

Title: Academic Integrity Policy

Category: Academic Affairs

Responsible Cabinet Member: Provost

Policy Statement: The University is committed to fostering a culture of academic integrity, honesty, fairness and accountability that supports excellence in teaching, learning, research and scholarship. Academic integrity is fundamental to the University's educational mission and to maintain public trust in the value of its academic programs and credentials.

This policy establishes the academic rights and responsibilities of students, defines academic offenses, sets forth standards for academic conduct and provides procedures for the fair and equitable resolution of academic disputes and allegations of academic misconduct. The University expects all community members to conduct themselves with honesty, to acknowledge the intellectual contributions of others and to comply with applicable academic and professional standards.

The University will administer this policy in a manner consistent with applicable law, University policy, due process and principles of academic freedom.

Process:

I. Academic Rights of Students

- **Regular and Substantive Interaction:** Courses satisfy the requirement for regular and substantive interaction when course participants meet regularly, as prescribed in the Appendices, and the Instructor of Record substantively interacts with students in at least two (2) of the following ways: provides direct instruction, assesses students' learning, provides information or responds to students' questions and facilitates student discussions. Some exceptions are allowed as per the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC).
- **Course Syllabi:** All students must be informed in writing of the course content and other matters listed in the Academic Integrity Policy at no cost to the student. Students have the right to be informed in writing (in the course syllabus) about the nature of the course, including the content, the activities to be evaluated and the grading practice to be followed. The course syllabus shall provide information to students regarding any factors used in determining grades (e.g., absences, required interactions and late assignments). Syllabi may be posted electronically but must be shared with students by the first day of the course and remain available to students for the entire term.

Course syllabi must address a series of required components and include Academic Policy Statements. Syllabi for undergraduate and graduate courses must also include

rules regarding academic offenses for undergraduate and graduate students. (There may be additional rules for professional courses and programs.)

- **Required Syllabi Components:** Required syllabi components can be found on the provost website.
 - **Academic Policy Statements:** Academic Policy Statements are applicable to all courses, such as policies on excused absences, religious observances, accommodations due to disability and nondiscrimination and Title IX requirements. Instructors may either insert the full narrative of the Academic Policy Statements into syllabi or include the URL/hyperlink to the Academic Policy Statements web page.
 - **Rules Regarding Academic Offenses:** Instructors must insert the full language on academic offenses ("Plagiarism," "Cheating," "Falsification or Misuse of Academic Records") within syllabi or include a URL/hyperlink to a web page that includes that information.
 - **Resources Available to Students:** Instructors are required to provide students with a list of available resources.
 - **Optional Information for Syllabi:** Non-required information that instructors may include in course syllabi may include, but is not limited to, the following: if required by an accrediting agency, course goals or objectives (in addition to student learning outcomes or SLOs); classroom behavior policies; course material copyright statement; AI (artificial intelligence) usage statement or classroom recording policy.
- **Contrary Opinion:** A student has the right to take reasoned exceptions to the data or views offered in the classroom without being penalized.

Academic Evaluation:

- **Midterm Grade Reports to Undergraduate Students:** All instructors must inform the undergraduate students in their courses of their current progress based on the criteria in the syllabus before the following dates:
 - the end of the Monday following the end of the ninth week for the Fall or Spring Semester.
 - the third day of the fifth week for the eight-week summer term.
 - the second day of the third week for the four-week summer term.
- **Right to Receive Fair and Just Grades:** Students have the right to receive grades based only upon fair and just evaluation of their performance in a course as measured by the standards announced by their instructor(s) in the written course syllabus at the first class meeting.
- **Right to Receive Fair and Just Evaluation of Performance in a Program:** Students have the right to receive a fair and just academic evaluation of their performance in a program. In addition to the student's overall academic record, evaluation may include

the assessment of such activities as research and/or laboratory performance, qualifying examinations (QE), professional board examinations, studio work or performance activities, behavior in professional situations or interviews to determine continuation in a program. The program faculty and/or relevant administrative officer must inform the student as to which activities will be included in the academic assessment no later than the beginning of the activity to be evaluated.

- **Improper Bases of Evaluation:** Evaluations determined by anything other than a good faith judgment based on explicit statements of the above standards are improper. Among irrelevant considerations are race, color, national origin, ethnic origin, religion, creed, age, physical or mental disability, veteran status, uniformed service, political belief, sex, sexual orientation, gender identity, gender expression, pregnancy, marital status, genetic information, social or economic status or whether the person is a smoker or nonsmoker, as long as the person complies with University policy concerning smoking, being an applicant for or in the service of the United States Uniformed Services or any activities outside the classroom that are unrelated to the course work or program requirements.

Sexual Harassment: Allegations of discrimination, harassment, sexual harassment, sexual misconduct, retaliation and related conduct shall be governed by the University's Equal Dignity Policy and *Administrative Regulation*.

Academic Records: Students have the right to have their academic records kept separate and confidential unless they consent in writing to have them revealed. However, the University Registrar or designee may disclose a student's academic record without that student's consent if the information is required by authorized University personnel for official use, such as advising students, writing recommendations or selecting candidates for honorary organizations.

Attendance and Participation During Appeal: Students shall have the right to attend classes, pursue their academic programs and participate in University functions during the consideration of any academic appeal.

