



Swansea University  
Prifysgol Abertawe

# Code of Practice for Academic Misconduct

---

2023-24



# Code of Practice for Academic Misconduct

## Contents

|   |           |
|---|-----------|
| Introduction/Background   | 4         |
| Regulations update 2023-24  | 5         |
| <hr/>   |           |
| <b>1. Definitions</b>   | <b>5</b>  |
| 1.1 Academic Integrity  | 5         |
| 1.2 Academic Misconduct   | 6         |
| <hr/>   |           |
| <b>2. Prevention and Detection</b>  | <b>8</b>  |
| 2.1 Prevention  | 8         |
| 2.2 Detection   | 10        |
| <hr/>   |           |
| <b>3. The School/Faculty Academic Integrity Officer</b>   | <b>10</b> |
| 3.1 Role and responsibility   | 11        |
| 3.2 Conflicts of interest   | 13        |
| 3.3 Dealing with allegations  | 13        |
| 3.4 Checking on prior offences  | 13        |
| 3.5 The College (Swansea University students)   | 15        |
| 3.6 Standard of proof   | 15        |
| 3.7 Dealing with “simultaneous first” cases   | 15        |
| 3.8 Evidence  | 15        |
| 3.9 Poor referencing or academic misconduct?  | 16        |
| 3.10 Collusion cases  | 17        |
| 3.11 Dealing with cases of suspected commissioning  | 17        |
| 3.12 Cases involving interviews   | 18        |
| 3.13 Academic integrity vivas as a means of detecting academic misconduct in non-examination conditions at School/Faculty level | 20        |
| 3.14 Support for Academic Integrity Officers  | 22        |
| <hr/>   |           |

# Code of Practice for Academic Misconduct

|  |           |
|--|-----------|
| <b>4. University level cases</b>                                     | <b>23</b> |
| 4.1 University level Committee of Enquiry                            | 23        |
| 4.2 After an Award has been bestowed                                 | 23        |
| <hr/>  |           |
| <b>5. Penalties</b>  | <b>23</b> |
| 5.1 Academic misconduct under examination conditions                 | 27        |
| 5.1.1 Breach of examination regulations                              | 27        |
| 5.1.2 University Academic Integrity Lead – Penalties                 | 28        |
| 5.1.3 Committee of Enquiry - Penalties                               | 28        |
| 5.2 Academic misconduct under non-examination conditions             | 29        |
| 5.2.1 School/Faculty Level   | 29        |
| 5.2.2 Penalties – Committee of Enquiry                               | 30        |
| 5.3 Academic Misconduct in Research Degrees                          | 32        |
| <hr/>  |           |
| <b>6. Reviews and Office of the Independent Adjudicator (OIA)</b>    | <b>33</b> |
| 6.1 Review of Decision   | 33        |
| 6.1 Office of the Independent Adjudicator (OIA)                      | 33        |
| <hr/>  |           |
| <b>Appendices</b>  | <b>34</b> |
| Appendix 1: Coursework Submission Pro Forma                          | 34        |
| Appendix 2: Faculty/School Allegation Letter                         | 35        |
| Appendix 3: Faculty/School Penalty Letter                            | 38        |
| Appendix 4: Unsubstantiated Letter                                   | 41        |
| Appendix 5: Referral To University Academic Integrity Lead Letter    | 44        |
| Appendix 6: Academic Integrity Viva Letter                           | 45        |
| Appendix 7: School Case Report                                       | 47        |
| Appendix 8: Referral Proforma  | 52        |
| Appendix 9: Final Review Form  | 53        |
| Appendix 10: Academic Integrity Officers FAQs                        | 56        |
| Appendix 11: Referral Of Suspected Academic Misconduct To School AIO | 61        |

# Code of Practice for Academic Misconduct

## Introduction/ Background

This Code of Practice is designed to assist members of staff in dealing with issues relating to academic misconduct. The University supports and encourages the highest standards of intellectual honesty and integrity, and likewise endeavours to promote good practice in research and student learning. This document places considerable emphasis on preventative measures both at School/Faculty and University level and also offers a guide to Schools/Faculties on detecting and processing cases of academic misconduct.

A fair, transparent and efficient system is provided for students suspected of academic misconduct. Students shall have:

- Access to the [Academic Misconduct procedure](#);
- The right to be provided with the evidence relating to the suspected misconduct;
- The opportunity to respond to an allegation;
- Access to help and advice from the Students' Union Advice Centre;
- The right to request a review of the final decision.

**Student Academic Services**, within **Education Services**, is responsible for the overall administration of academic misconduct cases, including maintaining the regulations, arranging University Committees of Enquiry, record keeping and the processing of final reviews.

The University has also appointed a **University Academic Integrity Lead**, supported by **University Academic Integrity Case Officers** who are responsible for overseeing the integrity of University assessments, establishing prima facie cases of academic misconduct and working closely with Education Services on all issues relating to academic integrity and academic misconduct, including:

- Assessing prima facie cases of academic misconduct to determine whether they should be addressed at School/Faculty or University level;
- Presenting cases at Committees of Enquiry;
- Developing strategies for the prevention of academic misconduct;
- Ensuring School/Faculty compliance with relevant regulations and procedures;
- Developing research and evaluation strategies related to the prevention, detection and processing of academic misconduct.

**Note:** from here on within this document, all further references to the **University Academic Integrity Lead** will include the **University Academic Integrity Case Officers** and/or any nominee acting on behalf of the University Academic Integrity Lead.

# Code of Practice for Academic Misconduct

## Regulations update 2023-24

The following amendments were made to the Academic Misconduct Regulations in March 2023:

The following cases will normally be dealt with at School/Faculty level:

- Plagiarism: all taught student first and second offences (including PGTM DIL)\*
- Collusion: all taught student first and second offences (including PGTM DIL)\*

\*All taught student second offence allegations concerning plagiarism/collusion will be dealt with at School/Faculty level, irrespective of the nature of the first offence.

Penalties for second and subsequent offences should be sent to Education Services for ratification.

Please refer to section 3.7 of Academic Misconduct Procedures and 3.9 of the Code of Practice

## 1. Definitions

### 1.1 Academic Integrity

Academic integrity reflects a shared set of principles which include honesty, trust, diligence, fairness and respect and is about maintaining the integrity of a student's work and their award. Academic integrity is based on the ethos that **how we learn is as important as what we learn.**

Academic integrity is based upon a number of core principles. For students, this means:

- Taking responsibility for their own work and studies;
- Respecting the opinions of others, even if they do not agree with them;
- Respecting the rights of others to work and study within the 'learning community';
- Acknowledging the work of others, where it has contributed to their own studies, research or publications;
- Ensuring that the individual's contribution to group work is represented honestly;
- Supporting others to behave with academic integrity;
- Following the ethical requirements and, where appropriate, professional standards relating to the discipline;
- Avoiding actions which would give an unfair advantage over others;
- Ensuring that the results of research or experimental data are represented honestly;
- Complying with the assessment requirements.

# Code of Practice for Academic Misconduct

Academic integrity is the guiding principle for all student assessment, from taking exams, making oral presentations, or writing assignments, dissertations or theses for assessment.

Academic misconduct includes:

- Plagiarism;
- Collusion;
- Breach of examination regulations;
- Fabrication of data;
- Impersonation of others;
- Commissioning of work for assessment.

## 1.2 Academic Misconduct

The University defines academic misconduct as follows:

“It is academic misconduct to commit any act whereby a person may obtain for himself/herself or for another, an unpermitted advantage.”

This shall apply whether candidates act alone or in conjunction with others. An action or actions shall be deemed to fall within this definition whether occurring during, or in relation to, a formal examination, a piece of coursework or any other form of assessment undertaken in pursuit of an academic or professional qualification at Swansea University.

### **Examples of academic misconduct in examination conditions**

Examination conditions refer to assessments that are **invigilated, whether in person or online via remote proctoring** (e.g. via Respondus LockDown Browser & Monitor).

It is academic misconduct to:

- Introduce into an examination room any unauthorised form of material such as a book, manuscript, data or loose papers, information obtained via an electronic device or any source of unauthorised information;
- Copy from, or communicate with, any other person in the examination room/during an online proctored assessment, except as authorised by an invigilator;
- Communicate electronically with any other person during an examination;
- Be in possession of any electronic device capable of communicating with other devices or other people during an examination/online proctored assessment;

# Code of Practice for Academic Misconduct

- Use of unauthorised materials during an online proctored assessment;
- Impersonate an examination candidate, or allow oneself to be impersonated;
- Present evidence of special circumstances to examination boards which is false, or falsified, or which in any way misleads or could mislead examination boards;
- Present an examination script as one's own work when the script includes material produced by unauthorised means.

## Examples of academic misconduct in non-examination conditions

**Non-proctored online exams** are considered as taking place under non-examination conditions.

**Plagiarism** is using, without acknowledgment, another person's work and submitting it for assessment as though it were your own work; for instance, through copying or unacknowledged paraphrasing. This constitutes plagiarism whether it is intentional or unintentional. Examples include:

- The use of any quotation(s) from the published or unpublished work of other persons which have not been clearly identified as such by being placed in quotation marks and acknowledged;
- Summarising another person's (or system's) ideas, judgments, figures, software or diagrams without appropriately attributing that person (or system) in the text and the source in the reference list;
- The use of unacknowledged material downloaded/copied from the internet;
- The use of unacknowledged material produced by generative AI (artificial intelligence) systems;
- The submission of another student's work as though it were your own.

This list of examples is not exhaustive.

**Self-Plagiarism** is not recognised in Swansea University regulations. Where a student has self-plagiarised work, the School/Faculty will mark the work in accordance with the normal marking criteria.

**Collusion** is two or more people producing work together and submitting it as the work of an individual. Examples include:

- Two or more students working together to develop data or other materials without prior authorisation. Such materials would then be presented for assessment without acknowledging the originator(s) of the work.
- Sharing data, materials or other coursework with another student(s) which is then presented for assessment without the knowledge or permission of the originator(s).

# Code of Practice for Academic Misconduct

**Commissioning** is the act of paying for or arranging for another (person or system) to produce a piece of work, whether or not this is then submitted for assessment, as though it were the student's own work. Examples include:

- Commissioning an essay to be written by another (person or system);
- Accessing or downloading materials from essay exchange sites;
- Paying another (person or system) for the collection, manipulation or interpretation of data where this is a requirement of the student's studies.

This list is not exhaustive.

**Falsification** of the results of laboratory, fieldwork or other forms of data collection and analysis also constitutes academic misconduct.

The [University's Proofreading Policy](#) contains updated guidance regarding the use of artificial intelligence tools and software designed for editing, paraphrasing and translating text. Students should be aware of what is permissible regarding their use when seeking to develop and improve their work.

## 2. Prevention and Detection

### 2.1 Prevention

Academic staff are asked to be proactive in the prevention of academic misconduct, and Schools/Faculties are encouraged to adopt procedures for preventing the spread of academic misconduct.

The following are examples of good practice which Schools/Faculties may adopt:

- An induction session at the beginning of each module on the dangers of plagiarism and quoting examples of plagiarism relevant to the particular module;
- Making students aware of web resources offering advice on referencing and the prevention of academic misconduct;
- Introducing Study Skills modules, which advise students on good referencing practices, including examples of plagiarism and the consequence of engaging in academic misconduct;
- Making use of the Turnitin software and, where possible, explaining the use and content of reports to students. Some Schools/Faculties may also allow students to access the detection software in relation to formative work (only) to assess their ability to attribute sources correctly;
- Reviewing assessment practices and ensuring that assignments are not 'recycled';

# Code of Practice for Academic Misconduct

- Reminding students of the University's definitions of academic misconduct and the implications of being found guilty of academic misconduct;
- Providing students with written guidance on referencing;
- Publicising the outcome summaries of cases, without naming students;
- Integrating assessment tasks to prevent students from purchasing assignments online;
- Providing clear guidance to students on when collaboration or group work is acceptable and when independent work is expected.

## Guidance and advice on artificial intelligence

[Enhanced Artificial Intelligence \(AI\) guidance for staff](#)

[Undergraduate and Postgraduate Taught Students Artificial Intelligence Guidance](#)

Students should also be directed to the [Academic Misconduct Procedure](#) and [University's Proofreading Policy](#) for further information.

## Schools/Faculties

As a minimum requirement, Schools/Faculties should publish in their handbooks:

- Advice on referencing;
- The University's definition of academic integrity, academic misconduct, plagiarism and examples of academic misconduct;
- A link to the University's Proofreading policy;
- Guidance on the use of AI systems.

A University template for School/Faculty Handbooks is available from [Academic Quality Services](#).

School/Faculty Academic Integrity Officers should also promote academic integrity at the School/Faculty level, and it is considered good practice to ensure that information on academic integrity and academic misconduct is included in any School/Faculty induction and, where feasible, in each programme/module.

Schools/Faculties should also use a coursework submission form, which includes a signed statement from the student confirming that the work submitted is their own, and that they are aware of the University's definition of academic misconduct and plagiarism and the consequences of committing either. A proforma is attached as Appendix 1. This **must** form the basis of any School/Faculty proforma and include the standard University wording in the statement of authorship, although Schools/Faculties may add additional information as appropriate.

# Code of Practice for Academic Misconduct

## The University

The University should assist Schools/Faculties in the prevention of academic misconduct by:

- Including a section on academic integrity and academic misconduct in the template for School/Faculty Handbooks;
- Including a section on academic integrity and academic misconduct in the University Academic Handbook;
- Including information on academic integrity and academic misconduct at relevant University induction events;
- Offering a suite of online courses which aim to support students in their studies, including a course on academic integrity (Academic Success: Skills for Learning, Skills for Life is available via student Canvas accounts);
- Referring students to University subject librarians for support and guidance on referencing;
- Making students aware of the support offered by Swansea University's Centre for Academic Success;
- Providing training, advice and guidance to Schools/Faculties;
- Providing advice and information to students on regulations and procedures;
- Providing written warnings, in each examination venue, of what may or may not be taken into the examination venue;
- Promoting academic integrity.

