions will report to the Head of School where you have not adhered to these actions. Where the Head of School believes that the required actions have not been adhered to they will send a Non-Adherence Report to the Academic Registrar. The report will include the formal Committee papers and a statement relating to the student’s engagement with the required actions.

4. Considering the Concern: University Committee

Principles

Concerns should be considered proportionately and fairly by an independent Committee which includes professional expertise.

Committee Composition

4.1 A University Committee will consist of five members:

i. a Pro Vice-Chancellor, College Dean or a Head of School, who shall be Chair;

ii. two members of academic staff from Schools or Units with cognate disciplines;

iii. a student member of Senate;

iv. an external representative of the profession concerned, who may be from another university or the relevant profession.
Hearing Arrangements

4.2 The arrangements for the University Committee hearing shall be made in accordance with section 3.2 above.

4.3 The Academic Registrar shall nominate a Student Cases Service Adviser and Secretary of the Committee as appropriate.

Decisions of the Committee

4.4 Following consideration of all of the information presented, the Committee may take one of more of the following actions:

i. any action listed under Section 3.8;

ii. require the student to make a formal written apology;

iii. suspend the student for a specified period of time;

iv. require the student to re-sit part(s) of the Programme, where the regulations permit;

v. require any other action considered appropriate by the Committee to enable the student's successful completion of the remainder of the Programme;

vi. withdraw the student from a current Programme, but permit the student to transfer to an alternative non-professional programme;

vii. exclude the student from the Programme and from the University.

4.5 Where the case against the student is upheld, the Committee will refer the decision to the Academic Registrar. In liaison with the Head of School, where appropriate the relevant professional, regulatory or statutory body may be informed of the case.

4.6 Students shall be provided with a written decision by the Academic Registrar within 7 calendar days of the hearing.

4.7 Students can appeal the decision of the Committee as permitted under Section 6 of the Procedure.

4.8 Where the Head of School considers that a student has not adhered to all of the required actions as stipulated by the Committee, the Head of School will send a Non-Adherence Report to the Academic Registrar as permitted within Section 5.

Guidance

The Guidance following Section 4 applies to both School Committees and University Committees.
5. Monitoring of the Committee required actions

**Principles**

Monitoring should take place in a timely way enabling students to be supported in undertaking actions and have concerns raised where actions are not being undertaken.

5.1 Where the Head of School has considered that a student has not undertaken the required actions from a Committee, the Head of School will send a Non-Adherence Report to the Academic Registrar.

5.2 The Academic Registrar shall give the student 14 calendar days to provide a response to the Non-Adherence Report and provide any evidence for consideration by the Chair of the Committee regarding the required actions.

5.3 The Chair of the Committee will consider: the Non-Adherence Report and the student's response.

5.4 The Chair of the Committee will consider whether the student has undertaken the required actions. If the student is found not to have undertaken the required actions, the Chair will determine if there is good reason. In these circumstances the Chair may choose to uphold the Committee’s original decision. In the case of failure to adhere to reasonable requests or where the student is unable to complete actions the Chair may choose to substitute the decision specified at the time by the Committee.

5.5 The decision of the Chair of the Committee shall normally be sent to the student within 28 days of the Non-Adherence Report being sent to the Academic Registrar. The Chair of the Committee’s decision shall be final.

6. Appeal against a Committee Decision

**Principles**

Students have the right to appeal a decision of the Committee.

6.1 A student can appeal a Committee decision on the following grounds:

i. procedural irregularities;

ii. that the decision was unreasonable and could not be sustained by the facts of the case;

iii. new relevant evidence unknown to the Committee when making their decision, where students can show good reason why they could not have provided the evidence at the Committee.

6.2 Students will be required to specify the grounds of appeal and any information or evidence they wish to be considered to the Academic Registrar within 14 calendar days of receiving the written decision.

6.3 The Academic Registrar is required to disallow an appeal which is based wholly on circumstances which were known to the Committee when the penalty was imposed, and may dismiss without a hearing an appeal submitted on any basis other than the permitted grounds or which is frivolous or vexatious.
6.4 Where an appeal is not dismissed, the Academic Registrar will refer the appeal for consideration by the Pro Vice-Chancellor.

6.5 The Pro Vice-Chancellor will consider the appeal documentation presented by the student alongside the formal Committee papers, the minutes of the Committee, the decision letter issued to the student and any other information they deem relevant.

6.6 The Pro Vice-Chancellor may uphold or modify the decision of the Committee or refer the appeal to a University Committee for further consideration.

6.7 The decision of the Pro Vice-Chancellor shall be final and normally issued within 28 calendar days of receipt of the appeal.

**Guidance**

G17. **Office of the Independent Adjudicator**

If the decision of the Pro Vice-Chancellor completes the internal Fitness to Practise Procedure then you will be eligible to raise a complaint with the Office of the Independent Adjudicator within 3 months of receiving the Completion of Procedures letter. Information regarding how to do this will be included in the letter informing you of the decision.

7. **Suspension**

**Principles**

The University has a duty of care to students, staff and the wider community including patients, clients and members of the public.

7.1 A student can be suspended at any operational point in this Procedure from the University and/or from their Programme. Where the risk is only in relation to patients, clients or members of the public, a student can be suspended from placement or clinical settings only.

7.2 The Vice-Chancellor or nominee is empowered to suspend a student with immediate effect for a period of up to 12 calendar months.

7.3 The purpose of the suspension is to protect University members, the public, the student or colleagues pending the investigation or completion of the Fitness to Practise Procedure. The Vice-Chancellor or nominee will consider the risk that the student poses to the University Community, placement providers, patients and members of the public. Written reasons for the decision shall be recorded and made available to the student.

7.4 Where there is considered to be an immediate risk, a Head of School is empowered to suspend a student with immediate effect from a placement or clinical setting for up to 7 calendar days in order to protect the safety of patients, clients and members of the public. Any suspension made under this regulation must be reviewed by the Vice-Chancellor or nominee within 7 calendar days. Subsequently the suspension will be reviewed in line with Section 7.7.

7.5 Prior to the start of a period of suspension from a Programme or placement or clinical setting, a student will be informed of the extent, if any, of access to the
University facilities allowed during the suspension, taking account of the nature of the circumstances and/or of any alleged offence. This decision may be modified in line with Section 7.8 or 7.9.

7.6 An order of suspension may include a requirement that the student should have no contact of any kind with a named person or persons.

7.7 The Vice-Chancellor shall review any suspension at least every 60 calendar days and where new information becomes available, with the intention of bringing the case to a conclusion as soon as is reasonably practicable. The student should be notified in writing of the outcome of any review within 7 calendar days.

7.8 A suspended student may request a review of the suspension, where there is a change of circumstances (e.g. where court action is concluded, the student is acquitted in the case of a criminal offence or police bring a case to an early resolution by way of caution, warning).

7.9 A suspended student may request a review of the decision of the Vice-Chancellor or nominee within 7 days of the decision. The review will be considered by the Deputy Vice-Chancellor, a Pro Vice-Chancellor, College Dean or Academic Registrar who has not previously considered the case. The student shall be given an opportunity to provide evidence to the reviewer, who shall be empowered to lift or confirm the suspension on the basis of appropriate expert advice.

Guidance

G18. The decision to suspend

The Vice-Chancellor or nominee and Head of School shall be governed solely by principles of justice and fairness in dealing with any suspension. The power to suspend under this provision is to protect the members of the University community in general (or a particular member or members), patients, professional clients or members of the public.

The power shall be used only where the risk has been considered and as a result the Vice-Chancellor or Head of School is of the opinion that it is urgent and necessary to take such action.

Suspension is never automatic, and shall only be used where, after careful consideration of the facts as they stand at the time, it appears to the Vice-Chancellor or Head of School that this is the appropriate course of action.

G19 Suspension from placement or programme

Where you appear to present a risk to patients, clients or members of the public but you do not appear to present a direct risk to the scheduled teaching of the Programme or the University community the decision may be made to suspend you from placements or clinical settings but not from academic studies. Examples of when this might be appropriate include an allegation relating to the falsification of medical documents or a health condition that appears to present risk to the public in a placement or clinical setting.
Additionally, please be aware that if you are on placement, the placement provider may ask you to leave and may withdraw the placement opportunity.

8. **Alternate Officers**

   The University reserves the right to designate an alternate to any of the Officers named within this Procedure.
Senate Regulation Governing Personal Tutors

1. Each Head of School shall be responsible for ensuring that all students on taught programmes of study are allocated and notified of a personal tutor at the beginning of their programme. In joint honours programmes where the subjects designated in the programme title are the responsibility of two or more Schools, students shall be allocated a personal tutor from each School.

2. The role of the personal tutor will be:

2.1 to provide such support and guidance to students as defined in Code of Practice for Personal Tutors which can be found at: https://intranet.cardiff.ac.uk/staff/teaching-and-supporting-students/personal-tutors/role-and-responsibilities

3. If a personal tutor leaves the University or is absent for a prolonged period or on leave for a prolonged period, Heads of Schools will provide cover by a second named member of the academic staff, (as defined in Ordinance 12 of Cardiff University).

4. Schools will be required to implement a personal tutor system best suited to the interests of their students, and such a system should, as a minimum, embody the principles contained within the Code of Practice for Personal Tutors.

5. A Head of School shall be satisfied that staff are sufficiently accessible and suitably qualified and/or experienced to act as Personal Tutors.

6. Details of the personal tutor system being operated within a School will be monitored by Academic Standards and Quality Committee via the Periodic Review of Programmes.

7. Students will have the opportunity to change their personal tutor and will not, at the first request, be required to state the reason. Any subsequent requests for a change of personal tutor will be subject to the discretion of the Head of School, whose decision will be final.
Research Student Progress Monitoring Procedure

1 OVERVIEW

1.1 The University is committed to the effective monitoring of research students' academic progress. The Research Student Progress Monitoring Procedure provides a formal system of regular reporting and evaluation, which complements the continuous dialogue between the student and their supervisors, and the ongoing monitoring that is central to the supervision process.

1.2 The University expects students to make good progress in their study and research. The purpose of the Progress Monitoring Procedure is to support students in their efforts to meet this expectation and to maximise the likelihood of their completing their degree successfully and within the expected timescale. It allows for the identification of practical, as well as academic, obstacles to progress, and for concerns about progress to be raised, documented and addressed.

1.3 Continued registration on a research degree programme is conditional upon the student demonstrating satisfactory progress, and a student may be required to withdraw from the University or to change from doctoral to MPhil status if he or she is not performing at a satisfactory level. A student whose progress is a cause for concern has the right to know if this is the case, and the School has a responsibility to take appropriate action promptly where there are concerns about progress.

1.4 Compliance with this Procedure is mandatory and applies to all students registered for research degrees. Progress is monitored from the date of initial registration on the programme through to thesis submission (including during any period beyond that of fee-paying registration and any resubmission period).

1.5 The University recognises that differences between disciplines, types of research degree programme and mode of study necessitate appropriate variation in the implementation of the Monitoring Procedure, but the key elements are common to all and promote a consistent approach.

1.6 Schools must detail their local arrangements for implementing the Progress Monitoring Procedure, including how these are applied to part-time students and/or those studying away from Cardiff for a period of time, and ensure that students and supervisors are aware of the arrangements.

1.7 The Research Student Progress Monitoring Procedure comprises the following three elements:

1.7.1. Initial Reporting, normally to be completed within the first 3 months of registration for the research degree programme;

1.7.2. Progress Report, the first of which normally to be completed within 9 months of registration (within 6 months of Initial Reporting). Progress

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38 With the exception of those programmes that are highly structured and include substantial taught elements and have built in schedules of assessment: MRes, DClinPsy, DEdPsych
Reports should be completed every 6 months thereafter (normally at 9, 15, 21, 27, 33 months, etc.);

1.7.3. Annual Formal Progress Review, the first normally to be completed within 9 months of the student’s first registration, then annually thereafter (normally within 9, 21, 33 months, etc.).

2 INITIAL REPORTING

2.1 During the early stage of the research programme, the student and main supervisor are required to agree a Research Plan and to complete a Development Needs Analysis (i.e. a skills audit and plan). The Initial Reporting requires confirmation that these have been undertaken, and requires the student and main supervisor each to submit an Initial Report. The nature of the reports will be defined by the School: their purpose is to allow any early difficulties to be highlighted and acted upon as appropriate. Other member(s) of the supervisory team should be involved in accordance with their role.

2.2 The Initial Reporting should normally be undertaken within the first three months of the student's registration. Completion of the Initial Reporting must be endorsed by the body or individual nominated for this purpose, usually the School’s Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies (or nominee) acting on its behalf.

3 PROGRESS REPORT

3.1 The purpose of the Progress Report is to assess a student's progress with sufficient frequency to allow for remedial action to be taken if necessary. The process also involves reviewing and updating the Research Plan and so helps maintain the focus of the research, while re-evaluating the student's skills training needs. The first Progress Report exercise should be completed within six months following the Initial Reporting.

3.2 The exercise requires the production of two separate reports: the Student’s Self-Assessment Report recording the work done since the last Self-Assessment Report (or Initial Report) and the Supervisor’s Report commenting on progress. The reports are followed by a Progress Meeting of the student and supervisor.

3.3 The Student’s Self-Assessment Report: research students are required to submit a Self-Assessment Report at six-monthly intervals from the Initial Reporting up until thesis submission. The Self-Assessment Report should prompt the student to:

3.3.1. reflect on the progress made against the agreed objectives and milestones for the period;

3.3.2. reflect on progress made with the production of the written thesis;

3.3.3. highlight any specific problems associated with the research;

3.3.4. append a record of training and development undertaken during the reporting period.