Those students who have patient contact in clinical practicum courses will not be able to continue patient contact in the courses during an appeal if the appeal relates to clinical competence regarding performance. As far as practicable, such appeals shall be expedited. Attendance and participation may be limited:

- When outside agencies are used as part of the student's educational experience. In this situation, precedence will be given to the terms of any agreement(s) which have been negotiated between the University and the agency.
- When patient/client contact is involved in the student's educational experience. In this situation, only patient/client contact will be limited or excluded at the discretion of program faculty.

The Academic Ombud: To the extent that these provisions conflict with *Administrative Regulation — Due Process* and Policy: Due Process-Academic Code, the Due Process AR and relevant policy shall govern.

The Academic Ombud is the officer of the University charged with consideration of student grievances in connection with academic affairs.

Functions, Jurisdiction and Procedures of the Office

- **Functions:** The Academic Ombud office shall provide a mechanism for handling issues for which no established procedure exists, or for which established procedures have not yielded a satisfactory solution. This service is not intended to supplant the normal processes of problem resolution. In some cases where there is a clear need to achieve a solution more quickly than normal procedures provide, the Academic Ombud may seek to expedite the normal processes of resolution.

Students who wish to appeal a finding of an academic offense, a penalty for an academic offense, a grade in a course or an action in any other academic matter must confer with the Academic Ombud before they can appeal to the Academic Appeals Panel (AAP). The procedure for appealing a finding of or a penalty for an academic offense is outlined in “Appeals;” the procedure for appealing a grade or another academic action is outlined below. In cases of academic offenses, the Academic Ombud office shall notify the appropriate parties if a student fails to exercise their right of appeal within the allotted time.

- **Jurisdiction:** The authority of the Academic Ombud is restricted to issues of an academic nature involving students on the one hand and faculty or administrative staff on the other. However, the Academic Ombud may refer issues falling outside their jurisdiction to appropriate offices charged with the responsibility for dealing with them, in areas such as the Office for Student Success (governed by Policy- Due Process: Student Codes) or the Office of Equal Opportunity (governed by *Administrative Regulation — Equal Dignity*; Policy- Due Process: Equal Dignity).

When a problem falls partly within the Academic Ombud's jurisdiction and partly within the jurisdiction another office, the Academic Ombud shall cooperate with the relevant other office in seeking a solution. However, the Academic Ombud's authority in effecting a solution shall extend only to those aspects of the issue falling within the jurisdiction of that office.

Jurisdictional disputes involving the Academic Ombud and other offices which cannot be resolved through negotiations shall be referred to the Office of the President.

- **Decision to Accept a Case:** When an issue to be resolved is brought to the Academic Ombud, the Academic Ombud shall first determine if the issue falls

within their jurisdiction. If it does not, the Academic Ombud shall refer the person presenting the issue to the proper authority. If the issue does fall within their jurisdiction, the Academic Ombud shall determine if efforts have been made to adjudicate the issue through normal channels and procedures. Where such channels and procedures exist and have not been utilized, the Academic Ombud shall recommend their use, unless there is compelling evidence that this will not effectively resolve the issue or a conflict of interest exists.

The Academic Ombud shall investigate each issue falling within Academic Ombud's jurisdiction to determine:

- whether it contains merit;
- whether it is deserving of extended attention; and
- the priority of attention which it should be accorded by the Academic Ombud's office.

The Academic Ombud shall notify the complainant directly that an issue does not contain merit. The complainant then has the right to appeal within 10 days to the AAP. Upon receipt of the written appeal, the chair of the AAP shall notify the Academic Ombud to forward all reports and evidence concerning the case. The AAP may then by majority vote agree to hear the complainant's case or to allow the Academic Ombud's decision to be final.

- **Statute of Limitations:** The Academic Ombud is empowered to hear only those grievances directed to their attention within 90 days subsequent to the conclusion of the academic term in which the problem occurred. However, the Academic Ombud may agree to hear a grievance otherwise barred by the Statute of Limitations in those instances where (a) the Academic Ombud believes that extreme hardship including, but not limited to, illness, injury and serious financial or personal problems gave rise to the delay, (b) all parties to the dispute agree to proceed or (c) the issue was caused by administrative error.
- **Procedures:** When the Academic Ombud determines that an issue merits their attention, the Academic Ombud shall contact the parties involved to determine the background of the issue and areas of disagreement. With this information, the Academic Ombud shall seek to determine alternative means of achieving an equitable resolution and propose to the conflicting parties those solutions which appear to offer the greatest promise of mutual satisfaction. Normally, the investigatory and mediation activities shall be conducted informally and need not involve contact between the conflicting parties. However, the more formal procedures and direct mediation between the parties involved may be utilized if circumstances dictate that these will produce a more effective resolution.

If the mediation efforts are unsuccessful, the Academic Ombud shall refer the case to the AAP in writing if the complainant wishes to pursue the issue. At the request of the AAP, the Academic Ombud shall prepare a written report of the case and shall be available to the AAP to answer questions.

Liaison: The Academic Ombud shall maintain close liaison with the Office for Student Success and the Office of Equal Opportunity and other such officials who have responsibility and concern for the academic governance of students. However, the Academic Ombud shall not violate the rights of students or other parties involved in cases brought to the Academic Ombud through the disclosure of any information communicated in confidence.