## Students' Union

The Education Officer should work in conjunction with University authorities and academic Schools/Faculties in the prevention of academic misconduct.

## 2.2 Detection

It can be difficult for staff to detect academic misconduct due to the wide variety of sources which students have access to. Schools/Faculties and the University should ensure that there is no bias in the detection of academic misconduct. The following may help in the detection of academic misconduct:

- Academic misconduct under examination conditions;
- Training of invigilators and reports of incidents;
- Clear guidance to students regarding items which cannot be taken into examinations e.g. mobile phones and other electronic devices, notes etc.

# Code of Practice for Academic Misconduct

## Academic misconduct under non-examination conditions.

Staff should be encouraged to look at the following:

- Turnitin reports;
- Unusual formatting;
- URLs left at the top of a student's work;
- Odd changes in font and/or layout;
- The inconsistent use of jargon or American spelling in a piece of work;
- Sections or sentences that do not relate;
- Inconsistent grammatical errors;
- Bibliographies which are incompatible with the content of the assignment, or which do not include reference to key texts or work covered in lectures/seminars;
- Inconsistencies of style within the assignment and between the student's other work;
- Inappropriate reference to outdated sources.
- Work wholly or largely reliant on generative AI systems (see guidance: [Enhanced Artificial Intelligence \(AI\) guidance for staff](#))

## Academic integrity vivas

- Schools/Faculties may use academic integrity vivas in the detection of academic misconduct;
- Schools/Faculties may also choose to implement a system of random vivas in particular subject areas.

The process for undertaking academic integrity vivas as a means of detecting academic misconduct in non-examination conditions is laid out in section 3.13

## 3. The School/Faculty Academic Integrity Officer

### 3.1 Role and responsibility

Each School/Faculty shall appoint **at least two Academic Integrity Officers** who shall be responsible for progressing and determining all cases referred to them by academic staff within the School/Faculty. The first Academic Integrity Officer shall be responsible for investigating the case and confirming whether a prima facie case exists; the second Officer will then determine whether the case is substantiated and, if so, decide on the penalty. The allocation of responsibilities shall be left to the discretion of the School/Faculty. However, the Head of School/Faculty must ensure that all staff are aware of the reporting procedures.

# Code of Practice for Academic Misconduct

In addition, the School/Faculty Academic Integrity Officer would be expected to:

- Act as first point of contact for the School/Faculty on any academic misconduct matters;
- Act as a point of contact for the University Academic Integrity Lead in academic misconduct cases found during examinations;
- Attend academic misconduct hearings as required and provide evidence to Committees of Enquiry regarding individual cases and general information given to students;
- Liaise with Education Services in checking whether other cases exist, and informing them of cases and penalties, etc.;
- Record cases of academic misconduct at School/Faculty level and provide case reports and minutes (where relevant) to Education Services;
- Apply penalties in line with the University guidelines contained in the Code of Practice (see section on penalties);
- Offer advice to colleagues on procedures, prevention and changes to regulations;
- Disseminate information on academic misconduct to School/Faculty staff and students;
- Attend training/briefing sessions as required;
- Respond to requests for information relating to final review applications and provide, on request, copies of documentation;
- Serve on Committees of Enquiry.

School/Faculty Academic Integrity Officers shall have access to:

- Advice on determining cases and penalties from the University Academic Integrity Lead and professional staff within Education Services;
- Letter templates and case report templates;
- Annual training provided by the University Academic Integrity Lead;
- Case history (from Education Services);
- An email-based discussion forum of School/Faculty Academic Integrity Officers;
- The annual report on academic misconduct which is submitted to the University Education Committee;
- The University's regulations and this handbook.

Although each School/Faculty Academic Integrity Officer shall work independently and individually, the consistency of outcomes shall be monitored by the University and the systems, communication, mechanisms and practices described in the Code of Practice shall assist the University in achieving consistency. Academic Integrity Officers are also encouraged to enhance the student's learning experience by identifying and reporting issues which require attention to Education Services.

Newly appointed Academic Integrity Officers are invited to request one or more sessions with the University Academic Integrity Lead and Education Services to assist them with their role.

# Code of Practice for Academic Misconduct

Academic Integrity Officers are expected to bring to the attention of module lecturers any patterns or breaches which may suggest that the method of assessment for the module may require reviewing. An example may include group work where roles and responsibilities of each student are unclear and may lead students to collude in the production of the work.

## 3.2 Conflicts of interest

In cases where the School/Faculty Academic Integrity Officer is also the marker/module coordinator of the module, it is recommended that the Academic Integrity Officer does not deal with the case. In such instances the case should be referred to the other Academic Integrity Officer within the School/Faculty or an Officer from another School/Faculty, or to Education Services.

## 3.3 Dealing with allegations

The University has distinctive procedures and penalties for dealing with allegations of academic misconduct:

- i. In non-examination conditions;
- ii. In examination conditions;
- iii. In research degrees;
- iv. After an award has been bestowed.

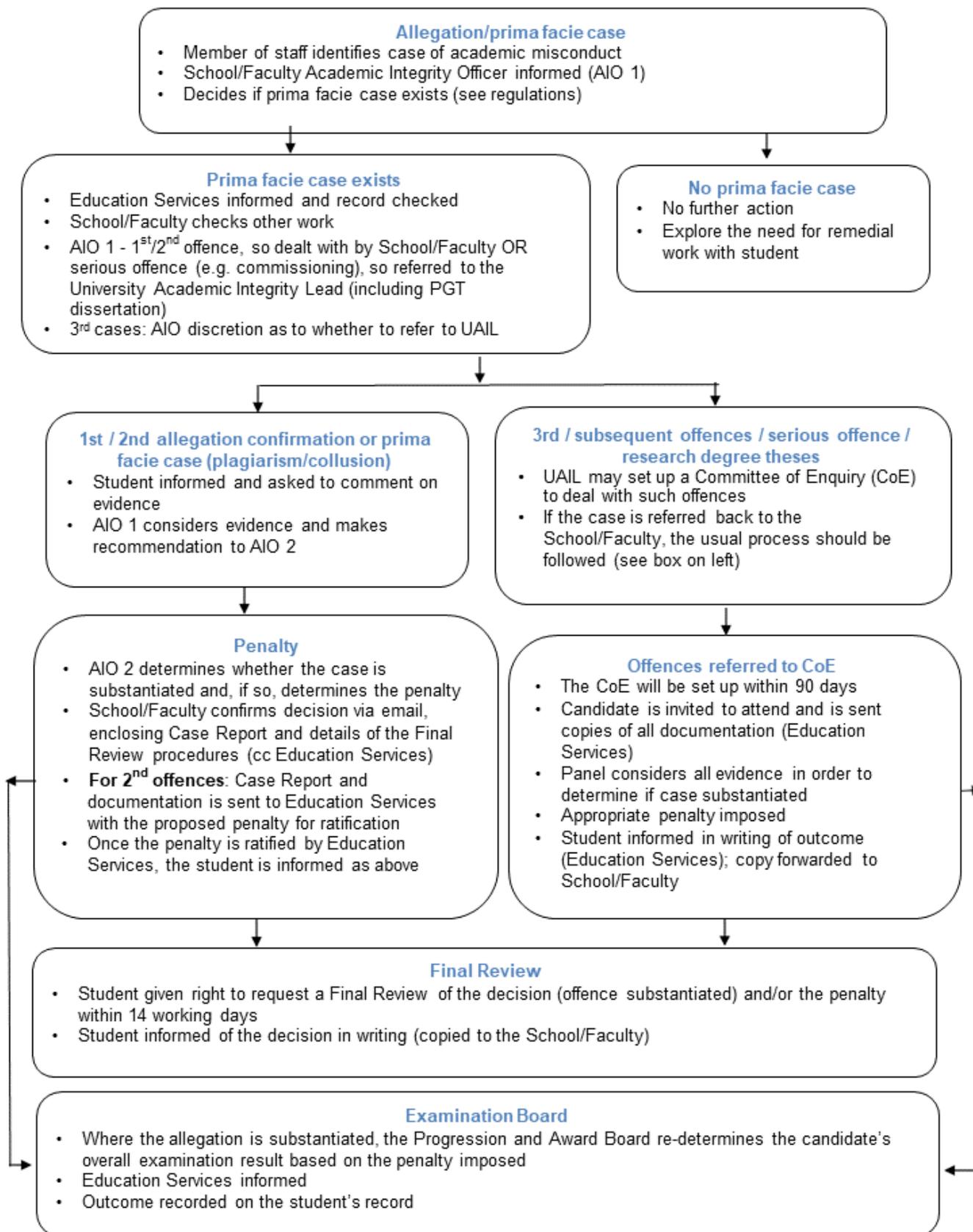
All cases of academic misconduct must be dealt with in accordance with the regulations and no “informal” cases can be heard. Allegations relating to ii-iv above will be dealt with by the University Academic Integrity Lead. School/Faculty Academic Integrity Officers will be responsible for dealing with allegations relating to (i) above, where the allegation relates to first and second offences in the case of plagiarism or collusion or when the University Academic Integrity Lead has referred an offence back to the School/Faculty to be processed. Penalties for second and subsequent offences should be sent to Education Services for ratification. (see [Figure 1](#)).

## 3.4 Checking on prior offences

It is the responsibility of the School/Faculty Academic Integrity Officer to determine whether a student has any prior offences. The Academic Integrity Officer should contact Education Services to check for prior offences as this information is relevant to whether the Academic Integrity Officer can deal with the case.

# Code of Practice for Academic Misconduct

**Figure 1: Dealing with cases in non-examination conditions**



# Code of Practice for Academic Misconduct

## 3.5 The College (Swansea University students)

---

Joint cases (first offences) involving The College students on non-integrated programmes and Swansea students and/or The College students on integrated programmes shall be dealt with in accordance with the Swansea University procedures. Cases involving The College students on non-integrated programmes only shall be dealt with by The College.

In joint cases dealt with by the University, a representative from The College may be involved in stages two to six (see [regulation 3.5-3.9](#)). In cases dealt with by a University Committee of Enquiry, a representative from The College may be invited to sit on the Committee in accordance with [regulation 9.0](#).

## 3.6 Standard of proof

---

In deciding whether students have committed offences, the Academic Integrity Officer must determine that “on the balance of probabilities”, the student has committed the offence. This means that it is **more likely than not** that the student has committed the offence.

## 3.7 Dealing with “simultaneous first” cases

---

In certain cases, students will be under investigation in relation to two separately submitted pieces of work at one time. This situation applies where a student is suspected of having committed academic misconduct in relation to a first piece of work, or has been found to have committed the offence, but has not yet received an outcome in relation to that investigation. Where the same student is then investigated in relation to a second piece of work, this will be considered a “simultaneous first” case. In this situation, if the student is found to have committed academic misconduct in both cases, then they should be given a penalty in line with the procedures for a first offence. Any subsequent offences would then be considered a second offence.

## 3.8 Evidence

---

Sufficient evidence is required to determine if there is a case of academic misconduct. Module lecturers are expected to provide Academic Integrity Officers with this information when referring a case. If the Academic Integrity Officer requires additional information they should request this from the module leader. Before the student is asked to respond to the allegation (in person or in writing), it is essential that all relevant information regarding the case is provided to the student.

It is reasonable for an Academic Integrity Officer to expect a student to provide evidence of originality, for example, by providing earlier drafts of their work, copies of preparatory notes, data or photocopies of cited sources.

# Code of Practice for Academic Misconduct

In certain cases, students can be requested to attend vivas or interviews. In these cases, minutes of those meetings should be kept as part of the evidence to be considered by the Academic Integrity Officers/Committee of Enquiry.

Please note, covertly obtained evidence or evidence submitted by third parties who wish to remain anonymous is usually inadmissible unless those third parties are prepared to waive their anonymity.

## 3.9 Poor referencing or academic misconduct?

In some cases the Academic Integrity Officer may decide that poor referencing has occurred rather than academic misconduct. Normally, this would be in the case of first offences where there is minor plagiarism and where it is deemed that a student has failed to understand the referencing requirements. In such instances, the student should be referred to appropriate sources of advice and guidance on correct referencing (such as Personal Tutors, the subject librarian or the [Centre for Academic Success](#)).

In such cases the student will be issued an informal warning and be referred to appropriate sources of advice (such as the Personal Tutor, the subject librarian, online training courses and the Centre for Academic Success) for guidance on correct referencing and good academic practice. The School/Faculty will mark the work in accordance with normal marking criteria. Such cases will be noted but will not be recorded as academic misconduct. Any subsequent offences will be considered under the academic misconduct procedures. See [regulation 3.6](#) for further information.

The regulations allow Schools/Faculties to issue a penalty for **first and second/subsequent cases of plagiarism and collusion** under non-examination conditions (excluding research theses). It is therefore essential to check with Education Services for previous offences.

Schools/Faculties should refer serious cases e.g. where commissioning is suspected to a University Committee of Enquiry. Allegations **under examination conditions** must be dealt with by a University Committee of Enquiry.

Second and subsequent offence allegations for plagiarism and collusion should be dealt with by Schools/Faculties and **proposed penalties should be sent to Education Services for ratification**). With regard to **third and subsequent offences**, it is at the discretion of the School/Faculty whether to deal with the case internally or refer it to the University Academic Integrity Lead. If the case is referred, the University Academic Integrity Lead will review the case based on the evidence provided and decide whether to:

# Code of Practice for Academic Misconduct

- Refer the case back to the School/Faculty and request that the student is dealt with in accordance with [regulation 3.7](#) of the Academic Misconduct Procedure;
- Refer the case to Education Services and request that a University Committee of Enquiry is established to consider the case ([regulation 9](#) of the Academic Misconduct Procedure).

A summary of the process is contained in [Figure 1](#).

In cases dealt with by the School/Faculty, the first Academic Integrity Officer shall investigate the case and the second shall determine the outcome and decide upon the penalty to be imposed (if the case is substantiated). A record of the investigation should be kept (a template is available in [Appendix 8](#)).