3.4 The Supervisor Report: main supervisors are required to produce a Supervisor Report for each student working under their direction, at six-
monthly intervals, up until thesis submission. The main supervisor(s) should be prompted to:

3.4.1. confirm whether the student has maintained regular contact;

3.4.2. assess the student’s progress and the standard of their work;

3.4.3. highlight for the School's attention any matters that have impeded (or will impede) the student’s progress;

3.4.4. identify if there is a risk that the student will not complete within the expected timeframe;

3.4.5. consult with other member(s) of the supervisory team in accordance with their role.

3.5 The Progress Meeting: The student and main supervisor are required to hold a Progress Meeting to discuss their reports, to consider the work to be undertaken over the next six-month period, in order to produce an updated Research Plan and to undertake a further Development Needs Analysis (i.e. a skills audit and plan). Other member(s) of the supervisory team should be involved in accordance with their role.

3.6 Each Progress Report exercise is completed when all elements are considered and confirmed by the body or individual nominated for this purpose – usually the School's Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies acting on its behalf, who will inform the student of the outcome of the reporting exercise.

4 ANNUAL FORMAL PROGRESS REVIEW

4.1 The progress of every research student is formally reviewed on an annual basis up until the successful submission of the thesis. The first Formal Progress Review is normally completed within 9 months of the student first registering, and at 12-monthly intervals thereafter (so normally completed within 9, 21, 33 months).

4.2 The School’s arrangements for conducting the Annual Formal Progress Review and the criteria for proceeding must be clearly communicated to its students and staff.

4.3 Each Annual Formal Progress Review contains the following elements:

4.3.1 a substantial piece of written work from the student, to be considered by a Review Panel;

4.3.2 a meeting of the student and the Review Panel;

4.3.3 a documented outcome of the review and a recommendation in accordance with 4.8 below.

4.4 The Review is based on the submission, by the student, of a substantial piece of written work. The length and format of this work is defined by the School. For full-time students, it is commonly equivalent to a thesis chapter

39 Modest adjustment to the timing can be made in respect of the first year of doctoral degrees that include taught, assessed components within their structure, and where performance in the assessments is an additional criterion for proceeding to the next stage of the programme.
or a paper for publication in their non-final years; it should normally be of a smaller scale for part-time students. The written work must be made available to those members of staff responsible for reviewing the student's progress in advance of the Review Panel meeting, allowing for adequate consideration.

4.5 When a student is in their final year of fee-paying residence (e.g. at 33 months for a three-year PhD, and at nine months for a one-year MPhil), he/she will be required to provide their School with evidence that the primary research has been completed and there is a clear plan for thesis completion and submission. This evidence may include a complete first draft of the thesis.

4.6 The Review Panel must include at least one member of academic staff who is an independent reviewer; it may also include member(s) of the student's supervisory team. One member of the Review Panel is designated as its Convenor and is responsible for its arrangement and reporting.

4.7 The student is required to attend the Review Panel meeting set up to consider his/her progress. The format of the meeting is determined by the School; it may take the form of a 'viva voce' interview, or a presentation and question session.

4.8 Following the meeting, the Review Panel will make one of the following recommendations:

4.8.1 that the student's progress and standard of work is satisfactory and that the student is likely to complete their degree successfully and within the expected timescale;

4.8.2 the student's progress and standard of work is satisfactory overall but that one or more unsatisfactory aspects of progress and/or performance have been identified (see 14.13 below);

4.8.3 that the student's progress and/or standard of work is unsatisfactory, and that either:
   i) he/she is required to change his/her registration from a doctoral degree to MPhil (the Review Panel having satisfied itself that the revised research project is, or will be, appropriate for an MPhil submission within a revised time-scale, and that the student has made or is making adequate progress toward the revised qualification aim); or
   ii) he/she placed on a Warning of Exclusion from Research Study: this Procedure will require the student to provide evidence of improvement against a clear set of stipulated criteria within a time period of no less than three and no more than six months.

4.9 Occasionally, the Review Panel may seek to defer its recommendation, and require the student to provide additional evidence relating to the student's current work with which to inform its assessment. This is not a mechanism by which to require the student to undertake new study or research. The Review Panel may defer its recommendation on this basis for a maximum of one month.

4.10 The Review Panel will provide a documented outcome, summarising its assessment of the student's progress and/or standard of work providing the recommendation.
The Review Panel's report and recommendation will be referred to the School's Postgraduate Research Board (or equivalent), or to the Director of Postgraduate Research Studies acting on its behalf, for consideration together with evidence from the Progress Report. The School's Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies acting on its behalf, will confirm or amend the Panel's recommendation, which will be notified to the student and main supervisor.

The student and his/her main supervisor will be provided with a copy of documented outcome once confirmed by the School's Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies acting on its behalf.

Any unsatisfactory aspects of progress and performance should be clearly stated in the documented outcome. Where weaknesses have been identified but a balanced evaluation is to recommend that the student be permitted to proceed on the research degree programme for which he/she is registered, the documented outcome should include clear action points agreed by the School's Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies acting on its behalf, and the main supervisor.

Request for transfer from MPhil to PhD: a student may submit a request to transfer from MPhil registration to PhD or to MD at any time for consideration by the next Formal Progress Review. The request must be supported by the main supervisor. The Review Panel will consider the progress made by the student and the feasibility of extending the scope of the project in making their recommendation to the School's Postgraduate Research Board (or equivalent), or the Director of Postgraduate Research Studies acting on its behalf, who will also ensure that any sponsorship and/or ethical issues have been duly considered.

5 UNSATISFACTORY PROGRESS

All students registered for research programmes are expected to maintain regular contact with their supervisor(s) and to satisfy the Expected Contacts defined by the Head of School. Concerns about a research student's academic progress can be raised at any time: if progress is identified as being unsatisfactory, or the standard of the student's work is below that which is expected, the School is required to take action as detailed below.

Where a student fails to submit any of the reports required as part of the Research Student Progress Monitoring Procedure without adequate explanation, the Director of Postgraduate Research Studies may request the student concerned to attend an interview to discuss the reason(s) for non-submission.

If the student fails to engage with the requirements of the programme at any stage and/or fails to respond to requests to attend interviews, the School may implement the University's Non-Engagement Procedure, as detailed in the Handbook of Academic Regulations.

If a supervisor has concerns about the rate of a student's progress or the standard of work, he/she should raise them during a supervisory meeting. Where the supervisor has significant concerns, these should be reported to the Director of Postgraduate Research Studies who shall request the student concerned to attend an interview. This may arise as part of the
Progress Report or at any other time. The main supervisor shall be invited to
attend the interview with the student; the student can, however, request a
separate meeting with the Director of Postgraduate Research Studies to
which the supervisor(s) shall not be invited to attend.

5.5 Where issues raised with the Director of Postgraduate Research Studies
lead the School to determine that the student's progress is less than
satisfactory, the student may be placed under a Warning of Exclusion from
Research Study.

6. **EXCLUSION FROM RESEARCH STUDY**

6.1 Where, in accordance with 4.8 or 5.5 above it has been determined to place
a student under a Warning of Exclusion from Research Study, the Director
of Postgraduate Research Studies will meet with the student and issue
him/her with a formal written warning, signed by the Head of School, stating
that his/her failure to comply with the University's Monitoring
requirements/lack of academic progress, may lead to his/her exclusion from
research study. A copy of the written warning must be placed on the
student's School file and a copy sent to the Academic Registrar.

6.2 A research student who has received written warning from the Head of
School shall be given at least three months in which to demonstrate
compliance/improvement.

6.3 At the end of the three months' warning period, the Supervisor shall
recommend to the Head of School, via the Director of Postgraduate
Research Studies, either:

6.3.1 that the warning be lifted, or

6.3.2 that the warning be extended for a further period of three months, or

6.3.3 that the student be excluded from research study.

6.4 No research student shall remain under warning for more than six
consecutive months. At the end of six months, a decision about his/her
future status must be made by the School Committee/Panel appointed by
the Head of School for this purpose.

6.5 Recommendations for the termination of research students' registration shall
be referred to the School Committee/Panel appointed by the Head of School
for this purpose.

6.6 The School Committee/Panel shall meet to consider recommendations from
Supervisors for the termination of a student's registration.

6.7 The Head of School shall notify the student, in writing, that a formal
recommendation for his/her exclusion from research study has been made. The
Head of School shall invite the student (i) to submit to him/her any
written information that he/she wishes to be put before the relevant School
Committee/Panel and (ii) to attend the meeting of the School
Committee/Panel, in person, to present his/her case against exclusion.

The student shall be given 10 clear days' notice, in writing, of the meeting
that will consider the recommendation for his/her exclusion. The notice shall
be sent Recorded Delivery.
6.8 Where a student fails to respond to the Head of School's invitation, or elects not to attend the exclusion meeting, the School Committee/Panel may proceed to consider the recommendation for exclusion in his/her absence.

6.9 The student shall be informed, in writing, by the Head of School, of the decision reached by the School Committee/Panel in his/her case.

7. APPEALS AGAINST EXCLUSION/TERMINATION OF CANDIDATURE OR REQUIRED CHANGE OF REGISTRATION

7.1 A candidate for a research degree who has been excluded or has had their candidature terminated or has been required to change their registration may lodge an appeal, in writing, to the Academic Registrar, within twenty one (21) days of the decision. Appeals are only permitted on grounds of:

i) irregularities in the conduct of the School Committee or Panel; or

ii) extenuating circumstances not brought to the attention of the School Committee or Panel and which can be shown to be relevant to the School decision. In appeals based on these grounds, the appellant must show good reason why such extenuating circumstances were not made known to the School Committee or Panel, either before or during its meeting.

7.2 The Academic Registrar, or nominee, will invite the Head of School to provide a written school response to the appeal including supporting evidence as appropriate.

7.3 The Academic Registrar may disallow an appeal that is based wholly on factors which were known to the School Committee or Panel when the exclusion was imposed.

7.4 The Academic Registrar will refer an appeal (which has not been disallowed under 7.3 above) to the University Appeal Panel (Research Degrees). The Head of School will be invited to nominate a school representative to attend the Appeal Panel.

7.5 The Appeal Panel (Research Degrees) shall be nominated by the Academic Registrar and comprise:

i) Chair - A Pro Vice-Chancellor or Head of School not previously involved in consideration of the student's academic performance, plus

ii) Two members of the academic staff who have experience of supervising research degree candidates and who have not been previously involved in consideration of the student's academic performance.

7.6 The procedure to be adopted by the Appeal Panel (Research Degrees) shall be as follows:

i) The Academic Registrar or nominee shall be the Secretary to the Appeal Panel (Research Degrees). The Secretary shall fix the place and time for the hearing which shall be at the earliest possible opportunity and normally within six weeks of receipt of the appeal and shall make them known to the student, to the school representative and to the members of the Appeal Panel (Research Degrees). The Secretary shall advise the student of the composition of the Appeal
Panel (Research Degrees). The student shall have a right to attend the Appeal Panel (Research Degrees) and to present evidence in support of their appeal. The student shall be required to inform the Secretary whether he/she will be accompanied and/or represented, the name of the person and whether he/she will be acting in a professional legal capacity. The University may also obtain legal representation if appropriate. The school representative will be present at the Appeal Panel (Research Degrees) and will present the School submission.

ii) The Appeal Panel (Research Degrees) will consider:

– the written appeal provided by the student as detailed in paragraph 4.1 above;
– the written school response to the appeal as detailed in paragraph 4.2 above; and
– oral presentations by the appellant and by the school representative.

The appellant and the school representative will not be permitted to introduce new evidence to the Appeals Board.

iii) If the student does not appear at the hearing without reasonable explanation and the Appeal Panel (Research Degrees) is satisfied that due notice was given to the student, the Appeal Panel (Research Degrees) may proceed in the absence of the student and shall consider at the appropriate stage any representations made by or on behalf of the student. The Chair will have discretion as to what constitutes ‘reasonable explanation’.

iv) The outcomes of the Appeal Panel (Research Degrees) shall be decided on the evidence before it.

v) The Appeal Panel may decide to confirm the exclusion/termination of candidature or to uphold the appeal and substitute an alternative decision.

7.7 The Academic Registrar shall inform the student of the outcome of his/her appeal in writing, normally within five (5) working days of the meeting of the Appeal Panel (Research Degrees). The communication of the outcome of the appeal to the student completes appeal procedure and no further submissions shall be considered.
Part 3

Student Matters
CARDIFF UNIVERSITY STUDENT COMPLAINT PROCEDURE

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<td>7. Group Complaints</td>
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CARDIFF UNIVERSITY STUDENT COMPLAINT PROCEDURE

This Procedure can be made available in the following alternative formats: Braille; large print; tape; disk and on coloured paper. Please contact the Student Complaints Team to request a copy in your chosen format.

1. INTRODUCTION

Principle
Students have the right to complain. A student who complains will suffer no detriment as a consequence of doing so.

1.1 WHO CAN MAKE A COMPLAINT?

Students are eligible to use this Procedure as individuals or as a group if they are:
.1 registered Cardiff University students;
.2 former Cardiff University students.

Guidance for Students

G1 Registered students include those registered or enrolled on a programme and those on an interruption of study, temporary withdrawal or temporary exclusion or suspension.

G2 Former students are eligible to use this Procedure up to 28 calendar days after their formal leaving date or (if eligible to graduate) up to 28 calendar days after graduation date.