Records and Reports: The Academic Ombud shall retain a record of all cases which are accepted. In cases involving discrimination (including sexual harassment), a summary of the case shall be sent to the Office of Equal Opportunity. The Academic Ombud shall review all files at the end of the term of office and should destroy any file of a resolved case that is five (5) years of age or older. If not destroyed, then all names should be removed. The decision not to destroy a file ought to be based on criteria such as resolution which might serve as a precedent for similar cases in the future. The Academic Ombud shall present annually a report of activities and may offer recommendations for changes in rules, practices or procedures to achieve more harmonious and effective governance of student academic affairs.

Disposition of Cases of Academic Offenses: Academic Integrity Policy governs the prosecution of academic offenses. The rules in this are binding upon all persons and groups mentioned in this policy. Instructors and administrators shall follow the procedures established in this policy and the University's applicable Due Process policies when investigating and resolving allegations of academic misconduct. Instructors, administrators and the AAP do not have the authority to impose penalties less than the minimum prescribed by this policy. Deadlines may be extended by mutual agreement of the parties involved.

If the academic offense involves research misconduct, the instructor may refer to the Office of Research Integrity.

- **Definitions:** For purposes of this policy:
 - The terms "chair," "dean", "University Registrar" and "Provost" include their designees.
 - "Chair" includes directors of programs and deans of colleges or schools without a departmental structure.
 - "XE" and "XF" are grades indicating failure due to an academic offense. The grades shall be recorded on a student's transcript distinct from any other grade of "E" or "F" and shall not be changed to a "W" by retroactive withdrawal or removed from a student's GPA calculation by the Repeat Option.
 - "Notice" shall be sent to a student in writing by both regular mail and email to the student's addresses as they appear in the University Registrar's records. The

University is not responsible for a student's failure to maintain current addresses in the Office of the University Registrar's records.

Any notice of a finding or penalty shall include the name and University identification (ID) number of the student, the college in which the student is enrolled, the course and section in which the offense occurred, the date and nature of the offense, the penalty that is being imposed or recommended and any right that the student may have to appeal the finding or penalty.

- "Suspension" means forced withdrawal from the University for a specified period, including exclusion from classes, termination of student status and termination of all related privileges and activities.
- "Dismissal" means termination of student status subject to the student's readmission.
- "Expulsion" means permanent termination of student status. It is to be invoked only in unusual circumstances and when the offense committed is of such serious nature as to raise the question of the student's fitness to remain a member of the academic community.
- "Days" refers to working days.
- "Instructor" refers to the classroom instructor.
- The preponderance of the evidence standard shall be the "Standard of Proof" applied by each decision-maker when determining whether a student has committed an academic offense.
- Artificial Intelligence (AI) means computational systems capable of generating, revising, analyzing, translating, summarizing or otherwise assisting in the creation of text, images, audio, video, computer code, data analysis or other academic content.

Academic Offenses: Academic offenses are violations of the trust upon which the University's educational mission depends. The purpose of these provisions is to protect the integrity of the academic enterprise while ensuring that allegations of misconduct are resolved through fair and equitable procedures. Students shall not plagiarize, cheat or falsify or misuse academic records.

- **Plagiarism:** The University's definition of plagiarism applies in all colleges and programs unless a professional accreditation requirement imposes a more stringent standard. All academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, analysis or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording or content, data images, computer code, creative expression, analysis or other intellectual contributions from another source without appropriate acknowledgment of the fact, attribution or disclosure, the students are guilty of plagiarism.

Plagiarism includes reproducing someone else's work (including, but not limited to, a published article, a book, a website, computer code, a paper from a friend, digital media or other scholarly or creative work) without clear attribution. Plagiarism also includes the practice of employing or allowing another person to alter, revise or substantially contribute to the work which a student submits as their own, whoever that other person may be, except under specific circumstances (e.g., Writing Center review, peer review) allowed by the Instructor of Record or that person's designee.

Plagiarism may also include double submission, self-plagiarism or unauthorized resubmission of one's own work, or unauthorized use of artificial intelligence tool(s) to generate academic work, as defined by the instructor. Furthermore, the unauthorized use of artificial intelligence (AI) or other automated technologies to generate, revise, translate, paraphrase, analyze, code or otherwise produce academic work in a manner that misrepresents the student's own intellectual contribution or violates course, program, college or institutional requirements. When disclosure or attribution of such use is required, failure to provide it may constitute plagiarism.

Students may discuss assignments among themselves or with an instructor or tutor, except where prohibited by the Instructor of Record (e.g., individual take-home exams). However, the actual work must be done by the student, and the student alone, unless collaboration is allowed by the Instructor of Record (e.g., group projects). When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how they have employed them. If the words of someone else are used, the student must appropriately cite the passage to indicate its origin. Making simple changes while leaving the organization, content and phraseology intact is plagiaristic. However, nothing in this policy shall apply to those ideas which are so generally and freely circulated as to be a part of the public domain.