In cases referred to the University Academic Integrity Lead, the Academic Integrity Officer should complete the proforma in [Appendix 9](#) and include all appropriate documentation.

## **3.10 Collusion cases**

In cases of alleged collusion, it is recommended that the School/Faculty Academic Integrity Officer interview both/all of the students involved. Students should be informed that the interview will form part of the investigation process and that they may be accompanied at the interview e.g. Students' Union Advice Centre, parent or friend.

An allegation of collusion may be amended during a hearing/investigation to allow a student to be exonerated of the offence whilst alleging plagiarism against another student(s). An Academic Integrity Officer must be satisfied that, where a student is exonerated of an offence, that they have clearly demonstrated that there was no intention to assist the other student/students involved.

## **3.11 Dealing with cases of suspected commissioning**

Commissioning cases are dealt with by a University level Committee of Enquiry; Schools/Faculties, however, will be asked to assist in the preparation of these cases.

As a starting point, Schools/Faculties are asked to provide the following information, along with the referral proforma to the University Academic Integrity Lead / Committee of Enquiry ([Appendix 9](#)):

- Any emails between the student and their supervisor/Personal Tutor relating to academic guidance on the work;
- The metadata for the assignment of concern. Also, if possible, metadata from previous assignments submitted in proximity to the suspicious work (for comparison purposes);

# Code of Practice for Academic Misconduct

- If possible, consideration by the supervisor/Personal Tutor of the student's reference list (as to whether any of the references are not available for free/in Swansea);
- Comparative work which demonstrates the student's grasp of spelling or grammatically correct/technical language, where appropriate;
- Any draft work sent to the supervisor prior to submission;
- The record of any viva undertaken (see para 3.13 below), a digital recording of the viva would be helpful, if possible;
- Original documents (even if in a foreign language) if, for example, the student claims to have written the essay in a first language and translated it thereafter;
- Original data, if appropriate;
- Receipts or invoices for any proofreading services;
- Any evidence of a commission order being placed on an online site, where available.

It is also helpful for the University Academic Integrity Lead to be provided with access to the relevant Canvas site.

An allegation of commissioning may be amended during a hearing/investigation to allow the allegation to be amended to one of the other academic misconduct offences.

## 3.12 Cases involving interviews

If a prima facie case of academic misconduct exists and the First Academic Integrity Officer determines that the case should be dealt with at School/Faculty level, they (or their nominee) should inform the student concerned, in writing, of the suspected case of academic misconduct. Within the letter (a template of which will be available from Education Services) the School/Faculty Academic Integrity Officer will either (a) invite the student to comment in writing or (b) invite the student to attend an interview.

Where the student is invited to an interview, the student shall be entitled to be accompanied by a friend or colleague (who is a member of the University) or a Students' Union representative. The role of any person accompanying the student will be to support the student, and they will not normally be allowed to answer questions on behalf of the student.

The interview would normally involve at least two members of staff, usually the First Academic Integrity Officer and one other. A record of the meeting must be kept; this may take the form of written minutes and/or an audio/media recording. At the discretion of the School/Faculty, a third member of staff may be nominated to record/transcribe the meeting.

The Second Academic Integrity Officer may also attend the interview.

# Code of Practice for Academic Misconduct

Students should be provided with copies of the evidence, normally this will be a copy of the marked-up essay and/or the Turnitin report, sources etc. In cases of collusion, students will normally be asked to attend an interview. Students should be sent copies of all the work under investigation, or extracts as appropriate, and any evidence submitted in advance of the interview by the other student(s).

The terms of reference for the interview shall be:

- To consider the evidence submitted with regard to the allegation of academic misconduct;
- To make a recommendation as to the outcome of the case (including, if substantiated, any penalty).

In cases where the second Academic Integrity Officer is present at the interview, the terms of reference shall include:

- To determine whether the allegation has been substantiated;
- To determine, in appropriate cases, the penalty which should be imposed.

The procedure during the interview shall be as follows:

The First Academic Integrity Officer shall:

- Introduce themselves and any additional staff to the student;
- Inform the student that they and the second member of staff will question the student, calling witnesses and presenting evidence as they see fit;
- Outline the purpose of the interview and the possible consequences;
- Allow the student and/or their representatives the opportunity to respond to the allegation and outline their case;
- Allow the student to present any evidence which they have brought with them such as drafts, sources, etc.;
- Assess the student's understanding of academic integrity and academic misconduct;
- Where appropriate, ask the student whether they wish to provide any mitigation and remind the student that where they could have reported such circumstances to the School/Faculty prior to their decision being made, those circumstances cannot subsequently be cited as grounds for review;
- Provide the student with information regarding the timeline for their decision and the right to request a review of the decision;
- Where appropriate, refer the student for additional help and support, for example to the Personal Tutor, subject librarian or the Academic Success Programme;
- Keep a record of the meeting.

# Code of Practice for Academic Misconduct

The School/Faculty Academic Integrity Officer does not have to take intent into consideration in relation to an allegation of academic misconduct; there can be no defence that the offence was committed unintentionally or accidentally. Such circumstances can, however, be submitted by the student as mitigation in relation to the penalty to be imposed.

After having considered the evidence and any response provided by the student, the First Academic Integrity Officer shall refer the case, all relevant evidence, any written response received from the student and any notes of any meeting held with the student to the Second Academic Integrity Officer, together with their recommendation as to the outcome of the case and any penalty to be applied (unless the Second Academic Integrity Officer was also present at such meeting) using the case report form available from Education Services.

The Second Academic Integrity Officer shall determine the outcome of the case. If the case is substantiated they shall also determine any penalty to be applied and the reasons for the penalty. The Second Academic Integrity Officer shall consult the Code of Practice for Academic Misconduct, case history and the candidate's academic record before imposing any penalty. In order to ensure consistency in the application of penalties, the University provides guidance on penalties in the Code of Practice on Academic Misconduct. However, the Second Academic Integrity Officer may also wish to take into consideration the implications of the penalty on the student, intent and any mitigating circumstances. The Second Academic Integrity Officer should be convinced that the mitigating circumstances have a direct bearing on the case and, in particular, had influenced the action of the student(s) concerned.

The Second Academic Integrity Officer will inform the student in writing of the outcome of the interview using the template letters available from Education Services.

## 3.13 Academic integrity vivas as a means of detecting academic misconduct in non-examination conditions at School/Faculty level

---

In cases where School/Faculty academic staff or Academic Integrity Officer and/or the University Academic Integrity Lead has concerns about whether a piece of coursework, or any work completed under non-examination conditions, submitted by a student is their own work, the School/Faculty may invite the student to attend an academic integrity viva. The purpose of the academic integrity viva is to test the student's knowledge of the work which they have submitted and to provide the student with the opportunity, prior to any academic misconduct proceedings, to demonstrate that the work is their own.

The student should be given **no less than two days notification** of the academic integrity viva in writing. A standard template must be used which will be available from Education Services.

# Code of Practice for Academic Misconduct

A student may be accompanied by a friend or representative from the Students' Union Advice Centre (SUAC) and contact details for the Advice Centre will be included in the letter. However, anyone accompanying the student will not be able to respond to any questions on behalf of the student. The student will be advised to bring with them evidence of preparatory work relating to the submission such as drafts, sources, feedback, etc. If a student has had any third-party assistance with their work (e.g. proofreading), they will be advised to bring with them the original unamended copy of the work to assist the Panel in assessing the extent to which amendments have impacted on the quality of the work.

The viva process would normally involve a Panel of at least two members of academic staff, normally a Chair and a subject expert (usually the module leader or module marker). The Panel should not consist of any School/Faculty Academic Integrity Officers who have been or shall be involved in the particular case. A record of the viva must be kept; this may take the form of written minutes and/or an audio/media recording. At the discretion of the School/Faculty, a third member of staff may be nominated to record/transcribe the viva.

The terms of reference for the viva Panel shall be:

- To test the student's knowledge of the work which they have submitted;
- To provide the student with the opportunity, prior to any academic misconduct proceedings, to demonstrate that the work is their own.

The procedure during the viva meeting shall be as follows:

- The Chair will ask all participants to introduce themselves;
- The Chair will inform all participants of the terms of reference for the Panel.

The Panel may ask questions relating to the work such as how the student approached the assignment, what research was carried out, what sources were used and how these were chosen, what the key concepts of the work are, how the ideas/arguments/data were formulated, etc. The student may also be asked to explain particular statements, theories or terms used within their work. Additionally, the student may be asked whether they received any help or support from any third party.

The student should be given the opportunity to demonstrate that the work is their own, including the opportunity to present any evidence which they have brought with them such as drafts, sources, etc. Where the student fails to attend the academic integrity viva without good reason, inferences may be drawn in relation to the student's failure to attend by the School/Faculty Academic Integrity Officer and/or Academic Misconduct Committee of Enquiry.

# Code of Practice for Academic Misconduct

Following the academic integrity viva, the Chair will prepare a report setting out their opinion on the student's knowledge of the work they submitted and the reasons for their opinion.

If the Panel, based on the academic judgment of the staff involved, determine that the student has not demonstrated that the assessment is their own work then the Chair will provide to the School/Faculty Academic Integrity Officer or to the University Academic Integrity Lead (as appropriate) a copy of their report and the recording / transcription of the viva, in addition to the normal supporting paperwork relating to the case - normally within five working days of the date of the student's academic integrity viva.

If the Panel determines that, based on the academic judgment of the staff involved, the student has demonstrated that the assessed work is their own, the Chair will inform the module leader/ marker that the work shall be marked in accordance with the normal assessment criteria for the module. The student shall be informed of this in writing and no further action shall be taken.

## 3.14 Support for Academic Integrity Officers

The primary support for Academic Integrity Officers is through the Academic Integrity Officers Forum which meets annually to disseminate new information, brief officers of any regulation changes and enable discussion of common issues. Academic Integrity Officers are also encouraged to discuss issues with other School/Faculty Officers (internal and external to their School/Faculty) and to seek advice and support from the University Officers (details provided below).

| Name  | Role   | Contact Details  |
|---|--|--|
| Mrs Andrea Watkins<br>Assessment and Awards Manager             | Advice on regulations/ procedures/case history/penalties/templates | <a href="mailto:Andrea.watkins@swansea.ac.uk">Andrea.watkins@swansea.ac.uk</a><br><a href="mailto:Academicintegrity@swansea.ac.uk">Academicintegrity@swansea.ac.uk</a> |
| Ms Heather Casey<br>Student Cases Assistant                     | Advice on case history/recording cases/templates                   | <a href="mailto:H.C.Casey@swansea.ac.uk">H.C.Casey@swansea.ac.uk</a><br><a href="mailto:Academicintegrity@swansea.ac.uk">Academicintegrity@swansea.ac.uk</a>           |
| Ms Lara Duke<br>Assessment and Awards Officer                   | Advice on regulations/ procedures/case history/penalties/templates | <a href="mailto:L.Duke@swansea.ac.uk">L.Duke@swansea.ac.uk</a><br><a href="mailto:Academicintegrity@swansea.ac.uk">Academicintegrity@swansea.ac.uk</a>                 |
| Ms Gemma Wilkins<br>Student Cases Officer                       | Advice on regulations/ procedures/case history/penalties/templates | <a href="mailto:G.A.Wilkins@swansea.ac.uk">G.A.Wilkins@swansea.ac.uk</a>   |
| Professor Michael Draper<br>University Academic Integrity Lead  | Advice on confirming a prima facie case                            | <a href="mailto:M.J.Draper@Swansea.ac.uk">M.J.Draper@Swansea.ac.uk</a>   |
| Dr Giulia Fantini<br>University Academic Integrity Case Officer | Advice on confirming a prima facie case                            | <a href="mailto:G.Fantini@Swansea.ac.uk">G.Fantini@Swansea.ac.uk</a>   |

# Code of Practice for Academic Misconduct

## 4. University level cases

### 4.1 University level Committee of Enquiry

Education Services will establish a Committee of Enquiry to consider allegations of academic misconduct referred to it. These shall normally include the following:

- Examination conditions – all cases (see [Figure 2](#));
- Serious cases of first or second offences in non-examination conditions referred by School/Faculty (including PGT dissertation cases) (see [Figure 1](#));
- Certain third or subsequent offences that the University Academic Integrity Lead has determined should be heard by a Committee of Enquiry (see [Figure 1](#));
- Postgraduate research theses - all cases (see [Figure 3](#));
- After an Award has been bestowed (see [Figure 4](#)).

Academic staff may be invited to attend hearings as a witness for the University Academic Integrity Lead or at the request of a student. They may agree to act as a witness, provide moral support or attend in their capacity as Personal Tutor.

### 4.2 After an Award has been bestowed

In addition to dealing with allegations of academic misconduct prior to the conferment of an award, the University has devised procedures for dealing with allegations of academic misconduct after an award has been bestowed on a student. In such cases, the procedure in Figure 4 would apply. Staff are advised to contact Education Services in the first instance.