G3 The University expects you to raise a complaint yourself within 7 calendar days of the issue arising by completion of the appropriate form and submitting it in hard copy or by email. Relevant Forms for all stages of this Procedure can be downloaded here: http://www.cardiff.ac.uk/public-information/students-applicants/complaints or obtained in paper form from the appropriate complaint administrator (Early Resolution Stage Complaint Form) or Student Complaints Team (Formal and Review Stage Complaint Forms).

G4 If a complaint is not received within the time limits attached to each stage of the Procedure, the complaint will normally be deemed as ‘out of time’. The time limits may be waived if good reason can be shown by you for not having brought the complaint forward within these limits. However, you should be aware that any lengthy delay may mean the University cannot reasonably be expected to investigate and/or make a finding regarding such complaints.

G5 Staff dealing with complaints may seek advice from the Student Complaints Team when determining the eligibility of a complaint under the Procedure. If the University decides that the complaint is not eligible for consideration under the Procedure (including complaints that are deemed to be ‘out of time’) the Student Complaints Team will send you a letter to confirm that the University’s internal procedures have been completed and the reasons for the decision. This will normally be sent to you within 14 calendar days of receipt of the complaint. This letter is known as a Completion of Procedures letter. There is no further action you can take under the University’s internal procedures. You can, if you wish, refer the University’s decision to the Office of the Independent Adjudicator for Higher Education (OIA) – (see Section 9 – External Adjudication).
1.2 **WHAT TYPES OF ISSUES CAN STUDENTS RAISE UNDER THIS PROCEDURE?**

Students can use this Procedure if their complaint relates to any of the following:

.1 failure by the University to meet its obligations;

.2 concerns about the delivery of a programme (taught or research), teaching or administration, **including supervision**;

.3 issues relating to the quality of facilities, learning resources or services provided by the University.

### Guidance for Students

<table>
<thead>
<tr>
<th>G6</th>
<th>Failure by the University to meet its obligations</th>
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<tbody>
<tr>
<td></td>
<td>This could include information on the University’s website, contained in programme student handbooks and the Student Charter.</td>
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<tr>
<th>G7</th>
<th>Student/Staff Panel Representative</th>
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<td></td>
<td>Some issues, such as timetabling, heating in a lecture theatre, may be raised with your Student/Staff Panel Representative.</td>
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<tr>
<th>G8</th>
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<tr>
<td></td>
<td>If you think that your supervisory arrangements are not functioning as well as they should be then you must make your School aware of this as soon as possible so that the School can help to resolve the situation. In order to give the School an opportunity to review supervisory arrangements and, where appropriate, implement a remedy for the remaining period of supervision, complaints about supervision must be made under the Formal Stage of this Procedure and should be raised as soon as possible and within <strong>28 calendar days</strong> of the problem arising.</td>
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<tr>
<td></td>
<td>You should be aware that issues about supervision are not normally grounds for academic appeal and, therefore, you should not wait for marks to be formally confirmed by the University before raising an issue about supervision.</td>
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<tr>
<th>G9</th>
<th>Placements</th>
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<tr>
<td></td>
<td>If you are on a placement of any length, studying or working, and wish to complain about the service provided by the placement provider which you think has impacted on your learning experience, then you should submit a complaint under the Formal Stage of this Procedure directly to Cardiff University.</td>
</tr>
<tr>
<td></td>
<td>It is normally expected that complaints about general issues will be raised by you directly with the placement provider by using the placement provider’s internal complaint procedures. Where this is not possible you should contact the appropriate University complaint administrator (see <a href="http://www.cardiff.ac.uk/public-information/students-applicants/complaints">http://www.cardiff.ac.uk/public-information/students-applicants/complaints</a>) for further guidance.</td>
</tr>
<tr>
<td></td>
<td>If you have raised your complaint directly with the placement provider and you are unhappy with the outcome you may submit a Formal complaint to the University (see Section 4).</td>
</tr>
</tbody>
</table>
1.3 WHEN IS THIS PROCEDURE NOT APPLICABLE?

This Procedure should not be used to make a complaint about the following:

.1 Academic Judgement - that is the decision made by academic staff on the quality of academic work or the criteria being applied to mark work (rather than the administrative marking process). Academic Judgement cannot be challenged under any procedure;

.2 Any matter that may be actively pursued under the Academic Appeals procedure. Please refer to the Appeals Procedure: www.cardiff.ac.uk/appeals;

.3 Complaints relating to Campus Facilities. Please refer to Campus Services Customer Complaints Procedure: http://www.cardiff.ac.uk/public-information/policies-and-procedures/campus-facilities-complaints-procedure

.4 A fellow student. Please refer to the Student Behaviour Procedure: https://intranet.cardiff.ac.uk/students/your-study/your-rights-and-responsibilities/student-behaviour-and-discipline

.5 The Students’ Union: https://www.cardiffstudents.com/about-cusu/governance/policy/

.6 Applications: complaints relating to an application to study at Cardiff University. Please refer to the Complaints and Appeals Procedure for Applicants: http://www.cardiff.ac.uk/public-information/students-applicants/admissions-policies/complaints-and-appeals

Guidance for Students

G10 You should be aware that marks and assessment results cannot be changed by using this Procedure. Issues related to the outcome of an academic assessment must be raised through the Academic Appeals Procedure: www.cardiff.ac.uk/appeals

G11 Where you have initiated more than one procedure the University will determine the most appropriate Procedures to be followed. Where the issues are related, the University may decide to suspend one procedure pending the outcome of the other. Alternatively, the University may, with your agreement, decide to consider matters together, for example, where a complaint covers issues that fall within the remit of other procedures such as the Academic Appeals Procedure.

2. SUPPORT AVAILABLE TO STUDENTS USING THIS PROCEDURE

Principle
Support and advice is available to students throughout all stages of this Procedure from a variety of sources.

2.1 Students are encouraged to obtain advice, guidance and support and may be accompanied at all meetings.

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2.2 Independent support and guidance is available to students from Cardiff University Students’ Union Student Advice.

2.3 University staff and the University’s Student Support Centres can advise students on the Procedure but are not able to assist in the formulation of a complaint or accompany a student to meetings held under the Procedure.

2.4 The University understands that in exceptional cases students may be unable to make a complaint themselves, for example, due to a health condition and in such cases the student may be represented by a third party. In these cases students are encouraged to appoint an independent representative who is familiar with the University’s procedures and processes for example, a Students’ Union adviser.

Requests to be represented may be made by students in writing under any stage of this Procedure to the Student Complaints Team. They will be considered on a case-by-case basis. If the request is approved, the student will be asked to sign a consent form which will be provided by the Student Complaints Team. The University will then correspond directly with the student’s representative in relation to the complaint and a copy of all correspondence will be sent to the student for information.

2.5 Students cannot normally be accompanied or represented by someone acting in a legal capacity unless this is requested and agreed as a reasonable adjustment.

Guidance for Students

G12 Independent support

You are encouraged to seek independent support from someone familiar with the University’s procedures and processes, i.e. a Students’ Union adviser. Where applicable, support can also be provided by your Professional Union or Professional Body.

G13 Staff support available to students

This includes Senior Personal Tutors, Personal Tutors, Programme Directors, Year Tutor and the School or Professional Service complaint administrators, or equivalents.

G14 Contact Information

Contact Information for the different support services available to you can be found in Section 14 – Useful Contact Information.

G15 Complaints about staff

Staff implicated in a student complaint may seek support from their line manager and/or Human Resources. They may also be accompanied/supported at any investigation meetings by a Trade Union representative (if they are a member) or by a colleague who has no material interest in the complaint. Staff cannot normally be represented by someone acting in a legal capacity unless this is requested and agreed as a reasonable adjustment.
3. EARLY RESOLUTION STAGE

**Principle**
In the first instance every effort should be made to raise and resolve complaints early and locally.

3.1 Complaints must be submitted by completion of the Early Resolution Complaint Form which can be downloaded here: [http://www.cardiff.ac.uk/public-information/students-applicants/complaints](http://www.cardiff.ac.uk/public-information/students-applicants/complaints) or obtained in paper format from the relevant complaint administrator and submitted with relevant evidence to the School, College or Professional Service complaint administrator in hard copy or by email. This action should take place normally within 7 calendar days of the problem arising. The University expects that the complaint will normally be resolved and a written outcome by email issued within 14 calendar days of receipt of the Early Resolution Complaint Form.

3.2 On receipt of the Early Resolution Complaint Form, if it is considered that the complaint is likely to take longer than 14 calendar days to resolve due to the complexity or seriousness of the issue, then the complaint can be referred for consideration under the **Formal Stage** (See Section 4) and the student will be informed accordingly.

3.3 If students are dissatisfied with the outcome of the Early Resolution Stage they may escalate the complaint to the **Formal Stage** of the Procedure; this should normally be done within 14 calendar days of the date of the Early Resolution Stage written outcome.

**Guidance for Students**

G16 Colleges, Schools and Professional Services will identify members of staff to undertake the role of the complaint administrator. Contact information can be found here: [http://www.cardiff.ac.uk/public-information/students-applicants/complaints](http://www.cardiff.ac.uk/public-information/students-applicants/complaints)

G17 Early Resolution remedies may include:
- providing you with more information/explanation;
- suggesting solutions;
- offering an apology.

G18 If responsibility for the issue raised lies in the staff member’s area of work, every attempt will be made to resolve the complaint at source in consultation with you. Where necessary, liaison with other staff and services will take place to facilitate a swift resolution.

4. FORMAL STAGE

**Principle**
The University is committed to undertaking a full and fair investigation of serious or complex complaints.

4.1 SUBMITTING A FORMAL COMPLAINT

1. Students may submit a Formal Stage complaint under the following circumstances and timescales:
they are dissatisfied with the Early Resolution Stage, normally within 14 calendar days of receiving the Early Resolution written outcome; or

(ii) complaints of a serious nature, as soon as possible but normally within 28 calendar days of the problem arising.

Formal Complaints must be submitted by completion of the Formal Stage Complaint Form which can be downloaded here: http://www.cardiff.ac.uk/public-information/students-applicants/complaints or obtained in paper form from the Student Complaints Team and submitted in hard copy or by email.

Guidance for Students

G19 On receipt of the formal complaint, the University will undertake an initial evaluation to check that the complaint is submitted under the right procedures and the appropriate stage, within stated deadlines, and in the required format. This might result in:

- referral to the Early Resolution Stage if this is considered appropriate and has not been completed by you;
- you being advised to use a different procedure;
- a request for further information or clarification;
- the complaint being rejected, for example because it is submitted late;
- the complaint proceeding to formal investigation;
- with your agreement, referral to a mediation process.

4.2 INITIAL CONSIDERATION

.1 If the complaint is rejected the Student Complaints Team will issue the student with a Completion of Procedures letter confirming the reasons for the decision and will provide the student with a copy of any information considered and the complaint file will be closed. A copy of the Completion of Procedures letter will be sent to the appropriate Senior Officer (s) 41, including the College Registrar as appropriate. There is no further action a student can take under the University’s internal procedures. However, students can, if they wish, refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA).

.2 If the complaint proceeds the Student Complaints Team will refer the complaint to the appropriate Senior Officer and a copy will be sent to the College Registrar as appropriate. The Student Complaints Team will confirm to the student in writing the date of the referral and to whom it has been referred.

Where the complaint is about a Head of School/Professional Service, the complaint will be referred to a Pro-Vice Chancellor or the Chief Operating Officer for consideration. If the complaint is about a Pro Vice-Chancellor or the Chief Operating Officer it shall be referred to the Vice-Chancellor for consideration. If the complaint is about the Vice-Chancellor it shall be referred to the Chair of Council.

If the complaint involves more than one College, academic School and/or Professional Service, it will be referred to a Pro Vice-Chancellor to allocate to an appropriate Investigating Officer. The

41 ‘Senior Officer’ includes: Heads of School/Professional Service, Director of Campus Facilities, Pro Vice-Chancellors, Chief Operating Officer and the Vice-Chancellor
Student Complaints Team will inform the student and relevant Senior Officer(s) and College Registrar as appropriate.

.3 The University will confirm the outcome of this initial evaluation to the student in writing and will make any referral to the appropriate Senior Officer(s) normally within \textit{7 calendar days} of receipt of the complaint.

4.3 \textbf{ROLE OF THE SENIOR OFFICER}

The Senior Officer will allocate the complaint to an Investigating Officer, normally within \textit{3 calendar days} of receipt or may decide to conduct the investigation personally.

4.4 \textbf{THE INVESTIGATION}

The Investigating Officer will confirm the scope of the investigation to the student. If the student’s expectations appear to go beyond what the University can reasonably provide or what is in its power to provide, the Investigating Officer will advise the student as soon as possible in writing in order to manage the student’s expectations about possible outcomes.

The Investigating Officer will gather and consider any relevant evidence to produce a factual and objective written investigation report, including any information considered at the Early Resolution Stage. During the investigation, the Investigating Officer may ask to meet with the student, any person implicated in the complaint and any other relevant parties. The report will outline the process followed, evidence gathered, conclusions drawn and any remedy.

The Formal Complaint Investigation Report and any recommendations will be referred to the appropriate Senior Officer for consideration/approval.

4.5 \textbf{OUTCOME}

Students can expect to receive the Formal Complaint Decision\textsuperscript{42} normally within \textit{32 calendar days} of the complaint being allocated to the Investigating Officer. The student will also receive copies of the information considered by the Investigating Officer and will be provided with a clear explanation of the reasons for each decision. Students will also be given information about:

- their right to take the complaint to the review stage;
- the grounds on which they can do so;
- the time limit for escalating to the review stage;
- the appropriate procedure;
- where and how to access support.

The Formal Complaint Decision will also be copied to the College Registrar as appropriate and the Student Complaints Team.

