

1. Appendix 1: Penalty framework for Phase 1 of Professional Doctorate Courses

	Characteristics of case	Recommended Penalty	Category
3	This is the first time the doctoral candidate has committed academic irregularity ¹ . The extent of academic irregularity is a relatively 'small' proportion or is of 'limited significance'.	The grade for the assessment ² is pass, with a formal written warning to the doctoral candidate about the academic irregularity which will be held on the doctoral candidate's record. If the learning outcomes have not been met, the assessment is referred.	Recorded as ProfDoc Category 3 in the report to URDPB.
2	This is the first time the doctoral candidate has committed academic irregularity. The extent of academic irregularity is 'substantial'. This is the second time the doctoral candidate has committed an academic irregularity. The extent of both cases are relatively 'small' or of 'limited significance'. The first case of academic irregularity and involves 'unreasonable' conduct.	The grade for the assessment is fail, with a formal written warning to the doctoral candidate about the academic irregularity which will be held on the doctoral candidate's record. However, for extreme cases of irregularity, the URDPB could recommend a more severe penalty for approval by Pro Vice-Chancellor (Research and International), Executive Dean of School, and URDC. Where it is the second time the doctoral candidate has committed an irregularity which is relatively 'small' or of 'limited significance', the URDPB will decide on the appropriate penalty depending on the extent and complexity of the case. If necessary, the assessment is referred to provide the doctoral candidate with an opportunity to meet the learning outcomes. The assessment grade remains fail.³	Recorded as ProfDoc Category 2 in the report to URDPB

¹ The severity of academic irregularity penalties increases in line with the number of cases on a doctoral candidate's record. However, at Level 1 when a case of academic irregularity occurs before the outcome of a first case is known to the doctoral candidate, it shall be considered part of the same case. This allowance may not be applied for unreasonable conduct.

² An element sets out the type of assessment method used to assess an aspect of the module's outcomes and is detailed on the module.

³ Though the transcript may show the element grade or module grade as having been 'failed' the credit points can still be awarded.

1	This is the second case of 'substantial' academic irregularity. This is the third time the doctoral candidate has committed academic irregularity and the extent of all cases has been 'small' or of 'limited significance'.	The grade for the assessment is fail, and the doctoral candidate's studies will be terminated. A maximum of an appropriate interim award will be given.	Recorded as ProfDoc Category 1 in the report to URDPB.
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