## 5. Penalties

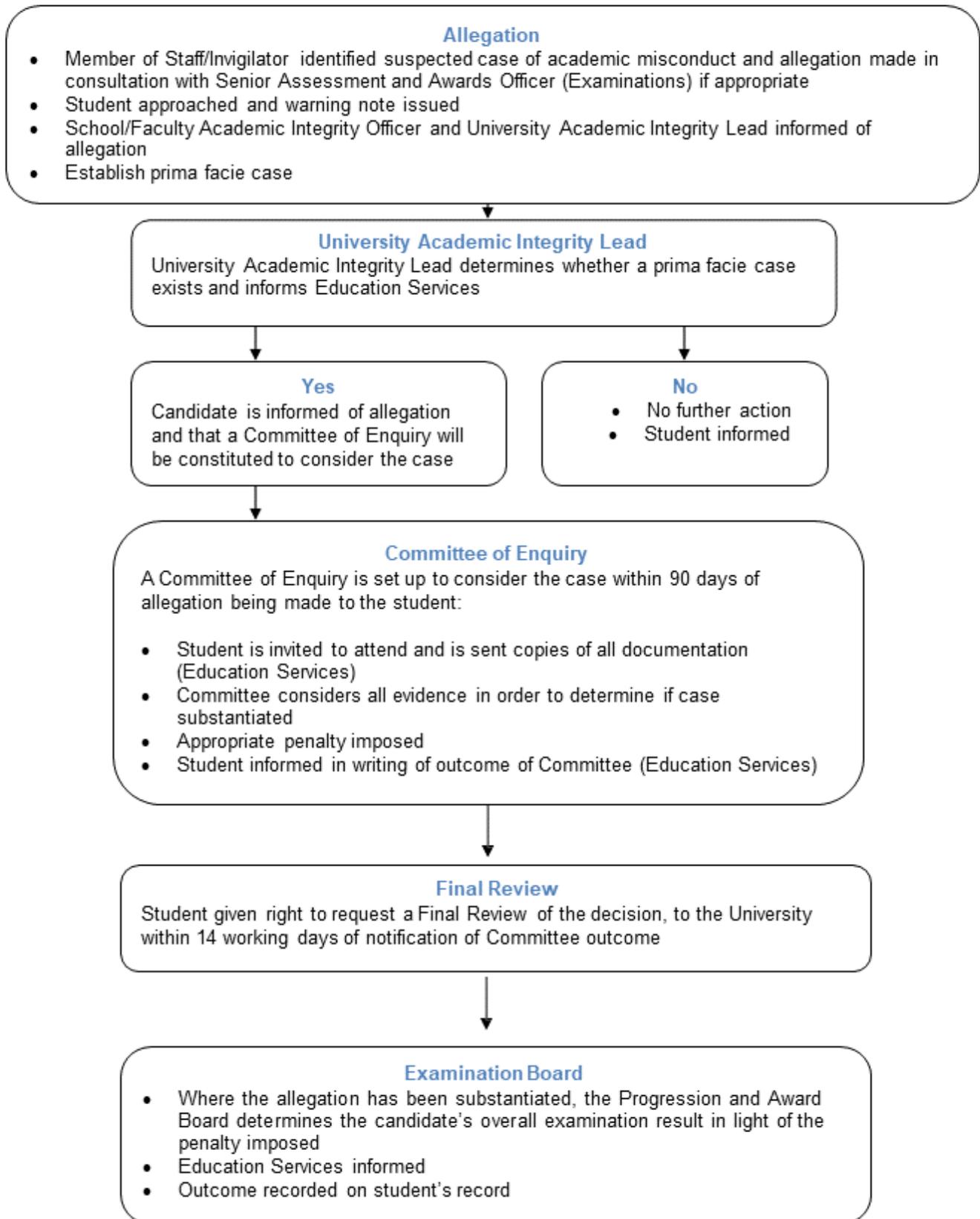
Every case shall be considered on its own merits and penalties should be proportionate to the offence. However, in order to ensure consistency in the application of penalties, Academic Integrity Officers and Committees of Enquiry are expected to determine penalties in accordance with the framework provided in the following tables. The Committee/School/Faculty are expected to refer to the recommended penalties and ensure that penalties are proportionate to the offence.

### **Intent**

Intention is not taken into consideration in determining whether the allegation is upheld and there can be no defence that the offence was committed unintentionally or accidentally. Such circumstances may be submitted as mitigation in relation to the penalty.

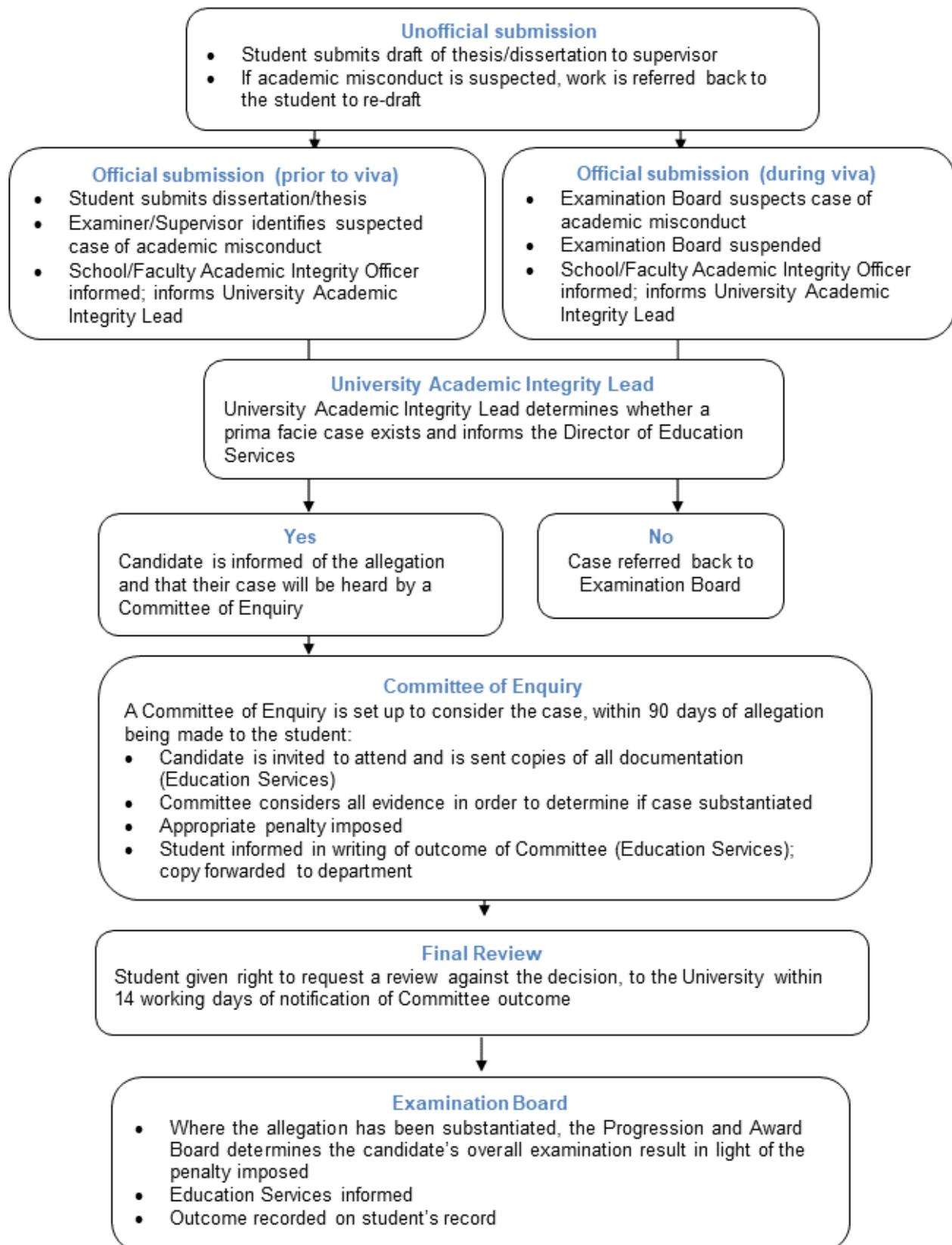
# Code of Practice for Academic Misconduct

**Figure 2: Dealing with cases in examination conditions**



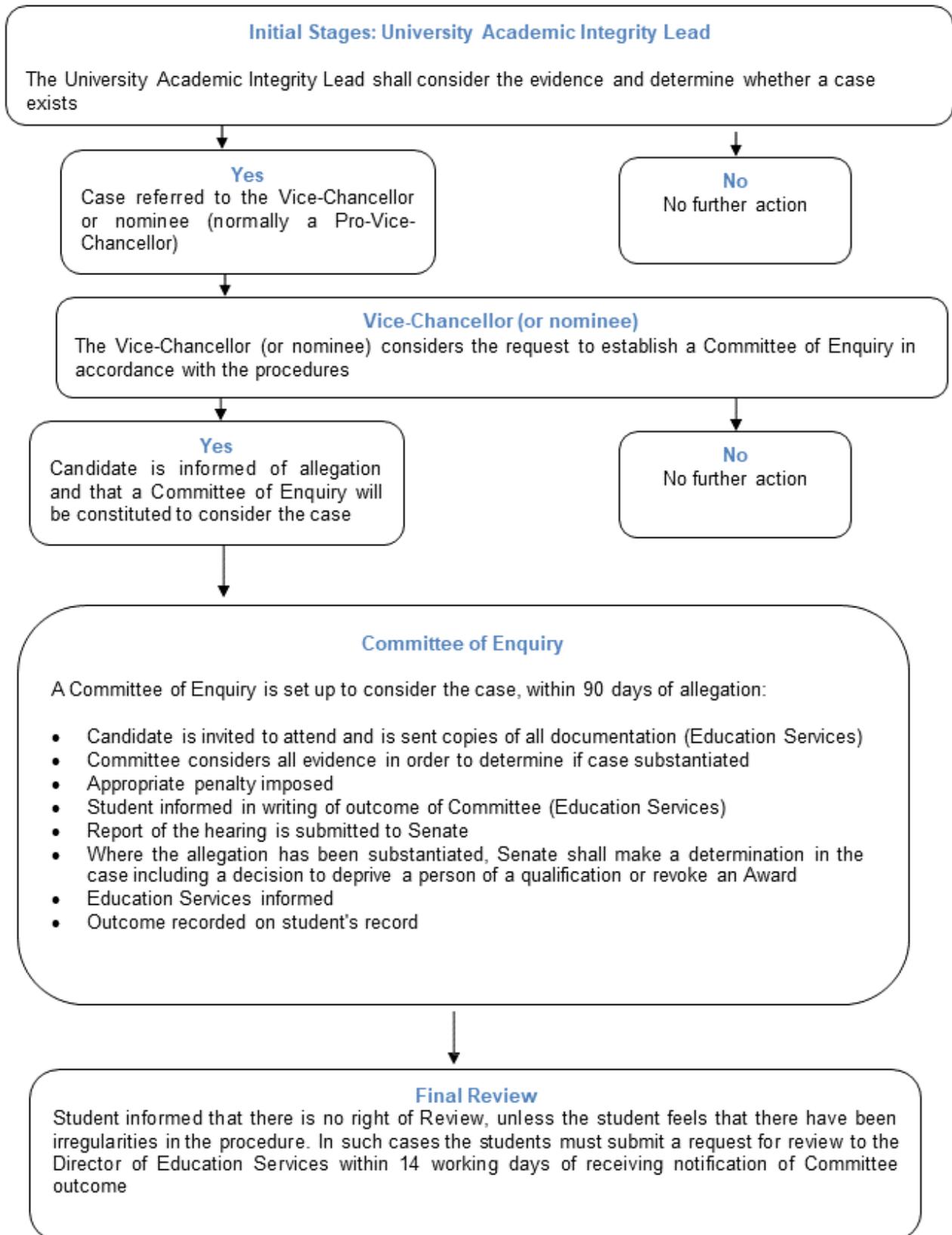
# Code of Practice for Academic Misconduct

Figure 3: Dealing with cases involving research degree theses



# Code of Practice for Academic Misconduct

**Figure 4: Procedures for dealing with allegations after an Award has been bestowed**



# Code of Practice for Academic Misconduct

## Mitigating circumstances

Mitigating circumstances may be taken into account. The University does not accept a student's medical or personal circumstances as an excuse/reason for academic misconduct. However, the bodies responsible for imposing penalties for academic misconduct are obliged to consider whether the penalty should be mitigated in the light of personal or medical circumstances.

Candidates raising mitigating circumstances must provide evidence in support of the circumstances and provide clarity on their effect. Where a candidate could have reported such circumstances to the School/Faculty prior to the decision being made, those circumstances cannot subsequently be cited as grounds for review.

Committees/Schools/Faculties should be convinced that the mitigating circumstances have a direct bearing on the case and, in particular, influenced the action(s) of the student concerned, for example severe mental health problems where a student's capacity for rational judgement has been severely impaired. In cases where a student has been found to have committed academic misconduct and was experiencing difficult medical or personal circumstances which were beyond their control and are judged to have contributed to their committing of the offence, the body responsible for considering the case is required to take due account of the circumstances in determining the penalty for the offence. Circumstances such as family pressure, anxiety about assessments and short-term illness shall not normally be considered.

## Deviation from the recommended penalty

Penalties are normally awarded in line with the recommended University penalties. This is in order to ensure that students across the University are treated consistently. Where a Committee or School/Faculty deviates from the recommended penalty, a full explanation for the reason for the penalty applied should be included in the case report/minutes. The University will review the application of penalties and identify any areas of concern on an annual basis.

## 5.1 Academic misconduct under examination conditions

### 5.1.1 Breach of examination regulations

In the case of a student being found in possession of an electronic device e.g. mobile phone, etc, which is not permitted in the rubric of the examination paper, but which has not been used or where there is no evidence that it has been used, the offence shall be considered as a breach of examination regulations only. The University Academic Integrity Lead shall interview the student and draw their attention to the examination regulations. The University Academic Integrity Lead shall then decide whether to issue a penalty (see below).

# Code of Practice for Academic Misconduct

## 5.1.2 University Academic Integrity Lead – Penalties

| Breach                              | Illustrative Example   | Penalty                                | Dealt with by   |
|-------------------------------------|--|--|---|
| 1st breach<br>(no previous offence) | Possession of an electronic device e.g. mobile phone, etc. which is not permitted in the rubric of the examination paper, but which has not been used or where there is no evidence that it has been used. | Written warning                        | University Academic Integrity Lead / Education Services |
| 2nd breach                          | Possession of an electronic device e.g. mobile phone, etc. which is not permitted in the rubric of the examination paper, but which has not been used or where there is no evidence that it has been used. | Cancellation of the mark for the paper | University Academic Integrity Lead / Education Services |

Such students will have the right to request a review of this decision under the [Final Review Procedure](#).

The University Academic Integrity Lead may also decide not to issue a penalty, but to refer the case to an Academic Misconduct Committee of Enquiry in accordance with [regulation 2.6](#).