4.6 \textbf{STUDENT CONFIRMATION}

If \textit{satisfied} with the Formal Complaint Decision, the student is required to confirm this in writing to the Senior Officer normally within \textit{10 calendar days} of the date of the Formal Complaint Decision. This may be done by email or post.

\textsuperscript{42} Normally, short Formal Complaint Investigation Reports will form part of the Formal Complaint Decision letter, longer reports will be produced separately.
Where appropriate the Senior Officer will arrange for any agreed remedy to be implemented. The complaint will then be closed.

If the student is dissatisfied with the Formal Complaint Decision, a review can be requested (see Section 5 – Review Stage). Students should submit their request for review by completing the Review Request Form which can be downloaded here: http://www.cardiff.ac.uk/public-information/students-applicants/complaints or obtained in paper form from the Student Complaints Team, as fully and accurately as possible, normally within 10 calendar days of the date of the Formal Complaint Decision. The form may be submitted to the Student Complaints Team in hard copy or by email.

If students do not confirm that they are satisfied with the Complaint Decision within 10 calendar days of the date of the Formal Complaint Decision or submit a Review Request within 10 calendar days of the Formal Complaint Decision, the University will close the complaint file and notify the student in writing.

Guidance for Students

G20 Allocation of your complaint to an Investigating Officer

The complaint will be allocated by the Senior Officer to a member of staff who has been trained as an Investigating Officer and has had no previous involvement in the matter.

G21 The Investigating Officer’s role

The Investigating Officer will hold separate meetings with you and any other parties to the complaint.

Special attention will be given by the Investigating Officer to identifying complaints that may require particularly swift action. This may include but is not limited to:

- complaints involving a threat of serious harm;
- complaints relating to disability support;
- issues of serious and repeated services failure and/or significant delay.

The Investigating Officer may be assisted by an administrative officer.

G22 Completion of the Formal Stage

Normally the Formal Stage of the Procedure should be completed within 52 calendar days of submission of your formal complaint. This maybe affected by the actions and cooperation of you as the complainant. It is important to do all you can to meet all University deadlines for the submission of complete and detailed material.

There will occasionally be circumstances when, for good reason, the University will need to extend the timeframe. Where this is the case, the University will notify you and keep you regularly informed of progress.

5. REVIEW STAGE

Principle
A student can request the Formal Complaint Decision to be reviewed to ensure that the decision is fair and reasonable in the light of the evidence available.
5.1 WHEN CAN STUDENTS SUBMIT A REVIEW REQUEST?

If students remain dissatisfied with the Formal Complaint Decision they can request a review of the decision by a Reviewer. A complaint must have been completed under the Formal Stage before it can be escalated to the Review Stage. This stage will not normally include reconsideration of the issues raised, or a further investigation. The grounds for a Review Stage request are:

.1 the Procedures were not followed correctly at the Formal Stage;
.2 the decision and/or remedy were unreasonable;
.3 there is new material evidence which the student was unable, for valid reasons, to provide at the Formal Stage.

Guidance for Students

G23 The Reviewer

The Reviewer will not have had any previous involvement in the complaint and will be sufficiently senior to the officer who has approved the Formal Complaint Decision.

G24 In relation to points 5.1.1 and 5.1.2, the Reviewer will review the complaint on the basis of the information available to the Investigating Officer at the Formal Stage.

G25 If the review request is based on ground 5.1.3, details of the new evidence must be supplied together with an explanation as to why this was unavailable at the time of the investigation and why it is considered to be material.

G26 If the complaint has resulted in a course of action under the Staff Disciplinary Procedure you will be informed. However, there is no right of review against any subsequent decision made under that procedure.

5.2 SUBMITTING A REVIEW REQUEST

Students should submit their request for review by completing the Review Request Form which can be downloaded here: http://www.cardiff.ac.uk/public-information/students-applicants/complaints or obtained in paper form from the Student Complaints Team, as fully and accurately as possible, normally within 10 calendar days of receiving the Formal Complaint Decision. The form may be submitted Student Complaints Team in hard copy or by email.

The student should set out clearly which of the three grounds at 5.1 above apply and why and, if 5.1.3 applies provide copies of the new evidence.

Guidance for Students

G27 On receipt of the Review Request, the University will undertake an initial evaluation to check that you have completed the Formal Stage of the Procedure, that the request is submitted under the correct Procedure and under permitted grounds, within the deadline, and in the required format. This might result in:

.1 the request being rejected, for example because it is submitted late or under grounds which are ineligible;
.2 the complaint proceeding to the Review Stage.
If the student’s expectations appear to exceed the scope of the Review Stage, you will be advised of this by the University as soon as possible in writing in order to manage expectations about possible outcomes.

If the Review Request is rejected at initial evaluation, the University will also issue you with a Completion of Procedures letter explaining the reasons for the decision and close the complaint file. A copy of the Completion of Procedures letter will also be sent to the appropriate Senior Officer, the Investigating Officer and College Registrar as appropriate.

There is no further action you can take under the University’s internal procedures. However, you can, if you wish, refer your complaint to the Office of the Independent Adjudicator for Higher Education (OIA).

The University will confirm the outcome of this initial evaluation to you and issue a Completion of Procedures letter as appropriate normally within 7 calendar days of receipt of the review request.

If the complaint is escalated to the Review Stage, the Student Complaints Team will inform the appropriate Senior Officer normally within 7 calendar days of receipt of the Review Request, that a Review Request has been received and will provide them with a copy of the request, a copy of the Formal Complaint and a copy of the Complaint Investigation Report. A copy of the Review Request will also be sent to the Investigating Officer for Information and the College Registrar as appropriate.

The Senior Officer will be asked to provide a Review Request Response normally within 7 calendar days of the date the Review Request is sent to them.

The case will be referred to the Reviewer normally within 7 calendar days of receiving the Review Request Response.

5.3 OUTCOME

The Reviewer will consider the Review Request, including any information considered at earlier stages of the Procedure, on the basis of the grounds under which it has been submitted and the Review Request Response. The Reviewer may decide to either uphold or overturn the Formal Complaint Decision and will advise the Student Complaints Team normally within 10 calendar days of the date of the referral. Students can expect to receive the Reviewer’s decision normally within 38 calendar days of the Review Request being received by the University:

.1 Formal Complaint Decision and any proposed remedy upheld

If the Reviewer rejects the Review Request and upholds the Formal Complaint Decision, the University will issue the student with a Completion of Procedures letter, confirming the Reviewer’s decision and the reasons for this and close the complaint. A copy will also be sent to the Senior Officer, Investigating Officer and the College Registrar as appropriate.

There is no further action students can take under the University’s internal procedures. However, students can, if they wish, refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA).
.2 Formal Complaint Decision upheld but alternative remedy offered

If the Reviewer upholds the Formal Complaint Decision but considers that an alternative remedy is to be offered, the University will issue the student with details of the new remedy. A copy will also be sent to the Senior Officer, Investigating Officer and the College Registrar as appropriate.

Students will be asked to confirm whether or not they are satisfied with the Review Stage Decision (see 5.4 below).

.3 Formal Complaint Decision overturned

If the Reviewer overturns the Formal Complaint Decision, the University will issue the Reviewer’s Decision to the student, explaining the reasons for the decision and any revisions to the Formal Complaint Decision. The Senior Officer and Investigating Officer will be informed of the decision and also the College Registrar as appropriate. The student will be asked to confirm whether or not they are satisfied with the Reviewer’s Decision (see 5.4 below).

5.4 STUDENT CONFIRMATION

Where the Formal Complaint Decision is upheld but an alternative remedy is offered (see 5.3.2) or the Formal Complaint Decision is overturned (see 5.3.3), students are required to confirm in writing to the Student Complaints Team, normally within 14 calendar days of the date of the Review Request Decision, whether or not they are satisfied with the decision. This may be done by email or by post.

If the student is satisfied with the Review Stage Decision, the University will arrange for the agreed remedy to be implemented and the complaint will be closed.

If the student is dissatisfied with the Review Stage Decision, as there is no further action the student can take under the University’s internal procedures, the University will automatically issue a Completion of Procedures letter to the student, normally within 14 calendar days of receipt of the confirmation. A copy of the Completion of Procedures letter will be sent to the Reviewer, the Senior Officer and College Registrar as appropriate. Students can, if they wish, refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA).

If the student does not confirm their satisfaction, or otherwise, with the Review Request Decision within 14 calendar days of the date of the Review Request Decision, as there is no further action the student can take under the University’s internal procedures, the University will close the complaint file and automatically issue a Completion of Procedures letter to the student normally within 14 calendar days. A copy of the Completion of Procedures letter will be sent to the Reviewer, the Senior Officer and College Registrar as appropriate. Students to whom Completion of Procedures letters are issued can, if they wish, refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA).

Guidance for Students

G28 Completion of the Review Stage

Normally the Review Stage of the Procedure will be completed within 38 calendar days of submission of your Review Request. This timeframe may be affected by your actions and cooperation as the complainant. It is
important to do all you can to meet all University deadlines for the submission of complete and detailed material.

There will occasionally be circumstances when, for good reason, the University will need to extend the timeframe. Where this is the case, the University will notify you and keep you regularly informed of progress.

G29 Completion of Procedures letter
The Completion of Procedures letter will inform you about your right to submit a complaint to the Office of the Independent Adjudicator for Higher Education (OIA) (see Section 9 – External Adjudication), the time limit for doing so and where and how to access advice and support.

6. CONFIDENTIALITY AND ANONYMITY

**Principle**
All complaints will be managed in a confidential and sensitive way. Information gathered as part of this Procedure will only be shared with other parties on a ‘need to know’ basis.

6.1 Persons who are the subject of a complaint will be informed of the complaint so that they are given the opportunity to respond.

6.2 At the Formal Stage the completed Formal Complaint documentation will normally be copied to the person(s) who is (are) the subject of the complaint unless the student can demonstrate that there is a good reason for not doing so.

6.3 Anonymous complaints will not normally be accepted. However, in compelling cases supported by evidence, an exception may be made.

**Guidance for Students**

G30 The Student Complaint Procedure will ensure an appropriate level of confidentiality and you can be confident that no detriment will be experienced if you raise a complaint in good faith. Anonymous complaints will only be considered where there is clear and compelling evidence that justifies an exception being made and for the matter to be investigated.

G31 We will normally use your University email account to correspond with you about your complaint. If a University email account is not available, you will be asked to provide an alternative personal email account.

G32 The University expects all parties to act reasonably and fairly towards each other and with respect.

G33 Where a complaint raised is later shown to be frivolous, vexatious or motivated by malice, it will be dismissed and disciplinary action may be taken against you.

7. GROUP COMPLAINTS

**Principle**
Where the issues raised affect a number of students, a group complaint may be considered.

7.1 The University will accept a group complaint where students are complaining about the same issue at the same time and seeking the same outcome. The
University requires the group to appoint one spokesperson to represent the group as a whole and to liaise with the other students.

7.2 The University reserves the right to separate out group complaints where individual remedies would be more appropriate and to apply a resolution to a wider number of students than may have submitted the group complaint.

7.3 The Completion of Procedures letter (if issued) will be addressed to the ‘group spokesperson’. All students party to the group will be named in the Completion of Procedures letter and a copy will be sent to all students party to the group.

7.4 If a student wishes to withdraw from the group, this should be confirmed in writing, either by email or post, to the person managing the complaint.

7.5 All other aspects of the Procedure apply to Group Complaints including the support that is available to individual students making a complaint (see Section 2).

Guidance for Students

G34 For Data Protection Purposes, each student party to the group will be required to sign an individual Group Complaints Consent form which can be downloaded here: http://www.cardiff.ac.uk/public-information/students-applicants/complaints or requested in paper form from the Student Complaints Team. The consent of all parties to the group will need to be received by the person managing the complaint prior to accepting the group complaint.

8. COMPLAINT DETAILS AND SUPPORTING EVIDENCE

Principle

The proper investigation of complaints requires complaint issues to be set out in detail and supported by the submission of evidence.

8.1 Students are required to set out their complaint clearly and succinctly at all stages of the Procedure, providing evidence to substantiate the issues raised where possible, and stating the outcome they are seeking. The types of evidence that may be relevant include, but are not limited to:

1. University documentation for example, relevant Student Handbook;
2. Correspondence;
3. Independent medical evidence;
4. Witness statements;
5. Reports by Professionals;

Guidance for Students

G35 The independent evidence that could be submitted by you to support your complaint may include:

- Medical/health certificate which confirms illness for a defined period;
• Letter of support/explanation from a support service at the University (for instance, a statement from the Disability and Dyslexia Service);

• Letter of support/explanation from a third party (such as a police report, counsellor’s letter, local authority report, etc.);

• A witness statement, including information to corroborate your complaint. The statement must be signed by the witness and dated.

G36 Such supporting evidence must be submitted on documentation that is recognisably authentic (for example, on headed paper) and be signed and dated by the relevant authority. It must be unaltered and not annotated by you. Translated evidence should similarly be authentic and can normally be obtained from the facility issuing the certificate (for example, hospital, official body).

G37 The University will not normally accept covert recordings as evidence to support a complaint.

9. EXTERNAL ADJUDICATION

If, having received the formal notification of the Completion of Internal Procedures, the student is still not satisfied that the University has considered the complaint fairly and justly there is provision for an external review of the case.

The Office of the Independent Adjudicator for Higher Education (OIA) provides an independent scheme for the review of student complaints. Further information can be found on the OIA’s website: http://www.oiahe.org.uk/

10. SUBSTITUTE OFFICERS

The University reserves the right to substitute any officers within the Procedure as necessary. No officer shall be substituted by any person who is connected with or has any interest in the complaint.