- **Cheating** is defined by its general usage. It includes, but is not limited to, the wrongful giving, taking or presenting of any information or material by a student with the intent of aiding themselves or another on any academic work which is considered in any way in the determination of the final grade. The fact that a student could not have benefited from an action is not by itself proof that the action does not constitute cheating. Any question of definition shall be referred to the AAP.
- **Falsification or Misuse of Academic Records:** Maintaining the integrity, accuracy and appropriate privacy of student academic records is an essential administrative function of the University and a basic protection of all students. Accordingly, the actual or

attempted falsification, theft, misrepresentation or other alteration or misuse of any official academic record of the University, specifically including knowingly having unauthorized access to such records or the unauthorized disclosure of information contained in such records, is a serious academic offense. As used in this context, "academic record" includes all paper and electronic versions of the partial or complete permanent academic record, all official and unofficial academic transcripts, application documents and admissions credentials and all academic record transaction documents. The minimum sanction for falsification, including the omission of information or attempted falsification or other misuse of academic records as described in this section is suspension for one (1) semester.

Disposition of Cases of Academic Offenses: Cases of academic offense will be heard by the AAP. Sanctions, delineated below, are progressive and intended to promote learning, accountability and protection of academic integrity while recognizing repeated or egregious misconduct.

Jurisdiction

- **Instructor not Faculty Employee:** If an instructor is not a faculty employee (for example, the instructor is a teaching assistant), then the Instructor of Record shall normally assume the role of the instructor. However, with the agreement of the responsible Instructor of Record, the chair may decide either to allow the actual instructor to retain this role or to ask another employee who is directly involved with the course (for example, a course coordinator) to assume this role. In any case, the actual instructor should retain an important consultative role and shall participate in all AAP meetings as far as possible.
- **Responsible Chair:** In general, the prefix of the course in which a student is enrolled determines which chair and dean are responsible for handling a case of an academic offense alleged to have been committed by that student in that course. However:
 - If the chair is also the instructor, then the dean of the chair's college shall assign the chair's role to an associate dean.
 - If the responsible dean is also the instructor, then the dean shall assign their responsibility for the case to an associate dean.
 - If the Provost is also the instructor, then the Provost shall assign their responsibility for the case to an associate provost.
 - If a student in postbaccalaureate status, a student enrolled in a program or curriculum of the Graduate School or a postdoctoral scholar or fellow is suspected of committing an academic offense in a course, the responsible chair shall be the dean of the college in which the course or program is housed.
 - If a student enrolled in a program that has instituted an honor code is suspected of committing an offense in any course, the offense shall be prosecuted, and the penalty shall be imposed according to the rules of the student's program's honor code. Conversely, a student who is not enrolled in a program that has instituted an honor code shall be prosecuted only under the Academic Integrity Policy. If a

student is concurrently enrolled in a professional program governed by an honor code and a program of the Graduate School, the rules of the professional program shall take precedence.

- If the course is homed outside of a college, then the Provost will appoint an officer as the responsible chair of the course.
- **Students not in a College or Who Have not Matriculated at UK:** In the cases of students who have not registered in a college or are not matriculated at the University, the Provost shall assign a dean of a college to handle the case. It should be noted that this does not apply to students who have registered in a college in an “undeclared major” or “non-degree-seeking” status.

Initiating A Complaint

- **Instructor Suspects an Offense in the Course:** An instructor who suspects that a student has committed an academic offense in a course taught by that instructor shall consult with the chair as soon as practical after the instructor develops the suspicion. Prior to consultation with the chair, the instructor may take action to prove or detect an academic offense or preserve evidence of the same. In taking such action, the instructor should minimize disruption and embarrassment to the student(s).
- **Another Party Suspects an Offense in a Course:** If any person other than the instructor suspects that a student has committed an academic offense in a course in which the student is enrolled, that person should turn the evidence over to the instructor.
- **Suspected Offense Outside of any Course in Which the Suspected Student is Enrolled:** If any person suspects that a student has committed an academic offense, either with respect to a course in which the student is not enrolled, or in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation or a formally submitted thesis or dissertation proposal), that person should inform the dean of the college in which the student is enrolled.
- **Suspected Falsification or Misuse of Academic Records:** If any person suspects that a student has falsified, attempted to falsify or otherwise misused academic records, that person should inform the University Registrar.

Initial Determination

- **By The Instructor And Chair**
 - **Allegation; Opportunity of Student to Respond:** The instructor and chair shall review the evidence of an academic offense, and the instructor shall decide whether the evidence warrants an allegation of an academic offense. If so, the student shall be notified of the allegation and invited to meet with the instructor and chair to discuss the allegation, review the evidence and state their case. The

instructor and chair must make a reasonable effort to meet with the student within 10 days after receiving the evidence. The instructor and chair shall set a deadline for the student to respond to the invitation to the meeting, but the deadline shall be at least 7 days after the invitation is issued. The instructor and chair must make a reasonable effort to schedule a meeting with the student as soon as possible after the evidence is received.

- **Finding:** The instructor shall consider the evidence and the student's response and shall decide, based on the standard of proof, whether the student committed an academic offense. Any such finding shall be made within seven (7) days after the meeting with the student unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the instructor may make a finding immediately thereafter.

If the instructor finds the student did not commit an academic offense, the instructor shall so notify the student and the Academic Ombud.

If, in the judgment of the instructor, an action that can be construed as an academic offense is so slight or inconsequential that it does not warrant the minimum penalty of zero (0) on the assignment, then the instructor should not treat the action as an academic offense, but instead as an ordinary error that may earn the student a lower grade on the assignment. The instructor shall notify the student and the Academic Ombud of such a determination.