Where there is suspicion/evidence that the electronic device may have been used, e.g. witnessed by the invigilator, such cases should be referred to the University Academic Integrity Lead who will determine whether a prima facie case of academic misconduct has been established.

## 5.1.3 Committee of Enquiry - Penalties

The **recommended penalty** for students found guilty of academic misconduct under examination conditions shall be the **cancellation of the candidate's mark for the module concerned**. However, the full range of penalties is included in Table 1 below. Where a student is allowed to retake the examination in question, the Committee shall also determine whether the marks achieved should be capped or uncapped.

Where an allegation has been substantiated, and this may affect the candidate's ability to practise in a particular profession, the case may also be referred to the Head of School/Faculty who will decide whether to inform the Professional Body. In some instances, the Head of School/Faculty or nominee will be obliged to inform the Professional Body.

# Code of Practice for Academic Misconduct

**TABLE 1: PENALTIES UNDER EXAMINATION CONDITIONS**

| Allegation/Offence                   | Illustrative Example   | Penalty  | Dealt with by                      |
|--------------------------------------|--|--|------------------------------------|
| 1st breach (no previous offence)     | Minor breach of examination regulations e.g. written or verbal communication which clearly has no bearing on the examination and is not of an academic nature.   | Written warning  | University Academic Integrity Lead |
| 1st allegation (no previous offence) | Moderate breach of examination regulations e.g. where a student has attempted written or verbal communication with another student relating to the examination or copying from another student's work.   | Mark of 0% for the module component(s)                 | Committee                          |
| 1st allegation (no previous offence) | Major breaches of examination regulations, e.g. notes taken into examination, which are relevant to the subject area.  | Mark of 0% for the module as a whole                   | Committee                          |
| 1st allegation (no previous offence) | Serious breaches of examination regulations, with evidence of premeditated action e.g. notes pasted into reference books, impersonating another or allowing themselves to be impersonated, use of electronic devices pre-set with relevant material. | Mark of 0% for the level of study                      | Committee                          |
| 2nd allegation (previous offence)    | Examination breaches based on second allegations   | Mark of 0% for the level of study and disqualification | Committee                          |

## 5.2 Academic misconduct under non-examination conditions

### 5.2.1 School/Faculty Level

#### Cases of 1st allegation (no previous offence) (excluding research theses)

The recommended penalty for students found guilty shall be the cancellation of the candidate's mark for the module concerned (see Table 2).

However, the full range of penalties is included in Table 2 below. The decision whether to allow a student to retake work/assessment(s) shall be made by the relevant Examination Board, in accordance with the assessment regulations for the programme.

# Code of Practice for Academic Misconduct

Where an allegation has been substantiated, and this may affect the candidate's ability to practise in a particular profession, the case may also be referred to the Head of School/Faculty who will decide whether to inform the Professional Body. In some instances, the Head of School/Faculty will be obliged to inform the Professional Body.

## 5.2.2 Penalties – Committee of Enquiry

The **recommended penalty** for first offence students found guilty under non-examination conditions shall be the **cancellation of the candidate's mark in the module concerned**. However, the full range of penalties is included in Table 2 below. The decision whether to allow a student to retake work/assessment(s) shall be made by the relevant Examination Board, in accordance with the assessment regulations for the programme.

Where an allegation has been substantiated, and this may affect the candidate's ability to practise in a particular profession, the case may also be referred to the Head of School/Faculty who will decide whether to inform the Professional Body. In some instances, the Head of School/Faculty will be obliged to inform the Professional Body.

**TABLE 2: PENALTIES UNDER NON-EXAMINATION CONDITIONS**

| Allegation/Offence                   | Illustrative Example  | Penalty   | Dealt with by  |
|--------------------------------------|---|---|----------------|
| 1st breach (no previous offence)     | Minor plagiarism where the amount of work affected was small and/or it is early in the student's academic career or there is well-founded reason to suppose that the student did not understand the academic conventions.   | Written warning or written warning and plagiarised text to be ignored when marking, resulting in a reduced mark | School/Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.  | Mark of 0% for the assignment   | School/Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.  | Mark of 0% for the module component(s)  | School/Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work not listed in the bibliography or large sections of plagiarised text in the work with the source listed in the bibliography; unauthorised collusion with another student; falsification of data which is substantial in extent or importance and where the data forms the basis of the conclusion/knowledge. | Mark of 0% for the module as a whole  | School/Faculty |

# Code of Practice for Academic Misconduct

| Allegation/Offence                      | Illustrative Example  | Penalty   | Dealt with by  |
|---|---|---|--|
| 1st breach<br>(no previous offence)     | Large or substantial texts plagiarised in more than one assignment/module; misrepresentation or falsification of data which is major in extent or importance; commissioning another (person or system) to prepare the work on the student's behalf with no evidence of submission.  | Mark of 0% for the level of study   | Committee  |
| 1st allegation<br>(no previous offence) | Commissioning another (person or system) to prepare the work on the student's behalf with evidence of submission.<br><br>Falsification/forgery of University documents; use of essay writing companies (purchased or unpurchased work); fabrication of data.  | Mark of 0% for the level of study and disqualification                        | Committee  |
| 2nd allegation<br>(previous offence)    | Minor Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.<br><br>Plagiarism from published work not listed in the bibliography or large sections of plagiarised text in the work with the source listed in the bibliography; unauthorised collusion with another student; falsification of data which is substantial in extent or importance and where the data forms the basis of the conclusion/knowledge. | Mark of 0% for the module as a whole<br><br>Mark of 0% for the level of study | Committee  |
| 2nd allegation<br>(previous offence)    | Large or substantial texts plagiarised in more than one assignment/module; misrepresentation or falsification of data which is major in extent or importance.<br><br>Commissioning another (person or system) to prepare the work on the student's behalf, with or without evidence of submission.<br><br>Falsification/forgery of University documents; use of essay writing companies (purchased or unpurchased work); fabrication of data.   | Mark of 0% for the level of study and disqualification                        | School/<br>Faculty<br><br>Committee<br><br>Committee |
| 3rd allegation<br>(previous offences)   | Any third offence   | Mark of 0 % for the level of study and disqualification                       | School/<br>Faculty/<br>Committee                     |

# Code of Practice for Academic Misconduct

## 5.3 Academic Misconduct in Research Degrees

Due to the nature of supervision of research students, a case of academic misconduct should normally only be heard officially when a student has formally submitted a thesis for assessment. If a supervisor suspects an attempt of plagiarism during the period leading up to submission of the thesis, i.e. when drafts of chapters are submitted for comment, then the supervisor should raise concerns with the student and either advise on better referencing or require the student to resubmit the work. Following the submission of the work, plagiarism could be detected at one of three stages, normally prior to viva, during a viva, or possibly subsequent to the conferment of the award.

### Penalties

The penalties available to the Committee of Enquiry are:

1. The issue of a written reprimand to the candidate;
2. The candidate be awarded a decision of Fail, with a right of resubmission;
3. The candidate be awarded a decision of Fail, with no right of resubmission;
4. In the event of a Committee deciding that the above penalties are inappropriate, the Committee may use its discretion to decide upon an appropriate penalty.

The recommended penalties are included in Table 3.

Where an allegation has been substantiated, and this may affect the candidate's ability to practice in a particular profession, the case may also be referred to the Head of School/Faculty or nominee who will decide whether to inform the Professional Body. In some instances, the Head of School/Faculty or nominee will be obliged to inform the Professional Body.

Where a student is allowed to re-submit their work, the mark will be capped.

**TABLE 3: PENALTIES FOR DISSERTATIONS (PGT DIL) (non-examination conditions)**

| Allegation/Offence                   | Illustrative Example  | Penalty                             | Dealt with by                    |
|--------------------------------------|---|-------------------------------------|----------------------------------|
| 1st breach (no previous offence)     | <b>Minor</b> academic misconduct which does not affect the substance of the research  | Fail, with a right of resubmission  | School/<br>Faculty               |
| 1st allegation (no previous offence) | <b>Major</b> act of academic misconduct e.g. substantial sections of the thesis are copied from another source, or statistics are fabricated/copied | Fail, with no right of resubmission | School/<br>Faculty/<br>Committee |
| 2nd allegation (previous offence)    |   | Fail, with no right of resubmission | School/<br>Faculty/<br>Committee |

# Code of Practice for Academic Misconduct

TABLE 4: PENALTIES FOR RESEARCH DEGREES (non-examination conditions)

| Allegation/Offence                   | Illustrative Example   | Penalty                             | Dealt with by |
|--------------------------------------|--|-------------------------------------|---------------|
| 1st breach (no previous offence)     | Minor academic misconduct which does not affect the substance of the research  | Fail, with a right of resubmission  | Committee     |
| 1st allegation (no previous offence) | Major act of academic misconduct e.g. substantial sections of the thesis are copied from another source, or statistics are fabricated/copied | Fail, with no right of resubmission | Committee     |
| 2nd allegation (previous offence)    |  | Fail, with no right of resubmission | Committee     |

## 6. Reviews and Office of the Independent Adjudicator (OIA)

### 6.1 Review of Decision

The academic misconduct procedures are not a judicial, but a University process. The following basic principles apply:

1. The student should be informed of the case against them, in advance of the case being heard/determined.
2. The student has the right to challenge and respond to the case against them.
3. The person/persons deciding on the case do so without bias.
4. There is a mechanism for reviewing the decision.
5. Students are entitled to support during the process.

All students found guilty of academic misconduct have the right to request a final review (please see flow charts) under the University's [Final Review procedure](#).

School/Faculty Academic Integrity Officers may be asked to provide documentation on the case and respond to specific questions raised.

### 6.2 Office of the Independent Adjudicator (OIA)

Students who are dissatisfied with the outcome of their final review may be able to complain to the Office of the Independent Adjudicator (OIA) provided that their complaint is eligible under its rules (please see the [OIA website](#)).

# Code of Practice for Academic Misconduct

## Appendix 1: Coursework Submission Proforma

Sample Proforma for Schools/Faculties to refer to.

Schools/Faculties should ensure that a mechanism is in place to retain student anonymity.

| SWANSEA UNIVERSITY   |   |
|--|---|
| School/Faculty   |   |
| <b>COURSEWORK SUBMISSION</b><br>(To be completed and submitted to department)  |   |
| Surname:   | Forename:   |
| Student No:  | Date of Birth:  |
| Degree Programme:  | Module Lecturer:  |
| Module Title:  | Module Code:  |
| Coursework Title:  |   |
| Please indicate whether the coursework is individual work or group project work (Tick appropriate box)   | Individual Work: <input type="checkbox"/><br>Group Project Work: <input type="checkbox"/> |
| <b>STATEMENT OF ORIGINAL AUTHORSHIP</b>  |   |
| <b>I certify that this is my own work, except where otherwise indicated as collaborative work within a School/Faculty, and that use of material from other sources has been properly and fully acknowledged in the text. I have read the University's definition of Academic Misconduct, including plagiarism and the School's/Faculty's advice on good academic practice. I understand that the consequence of committing academic misconduct, if proven, may include failure. I also certify that neither this piece of work, nor any part of it, has been submitted in the same format in connection with another assessment.</b> |   |
| Signature:   | Date:   |

| COURSEWORK SUBMISSION FORM |  |
|----------------------------|--|
| For Office use             | Initials: _____ Date received: _____<br>Receipt stamp: _____ |

✂-----

| COURSEWORK SUBMISSION RECEIPT   |  |
|---|--|
| Coursework Title:   |  |
| <b>This part will be returned to you and should be retained as evidence of submission</b> |  |
| Student name:   | Student No:  |
| For Office use  | Initials: _____ Date received: _____<br>Receipt stamp: _____ |

# Code of Practice for Academic Misconduct

## Appendix 2: Faculty/School Allegation Letter

Ref: /<Stu No>  
<date>

### Private and Confidential

<student name>

By email only: <>@swansea.ac.uk and: <personal email address>

Dear <>,

### Re: Suspected Case of Academic Misconduct

I am writing to inform you that there is a prima facie case of academic misconduct against you in respect of:

<MODULE> (<> credits).

### Please find attached the following evidence considered by the School/Faculty:

< list all the evidence> The allegation is that <>.

This constitutes academic misconduct, as defined in Swansea University's Academic Procedure. This definition, together with further information regarding Swansea University's academic misconduct regulations, can be found on our [website](#).

### EITHER

You are invited to respond to this allegation in writing, outlining any facts and/or mitigating circumstances which you would like the School/Faculty to consider. Please also provide any relevant documentary evidence of facts and/or mitigating circumstances. Where you could have reported such circumstances to the School/Faculty, prior to their decision being made, those circumstances cannot subsequently be cited as grounds for review. You may also declare any other work which you would like the School/Faculty to take into consideration.

Please send your response to <> **by** <>. If the School/Faculty has not received a response from you by this date, your case will be determined on the evidence available.

# Code of Practice for Academic Misconduct

OR

You have the opportunity to respond to this allegation by attending an online meeting with the School's/Faculty's Academic Integrity Officers on <date> at <time>.

Zoom meeting details:

**Link:**

**Meeting ID:**

**Passcode:**

I would be grateful if you could confirm your attendance by contacting <> by <date>. You may be accompanied at the meeting by another member of Swansea University or a Students' Union representative (to include an advisor from the Students' Union Advice Centre; detailed below). Please note that a record of the meeting will be taken.

At this meeting you will be invited to respond to this allegation and to explain any mitigating circumstances which you would like the School/Faculty to consider. You are advised to have available any relevant documentary evidence of facts and/or mitigating circumstances. In order that all evidence can be provided to all parties before the date of the meeting, if there is any additional evidence that you would like to be considered, I would ask that you please send this to <> by <>. All evidence received will be circulated to the staff who will be in attendance prior to the meeting. **<IN COLLUSION CASES ALSO INCLUDE "and the other student(s)">**. Please note that the School/Faculty may refuse to consider any evidence received from you after this date.