Guidance for Students

G38 The University will ensure that decisions are taken by people who are not connected or associated with the issue that is subject to the complaint.

11. LEGAL ACTION

All actions under this Procedure will normally cease upon receipt of formal correspondence from a solicitor intimating a legal claim against the University on the student’s behalf, or upon instigation of legal proceedings against the University in relation to the complaint.

12. MONITORING AND RECORDING OF COMPLAINTS

The monitoring and recording of complaints will be in accordance with the specifications contained in the Policy for the Student Complaint Procedure.

13. REVIEW OF PROCEDURE/EQUALITY IMPACT ASSESSMENT

A review of this Procedure and an Equality Impact Assessment will be carried out on a regular basis. The Equality Impact Assessment is available on request.
### 14. USEFUL CONTACT INFORMATION

<table>
<thead>
<tr>
<th>Pro Vice-Chancellor, Student Experience and Academic Standards</th>
<th>Student Complaints Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cardiff University</td>
<td>Registry</td>
</tr>
<tr>
<td>Main Building</td>
<td>Cardiff University</td>
</tr>
<tr>
<td>Park Place</td>
<td>McKenzie House</td>
</tr>
<tr>
<td>Cardiff CF10 3AT</td>
<td>30-36 Newport Road</td>
</tr>
<tr>
<td>Tel: 029 208 70530</td>
<td>Cardiff CF24 0DE</td>
</tr>
<tr>
<td></td>
<td>Tel: 029 208 76628</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:studentcomplaints@cardiff.ac.uk">studentcomplaints@cardiff.ac.uk</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Student Advice</th>
<th>Student Support Centres</th>
</tr>
</thead>
<tbody>
<tr>
<td>3rd Floor, Students Union, Park Place</td>
<td>50 Park Place</td>
</tr>
<tr>
<td>CF10 3QN</td>
<td>Tel: 029 208 74844</td>
</tr>
<tr>
<td>Tel: 029 2078 1410</td>
<td>Email: <a href="mailto:studentsupportcentre@cardiff.ac.uk">studentsupportcentre@cardiff.ac.uk</a></td>
</tr>
<tr>
<td>Fax: 029 2078 1508</td>
<td>And</td>
</tr>
<tr>
<td>Email: <a href="mailto:advice@cardiff.ac.uk">advice@cardiff.ac.uk</a></td>
<td>2nd Floor, Cardigan House Heath Park</td>
</tr>
<tr>
<td></td>
<td>Tel: 029 208 74844</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:studentsupportcentre@cardiff.ac.uk">studentsupportcentre@cardiff.ac.uk</a></td>
</tr>
</tbody>
</table>

Details of complaint administrators can be found here:

[http://www.cardiff.ac.uk/public-information/students-applicants/complaints/complaint-administrator-contacts](http://www.cardiff.ac.uk/public-information/students-applicants/complaints/complaint-administrator-contacts)
1. **Scope and definition**

1.1 The Student Behaviour Procedure (the Procedure) applies to all students of the University, including registered students, students on interruption of study, suspended students, temporarily excluded students, students who are awaiting an appeal outcome and elected officers of the Students’ Union.

1.2 All students of the University must comply with the Procedure. Students who are members of the Students’ Union must also adhere to the Students’ Union rules.

1.3 The following terms are used within this Procedure:

- **Academic Registrar:** The senior staff member with oversight of academic professional services
- **Exclusion:** A temporary or permanent removal of the student from the University, issued as a penalty
- **Investigable Offence:** Behaviour by a student which requires investigation using a University Procedure
- **Investigating Officer:** Staff member responsible for the investigation of a potential offence
- **Investigation Report:** The Investigating Officer’s report of the investigation
- **Minor Offence:** An offence which appears to have had a limited impact on the Wider University Community
- **Major Offence:** An offence which appears to have had a substantial impact on or presented substantial risk to the Wider University Community
- **Notifier:** Anyone who notifies the University of a concern about a student
- **Protocol:** A process which is used in multiple University procedures
- **Suspension:** A temporary removal of a student from the University whilst an investigation is ongoing
- **University Community:** Students, staff, placement providers, patients, clients, or members of the public visiting/engaging with the University or its partners.

1.4 This Procedure covers:

i all student behaviour that takes place on University premises, or where students are representing the University, or where student behaviour may impact upon the wider University Community;
ii student behaviour including all physical, all verbal and all written actions and communication;

iii all student behaviour that takes place through electronic media or online where students are identifiable as University students. This includes material published through any social media platform, anonymously or authored.

2. University Responsibilities

2.1 The University is committed to establishing an inclusive culture free from discrimination and based on dignity, courtesy and respect. In order to uphold these values, the University will ensure that the following responsibilities are met in relation to this Procedure:

i all students will be treated equally, fairly and transparently and in accordance with the natural rules of justice;

ii all concerns that are raised will be investigated where it appears that an investigable offence has taken place;

iii a Notifier will not be disadvantaged unless it is found that the concern has been made frivolously or vexatiously, in which case, disciplinary action may be taken;

iv students under investigation will be presumed innocent until found otherwise. It is for the University to prove the offence by establishing that the offence was more likely to have happened than not (the balance of probability);

v the University will consider its duty of care for the safety and wellbeing of the student and the wider University Community. This may involve sharing information with the Police and other authorities in line with legal requirements. Information sharing protocols are available at:


vi students will be informed of their right to fully participate in any investigation and to seek independent advice, support and/or representation;

vii sensitive information about students will be handled in accordance with the University’s Confidentiality Policy.

3. Student Responsibilities

3.1 In order to enjoy the benefits of being a member of the University Community, students must fulfil the following responsibilities:

i to treat all members of the wider University Community with dignity and respect;

ii to take personal responsibility for their own behaviour as well as the safety of themselves and others within the wider University Community;

iii to engage fully with reasonable University requests, requirements and opportunities;
iv to report any police arrest, criminal charge or criminal conviction within 14 calendar days.

4. **Investigable Offences**

4.1 An investigable offence is where a student’s behaviour does not meet the requirements of the University. Where this occurs the University will take action. The University will investigate behaviour that appears to be unlawful, unjustifiable, or that may harm the wider University Community or the University’s property, activities or reputation. This includes behaviour which disrupts the functioning of the University or Students’ Union, or the activities of the wider University Community.

4.2 Investigable offences include those listed in:

- i the Student Behaviour Procedure;
- ii the Students’ Fitness to Practise Procedure;
- iii the rules relating to Libraries, Residences and University IT facilities;
- iv the Procedures of the Students’ Union;
- v the Dignity at Work and Study Policy;
- vi Health and Safety procedures;
- vii such other rules as may from time to time be introduced by the University to regulate the conduct of students.

4.3 The following list of offences is non-exhaustive and provides examples of offences that are likely to be investigated by the University.

4.4 **Offences**

- i A student shall not behave in a manner inconsistent with the proper functioning of the University and shall not engage in conduct which may involve an offence against a person; cause a nuisance (e.g. interference with another person’s reasonable enjoyment of their own property or of a public place where they are entitled to be); damage, deface, misappropriate or misuse any property including property of the University and the Students’ Union; or otherwise behave in a manner likely to bring the University into disrepute or likely to cause offence to others.

- ii A student shall not engage in conduct which disrupts or is likely to disrupt teaching, study, assessment, research, administration or social activities in the University, or which obstructs, or is likely to obstruct any student in pursuit of their studies or person employed by the University or the Students’ Union in the performance of their duty, or any visitor to the University.

- iii A student shall not engage in any form of harassment towards other students or members of the University’s staff. In this context, harassment may include a student engaging in one or more of the types of conduct specified in 1.3.2 and 1.3.3 above. Harassment consists of behaviour towards another which causes, or which might reasonably be expected to cause, sufficient distress or annoyance to
disrupt seriously the work or substantially to reduce the quality of life of that other, by such means as bullying, verbally or physically abusing, ill-treating or otherwise creating or maintaining a hostile environment for that other, including via the use of social networking sites, other websites or any other forms of electronic media and communication.

iv A student shall leave any premises of the University or the Students' Union when reasonably required so to do by any person employed by the University or the Students' Union.

v A student shall not act in such a way as prejudices the freedom of speech of any other student or any member of the University or visitor to the University, or contravene the provisions of the University's Code of Practice thereon.

vi Unless otherwise authorised, a student shall enrol with the University as instructed at the start of each academic session or, where this is different, in accordance with the enrolment date specified in the student's Programme Information.

vii A student shall comply with all requirements as to attendance at classes or assessments or submission of work and shall not engage in, or be party to any academically improper or dishonest practice. (Attention is drawn to the University Unfair Practice Procedure.)

viii A student shall not communicate confidential University information or communicate the contents of a restricted Cardiff University document to anyone outside the University community.

ix A student shall not impersonate another, or give false information to any person employed by the University or the Students' Union in the course of their duties.

x A student shall not do anything that is likely to cause injury or impair the safety of others on University premises and shall comply with all requirements as to safety, including any instructions or codes of practice on health and safety issued by the University and/or its Schools.

xi A student shall not gain or attempt to gain unauthorised access to a computer system, either of, or via those of the University, or modify or attempt to modify without authority computer programs or data in or via University equipment. A student shall not allow another person to use his/her University computing account by sharing passwords or by any other mechanism.

xii A student shall comply with a reasonable request to meet any person employed by the University or the Students' Union in the performance of his or her duty at his or her place of work within the University premises.

xiii A student who is absent from the University for more than three consecutive working days during the semester/term or absent from any assessment which he/she is required to take shall comply with the requirements specified within the Senate Student Absence Procedures and, in the case of absence from an assessment, the Senate Assessment Regulations.
xiv A student shall be required to have a valid University student identity card (ID Card) which shall be carried when on University property and shall be produced when a request is made by any person employed by the University or the Students' Union, and shall surrender the identity card to the University upon ceasing to be a student of the University.

xv A student shall not purchase, attempt to purchase or order goods or services on behalf of the University, or use University facilities for private purposes without permission.

xvi A student shall pay all fees and other money owing to the University in accordance with University Financial Regulations. If payment is not received the University may initiate proceedings under the Procedure for Payment of Tuition Fees and Other Monies.

xvii Where a student is enrolled on a Programme that leads directly to, or that satisfies a necessary condition of, a professional qualification, and/or which gives the right to practise in one or more professions, he/she shall not engage in any conduct which renders him/her unfit to be admitted to and practise that profession or calling.

xviii A student shall not make publicly available inappropriate comments or pictures which may breach the University Dignity at Work and Study Policy and which causes distress offence to an identified member of staff or student on websites by electronic media or by any other means.

xix A student shall not:
- sign or confirm attendance for another student on any register in a monitored academic class or activity or commission another person to confirm their attendance;
- allow another person to use his/her student card.

xx A student shall not give false information during the application and/or enrolment processes or give false information to any officer employed by the University or the Students' Union or to a placement provider in the course of their duties.

xxi A student shall not share or publish, via social networking sites, file share programmes or any other means, any material that is provided for the purposes of their learning without the express written consent from the academic member of staff who produced or presented that material. This does not preclude students sharing material with fellow students of the University within the normal parameters of an academic programme.

5. Criminal Offences

5.1 The University will comply with its legal obligations and the legal rights of those affected by action taken using this Procedure.

5.2 The University will co-operate in any Police enquiry and will report to the Police any matter which appears to constitute a serious criminal offence, or where otherwise the University thinks fit to do so. Where the Police
investigate a potential crime, the University may choose not to undertake its own investigation until any criminal proceedings are completed.

5.3 When investigating the impact of criminal convictions, the University will take into account any sentence that has been imposed by the court. If the court finds a student not guilty of a charge, where the offence may have a direct impact on the wider University Community (for example, sexual assault where the alleged victim is also a student of the University), the University reserves the right to investigate the allegation and make a finding of fact based on the balance of probability.

5.4 Where applicable, the University also reserves the right to take action following being informed of a student’s criminal convictions using other relevant University procedures, for example the Students’ Fitness to Practise Procedure.

6. Raising a Concern

6.1 Anyone may be a Notifier and notify the University of a concern regarding a student if they believe an offence has taken place. A concern should be raised in a timely way to the Academic Registrar or nominee and include all information and evidence to be considered as part of the concern. By reporting a concern, unless otherwise stated, the Notifier is confirming that the contents of the reported concern can be shared with the student. It will be for the Academic Registrar or nominee to consider whether the concern appears to be an investigable offence.

6.2 It is for the Academic Registrar or nominee to confirm under which Procedure a concern will be investigated. A concern may be investigated using this Procedure, or another Procedure of the University or Students’ Union. The University and Students’ Union may investigate an offence jointly where it prevents multiple investigations, as outlined in the Joint Investigation Protocol.

6.3 The University will not investigate personal disputes where the functioning of the University is not disrupted.

6.4 During the investigation there may be a need for the Notifier to meet with the Investigating Officer and attend the University Committee as a witness to give evidence. Following the completion of the Procedure, the University will communicate with the Notifier and confirm whether the concern has been found and any action that is taken which impacts upon the Notifier. In line with the Data Protection Act 1998, the Notifier will not be able to receive a full account of the circumstances and all action taken.

7. Investigating a Concern

7.1 If a concern requires investigation, the Academic Registrar or nominee will normally appoint an Investigating Officer within 14 calendar days of being notified of the concern. The Investigating Officer will conduct an investigation outside of formal University assessment periods and produce an Investigation Report, as outlined in the Investigation Protocol.