On the other hand, if the instructor finds the student committed an academic offense, the chair shall ask the Office of the University Registrar whether there are any prior offenses or letters of warning in the student's record. The chair shall inform the instructor whether such is the case. The chair shall also ask the Office of the University Registrar to place a hold on the student's enrollment in the course. If the student has already dropped or withdrawn from the course, the Office of the University Registrar shall reinstate the student.

- **Penalties:** If the student has previously received a penalty for an offense at least as severe as an "E" or "F" in a course, the instructor shall refer the case to the Academic Hearing Panel (AHP), who shall consider the question of responsibility and determine an appropriate penalty.

Otherwise, if the student has previously received a penalty of zero in the assignment, the Instructor of Record must assign a grade of "E" or "F" for the course. If the offense is particularly egregious, and if the chair approves, the instructor may also forward the case to the Academic Hearing Panel with a recommendation for a penalty of "XE" or "XF," or a more severe penalty.

Otherwise, if there are no prior offenses or letters of warning in the student's record, the instructor must award a grade of zero (0) for the assignment on which the offense occurred. The instructor may also choose to impose one of the following additional penalties after consulting with the chair:

- reduce the final grade in the course by a specified number of levels.
 - assign a grade of "E" or "F," as appropriate, for the course.
 - if the offense is particularly egregious, and if the chair approves, forward the case to the Academic Hearing Panel with a recommendation for a penalty of a grade of "XE" or "XF" in the course or a more severe penalty.
- **Notice of Penalty:** The instructor shall notify the student of the finding of an offense and the penalty as soon as possible after the penalty has been determined. The instructor shall also inform the Academic Ombud of the finding and penalty and provide a copy of the evidence in the case.
- **Right of Appeal:** A student has the right to appeal any finding of an academic offense or a penalty to the AAP through the Academic Ombud.
- **Right to Drop or Withdraw from a Course:** A student who has committed an academic offense in a course shall not be permitted to drop or withdraw from the course under any circumstances.
- **Determination Letter in Case of a Minor Offense:** If the student fails to appeal the finding of a minor offense within the time limit, or if the AAP upholds the finding, the instructor shall write a letter of determination to be placed in the student's record. The letter shall state the circumstances surrounding the minor offense and shall warn the student that any offenses in the future will be penalized with a more severe penalty. The instructor shall send copies of the letter to the student, the Academic Ombud and the University Registrar. The University Registrar shall place the letter in the student's record.
- **By The Academic Hearing Panel**
 - **Penalty of at Least XE or XF Recommended for Academic Offense:** An instructor of a course who recommends a penalty of a grade of "XE" or "XF", or a more severe penalty of suspension, dismissal or expulsion, for an offense committed by a student shall send the case, with all supporting documentation, to the Academic Hearing Panel and the Academic Ombud. The hearing clerk will schedule a hearing to determine responsibility and the appropriate penalty in the case. If the student is found responsible, the student has the right to appeal the finding and/or penalty to the AAP.

- **Offense Committed Outside of a Course:** A student enrolled in the dean's college is accused of an offense, either with respect to a course in which the student is not enrolled, or in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation or a formally submitted thesis or dissertation proposal). In this case, the procedure outlined above shall be followed, except that the dean assumes the roles of both instructor and chair. If the dean finds the student committed the offense, based on the standard of proof, the dean shall either provide a letter of warning with no penalty or shall forward the case to the Academic Hearing Panel recommending a penalty of suspension, dismissal, expulsion or revocation of a degree. The student has the right to appeal any finding, even if no penalty is imposed, and any recommended penalty to the AAP.
 - **Notice:** Notice of any finding of an offense (even if no penalty is imposed) and intended action shall immediately be sent by the instructor, or the Appeals Hearing Panel, to the student, with copies to the chair (if the offense was related to a course), the dean of the college and the Academic Ombud. If a penalty of suspension, dismissal, expulsion or revocation of a degree is imposed or recommended, the Provost shall also be notified.
 - **In Case of Appeal:** The student shall be notified of a finding or action and advised of any right of appeal. If the student exercises the right of appeal, no action shall be taken until the AAP makes a decision on the case.
 - **Conditions for Readmittance After Dismissal:** If the Academic Hearing Panel recommends a penalty of dismissal, the Provost shall inform the student of any conditions to be met before an application for readmission will be considered.
- **By the Dean of Students:** Conduct that violates both this policy and the Code of Student Conduct may be investigated and resolved through separate academic and student conduct processes. The resolution of one process does not control the outcome of the other.

When a violation of the Code of Student Conduct and a violation of the Academic Integrity Policy, as defined above, have allegedly been committed in the same set of circumstances or facts, the Dean of Students shall consult with the dean of the college where the offense occurred. The Dean of Students and the dean of the college where the offense occurred will investigate concurrently, but separately, and pursue the case in accordance using the appropriate procedures and authorities as set forth in the relevant codes.