You are also invited to respond to this allegation in writing, outlining any facts, additional evidence and/or mitigating circumstances which you would like the School/Faculty to consider. Please also provide any relevant documentary evidence of facts and/or mitigating circumstances. Where you could have reported such circumstances to the School/Faculty, prior to their decision being made, those circumstances cannot subsequently be cited as grounds for review. You may also declare any other work which you would like the School/Faculty to take into consideration.

If you fail to attend this meeting or contact the Faculty, your case will be determined on the evidence available.

\* \* \*

# Code of Practice for Academic Misconduct

Unfortunately, it is not possible to provide a specific timeline for the investigation; different factors (for example, complex cases, busy assessment periods) may impact on when you will receive your final outcome. However, we will endeavour to provide this as soon as possible. Please note that you will not receive a result for this assessment until the academic misconduct investigation is complete and this may also delay your progression or award decision. A further letter will be sent to you in due course, and you will also be notified of the review process if applicable.

If you require any advice or support during the academic misconduct investigation please contact the Students' Union Advice and Support Centre, which provides free, confidential and impartial advice and support to all students. You can contact them as follows:

- **Phone:** 01792 295821
- **Email:** [advice@swansea-union.co.uk](mailto:advice@swansea-union.co.uk)
- **Zoom drop-in:** Monday-Friday 9.30-12pm [Meeting Id 712 079 3003](#)

You are also advised to contact your **Personal Tutor** for further advice and support.

Additionally, the University offers a wide range of welfare and wellbeing support services that are available for all students to access. More information about these is available on the University website - please see links below:

- [Swansea University Students' Union](#)
- [Student Support Services](#)
- [Support and Wellbeing](#)

Yours sincerely,

<name>

**School/Faculty Academic Integrity Officer**

cc: [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk)

# Code of Practice for Academic Misconduct

## Appendix 3: Faculty/School Penalty Letter

Ref: /<Stu No>  
<date>

### Private and Confidential

<student name>

By email only: <>@swansea.ac.uk and: <personal email address>

Dear <>,

### Re: Academic Misconduct

I am writing to inform you that the School/Faculty Academic Integrity Officer(s) have now considered the allegation of academic misconduct against you, namely that you

<insert allegation>

Following consideration of all of the evidence presented, it has been decided that the allegation has been **substantiated**.

As this is a < first offence/simultaneous first offence/second offence >, the School/Faculty has decided to impose the following penalty:

<insert penalty option from regulations>

**I must warn you that if you are found guilty of academic misconduct on a further occasion, the likely penalty will be the cancellation of all marks for the level of study and you may be withdrawn from the University.**

You are required to meet with your <your Personal Tutor/Supervisor or insert any other relevant staff> to discuss the issue of academic misconduct and obtain guidance on how to avoid it in the future.

Please be advised that if you are registered with a professional, statutory or regulatory body, it is your responsibility to notify this professional body of the academic misconduct outcome, where appropriate. Additionally, if you are a sponsored student or a student on a professional programme, the University may be obliged to inform your sponsor of the outcome of this allegation.

# Code of Practice for Academic Misconduct

If you decide that you wish to request a review of this decision, you need to do so in writing by completing form a **Final Review** Application Form **within 14 working days of the date of this letter** in accordance with the University's Final Review Regulations. The form should be addressed to the Student Cases Office, and should be sent by email to [myunihub@swansea.ac.uk](mailto:myunihub@swansea.ac.uk).

The final review form, procedures and review grounds can be accessed from the University's [website](#).

**Please note that final reviews will only be considered based on the following grounds:**

- Irregularities in the conduct of the relevant procedures, which are of such a nature as to cause reasonable doubt whether the party/parties concerned would have reached the same decision had they not occurred.
- New evidence which was not made available to the party/parties concerned when the candidate's case was considered, and which can be shown to be relevant to the case. The student must show a compelling reason why such evidence was not made known prior to the decision being made. Where the student could have made the new evidence available prior to the decision being made, such evidence cannot subsequently be cited as grounds for review.
- That the decision reached was unreasonable on the information which had been available to the party/parties when the case was considered. To apply this ground the student must explain why no reasonable person could have reached the decision that was made.

If you require any advice or support following the academic misconduct investigation, please contact the [Students' Union Advice and Support Centre](#), which provides free, confidential and impartial advice and support to all students. You can contact them to request an appointment as follows:

- **Phone:** 01792 295821
- **Email:** [advice@swansea-union.co.uk](mailto:advice@swansea-union.co.uk)
- **Zoom drop-in:** Monday-Friday 9.30-12pm [Meeting Id 712 079 3003](#)

The University offers a range of academic support services and a suite of online courses which aim to support students with their studies. You are strongly advised to access this support in order to avoid academic misconduct in the future. These resources include:

- [The Centre for Academic Success \(CAS\)](#)
- [Support from subject librarians](#) which includes help with referencing
- Academic Success: Skills for Learning, Skills for Life online course (see [Course 3 – Academic Integrity](#)):

# Code of Practice for Academic Misconduct

You can access the online Academic Success course by following the link above or through Canvas. If you have already completed the course, you may wish to re-visit it. The full course takes approximately an hour to complete.

Following completion of the self-directed learning, there is a **short online quiz**, which will assess your level of understanding of the learning material. This should take about five minutes and you can revisit the training material and retake the quiz as many times as you wish.

There is also a link to a **feedback questionnaire** on this site which we would be grateful if you could complete. It will only take 5 minutes and will be anonymous. The data gathered will be used for statistical purposes to provide the University with an evaluation of the course content. We respect the privacy of those taking part and, as such, individual responses are confidential and at no point will students be identified.

Additionally, the University offers a wide range of welfare and wellbeing support services that are available for all students to access. More information about these is available on the University website - please see links below:

- [Swansea University Students' Union](#)
- [Student Support Services](#)
- [Support and Wellbeing](#)

Yours sincerely,

<name>

**School/Faculty Academic Integrity Officer**

cc: [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk)



# Code of Practice for Academic Misconduct

## Appendix 4: Unsubstantiated Letter

Ref: /<Stu No>  
<date>

### Private and Confidential

<student name>

By email only: <>@swansea.ac.uk and: <personal email address>

Dear <>,

### Re: Academic Misconduct

I am writing to inform you that the School/Faculty Academic Integrity Officer(s) have now considered the allegation of academic misconduct against you, namely that you

<insert allegation>

Following consideration of all the evidence presented, it has been decided that the allegation has been **unsubstantiated**. No further action will be taken against you with regard to this alleged academic misconduct, nor will a record of this allegation be held on your file.

I would like to advise you that this case was brought to our attention and investigated because your lecturer had concerns regarding your submission. You are strongly advised to access the resources and support offered by the University aimed at improving students' study studies and helping them avoid academic misconduct. These resources include:

- [The Centre for Academic Success \(CAS\)](#)
- [Support from subject librarians](#) which includes help with referencing
- Academic Success: Skills for Learning, Skills for Life online course (see [Course 3 – Academic Integrity](#)):

You can access the online Academic Success course by following the link above or through Canvas. If you have already completed the course, you may wish to re-visit it. The full course takes approximately an hour to complete.

# Code of Practice for Academic Misconduct

Following completion of the self-directed learning, there is a **short online quiz**, which will assess your level of understanding of the learning material. This should take about five minutes and you can revisit the training material and retake the quiz as many times as you wish.

There is also a link to a **feedback questionnaire** on this site which we would be grateful if you could complete. It will only take 5 minutes and will be anonymous. The data gathered will be

used for statistical purposes to provide the University with an evaluation of the course content. We respect the privacy of those taking part and, as such, individual responses are confidential and at no point will students be identified.

Additionally, the University offers a wide range of welfare and wellbeing support services that are available for all students to access. More information about these is available on the University website - please see links below:

- [Swansea University Students' Union](#)
- [Student Support Services](#)
- [Support and Wellbeing](#)

Yours sincerely,

<name>

**School/Faculty Academic Integrity Officer**

cc: [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk)



# Code of Practice for Academic Misconduct

## Appendix 5: Referral to University Academic Integrity Lead Letter

Ref: /<Stu No>  
<date>

### Private and Confidential

<student name>

By email only: <>@swansea.ac.uk and: <personal email address>

Dear <>,

### Re: Suspected Case of Academic Misconduct

I am writing to inform you that there is a suspected case of academic misconduct against you in respect of **<MODULE> (<> credits)**. The allegation referred to the University Academic Integrity Lead is that:

<allegation>

This constitutes academic misconduct, as defined in Swansea University's Academic Procedure. This definition, together with further information regarding Swansea University's academic misconduct regulations, can be found on our [website](#).

<Due to the seriousness of this allegation/As this case involves a research degree offence/As this case involves an examination offence >, your case has been referred to the University's Academic Integrity Lead. If the University Academic Integrity Lead confirms that there is a prima facie case of academic misconduct against you, arrangements will be made for the hearing of your case. A letter confirming the date of the hearing and copies of the evidence will be forwarded to you in due course.

If you require any advice or support during the academic misconduct investigation please contact the [Students' Union Advice and Support Centre](#), which provides free, confidential and impartial advice and support to all students. You can contact them as follows:

# Code of Practice for Academic Misconduct

- **Phone:** 01792 295821
- **Email:** [advice@swansea-union.co.uk](mailto:advice@swansea-union.co.uk)
- **Zoom drop-in:** Monday-Friday 9.30-12pm [Meeting Id 712 079 3003](#)

You are also advised to contact your Personal Tutor for further advice and support.

Additionally, the University offers a wide range of welfare and wellbeing support services that are available for all students to access. More information about these is available on the University website - please see links below:

- [Swansea University Students' Union](#)
- [Student Support Services](#)
- [Support and Wellbeing](#)

Yours sincerely,

<name>

**School/Faculty Academic Integrity Officer**

cc: [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk)

Mrs Andrea Watkins, Education Services



# Code of Practice for Academic Misconduct

## Appendix 6: Academic Integrity Viva Letter

Ref: /<Stu No>  
<date>

### Private and Confidential

<student name>  
By email only: <>@swansea.ac.uk and: <personal email address>

Dear <>,

### Academic Integrity Viva

I am writing to inform you that you are required to attend an academic integrity viva. There are some concerns relating to the <assignment> you submitted for **module <>**. Please find attached the assignment you submitted to your School/Faculty.

Your School/Faculty are concerned that there may be elements of academic misconduct within your work, and wish to test your knowledge of the work you have submitted. The definition of academic misconduct, together with further information regarding Swansea University's academic misconduct regulations, can be found on our [website](#).

As part of the investigation process, and in accordance with the University's procedures, the School/Faculty has decided to hold an academic integrity viva during which you will be questioned on aspects of your work.

You are required to attend an online meeting with the School/Faculty on **<day date>** at **<time>**.

Zoom Details

**Link:**  
**Meeting ID:**  
**Passcode:**

I would be grateful if you can confirm your attendance by contacting <name> by **<date>**.

Please bring with you any evidence of preparatory work relating to your work such as drafts, sources or feedback. If you have received any third party assistance with your work (e.g. you

# Code of Practice for Academic Misconduct

have used a proof reader) you are advised to bring with you a copy of the original unamended work. This will assist the Panel in assessing the extent to which amendments have impacted on the quality of the work.

You may be accompanied by a friend or representative from the [Students' Union Advice and Support Centre](#), which provides free, confidential and impartial advice and support to all students. You can contact them as follows:

- **Phone:** 01792 295821
- **Email:** [advice@swansea-union.co.uk](mailto:advice@swansea-union.co.uk)
- **Zoom drop-in:** Monday-Friday 9.30-12pm [Meeting Id 712 079 3003](#)

You are also advised to contact your **Personal Tutor** for further advice and support.

Additionally, the University offers a wide range of welfare and wellbeing support services that are available for all students to access. More information about these is available on the University website - please see links below:

- [Swansea University Students' Union](#)
- [Student Support Services](#)
- [Support and Wellbeing](#)

(If you are unable to attend the viva it may be possible to reschedule the meeting. Please contact <> as soon as possible to discuss this option Please note that failure to attend the academic integrity viva, without good reason, may result in inferences being drawn in relation to your case.

Based on the academic integrity viva, the School/Faculty will decide whether to pursue the issue further and will advise you of the outcome of this decision in due course.