7.2 The purpose of the investigation is to investigate the facts and confirm whether an offence has taken place.
8. **Investigation Outcomes**

8.1 The Academic Registrar or nominee will consider the Investigation Report and evidence. If an offence has been found then the seriousness and the impact of an offence will be taken into account in determining whether a minor or major offence has taken place. Following consideration of the report, the Academic Registrar will then take one of the following actions:

i. dismiss the concern and take no further action;

ii. confirm the concern is a minor offence and impose a suitable penalty; or

iii. confirm the concern appears to be a major offence and should be considered by a University Committee.

8.2 Where a minor offence has been found, one or more of the following penalties may be imposed:

i. no further action;

ii. an informal warning;

iii. a formal warning for a specified time which will be considered in the event of any future offences;

iv. a written apology to a specified person or group;

v. a written reflection on the offence and the impact on the wider University Community;

vi. required attendance at an educative workshop, the cost to be funded by the student;

vii. payment for any identified damage caused to University or Students’ Union premises or the wider University Community’s belongings;

viii. a behaviour agreement, which if broken will require consideration of both the initial concern and the broken agreement at a University Committee.

8.3 Where a major offence has been found, the concern will be considered by a University Committee.

8.4 The investigation outcome will be communicated to the student in writing within 7 calendar days of the decision.

8.5 A student will have the right to appeal any penalty that has been imposed under Section 8.2. The appeals process is outlined in Section 12.

9. **University Committee**

9.1 Where the Academic Registrar or nominee has confirmed that the concern should be considered by a University Committee, the University Committee will normally be organised within 28 calendar days of this decision.

9.2 The University Committee will consist of the following trained members who will have no previous knowledge of the case:
i a Pro Vice-Chancellor or Head of School, who will Chair the Committee;

ii a member of University staff; and

iii a full-time elected officer from the Students’ Union.

9.3 The Academic Registrar or nominee will be the Secretary to the Committee and will be responsible for the arrangements. The Secretary will inform the student of:

i the allegation being considered and the alleged offence;

ii all of the evidence that will be considered by the Committee; and

iii the date, time and venue of the Committee and the right to be accompanied or represented.

9.4 The University Committee will take place in line with the Student Committee Protocol.

9.5 Following the Committee’s consideration of the concern, the Committee will either dismiss the concern or, if it is found that the concern is an offence, may impose any of the following penalties:

i any penalty outlined in Section 8.2;

ii restrict access to University or Students’ Union premises or facilities;

iii temporary exclusion from the University;

iv permanent exclusion from the University.

9.6 The University Committee outcome will be communicated in writing to the student within 7 calendar days of the decision.

9.7 A student will have the right to appeal any penalty that has been imposed under Section 9.5. The appeals process is outlined in Section 12.

10. Suspension

10.1 The purpose of suspension is to protect the wider University Community, including the student themselves, whilst an investigation or consideration of the investigation is ongoing. Suspension is not automatic nor imposed as a penalty, but is to enable a concern to be investigated and reach a conclusion. Suspension will be used only where it is considered necessary to take this action based on all of the information available at the time of consideration.

10.2 The Vice-Chancellor or nominee has the power to suspend a student at any operational point in this Procedure with immediate effect for a period of up to 12 calendar months. The Vice-Chancellor or nominee will consider the risk that the student poses to the wider University Community. The student will be informed of the suspension in writing within 7 calendar days. The correspondence will include the reasons for suspension and the student’s right to appeal the suspension, outlined in Section 12.
10.3 During a suspension, a student will not attend academic teaching. Eligibility and extent of access to University facilities and assessments will be decided at the time of suspension, taking into account the nature of the alleged offence, but may change following a review of the suspension.

10.4 A suspension will be reviewed at least every 60 calendar days or when new substantive information becomes available, or at the student’s request where there is a change of circumstances. The student will be informed of the outcome of any review within 7 calendar days.

11. Exclusion

11.1 Exclusion is for the purpose of protecting the wider University Community and is never automatic. It will be used only where it is considered necessary to take this action based on all of the information available at the time of consideration.

11.2 The Vice-Chancellor or nominee has the power to exclude immediately and permanently a student where it is necessary to take this action based on all of the information available at the time of consideration. The Vice-Chancellor may also use this power where the University has grounds to believe that a registered student obtained a place on the basis of false, incorrect or misleading information.

11.3 In consideration of the case the Vice-Chancellor or nominee will receive:

   i a report from the Investigating Officer (appointed by Academic Registrar) and supporting evidence;

   ii a written statement or evidence from the student (if received);

   iii other appropriate evidence.

11.4 The student will be informed of the exclusion in writing within 7 calendar days. The communication will include the reasons for exclusion and the student’s right to appeal the exclusion within 7 calendar days, as outlined in Section 12.

11.5 An excluded student will no longer be a registered student of the University.

12. Appeals

12.1 A student can only appeal on one or both of the following grounds:

   i irregularities in the application of the Procedure;

   ii exceptional circumstances and/or new evidence, relevant to the offence where there is good reason for not previously making this known.

12.2 Any appeal must be submitted in writing with all evidence attached. The appeal must be received by the Academic Registrar or nominee within 7 calendar days of written confirmation of the decision or, if it is later than 7 calendar days, include exceptional reasons for lateness.

12.3 Any suspension or exclusion will remain in place whilst the appeal is ongoing. Any other penalty that has been imposed will not be implemented where a student submits an appeal until the consideration of the appeal is completed.
12.4 A Deputy Vice-Chancellor, Pro Vice-Chancellor or nominee who has had no previous involvement in consideration of the case is required to consider an appeal and disallow any appeal which is based wholly on factors which were known when the penalty was imposed. If the appeal is not disallowed then it will be referred to the Appeal Committee for consideration.

12.5 The Appeal Committee will consist of the following trained members:

i. the Deputy Vice-Chancellor or a Pro Vice-Chancellor or nominee who shall be Chair;

ii. a member of University staff; and

iii. a full-time elected officer from the Students’ Union.

The member of University Staff and full-time elected officer from the Students’ Union shall have had no previous involvement in the consideration of the case.

12.6 The Academic Registrar or nominee will be the Secretary to the Appeal Committee and will be responsible for the arrangements. The Secretary will inform the student of:

i. all of the evidence that will be considered by the Committee; and

ii. the date, time and venue of the Committee and the right to be accompanied or represented.

12.7 The Appeal Committee will take place in line with the Student Committee Protocol.

12.8 Following the Committee’s consideration of the appeal, the Committee will either uphold the original decision, or impose a new decision. The Appeal Committee’s decision will be final.

13. Alternative Officers

The University reserves the right to designate an alternate to any of the Officers named within this Procedure.
As a student you are required to pay all fees and any other educational monies owing to the University. The procedures and timescales for payment will be confirmed to students before enrolment. If payment is not received in accordance with the required deadlines, the University reserves the right to cancel your registration as a student forthwith. As such you would no longer have access to the University, its teaching or facilities.

Information on how to pay your fees can be found at [https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/paying-your-fees](https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/paying-your-fees)

Current Undergraduates can find information on Student Finance for Tuition Fees – Home/EU at the following link [https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/undergraduate-fees](https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/undergraduate-fees)

Current Postgraduates can find information on Student Finance for Tuition Fees – Home/EU at the following link [https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/postgraduate-fees](https://intranet.cardiff.ac.uk/students/support-and-services/money/tuition-fees/postgraduate-fees)
1. **Introduction**

1.1 The Education (No 2) Act 1986 requires the University and all concerned in its government to take such steps as are reasonably practicable to ensure that freedom of speech within the law is secured for its members, students and employees and for visiting speakers. The Act also imposes the duty to issue a Code of Practice to set out the procedures and conduct required of those organising or attending meetings or other activities. The University will not, therefore, as far as is reasonably practicable, deny access to its premises to individuals or bodies on the basis of their beliefs, views or policies.

2. **Definitions**

2.1 Freedom of Speech:

The duty on universities under the Education Act 1986 is to ensure, so far as is reasonably practicable, that the use of any premises of the establishment is not denied to any individual or body of persons on any ground connected with:

2.1.1 The beliefs or views of that individual or of any member of that body; or
2.1.2 The policy or objectives of that body.

2.2 Freedom of Expression - Article 10 of the Human Rights Act states that:

S1 “Everyone has the right to freedom of expression. This right includes the freedom to hold opinions and to receive and impart information and ideas without interference by public authority and regardless of frontiers.

S2 The exercise of these freedoms, since it carries with it duties and responsibilities, may be subject to such formalities, conditions, restrictions or penalties as are prescribed by law and are necessary in a democratic society, in the interests of national security, territorial integrity or public safety, for the prevention of disorder or crime, for the protection of health or morals, for the protection of the reputation or rights of others, for preventing the disclosure of information received in confidence, or for maintaining the authority and impartiality of the judiciary.”

43 The following are defined as Members of Cardiff University:

(1) the Chancellor, the Pro-Chancellors, the President and Vice-Chancellor, the Chair of Council and other Officers;
(2) the members of the Court, Council and Senate;
(3) the employees of Cardiff University;
(4) the Students and alumni of Cardiff University and its predecessor institutions;
(5) other persons as defined by resolution of the Council.
2.3 Academic Freedom Section 202 of the Education Reform Act 1998 provides a requirement for pre-1992 institutions to:

“Ensure that academic staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges they may have at their institutions.”

2.4 The University’s statutes in Statute XV further address academic freedom as a guiding principle:

“This Statute and any Ordinance or Regulation made under this Statute shall be construed in every case to give effect to the following guiding principles, that is to say-

(1) to ensure that academic staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges;

(2) to enable Cardiff University to provide education, promote learning and engage in research efficiently and economically; and

(3) to apply the principles of justice and fairness.”

3. Principles

3.1 The principles of freedom of speech, freedom of expression and academic freedom are important to universities because they define their role as being one where debate is positively encouraged, and where a range of ideas can be considered, examined and dissected both in academic programmes and in the wider life of the institution. Universities are considered places where differing and difficult views can be brought forward, listened to and challenged.

3.2 Freedom of speech under section 43 of the Education (2) Act 1986 is of fundamental importance for universities as it imposes a positive and proactive legal duty. The obligation is not merely to refrain from limiting or infringing freedom of speech, but rather to do all that is reasonably practicable to ensure that freedom of speech is secured. The duty is directed at freedom of speech for all participants in university life – members, students, staff and visiting speakers. Academic staff are also afforded the additional right to academic freedom as set out in paragraphs 2.3 and 2.4 above.
3.3 This does not mean however that the right to freedom of speech and expression is unrestricted. As set out in the Human Rights Act in paragraph 2.2 above, the principles of freedom of speech and expression must be exercised with regard to the other relevant legal requirements that the University must comply with. This includes laws that protect national security and public safety, for the prevention of disorder or crime and for the protection of the legal rights of others (e.g. in relation to harassment and discrimination).

4. **Lawful restrictions on freedom of speech**

4.1 The University will not unreasonably refuse to allow events to be held on its premises unless a conflicting legal provision is identified as a reason to refuse/restrict events. A summary of current relevant legislation is included in Appendix 2. The list is not exhaustive and will be updated as necessary.

4.2 The expression of controversial views which do not breach the law will not constitute reasonable grounds for withholding permission for an event.

4.3 Reasonable grounds for refusal include, but are not limited to, the fact that the event is likely to:

- Incite those attending to commit a criminal act;
- Lead to the unlawful expression of views;
- Support for an organisation whose aims and objectives are illegal or are on a UK government proscribed organisations list (as indicated by the University’s Prevent Working Group or Security);
- Give rise to a breach of the peace;
- Promote radicalisation and extremism.

5. **Procedures for organising events/speakers (see also procedures flow charts Appendix 1a and Appendix 1b)**

5.1 An Event and Speaker Booking Form:\n[https://cardiff.onlinesurveys.ac.uk/event-and-speaker-booking-form-copy](https://cardiff.onlinesurveys.ac.uk/event-and-speaker-booking-form-copy) must be completed for all events taking place on premises managed by Cardiff University or Cardiff University’s Students’ Union before the room booking request is submitted through the appropriate agency. The form must be completed at least twenty-one days prior to the event taking place and enables a risk assessment of the event to be undertaken.

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44 Visiting academics delivering lectures/seminars as part of a planned module do not constitute an event under this policy
5.2 An Off-site Event Risk Assessment Form
https://cardiff.onlinesurveys.ac.uk/event-and-speaker-booking-form-copy
must be completed for all events taking place in a venue not on University premises when the event is organised by a student or a member of staff and where one or both of the following criteria are met:

1. The target audience for the event is predominantly Cardiff University staff/students;
2. Advertising for the event carries Cardiff University branding.

The form must be completed by the lead person organising the event at least twenty-one days prior to the event taking place and enables a risk assessment of the event to be undertaken.

5.3 Any concerns are identified in relation to the event or any speakers these will be raised/discussed with the relevant departments/advisory groups in the first instance. This may include (as appropriate):

- The Prevent Strategy Working Group
- Security, Health and Safety
- Strategic Planning and Governance
- Communications

5.4 If a risk is identified in the Event and Speaker Booking Form, either by the person completing the form, by the relevant department/advisory group, or by the person taking the booking, the proposed event will be flagged as a ‘specified event/meeting’.

5.5 A ‘specified event/meeting’ is defined as:

5.5.1 any meeting or activity where any factor such as the reputation of a speaker or the subject matter makes it likely that a speaker when entering or leaving the venue may be so impeded as to imperil safety, or where a speaker may be prevented from participating in the meeting or activity; and/or

5.5.2 any meeting or activity where any factor such as the reputation of a speaker or the subject matter makes it likely that one of the legal restrictions on freedom of speech (as identified above) will apply.