- **By the University Registrar**

- **Allegation; Opportunity of Student to Respond:** If evidence of falsification or misuse of academic records comes to the attention of the University Registrar, the University Registrar shall review the evidence and decide whether it warrants an allegation. If so, the student shall be invited to meet with the University Registrar to discuss the allegation and state their case. The University Registrar shall set a deadline for the student to respond to the invitation to the meeting, but the deadline shall be at least 7 days after the invitation is issued. The University Registrar shall make a reasonable effort to schedule a meeting with the student as soon as possible after the evidence is received.
- **Finding:** The University Registrar shall consider the evidence and the student's response and decide whether the student committed the alleged offense, based on the standard of proof. Any such finding shall be made within seven (7) days after the meeting with the student, unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the University Registrar may make a finding immediately thereafter.
- **Penalty and Right of Appeal:** If the University Registrar finds the student committed the alleged offense, the University Registrar shall decide either to impose no penalty or shall forward the case to the Academic Hearing Panel with a recommendation of a specific penalty of suspension, dismissal, expulsion or revocation of a degree. The student has the right to appeal a finding that an offense has occurred and any recommended penalty to the AAP.
- **Notice:** If the University Registrar finds the student did not commit the offense, the University Registrar shall notify the student and the Academic Ombud. If the University Registrar finds the student did commit the offense, the Registrar shall either place a letter of warning in the student's record or forward the case to the Academic Hearing Panel with a recommendation of a penalty of suspension, dismissal, expulsion or revocation of a degree. If the Academic Hearing Panel finds the student committed the offense, the AHP shall notify the student, the dean of the college, the Provost and the Academic Ombud of any finding and any recommended penalty (even if none). If a penalty of suspension, dismissal, expulsion or revocation of a degree is recommended, the Provost shall impose the penalty.
- **Conditions for Readmittance after Dismissal:** If the University Registrar recommends a penalty of dismissal, the University Registrar may suggest conditions under which the AHP and the Provost should consider approving a student's petition to be readmitted. The University Registrar shall notify the student of any such conditions.

Appeals

- **Preliminary Consideration by the Academic Ombud**

- **Informal Resolution:** If a student wishes to contest the finding of an offense or a penalty, the student must contact the Academic Ombud in writing within 10 days after being officially notified. The Academic Ombud shall attempt to resolve the case to the satisfaction of all involved parties within 20 days of receiving the student's written request.
- **Merit of Appeal of Penalty for Minor Offense:** If the student does not dispute the finding of a minor offense, but the student desires to appeal the penalty on the basis that it is unduly harsh, the Academic Ombud shall decide whether the appeal has merit, based on the standard of proof. In making such a decision, the Academic Ombud should proceed with deference to the instructor's traditional autonomy and authority over the course.
- **Notice:** If the Academic Ombud fails to resolve the case to the satisfaction of all involved parties, or if the Academic Ombud makes a decision on the merit of an appeal of a minor penalty, the parties shall be so notified.
- **Appeal to the Academic Appeals Panel (AAP)**
 - **Jurisdiction:** The student shall be given the opportunity to appeal any finding of an academic offense to the AAP. A student may also appeal the severity of a penalty to the AAP if it exceeds the minimum penalty required by the rules described herein.

* Appeals involving sanctions of suspension, dismissal, expulsion, degree revocation or the imposition of an "XF" or "XE" grade shall proceed under the procedures established in *Administrative Regulation — Due Process* and Policy — Due Process: Academic Code, notwithstanding any general appeal provisions described herein.
 - **Time for Filing Appeal:** The appeal must be filed in writing with the Academic Ombud once the student is notified that the case cannot be resolved without recourse to the AAP. The student shall have the right of class participation and attendance during the consideration of any appeal. The student shall have the rights set out in AR: Student Conduct and Rights.
 - **Hearing and Notice:** The hearing officer of the AAP shall schedule a hearing in any case arising under this, to begin within 20 days of the receipt of the appeal from the student, unless the student consents to an extension of time for the hearing. The hearing officer shall notify the student, the complainant and the Academic Ombud of the time and date of the hearing. The student may withdraw the appeal at any time. If the student desires only to appeal a penalty received for a minor offense, and the Academic Ombud has found that the appeal has insufficient merit, the AAP may refuse to hear the appeal by majority vote.
 - **Scope Of Review**

- **Violation:** The AAP shall sit as a fact-finding body and determine whether or not the student cheated, plagiarized or falsified or misused academic records from such evidence as is brought before the AAP (including, for example, documents, testimony, written statements, exhibits, a view of the classroom where the cheating occurred, etc.). The AAP may call witnesses on its own initiative and may continue the hearing for this purpose. The AAP shall find the student did not commit the offense unless a majority of members present decides otherwise, based on the standard of proof and given the evidence provided.
- **Penalty:** The AAP shall judge whether the penalty imposed for an offense is inappropriately harsh. The AAP may reduce the penalty, subject to the following limitations:
 1. If the offense occurred in a course in which the student was not enrolled, or if the offense was with regard to falsification or misuse of academic records, or the offense occurred in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation or a formally submitted thesis or dissertation proposal), the AAP may choose either to void the recommended penalty or to reduce it to one no less severe than suspension.
 2. If the offense is the student's first, the AAP may reduce the penalty to any mentioned in this.
 3. If the offense is the student's second, and the first offense was a minor one, then the AAP may reduce the penalty for the second offense to one no less severe than a grade of "E" or "F" in the course in which the offense occurred.
- **Determination and Notice:** The AAP shall seek to render a decision as soon as is reasonably possible so that the student may plan their further academic work. The hearing officer of the AAP shall notify the student, the complainants (instructor and chair, or University Registrar) and the Academic Ombud of the AAP's decision within five (5) days. If a penalty at least as severe as suspension was originally recommended for the offense, even if it has been reduced by the AAP, the hearing officer shall also notify the Provost. In addition:
 1. If the AAP finds that a student committed the academic offense of which the student was accused, then the hearing officer shall also notify the instructor and chair (if the offense was related to a course), and the dean of the student's college. In addition, if the AAP is supporting or recommending a penalty less severe than suspension, or such a penalty has not been appealed, the hearing officer shall also notify the University Registrar; in the case of international students, the UK International Center; and, if the offense also involves a violation of the Code of Student Conduct, the Office for Student Success.