Yours sincerely,

<name>  
**School/Faculty Academic Integrity Officer**

cc: [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk)

# Code of Practice for Academic Misconduct

## Appendix 7: School Case Report

Please note that cases will normally be completed within **90 days** of the allegation being made.

|  |                              |                             |
|--|------------------------------|-----------------------------|
| School/Faculty _____<br><b>ACADEMIC MISCONDUCT CASE REPORT</b><br>Sections A-D to be completed by first Academic Integrity Officer; sections E-G by second AIO   |                              |                             |
| <b>SECTION A: Student details</b>  |                              |                             |
| <b>Full name:</b>  | <b>Student number:</b>       |                             |
| <b>Level / year of study:</b>  | <b>Date of case:</b>         |                             |
| <b>Degree programme:</b>   |                              |                             |
| <b>Module(s) affected:</b>   |                              |                             |
| <b>Assessment type</b> (please select):<br>Coursework / non-proctored online exam <input type="checkbox"/><br>School/Faculty invigilated in-class test <input type="checkbox"/>  |                              |                             |
| <b>SECTION B: Allegation – please state in full</b>  |                              |                             |
|  |                              |                             |
| <b>SECTION C: Initial stages</b>   |                              |                             |
| Reported by (name of staff member):  |                              |                             |
| Prima facie case determined by 1 <sup>st</sup> Academic Integrity Officer:   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Previous offences:   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Student contacted:   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Written response received from student (if so attach):   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Student interviewed / record of meeting (if so attach record):   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| <b>Notes of meeting</b> (please record date, attendees, student's reply to allegation, any mitigating circumstances and a list of any evidence provided by the student in relation to the allegation and/or mitigating circumstances):<br><br> |                              |                             |

# Code of Practice for Academic Misconduct

| SECTION D: Recommendations of 1 <sup>st</sup> Academic Integrity Officer (detail or attach)  |  |
|--|--|
|  |  |
| SECTION E: Case outcome determined by 2 <sup>nd</sup> Academic Integrity Officer   |  |
| Substantiated <input type="checkbox"/>   | Unsubstantiated <input type="checkbox"/> |
| Detail reasons for finding allegation substantiated (where applicable):  |  |
|  |  |
| SECTION F: List any mitigating circumstances and whether these are evidenced and accepted (including reasons for decision); see attached guidance  |  |
|  |  |
| SECTION G: Penalty (if substantiated) determined by 2 <sup>nd</sup> Academic Integrity Officer   |  |
| Written reprimand and the plagiarised text to be ignored when marking, resulting in reduced mark   | <input type="checkbox"/>                 |
| 0% for assignment (please specify the component as it appears on the assessment system e.g. CW1)   | <input type="checkbox"/>                 |
| 0% for the module component(s)   | <input type="checkbox"/>                 |
| 0% for module  | <input type="checkbox"/>                 |
| 0% for level of study (this penalty is available for <b>second offence</b> cases only)   | <input type="checkbox"/>                 |
| Other (please specify)   | <input type="checkbox"/>                 |
| Fail, with a right of resubmission (directed independent learning only)  | <input type="checkbox"/>                 |
| Fail, with no right of resubmission (directed independent learning only)   | <input type="checkbox"/>                 |
| Detail reasons for decision as to penalty (e.g., relevant aggravating and mitigating factors)  |  |
| <b>Severity of plagiarism offence (if applicable); please note recommended penalties within table attached</b>   | <input type="checkbox"/>                 |
| Minor plagiarism to include where the amount of the work affected was small and/or it is early in the student's academic career or there is well-founded reason to suppose that the student did not understand the academic conventions  | <input type="checkbox"/>                 |
| Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance  | <input type="checkbox"/>                 |
| Plagiarism from published work not listed in the bibliography or large sections of plagiarised text in the work with the source listed in the bibliography; unauthorised collusion with another student; falsification of data which is substantial in extent or importance and where the data forms the basis of the conclusion/knowledge | <input type="checkbox"/>                 |
| Directed independent learning-minor academic misconduct which does not affect the substance of the research  | <input type="checkbox"/>                 |

# Code of Practice for Academic Misconduct

|  |                          |
|--|--------------------------|
| Directed Independent learning Major act of academic misconduct e.g., substantial sections of the thesis are copied from another source, or statistics are fabricated/copied  | <input type="checkbox"/> |
| <b>Reasons for decision on penalty, taking into account the recommended penalties within the table attached</b> (list reasons for deviating from recommended penalty, i.e., academic level, mitigating circumstances, aggravating features, weighting of the assessment within module, etc.) |                          |
| Signed by (2 <sup>nd</sup> AIO Officer):   | Date:                    |

Completed form must be sent to [academicintegrity@swansea.ac.uk](mailto:academicintegrity@swansea.ac.uk) with any attached documents e.g. referral of suspected academic misconduct form (if applicable); letters sent to student; documents relevant to case (i.e. Turnitin reports). Student representations shall be retained by the School/Faculty and will be requested by Education Services in the event of a Final Review.

Extracts from the Code of Practice for dealing with Cases of Academic Misconduct 2022/23

## Mitigating Circumstances

Mitigating circumstances may be taken into account. The University does not accept a student's medical or personal circumstances as an excuse/reason for academic misconduct. However, the bodies responsible for imposing penalties for academic misconduct are obliged to consider whether the penalty should be mitigated in the light of personal or medical circumstances.

Candidates raising mitigating circumstances must provide evidence in support of the circumstances and provide clarity on their effect. Where a candidate could have reported such circumstances to the School/Faculty prior to the decision being made, those circumstances cannot subsequently be cited as grounds for review.

Committees/Schools/Faculties should be convinced that the mitigating circumstances have a direct bearing on the case and, in particular, influenced the action(s) of the student concerned, for example severe mental health problems where a student's capacity for rational judgement has been severely impaired. In cases where a student has been found to have committed academic misconduct and was experiencing difficult medical or personal circumstances which were beyond their control and are judged to have contributed to their committing of the offence, the body responsible for considering the case is required to take due account of the circumstances in determining the penalty for the offence. Circumstances such as family pressure, anxiety about assessments and short-term illness shall not normally be considered.

# Code of Practice for Academic Misconduct

Please find below an example of how mitigating circumstances may be taken into account when determining a penalty and recorded on the case report:

- Student informed School AIO that they had experienced a depressive episode during the lead up to the assignment submission deadline and provided a copy of recent a GP's letter confirming that this was the case. AIO accepted that student's mental health condition had affected their judgment and decided to award a lower penalty in light of the mitigating circumstances.

## Deviation from the recommended penalty

Penalties are normally awarded in line with the recommended University penalties. Where a School/Faculty deviates from the recommended penalty a full explanation for the reason for the penalty applied should be included in the case report/minutes.

**Table of Standard Penalties under non-examination conditions**

| Allegation/Offence                   | Illustrative Example  | Penalty   | Dealt with by      |
|--------------------------------------|---|---|--------------------|
| 1st allegation (no previous offence) | Minor plagiarism where the amount of work affected was small and/or it is early in the student's academic career or there is well-founded reason to suppose that the student did not understand the academic conventions.   | Written warning or written warning and plagiarised text to be ignored when marking, resulting in a reduced mark | School/<br>Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.  | Mark of 0% for the assignment   | School/<br>Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.  | Mark of 0% for the module component(s)  | School/<br>Faculty |
| 1st allegation (no previous offence) | Plagiarism from published work not listed in the bibliography or large sections of plagiarised text in the work with the source listed in the bibliography; unauthorised collusion with another student; falsification of data which is substantial in extent or importance and where the data forms the basis of the conclusion/knowledge. | Mark of 0% for the module as a whole  | School/<br>Faculty |

# Code of Practice for Academic Misconduct

| Allegation/Offence                   | Illustrative Example  | Penalty   | Dealt with by  |
|--------------------------------------|---|---|--|
| 1st allegation (no previous offence) | Large or substantial texts plagiarised in more than one assignment/module; misrepresentation or falsification of data which is major in extent or importance; commissioning another (person or system) to prepare the work on the student's behalf with no evidence of submission.  | Mark of 0% for the level of study   | Committee  |
| 1st allegation (no previous offence) | Commissioning another (person or system) to prepare the work on the student's behalf with evidence of submission.<br><br>Falsification/forgery of University documents; use of essay writing companies (purchased or unpurchased work); fabrication of data.  | Mark of 0% for the level of study and disqualification                        | Committee  |
| 2nd allegation (previous offence)    | Minor Plagiarism from published work listed in the bibliography or minor amounts from a source not listed in the bibliography; misrepresentation of data which is of minor importance.<br><br>Plagiarism from published work not listed in the bibliography or large sections of plagiarised text in the work with the source listed in the bibliography; unauthorised collusion with another student; falsification of data which is substantial in extent or importance and where the data forms the basis of the conclusion/knowledge. | Mark of 0% for the module as a whole<br><br>Mark of 0% for the level of study | School/<br>Faculty                                   |
| 2nd allegation (previous offence)    | Large or substantial texts plagiarised in more than one assignment/module; misrepresentation or falsification of data which is major in extent or importance.<br><br>Commissioning another (person or system) to prepare the work on the student's behalf, with or without evidence of submission.<br><br>Falsification/forgery of University documents; use of essay writing companies (purchased or unpurchased work); fabrication of data.   | Mark of 0% for the level of study and disqualification                        | School/<br>Faculty<br><br>Committee<br><br>Committee |
| 3rd allegation (previous offence)    | Any third offence   | Mark of 0% for the level of study and disqualification                        | School/<br>Faculty/<br>Committee                     |

# Code of Practice for Academic Misconduct

## Appendix 8: Referral Pro Forma

### ALLEGATION OF ACADEMIC MISCONDUCT REFERRAL TO UNIVERSITY ACADEMIC INTEGRITY LEAD / COMMITTEE OF ENQUIRY

|   |                          |                |
|---|--------------------------|----------------|
| Student Surname:  | First Names:             | Student ID No. |
| School/Faculty:   |                          | Programme:     |
| Level:  |                          |                |
| Module(s)(including module code(s), and percentage of assessment:   |                          |                |
| <b><u>INFORMATION ON ACADEMIC MISCONDUCT</u></b>  |                          |                |
| <i>Information relating to academic misconduct procedures, regulations and penalties and referencing given to students in (please tick as appropriate):</i> |                          |                |
| School/Faculty Handbook   | <input type="checkbox"/> |                |
| Canvas site   | <input type="checkbox"/> |                |
| Induction   | <input type="checkbox"/> |                |
| Coursework submission sheet/declaration   | <input type="checkbox"/> |                |
| Other(please specify)   |                          |                |
| <i>Specific information was also provided in:</i>   |                          |                |
| The coursework question sheet   | <input type="checkbox"/> |                |
| The module Canvas page  | <input type="checkbox"/> |                |
| Email to all students on the module   | <input type="checkbox"/> |                |
| Other (please specify)  |                          |                |

#### **Summary of the allegation**

#### **Details of the allegation**

Copies of the following must be supplied with this report where appropriate:

- Essay/Coursework question/brief/guidelines
- Coursework/Essay (marked up, identifying problematic areas)
- Turnitin report and copy of main sources
- Copy of coursework submission declaration signed by student
- Other information (please list)

Signature:

Date:

# Code of Practice for Academic Misconduct

## Appendix 9: Final Review Form

AR1RD-2-BI

| <b>FINAL REVIEW APPLICATION FORM</b><br><b>FFURFLEN GAIS AR GYFER ADOLYGIAD TERFYNOL</b>   |  |
|--|--|
| <p>This form is only to be used when requesting a final review against the decisions of a Committee of Enquiry (including Academic Misconduct Boards) or final determinations under the Academic Appeal Regulations, Disciplinary Procedures and Complaints Procedures. You are advised to read the Final Review Procedures [accessible via the Online Guide or available from Education Services] before completing this form.<br/> <i>If you wish to appeal against the decision of the Examination Board or one of its sub-committees please complete the 'Request for Appeal' form and refer to the Academic Appeal Regulations.</i></p> <p>Dylid defnyddio'r ffurflen hon wrth wneud cais am adolygiad terfynol yn erbyn penderfyniadau gan Bwyllgor Ymchwilio (gan gynnwys Byrddau Arferion Annheg) neu benderfyniadau terfynol dan y Rheoliadau Apeliadau Academaidd, Gweithdrefnau Disgyblu a Gweithdrefnau Cwyno yn unig. Fe'ch cynghorir i ddarllen y Gweithdrefnau Adolygiadau Terfynol [sydd ar gael drwy'r Canllaw Ar-lein neu sydd ar gael gan y Gofrestrfa Academaidd] cyn cwblhau'r ffurflen hon. Os ydych yn dymuno apelio yn erbyn penderfyniad y Bwrdd Arholi neu un o'i is-bwyllgorau, cwblhewch y ffurflen 'Cais am Apêl' a gweler y Rheoliadau Apeliadau Academaidd.</p> |  |
| <b>SECTION A / ADRAN A (Personal Details / Manylion Personol)</b>  |  |
| Name in full / Enw'n llawn:  | Student Number / Rhif Myfyriwr:  |
| Address / Cyfeiriad:   |  |
| Contact Telephone Number / Rhif Ffôn Cyswllt:  |  |
| Contact Email Address / Cyfeiriad E-bost Cyswllt:  |  |
| School/Faculty / Ysgol/Cyfadran:   | Programme of Study or Research / Rhaglen Astudio neu Ymchwil:                      |
| Level or Year of Study / Lefel neu Flwyddyn Astudio:   | Decision you wish to be reviewed / Y Penderfyniad yr hoffech iddo gael ei adolygu: |
| <b>SECTION B / ADRAN B (Grounds for Review / Rhesymau ar gyfer yr Adolygiad)</b>   |  |
| <p>Requests for final reviews should be based upon one or more of the following grounds; please indicate with a cross which of the following grounds your review is based on / Dylai ceisiadau am adolygiadau terfynol fod yn seiliedig ar un neu fwy o'r rhesymau canlynol. Rhowch groes i ddyodi ar ba reswm neu resymau o blith y canlynol y mae'ch cais am adolygiad yn seiliedig:</p>   |  |
| Irregularities in the conduct of the relevant procedures, which are of such a nature as to cause reasonable doubt as to whether the party/parties concerned would have reached the same decision had they not occurred / Anghysonderau wrth weithredu'r gweithdrefnau perthnasol, sydd o'r fath natur fel eu bod yn codi amheuaeth resymol a fyddai'r parti/partion dan sylw wedi dod i'r un penderfyniad pe na baent wedi digwydd   | <input type="checkbox"/>   |
| New evidence which was not made available to the party/parties concerned when the candidate's case was considered and which can be shown to be relevant to the case. The student must show a compelling reason why such evidence was not made known prior to the decision being made. Where the student could have made the new evidence available prior to the decision being made, such evidence cannot subsequently be cited as grounds for review / Tystiolaeth newydd na chyflwynwyd i'r parti/partion dan sylw pan ystyriwyd achos yr ymgeisydd ac y gellir dangos ei fod yn berthnasol i'r achos. Rhaid i'r myfyriwr ddangos rheswm anorchfygol paham na roddwyd gwybod am y dystiolaeth hon cyn i'r penderfyniad gael ei wneud. Pan fyddai ymgeisydd wedi gallu rhoi gwybod am y dystiolaeth newydd cyn i'r penderfyniad gael ei wneud, ni ellir cyfeirio at dystiolaeth o'r fath yn ddiweddarach fel rheswm dros adolygiad  | <input type="checkbox"/>   |