5.6 This definition applies to any meeting or activity held on the University premises and to any meeting or activity not held on the University premises that meet the criteria set out in 5.2 above.

5.7 In the detailed procedures that follow references to “the Director” refer to the Director of Strategic Planning and Governance.
6. **Notification of specified events/meetings to the Director of Strategic Planning and Governance**

6.1 If members of the University or the Students’ Union have identified that a proposed event or meeting poses a risk under this Code, they must notify the Director that it is a potential ‘specified event/meeting’. Concerns about an event or meeting may also be raised directly by the Prevent Strategy Group.

6.2 The Director has absolute discretion to decide whether any meeting or activity is a ‘specified event/meeting’.

6.3 Where there is any doubt about the classification of a meeting or activity, the person wishing to hold the meeting or activity must consult the Director who may seek advice from the Prevent Working Group and other relevant Pro Vice-Chancellors, officers or departments.

6.4 If a student, or person acting on behalf of a student organisation, makes an application to hold a ‘specified event/meeting’ to the Director s/he must, at the same time, provide a copy of the application to the Chief Executive Officer and/or President of the Students’ Union.

6.5 If a member of staff wishes to invite a speaker from outside Cardiff University to lecture, or to conduct a seminar or other presentation within the general educational programme and the speaker or subject choice would meet the definition of a ‘specified event/meeting’, s/he must first consult his or her/his Head of School. The Head of School will inform and consult with the Director.

6.7 No ‘specified event/meeting’ can be advertised or held until permission has been granted by the Director.

7 **Timing of notification**

7.1 All event booking forms and speaker risk assessments will need to be submitted at least 21 days prior to the event taking place.

7.2 If any issues relating to this Code of Practice are raised or if it is identified that the event/meeting is a ‘specified event/meeting’ the Director must also be notified in writing at least 14 days before the proposed date of that event/meeting.

7.3 If an event has been advertised, students or staff may still make representations to the Director if they feel it could breach the University’s Code of Practice on Freedom of Speech.
Action to be taken by the Director of Strategic Planning and Governance

When the Director receives notice of a proposed specified event/meeting, s/he will consider all relevant information relating to the specified meeting and will take one of the following actions:

8.1.1 Indicate that s/he does not wish to take any action under 8.1.2 or 8.1.3 below; or

8.1.2 Identify specific conditions that are necessary to be implemented in order to hold the specified event/meeting in order to ensure legal compliance with the University’s statutory responsibilities; or

8.1.3 Indicate that the specified meeting/event cannot go ahead as she/he does not consider it possible, within the resources available to the University, for the meeting to take place within the law or the safety of attendees cannot be assured.

Conditions that may be required by the Director of Strategic Planning and Governance

If the Director decides the event complies with the University’s Code of Practice it can proceed to be held. The Director may, however, require the organisers to put in place safeguards, such as extra security or an appropriate and well-informed chair with the power to intervene or close the event down if there is a breach of the Code.

The Director will have absolute discretion to impose such conditions as s/he may consider appropriate, and will indicate any charges to cover any additional costs involved.

The Director may seek advice from the Prevent Working Group and other relevant Pro-Vice-Chancellors, officers or departments on relevant conditions to impose.

The costs of any additional portering, stewarding, cleaning or damage arising from the specified meeting will be the responsibility of the event organiser. The Director, in appropriate cases, may consult the President of the Students' Union about arrangements and in particular about conditions and charges.

Entry to specified meetings may be restricted either at the request of the event organiser or at the instruction of the Director. When control of entry is required, it may be by ticket, by invitation, by membership, by University
identity card or other identity card, or by any means agreed between the Director and the applicant.

9.6 The Director may decide that one or more nominated members of Cardiff University must be present at a specified meeting. In appropriate cases this may be done in consultation with the President of the Students' Union.

9.7 The Director may specify that a Chair must be appointed to attend and manage the event/meeting. The appointed Chair will ensure, as far as is reasonably practicable, that conduct at the specified meeting is within the bounds of commonly acceptable behaviour and complies with this Code and other applicable Cardiff University Codes of Practice, including the University’s Prevent Policy.

9.8 When a Chair is appointed for an event/meeting, it will be the responsibility of the Chair during the event/meeting to decide whether the event/meeting can continue or must be terminated. The Chair will also take the advice of any persons nominated by the Director under paragraph 9.6 (above) if present.

9.9 At specified meetings, the nominated Chair and the applicant will be responsible, as far as is reasonably practicable, for ensuring that speakers comply with the law.

9.10 In the light of changed circumstances, or factors not known at the time of application, the Director may amend the conditions imposed, or cancel an event/meeting at any time during the process.

10 Sanctions and penalties

10.1 Any person wishing to hold a ‘specified event/meeting’ must inform the Director of Strategic Planning and Governance. Failure to do so breaches this Code and the University may initiate disciplinary measures, whether or not any disruption or action to prejudice freedom of speech occurs at the meeting or activity.

11. Conduct

11.1 It is the duty of every member or employee of Cardiff University to refrain from any conduct or course of action which prejudices the lawful exercise of freedom of speech.

11.2 It will be a disciplinary offence for any member or employee of Cardiff University to act at a specified meeting in a disruptive or intimidatory manner for the purpose of preventing a speaker from being heard, or preventing the
discussion or transaction of any other business for which the meeting has
been held. It will be a disciplinary offence for any member or employee of
Cardiff University to aid or encourage other persons in such actions.

11.3 Additionally, if any such actions by members, employees or other persons
involve alleged offences which could be breaches of the law, Cardiff University
will assist the police in any subsequent criminal proceedings.

11.4 Members or employees of Cardiff University attending a specified meeting will
be expected to comply with the rulings and requests of the Chair of the
specified meeting or any person so authorised by the Chair. Such requests
may include requests to withdraw from the meeting.

12. Protests and demonstrations

12.1 Without prejudice to the right of peaceful demonstration, members or
employees of Cardiff University will not obstruct access to or egress from a
specified meeting, and will not aid or encourage other persons to cause such
obstruction.

13. Students' Union Premises

13.1 In accordance with Section 43(8) of the Education (No 2) Act 1986, any
reference to the premises of Cardiff University will be taken to include a
reference to the Students' Union premises.

14. Risk Register of Speakers Register of Referrals under the Freedom of
Speech Code/Prevent Policy

14.1 A log of all event/meeting requests and bookings will be kept by the
department receiving the booking request/making the booking (Room booking
Department, Students' Union, Conferences Office, School Office).

14.2 A risk register of all external speakers who are considered under the
procedure for ‘specified events/meetings’ will be forwarded to the Director of
Strategic Planning and Governance noting the details of the booking and
where potential risk was identified the referral steps taken and the outcome of
the decision. A copy of the Risk Register Template is included in Appendix 3.

15. Other relevant policies

Cardiff University Prevent Policy
Dignity at Work and Study policy
Equality & Diversity Policy
Appendix 1a - Procedure Flowchart for Specified events

Prevent and Specified Event Decision Making Flow Chart

1. Student/Staff/Society
   Complete “Event and Speaker Form” (21 Days before Proposed Event)

2. Submit form to
   Room Booking
   Students Union
   Conferences Office
   Individual School Office

3. Administrator
   Has no concerns
   Has concerns
   Immediately identified as a ‘Specified Event’

4. Further Information Required – Part 2 of Form
   Completed By Applicant

5. Still concerns - pass to one of following as appropriate to the concerns:
   1. CU Prevent Group (radicalisation and extremism)
   2. Security, Health and Safety (all concerns relating to safety and security)
   3. Strategic Planning and Governance (concerns regarding legal compliance including Equality and Diversity)

6. BIS Assessment
   Green (No Concerns)
   Amber
   Red

7. Director of Strategic Planning and Governance

8. Event Go Ahead
   Event Go Ahead
   Event Go Ahead With Conditions
   No Consent Given

9. Notification in Writing Including email
A request to speak at the University is received from an external person/organisation:

1. Relevance
2. Speaker and topic
3. Resources and specific arrangements

Refer to further information\(^1\) below and consider in relation to the Code of Practice on the Freedom of Speech.

At all University Level:
Refer to the Director of Communications and Marketing to consider:

- Decision to approve the request – no issues identified under 1-3 above.
- Decision to approve the event subject to discussion of issues identified under 3 (but not 2) above.
- Decision to approve the event subject to discussion of issues identified under point 2, or points 2 and 3 above.

At College/ School/ Directorate level:
Refer to the College PVC/ Head of School / Director to consider:

- Decision not to approve the request on the grounds of relevance or resources (point 1 or 3 above).

Discussion of resource and arrangements with speaker to identify and agree the responsibility of speaker, and responsibility of University and agreeing subject to specific arrangements being implemented or resourced by the speaker.

- Request referred to the Director of Strategic Planning and Governance as a ‘specified event’ to be considered under the Code of Practice on Freedom of Speech.

Lead Officer identified for the event and event booking form completed – event goes ahead.

Event is not approved. The decision is fed back to the requestor and reasons noted for turning down the request.
The request should be considered under the following non exhaustive list of headings and also in conjunction with the Code of Practice on Freedom of Speech

1. Consideration of Relevance
   - Does it fit with current events programme
   - Is there a clash with another speaker/event
   - Has the topic already been discussed recently
   - Is the focus relevant e.g. HE/Wales

2. Consideration of speaker and subject
   - Does it raise issues of concern under the Code of Practice on Freedom of Speech in relation to e.g. Prevent, equality and diversity, inciting hatred, defamation etc.
   - Identified as a ‘specified meeting’² (see Code of Practice on Freedom of Speech for definition)

3. Consideration of Resources and Specific Arrangements Required
   - Organisation of the event (e.g. Appointment of Chair, Invitation of additional speakers (to present balanced views), Opportunities for questions / questions must be submitted beforehand
   - Security (e.g. Arriving at and leaving the venue, meeting & greeting arrangements, staffing entrances, ticketing, designated protest areas, police presence, bag searches (on entrance), liaison with local authority, personal safety arrangements required by the speakers themselves)
   - Space (e.g. availability of venues, access requirements of speakers & attendees)
   - Refreshments
Appendix 2: Summary of relevant legislation (this list is provided as guidance only and is not intended as an exhaustive list as other relevant legislation may apply)

Section A – Legislation that puts obligations on universities to promote, protect and respect freedom of speech and freedom of expression and academic freedom

Section B – legislation that may restrict right to exercise freedom of speech & freedom of expression

Section A: Freedom of speech and academic freedom

The Education (No. 2) Act 1986

Section 43 of the Education Act (No. 2) 1986 establishes the following legal duty: ‘That persons concerned in the government of any establishment... shall take such steps as are reasonably practicable to ensure that freedom of speech within the law is secured for members, students and employees of the establishment and for visiting speakers.

Section 43 imposes a positive and proactive legal duty. The obligation is not merely to refrain from limiting or infringing freedom of speech, but rather to do all that is reasonably practicable to ensure that freedom of speech is secured. The duty is directed at freedom of speech for all participants in university life – members, students, staff and visiting speakers.

Without detracting from, or limiting in any way, that broad duty, section 43 also imposes a number of specific further obligations:

- A duty on governing bodies to issue, and keep updated, a code of practice regarding the organisation of meetings and other activities on the university’s premises;
- A duty on every individual and body of persons concerned in the government of the institution to take such steps as are reasonably practicable (including, where appropriate, the initiation of disciplinary measures) to secure that the requirements of the code of practice are observed;
- A duty to ensure that the use of any university premises is not denied to any individual or body of persons solely on the grounds of their beliefs, views, policies or objectives.

The section 43 duty is directed at the governing body and senior management. While it does not directly apply to staff or to students or students’ unions, the duty is indirectly applied to them through the required code of practice and rules and practices adopted to support and implement the section 43 duties.
The Education Reform Act 1988 – academic freedom

‘Academic freedom’ is a term used in relation to section 202 of the Education Reform Act 1988, which for pre-1992 universities required university commissioners to have regard, inter alia, to the need to:

‘Ensure that academic staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges they may have at their institutions.’

It prevents academic staff being disciplined, dismissed or suffering other detriment on the grounds that they have exercised academic freedom.

Protection conferred by section 202 of the Education Reform Act 1988 is limited to academic staff only, rather than staff generally. Students and visiting speakers are not covered and cannot invoke a right of ‘academic freedom’. The right to academic freedom is qualified by the phrase ‘within the law’; as with the duties to ensure free speech under section 43 of the Education (No. 2) Act 1986, the boundaries on academic freedom are set by the criminal and civil law, with the effect that acts which are unlawful are not protected.

The Human Rights Act 1998

The Human Rights Act incorporates the European Convention on Human Rights into UK law.