2. If the AAP finds that a student did not commit the academic offense of which the student was accused, and a penalty at least as severe as “XE” or “XF” was to be imposed for the alleged offense, the hearing officer shall also notify the Provost. If the alleged offense occurred in a course in which the student was registered, and if the allegation was lodged on or before the last day of regularly scheduled classes, then the student shall be permitted to drop or withdraw from the course at any time.
 3. If the AAP finds that a student did not commit the academic offense of which the student was accused, the AAP may also take any reasonable action to remedy any academic harm arising from the allegations.
 4. If the AAP finds a student did not commit an offense or reduces a recommended penalty, the hearing officer of the AAP shall provide a rationale of the AAP’s decision to the complainant (instructor, dean, or University Registrar) in a timely fashion if the complainant so requests. The rationale may be provided verbally or in writing, at the discretion of the hearing officer of the AAP.
 - **Implementation of Penalty:** If the Academic Appeals Panel decides on a penalty no more severe than a grade of “E” or “F” in the course in which the offense occurred, the instructor, or as appropriate the Instructor of Record, shall implement such a penalty. If the AAP decides a penalty of “XE” or “XF, suspension, dismissal, expulsion or revocation of a degree, the case shall be forwarded to the Provost, who shall take further action.
 - **Failure to Appeal:** If a student fails to contact the Academic Ombud within the time specified, or if an appeal is not filed within the time specified, the Academic Ombud shall so notify the student, the instructor and chair (if the offense was related to a course), the dean of the student's college of the finding, penalty and failure to appeal. If a penalty less severe than suspension was recommended, the Academic Ombud shall also notify the University Registrar; in the case of international students, the UK International Center; and, if the offense also involves a violation of the Code of Student Conduct, the Office for Student Success. If the Academic Hearing Panel recommended a penalty at least as severe as suspension, the Academic Ombud shall also notify the Provost.
- **Action by the Provost**
 - **Upon Receipt of Recommendation:** If the Office of the Provost receives a recommendation from the Academic Hearing Panel to suspend, dismiss, expel or revoke a degree of a student, then the Provost shall wait until receiving notice from the Academic Ombud or the hearing officer of the AAP that the finding of an offense stands and that a penalty at least as severe as suspension is being recommended or supported by the AAP.

- **Imposition of Penalty:** The Provost may implement the recommended penalty or a greater or lesser penalty.
 - **Conditions for Readmittance After Dismissal:** If the Provost decides to dismiss the student, the Provost may specify conditions under which a student's application for readmission may be considered. The Provost shall notify the student of any such conditions.
 - **Notice:** Notice of action taken by the Provost (even if no penalty is imposed) shall be provided to the student, with copies to the instructor and chair (if the offense was related to a course), the dean of the student's college, the University Registrar and the Academic Ombud. If a penalty was recommended by the AAP, a copy shall be sent to the hearing clerk of the AAP. In the case of international students, a copy shall be sent to the UK International Center. If the student is suspended, dismissed or expelled, or the student's degree is revoked, a copy shall be sent to the Dean of Students.
- **Further Procedures in Cases of Suspension, Dismissal or Expulsion**
 - **Suspension:** If a student while on suspension violates any of the terms set forth in the nature of suspension, they shall be subject to further discipline in the form of dismissal. The penalty of suspension shall normally apply to semesters (or other academic terms as appropriate) following imposition of the penalty by the Provost. With the consent of the student and the dean of the college that offers the course in which the offense occurred, the Provost may fix an earlier date for suspension. In any case in which the suspension is imposed by the last day to drop a course*, it shall apply to that semester, and the student shall be afforded a full refund of tuition. In case of any student who is graduating, the suspension shall apply to the final semester before scheduled graduation.
*The "last day to drop a course" means "the last day to withdraw from a course and not have it appear on the transcript."
 - **Dismissal:** A student may be readmitted to the University only with the specified approval of the Provost. The Provost must be satisfied that the student has met any conditions that were specified at the time of dismissal. Before making their decision, they should also consider whether the student has met conditions that were specified by the dean, the University Registrar or the AAP.
 - **Expulsion:** Expelled students shall not be readmitted except upon proving to the Provost that the findings of fact which formed the basis of the action were clearly erroneous.
- **Recordkeeping and Reporting**
 - **Recordkeeping**
 - **In Case of Minor Offense:** When the University Registrar receives a copy of a letter of determination from an instructor to a student, the University Registrar shall place the instructor's letter of determination in the student's record. If the student commits no offenses subsequently, then,

after the student graduates, the University Registrar shall reveal the existence of the offense to parties outside the University only under the following circumstances:

1. When a court-ordered subpoena seeks a student's entire academic record (not just the transcript), or when it specifically seeks the record of a student's academic offenses.
 2. When the student has authorized the release of their record to a third party, and that party requests either a student's entire academic record (not just the transcript) or specifically the record of a student's academic offenses.
- **In Case of Other Offenses:** The University Registrar shall record the following information in the student's permanent academic record after notification from the Academic Ombud or the AAP that a student is not appealing a finding of an offense or has lost an appeal of such a finding: (a) name of student; (b) student identification number; (c) student's college; (d) course name and number and section number, if applicable; (e) approximate date of offense; (f) brief description of offense; (g) penalty imposed; and (h) date of imposition of penalty.
 - **Right to Drop or Withdraw:** If the AAP finds a student did not commit an offense in a course, the student shall be permitted to withdraw from the course.
 - **Concurrent Offenses:** There may be a lag between when an offense is committed and when it is recorded by the University Registrar, or when a letter of warning is received. If a student commits another offense during this time, the existence of the first offense or letter of warning may not be considered when the penalty for the second offense is determined.
 - **Access to Information:** Information regarding the academic offense other than the fact and Academic Calendar term of any mandatory restriction on the student's eligibility for continued enrollment may be released only with the written consent of the student, or in response to an inquiry from a chair of a department at the University, a dean of the University, the Provost or the Academic Ombud of the University, consistent with the University's Family Educational Rights and Privacy Act (FERPA) policy. A record shall be maintained by the University Registrar of every instance in which information is released under this provision.
 - **Transcript Notation:** The fact that suspension, dismissal or expulsion occurred because of an academic offense shall be indicated on all transcripts permanently.

Academic Appeals Panel

- **Functions of the Academic Appeals Panel**
 - **Cases of Academic Offenses:** See "Appeals," above.
 - **Cases of Grade Appeal — Role Of Academic Ombud:** See "Functions, jurisdiction and procedures of the office," above.

- **Cases of Student Academic Rights:** After hearing a case involving a violation of student academic rights as set forth herein, the Academic Appeals Panel (AAP) may select from the following remedies:
 - The AAP may direct that a student be informed about the content, grading standards and procedures of a course when a violation of the pertinent rules has been proved.
 - When an academic evaluation based upon anything other than a good-faith judgment of a student has been proved, the AAP may direct that a student's grade in a course be changed to a "W" (withdrawal) or a "P" (passing, credit toward graduation but not toward GPA) or, if such determination can be made, to an appropriate letter grade. If the AAP awards a student a "P" in the course, it shall appear on their record regardless of the fact that the student's college or academic unit does not normally recognize "P" grades. The educational unit must accept that course just as if the student had passed the course in the normal manner, except that the "P" grade is not used in calculating the student's GPA.
 - *A faculty employee whose career is potentially harmed by an allegedly errant AAP factual determination that the instructor made other than a "good-faith judgment" has recourse to the Provost Appointment, Promotion and Tenure Advisory Committee.
 - The Academic Appeals Panel may take any reasonable action calculated to guarantee student academic rights.

*In its procedures for hearing cases and in its disposition of cases, the AAP must operate within the parameters established by the *Administrative Regulations*. These include the procedural parameters that a student can cause a case of grievance of violation of academic rights to reach to and be decided by the AAP only by the student having first lodged and processed the grievance with the Academic Ombud.

*Academic appeals by students enrolled in clinical residency or clinical fellow program are governed by Appeal Procedure for Graduate Medical Education Residents and Fellows Policy, except, if the student is enrolled in and appealing a grade or academic matter in an approved course, then the appeal is governed by the *Administrative Regulations*.

Honor Code: Any school, college or program may establish, with the approval of the Provost, an honor code or comparable system governed by the students with approval by and/or appeal to the faculty of such a college. When such an honor code or comparable system has been established by a college, the code shall apply, and the procedures for disposition of cases of academic offenses shall not apply, only to suspected offenses by students enrolled in that

school, college or program, regardless of whether the offenses are committed in courses offered by the same or a different college.

A student found guilty of committing an offense subject to an honor code may appeal that finding through the Academic Ombud to the AAP. The AAP, however, shall not normally sit as a de novo fact-finding body, but shall limit its review to ensuring that the college's academic honors board or committee adequately followed its own written procedures in determining guilt or innocence and that the finding of guilt is supported by the preponderance of evidence. If the honor code is not student-governed, as determined by the Provost during the approval process of the honor code, the affected student reserves the right to appeal the case to the AAP and be heard de novo.

However, if the AAP, by the majority of those present, believes the student's rights under the *Administrative Regulations* and the applicable rules of the academic unit governing academic relationships have been substantially violated, the AAP may conduct a de novo hearing on the issue of guilt.

If the AAP, by majority of those present, believes the findings or determination of the honor council or committee are not supported by the preponderance of the evidence, the AAP may reverse the finding of guilt and there shall be no further proceedings in the case.

College academic honor councils or committees shall maintain a verbatim record of their proceedings to ensure that the AAP is able to perform this function. The punishment meted out to a student governed by such a system shall be as designated thereby except that actual suspension, dismissal or expulsion shall be imposed only with the recommendation of the dean of the college and upon approval by the Provost.

Note: The Colleges of Dentistry, Medicine, Pharmacy and the J. David Rosenberg College of Law have adopted honor codes. Copies are available in the deans' offices of these colleges. Note: The Office of the Provost recognizes that the J. David Rosenberg College of Law Honor Code is not student-governed.