# Code of Practice for Academic Misconduct

|  |                          |
|--|--------------------------|
| <p>That the decision reached was unreasonable based on the information which had been available to the party/parties when the case was considered. To apply this ground the student must explain why no reasonable person could have reached the decision that was made / Fod y penderfyniad a wnaed yn afresymol o ystyried yr wybodaeth oedd ar gael i'r parti/partïon pan ystyriwyd yr achos. Os yw'r myfyriwr yn defnyddio'r sail hwn mae rhaid iddo eiddo efiddi hi esbonio pam na fyddai unrhyw unigolyn rhesymol wedi gallu dod i'r penderfyniad a gafodd ei wneud.</p>   | <input type="checkbox"/> |
| <b>SECTION C / ADRAN C (Additional Information / Gwybodaeth Ychwanegol)</b>  |                          |
| <p>Please provide details as to why you are requesting a final review on one or more of the grounds mentioned above, including why you consider the final decision of the University to be unsatisfactory to you (Please continue on a separate sheet if required) / Rhowch fanylion i nodi pam eich bod yn gwneud cais ar gyfer adolygiad terfynol ar sail un neu fwy o'r rhesymau a grybwyllwyd uchod, gan gynnwys pam eich bod yn ystyried bod penderfyniad terfynol y Brifysgol yn anfoddhaol (Gallwch barhau ar ddalen ar wahân os oes angen)</p>   |                          |
| <b>SECTION D / ADRAN D (Outcome of your final review/ Canlyniad eich adolygiad terfynol)</b>   |                          |
| <p>What would be the preferred outcome of your final review / Pa ganlyniad fydddech yn dymuno'i gael ar ddiwedd eich adolygiad terfynol?</p>   |                          |
| <b>SECTION E / ADRAN E</b>   |                          |
| <p>Please submit the following documents in support / Cyflwynwch y dogfennau canlynol i ategu eich cais :</p> <ol style="list-style-type: none"> <li>1. A chronology listing in date order all letters, phone calls and meetings that are relevant to your final review request / Rhestr gronolegol yn nhrefn dyddiadau o'r holl lythyrau, galwadau ffôn a chyfarfodydd sy'n berthnasol i'ch cais am adolygiad terfynol.</li> <li>2. A copy of all relevant correspondence and other documentation (please ensure the information is complete) / Copi o'r holl ohebiaeth a dogfennaeth arall berthnasol (Sicrhewch fod yr wybodaeth yn gyflawn)</li> </ol> <p>Please keep a copy of this form and the documents you send. Do not send original documents. / Cadwch gopi o'r ffurflen hon a'r dogfennau a anfonwch. Peidiwch ag anfon dogfennau gwreiddiol.</p> |                          |
| <b>DECLARATION / DATGANIAD</b>   |                          |
| <p><b>I declare that, to the best of my knowledge, all the information I have supplied/attached with this form is true, accurate and complete and acknowledge that the submission of fraudulent information could lead to the University taking disciplinary action.</b><br/>Yr wyf yn datgan bod yr holl wybodaeth yr wyf wedi'i darparu ar/ei hatodi wrth y ffurflen hon, hyd y gwn i, yn wir, yn gywir ac yn gyflawn ac yr wyf yn cydnabod y gallai cyflwyno gwybodaeth dwyllo drus arwain at gamau disgyblu gan y Brifysgol.</p> <p><b>I give my consent for this information to be circulated to the relevant members of staff for the purpose of investigating my Final Review.</b><br/>Yr wyf yn rhoi caniatâd i'r wybodaeth hon gael ei chylchredeg ymhlith yr aelodau o staff perthnasol at ddibenion ymchwilio i'm Hadolygiad Terfynol.</p>          |                          |
| <p>Signed / Llofnod:</p>   | <p>Date / Dyddiad:</p>   |

# Code of Practice for Academic Misconduct

When completed, this form should be sent via email to [myunihub@swansea.ac.uk](mailto:myunihub@swansea.ac.uk)  
Advice for Final Reviews is available, free of charge, from the Students' Union Advice Centre,  
Ground Floor, Fulton House. Please telephone (01792) 295821 for an appointment.

If you do access support from the Students' Union Advice Centre, please tick the box if you wish  
the Advice Centre to be notified of the outcome of your Final Review.

Mae cyngor ynghylch Adolygiadau Terfynol ar gael, am ddim, o Ganolfan Gyngori Undeb y  
Myfyrwyr, Llawr Gwaelod, T Fulton. Ffoniwch (01792) 295821 i drefnu apwyntiad.

Os ydych wedi cael cefnogaeth gan Ganolfan Gyngori Undeb y Myfyrwyr, ticiwch y blwch  
isod os ydych yn dymuno i'r Ganolfan Gyngori gael gwybod canlyniad eich Adolygiad  
Terfynol.



# Code of Practice for Academic Misconduct

## Appendix 10: Academic Integrity Officers FAQs

### I am new in the role of Academic Integrity Officer, where can I get help/advice?

If you are new to the role you should as a minimum:

- Read the Code of Practice on Academic Misconduct (available from Education Services)
- Request access to the Canvas page for AIOs from Education Services (<https://canvas.swansea.ac.uk/courses/43174>)

Read through the University [Academic Misconduct procedure](#).

You could also:

- Meet with other Academic Integrity Officers in your School/Faculty, Education Services or the University Academic Integrity Lead.
- Ask for advice from other School/Faculty Officers, Education Services or the University Academic Integrity Lead;
- Attend annual training events.

### What do I need to do when I receive a case?

- Determine whether a prima facie case exists or not.
- Check with Education Services for previous cases involving the same student or students. Please note that this is essential; not only do we confirm if there are previous cases, but we also record any cases you inform us of. This is particularly important during the assessment periods as this information is used to inform Examination Boards. If a case is not pursued/unsubstantiated we can reflect this in our records.
- If it is the student's first or second (for plagiarism or collusion), you should process the case. For third or subsequent cases, if the plagiarism/collusion is considered minor, they can be dealt with by the School/Faculty (major cases can be referred to the University Academic Integrity Lead via Education Services). All commissioning cases and research theses should also be referred to the University Academic Integrity Lead.
- If you feel a case exists, you should write to the student, using the templates provided in the Code of Practice. You must ensure the allegation is clear and provide the student with copies of any evidence. You may ask the student to respond in writing or attend an interview with you and other staff members, depending on your School/Faculty policy and the nature of the case. Set a deadline for the student to respond to your letter, normally 1-2 weeks.

# Code of Practice for Academic Misconduct

- If the student does not respond or does not wish to provide a response or attend a meeting, you should proceed with the investigation anyway.
- If you need to hold any additional meetings with the student or request further information, you may do so, but the student should be informed that they have the right to be accompanied by a representative from the Students' Union Advice Centre and/or seek advice from them.
- Following any interview/reply from the student, you should decide whether a case of academic misconduct exists.
- Where there is no case, please inform the student and Education Services. Where a case does exist, please forward to it the second AIO who will determine the outcome and, if appropriate, issue a penalty in accordance with the guidelines given in the Code of Practice on Academic Misconduct.
- Ensure that the case report is completed in full and forwarded to Education Services.

## **What if I receive a case and there is not enough evidence/information attached for me to make a decision?**

You should refer the case back to the member of staff concerned, asking for the additional information. You are not expected to gather the information yourself.

## **What if a member of staff feels that a piece of work is not the student's own but the Turnitin report does not identify plagiarism?**

You could advise the member of staff to look for unusual formatting, styles or referencing. It is possible that the student may not have written it themselves. You could also advise that the student be given a viva (see Code of Practice on Academic Misconduct).

## **What if I have all the evidence but still feel unsure about whether to go ahead with a case?**

Please seek a second opinion, either from the other Academic Integrity Officers in your School/Faculty, Education Services or the University Academic Integrity Lead.

## **What should I do if a student wants to see me or asks me to help?**

We would always encourage staff to meet with students if they feel that they require further information regarding the case and what they need to do. Sometimes students will ask for help putting their submission together. In such cases, they should be encouraged to speak with the Students' Union Advice Centre who have experience in helping students with academic misconduct issues.

# Code of Practice for Academic Misconduct

They are located in Fulton House. Students should be encouraged to visit them as soon as possible, especially during the May/June period when they can be very busy dealing with a variety of student cases.

## Turnitin Questions

### **Is there a minimum percentage match for cases?**

No, there is no minimum or University guideline regarding the percentage match, as it is felt that this may be misleading.

### **Do I need to have print outs of all the sources identified in the report?**

No; in general, it is enough to identify that the work is not the student's own. Turnitin matches to the primary source(s) containing any plagiarised text and it is therefore possible that the student did not actually use the source identified. The report merely shows that the student is unlikely to have produced the text themselves. The exception to this is where Turnitin matches another student's work.

### **Do I need to obtain a copy of a source if it matches another student's submission?**

Yes; we would recommend that you do, especially where the work matches submissions at Swansea. This is in order that we can rule out self-plagiarism which is not recognised under our regulations. However, it will only be made available if the staff member concerned (usually the module co-ordinator) agrees to this – Turnitin will send a copy of the paper by email to them. If that lecturer gives consent, Turnitin will release the content to the member of staff requesting it. This same process applies whether it is a paper at another institution or a paper in Swansea.

### **What if I receive a request from someone inside/outside the university?**

It is recommended that you comply, unless there is a compelling reason not to. You are advised to remove any details identifying the student.

### **Do I need a student's permission to release a paper?**

No, but you should remove any information which identifies the student.

# Code of Practice for Academic Misconduct

## University Cases and Committees of Enquiry

### Will I be involved in University Committees?

Normally cases are referred to the University Academic Integrity Lead and they will confirm and process the case. University Committees are then set up by Education Services. You may be asked to provide additional information on any case concerning a student in your School/Faculty.

In addition, you may also be asked to serve on Committees where there are no students from your School/Faculty being dealt with. If it is your first time, we will ensure that the other two members of the Committee are experienced and will normally give you a copy of the Chair's notes which detail the format of the hearing. Education Services staff are also happy to meet with you beforehand and go through any questions or concerns you may have.

### If I am called as a witness what should I expect?

Unfortunately, if there are a number of cases scheduled that day you may experience a wait before you are called to give evidence. After the Committee informs the student of the allegation, the University Academic Integrity Lead will outline the case against the student and will call you as their witness. This may involve outlining how the case was discovered, what information students are given regarding academic misconduct, the weighting of the assignment in question, etc. You may be able to leave after this (depending on whether there are any more cases from your School/Faculty being heard), or the Committee may ask you to remain to answer any additional questions. If the student has a prior offence, you are reminded that, in accordance with the procedures, the Committee should not be told of prior offences until they have decided whether the case is substantiated. At this point, the Committee will be informed of any prior offences by the Committee Secretary.

### What if I am called as a witness and cannot attend at that time/date?

We appreciate that due to the number of people involved, not everyone will be able to attend the hearing. If you cannot attend the hearing, you will normally be asked if another Academic Integrity Officer can attend from the School/Faculty (if appropriate) or be given the chance to send additional information in writing.

# Code of Practice for Academic Misconduct

## Review of Decisions

### What can a student do if they are unhappy with the outcome of the case?

All students have the right to request a Final Review of the decision. They must submit this in writing to the Director of Education Services (using the proforma online) within 14 days of the result. Students requiring help with the process are encouraged to speak with the Students' Union Advice Centre.

### Will I be involved in the Review?

The School/Faculty will be asked to supply the full documentation relating to the case. It is possible that you may also be asked to respond to specific questions. For example, any new circumstances may be brought to your attention and you could be asked whether these would have impacted on the outcome of the case had you been aware of them at the time.

### What will I be expected to do?

You will be expected to respond to any questions raised and supply any documentation required. It is therefore essential that the case report includes as much information as possible.

## Feedback on the regulations and role

### What should I do if I want to feedback on the role/regulations?

You should submit any feedback to Education Services or the University Academic Integrity Lead at any point during the academic year. In addition, you will be encouraged to raise any issue at the annual training days.

### What if I have any questions relating to the regulations/procedures?

Please contact Education Services. Contact details are contained the Code of Practice on Academic Misconduct.



# Code of Practice for Academic Misconduct

## Appendix 11: Referral of suspected academic misconduct to school AIO

### Referral of Suspected Academic Misconduct

Marker/Module convenor to complete details below and forward to .....  
(School/Faculty Academic Integrity Officer/ Academic Integrity Manager)

| Section 1:          |          |  |                    |
|---------------------|----------|--|--------------------|
| <b>Module Code:</b> |          | Submission Date of Assignment on Canvas: |                    |
| <b>Staff Name:</b>  |          | <b>Date:</b>                             |                    |
| Student ID:         | Surname: | Forename(s):                             | Turnitin Paper ID: |
|                     |          |  |                    |

| Section 2:  |   |
|---|---|
| Details of Allegation   |   |
| Do you consider that the student has plagiarised, colluded or commissioned work? Please state which:  |   |
| Percentage of similarity as indicated on Turnitin:  | % |
| Main reasons and sources of concern (e.g. copied verbatim from unknown sources) and their location in the text (e.g. first page, section named "...", etc.):  |   |
|   |   |
| <p><b>PLAGIARISM</b> can be defined as using, without acknowledgement, another person's work and submitting it for assessment as though it were their own, e.g. through copying or unacknowledged paraphrasing. Poor referencing can lead to unintentional plagiarism; however, whether it is intentional or unintentional, it still constitutes plagiarism. Please note that in the case of <u>self-plagiarism</u>, i.e. student used work that they have previously submitted for another assignment, then this is not deemed to be academic misconduct in the formal sense. Self-plagiarism is considered poor practice and as such should be addressed through the marking process.</p> <p><b>COLLUSION</b> is defined as two or more students (or other persons) working together without prior authorisation in order to gain an unfair advantage, producing the same or a similar piece of work and then attempting to present this work as entirely their own. Allied to this is <b>COMMISSIONING</b> – which is the act of paying for, or arranging for, another to produce a piece of work which is then submitted for assessment as though it were the student's own work.</p> |   |

| In the case of collusion, please list below the details of the other students potentially involved: |         |                   |
|---|---------|-------------------|
| Student ID  | Surname | Turnitin Paper ID |
|   |         |                   |
|   |         |                   |
|   |         |                   |
|   |         |                   |