A number of Convention rights are relevant to freedom of speech and expression:

- Freedom of thought, conscience and religion (Article 9) – including the freedom, either alone or in community with others, and in public or private, to manifest one’s religion or belief, through worship, teaching, practice and observance
- Freedom of expression (Article 10) – including the freedom to hold opinions and to receive and impart information and ideas without interference by public authority
- Freedom of assembly and association (Article 11)

These Convention rights under Articles 9 to 11 are not absolute, but qualified. The Convention states that, ‘the exercise of these freedoms, since they carry with them duties and responsibilities, may be subject to such formalities, conditions, restrictions or penalties as are prescribed by law and are necessary in a democratic society’ for the following purposes:

- In the interests of national security, territorial integrity or public safety
- For the prevention of disorder or crime
- For the protection of health or morals
• For the protection of the reputation or rights of others
• For the prevention of the disclosure of information received in confidence

Human Rights legislation, provides both protection of freedom of expression, and protection from discrimination as follows:

• Freedom of expression is a fundamental right protected under the Human Rights Act 1998 by Article 10 of the European Convention on Human Rights. It is also a fundamental right under common law
• Protection under Article 10 extends to the expression of views that may shock, disturb or offend the deeply-held beliefs of others
• Any restrictions on freedom of expression must always be clearly set out in law, necessary in a democratic society for a legitimate aim, and proportionate
• Freedom of expression may be limited in certain circumstances, including in order to protect others from violence, hatred and discrimination
• Freedom of expression may also be limited in order to protect the rights of others (e.g. under the Equality Act)

When looking at what constitutes a lawful restriction of freedom of expression it can be difficult to balance the legal rights afforded under the Human Rights Act and equality legislation and therefore looking at context and other relevant legislative provision is important.

Section B: Legal constraints

Equality Act 2010:
The Equality Act 2010 covers the following protected characteristics: age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief and sexual orientation.

The University has a duty to ensure that its staff and students are able to work, study and live in an environment free from unlawful intimidation, harassment or abuse, Hate crime and incitement to commit illegal acts.

Under the Equality Act, the public sector equality duty requires universities, in the exercise of their functions, to have due regard to the need to:

• Eliminate discrimination, harassment and victimisation and any other conduct that is prohibited under the Act
• Advance equality of opportunity between people who share a relevant protected characteristic and people who do not share it;
• Foster good relations between people who share a relevant protected characteristic and those who do not share it.
Universities will be vicariously liable for harassment committed by their employees or agents– including the harassment of staff and of students.

Unlawful harassment occurs where there is unwanted conduct (speech or action) which relates to a protected characteristic which has the purpose or effect of violating another’s dignity or of creating a hostile, intimidating, offensive or humiliating environment.

**Criminal law restrictions**

**Public Order Act 1986** – violent, threatening or abusive conduct and speech
The Public Order Act 1986 contains a range of criminal offences which can be committed by speech and conduct and therefore limit the exercise of the rights to freedom of speech and expression and academic freedom. These offences are characterised by violent conduct or by speech or actions which threaten violence or cause fear, alarm or distress.

**Protection from Harassment Act 1997**
This legislation creates both criminal offences and gives rise to civil rights and remedies. This legislation provides protection against a course of conduct which amounts to harassment and which the offender knows to amount to harassment, or which a reasonable person in possession of the same information would think amounted to harassment of the other. A course of conduct must consist of at least two separate acts, there is no definition of harassment. However, case law indicates that the conduct in question must be ‘oppressive and unacceptable’ and in the context of civil claims be serious enough to be at a level that would sustain criminal liability. The provision applicable in England and Wales also creates a separate offence of ‘putting people in fear of violence’.

**Racial and religious hatred**
The Public Order Act 1986 also contains specific offences relating to the stirring up of racial and religious hatred. The religious hatred offences differ significantly more than those relating to racial hatred, and are much more narrowly focused.

**Racial hatred**
The following acts are criminal offences if they are committed with the intention of stirring up racial hatred or if, in all the circumstances, they are likely to stir up racial hatred:

- The use of threatening, abusive or insulting words or behaviour
- The display of any written material which is threatening, abusive or insulting
- The publication or distribution of written material which is threatening, abusive or insulting
The public performance of a play which involves the use of threatening, abusive or insulting words or behaviour

The distribution, showing or playing of a recording of visual images or sounds which are threatening, abusive or insulting

The possession of written material or a recording of visual images or sounds which is/are threatening, abusive or insulting, with a view to their display, distribution, publication or playing

**Religious hatred**

Religious hatred offences (introduced into the Public Order Act 1986 by the Racial and Religious Hatred Act 2006) occur where the following actions are committed with the intention to stir up religious hatred:

- The use of threatening words or behaviour
- The display of threatening written material
- The publication or distribution of written material which is threatening
- The public performance of a play involving threatening words or behaviour
- The distribution, showing or playing of a recording of visual images or sounds which are threatening
- The broadcasting of a programme which includes threatening visual images or sounds
- The possession of written material or the recording of visual images or sounds which are threatening, with a view to their display, distribution, publication, playing or broadcasting

**Terrorism offences**

In the context of this report, the principal offences under the Terrorism Acts 2000 and 2006 are as follows:

- Inciting or encouraging others to commit acts of terrorism, including through the glorification of terrorism
- Belonging to or professing to belong to a proscribed organisation or to support a proscribed organisation
- Disseminating terrorist publications, including those publications that encourage terrorism, and those that provide assistance to terrorists
- Possessing a document or record containing information of a kind likely to be useful to a person committing or preparing an act of terrorism
- Offences associated with terrorist property (including, but not limited to, money)
- Giving or receiving training in terrorist techniques and attendance at a place of terrorist training
A number of these offences directly restrict freedoms of speech and expression, and academic freedom, by making the relevant speech or conduct unlawful.

The University’s Prevent Policy should be referred to for further information on terrorism offences and University responsibilities.

**Civil law constraints**

The rights to freedom of speech and expression and academic freedom within the law are also subject to a number of civil law constraints (e.g. defamation).
### Appendix 3 - External Speaker Requests – Register of Referrals under the Freedom of Speech Code/Prevent Policy

<table>
<thead>
<tr>
<th>Ref</th>
<th>Date of proposed event</th>
<th>Name of event</th>
<th>Name(s) of speaker(s)</th>
<th>Area of concern: a)</th>
<th>Organiser of event</th>
<th>Risk assessment(s) - outcome</th>
<th>Outcome of event review</th>
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**Guidance notes**

Please indicate potential area of concern, using the following reference letters:

a) promotion of terrorism radicalisation and extremism (Support for an organisation whose aims and objectives are illegal or are on a UK government proscribed organisations list);
b) unlawful expression of views (harassment/ discrimination on grounds of: race, religion, disability, sexual orientation, sex, age, gender reassignment);
c) Inciting those attending to commit a criminal act (incitement of hatred on grounds of colour, race, nationality (including citizenship), ethnic or national origin, religion, or sexual orientation);
d) general public order (e.g. breach of peace)
e) other legal restriction

**Outcomes** can include proceeded no mitigation necessary; proceeded with mitigation; or cancelled.
1 THE SCOPE AND PURPOSE OF THE POLICY

This policy applies to the processing of Personal Data by members of Cardiff University or on behalf of Cardiff University.

The purpose of the Data Protection Policy is to clarify the requirements of the Data Protection Act 1998 in the context of Cardiff University, to clarify the associated internal allocation of responsibilities and duties and to set out the structure within which they will be discharged.

2 RELATIONSHIP WITH EXISTING POLICIES

This policy should be read in conjunction with the:

- University Information Charging Policy

and is consistent with other University policies, specifically:

- Public Access to Information Policy
- Confidentiality Policy
- Records Management Policy
- Photographic Identification Code of Practice

3 POLICY STATEMENT

Cardiff University shall at all times act in a manner consistent with the obligations of a Data Controller under the provisions of the Data Protection Act 1998, ensuring that any compulsory registrations with, or notifications to, regulatory bodies are up to date and that individuals’ rights under the Act are respected.

All members of the University who handle or have access to Personal Data under the control of, or on behalf of, the University shall comply with the relevant provisions of the Data Protection Act 1998 in relation to processing of personal data.

4 THE DATA PROTECTION ACT

4.1 KEY DEFINITIONS

**Personal Data**

Any recorded information about a living individual who can be identified from that data or from that data and other available data. This includes, *inter alia*, information held in paper records, electronic records, digital files, video and audio recordings, photographic images.
**Processing of Personal Data**

Processing is the undertaking of any operation involving Personal Data (including to collect, access, handle, copy, anonymise, analyse, disclose or delete) as well as simply retaining personal data.

### 4.2 RIGHTS

Cardiff University shall respect individuals' rights listed in the Act including the right not to receive direct marketing (s11) and the right to object to processing (s10). Cardiff University shall respond to individuals' requests for copies of their own personal data made in accordance with section 7 of the Act – subject access provisions.

### 4.3 OBLIGATIONS

Cardiff University shall only process personal data as a Data Controller in accordance with the terms of its Notification to the Information Commissioner. The details of the registration are available here:


Cardiff University and all its members shall process personal data in accordance with the lawful grounds specified in Schedules 2 and 3 as relevant, and the eight Data Protection Principles.

The Data Protection Principles state that personal data shall be:

1. fairly and lawfully processed;
2. processed for specified purposes;
3. adequate, relevant and not excessive;
4. accurate and up to date;
5. not kept longer than necessary;
6. processed in accordance with the data subjects' rights;
7. appropriately secured and protected from unauthorised access, loss or disclosure;
8. not transferred to countries outside the European Economic Area without further assessment of security and adequate protection.

### 4.4 UNAUTHORISED PROCESSING OF PERSONAL DATA

1. Members of the University may only 'process' personal data that is under the control of, or on behalf of, the University when there are lawful grounds to do so and where that member is so authorised by the University to process that personal data.

2. Unauthorised processing of personal data by members of the University includes accessing personal data records for private interest and/or gain, even where access to the record system itself has been granted to the same member for business purposes.
.3 Unauthorised processing of personal data also includes disclosure of personal data (including verbal disclosures) to a third party where it is known that the third party is not entitled to receive that data.

.4 Where members are unsure as to any of the provisions of the Act or this policy they shall seek advice from their line manager and/or the University’s Data Protection Officer.

.5 Unauthorised processing of personal data is a potential disciplinary matter which may be considered under the relevant disciplinary code and serious breaches of the Act may constitute ‘good cause’ for dismissal and/or constitute a criminal offence.

5 RESPONSIBILITIES AND COMPLIANCE

5.1 The University as a corporate body is the Data Controller. The senior officer responsible for the University’s compliance with the Data Protection Act is the Academic Registrar.

5.2 The Academic Registrar shall nominate a Data Protection Officer to be responsible for advising on compliance with the Act, for ensuring that the University’s notification to the Information Commissioner is current and fit for purpose, for managing the institutional response to subject access requests in liaison with the School/Directorate(s) ordinarily responsible for the data and for developing specific guidance notes on data protection issues for members of the University.

5.3 Within each School or Directorate responsibility for proper handling of all personal data shall lie with the Head of School/Director who shall nominate an Information Management Contact for that School/Directorate or Division. The School/Directorate(s) ordinarily responsible for the data shall collate data required for subject access requests as advised by the Data Protection Officer. The execution of subject access procedures shall be conducted in accordance with the University Information Charging Policy.

5.4 The University shall take such steps as appropriate (including training programmes) to ensure that data subjects are aware of both their rights and obligations and the University’s rights and obligations under the Act, and to make all staff and students aware of the Act and the implications of processing personal data.

5.5 Staff shall exercise personal responsibility in the secure handling of personal data and shall not knowingly or recklessly expose personal data to unauthorised access, disclosure or loss. Where members are unsure as to appropriate security measures they shall seek advice from their line manager and/or Information Services and/or the University’s Data Protection Officer.

5.6 Any infringement of the Data Protection Act 1998 by staff or students may expose the University and/or the individual to legal action, claims for substantial damages and fines from the Information Commissioner. Any infringement of the Act will be treated seriously by the University and may be considered under disciplinary procedures.

5.7 BREACHES OF THE DATA PROTECTION POLICY

All alleged breaches of the data protection policy shall be notified to the University’s Data Protection Officer (based in the Governance and
Compliance Division) in the first instance. Where there has been an unauthorised disclosure of personal data the Data Protection Officer shall advise on any remedial action.

5.8 Serious alleged breaches shall also be referred to the Academic Registrar who shall consider whether the matter should be reported to the Information Commissioner.
INTRODUCTION

1.1 The Education Act 1994 Part II: Students' Unions requires that the governing body, i.e. Council, shall prepare and issue, and when necessary revise, a code of practice as to the manner in which the requirements of the Act are to be carried into effect in relation to any students' union for students at Cardiff University, setting out in relation to each of the requirements details of the arrangements made to secure its observance.

1.2 The Act requires Council to take such steps as are reasonably practicable to secure that any students' union for students at Cardiff University operates in a fair and democratic manner and is accountable for its finances. It identifies specific matters which the Council is required to put into effect, including the right of any student not to be a member of the Students' Union.

1.3 The constitution, functions and privileges of the Students' Union are governed by Ordinance 13, as approved by Council, and within the framework of this Ordinance the Students' Union has the power to manage its own affairs and funds. The detailed Constitution Book and Laws of the Students' Union are not included in the Ordinance but will be subject to periodic review by Council.

1.4 A copy of the Education Act Code of Practice is available from the Academic Registrar.
The Statutes of the University make provision for there to be a Students' Union which shall exist for the benefit of the students. The Students' Union has the power to manage its own affairs and funds and, like the University, it has the status of an educational charity. During Session 2010/11, the Students Union established itself as a company limited by guarantee and registered as a charity with the Charity Commission. Having charitable status means that all the funding or resources provided through the University must be used for charitable educational purposes. On this basis, the Union's funds, facilities and other resources must not be used for any purposes other than for the benefit of its members as students at the University and particularly not in support of any particular political, religious or other cause.

The funds and resources of the Students' Union must be used exclusively for broadly educational purposes, which may include the social and general well-being of its members as students at the University.
Membership of the Students' Union

You are advised that, in accordance with Section 22(2) (c) of the Education Act 1994, you have the right not to be a member of the Union. Any student wishing to exercise that right should so notify the Academic Registrar, in writing by the end of the second week of the first term/semester, or within 14 days of becoming a registered student.