

# Academic Integrity Procedures

Effective August 1, 2020

## **Procedures for Handling Alleged Breaches of Academic Integrity**

- ***Initiation of Matter***

- A. Anyone, including staff, student or faculty, who is made aware of an incident of a suspected breach to the academic integrity policy is responsible for alerting at least one of the following: the professor, OSE Liaison, or Academic Integrity Committee Chair, who in turn will alert the Academic Integrity Dean Designee.
- B. The Dean Designee will receive the report of potential academic misconduct, review material(s), and if he/she can resolve the matter to a satisfactory solution without a requirement for fact-finding or determination resources, the matter will be documented and will be considered closed. In this case, the findings will be sent to the Academic Integrity Committee.
- C. If the Dean Designee determines the matter should be treated as academic misconduct and does not qualify for administrative resolution, the OSE Liaison (on behalf of the Dean Designee) will notify the student(s) in writing of suspicion of academic misconduct and request a meeting within 5 business days[\*] from the incident identification.
- D. Following the aforementioned meeting, and within 5 business days of initial meeting with the student(s), the OSE Liaison will notify the student(s) in writing (on behalf of the Dean Designee) explaining all actions taken relating to the breach of the academic integrity policy (email is acceptable). Copies of the letter, sent electronically from the Academic Integrity email, will be provided to the Academic Integrity Committee.

- ***Academic Integrity Committee Process***

- A. If needed, the OSE liaison to the Academic Integrity Committee will coordinate a meeting with the Dean Designee and the student(s) and instructor to discuss the allegation(s), or will seek student and instructor statements about the alleged incident. If all parties agree to a satisfactory solution, the matter will be documented and be considered closed and findings will be sent to the Academic Integrity Committee.
- B. If the allegation is disputed or the matter remains unresolved, the Dean Designee will convene the Academic Integrity Committee at the request of the instructor, student or OSE Liaison.
- C. The Academic Integrity Committee may meet in person, or remotely (teleconference, electronically, or by phone).
- D. At the conclusion of an Academic Integrity meeting, the Academic Integrity Committee will determine by simple majority if a breach of student academic integrity did or did not occur.

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- E. If the Academic Integrity Committee determines that the student(s) did not breach the academic integrity policy, the instructor will not impose any sanctions on the student(s), the matter will be documented and be considered closed and findings will be sent to the Academic Integrity Committee.
- F. If the Academic Integrity Committee determines that the allegation(s) of a breach of student academic integrity is founded, the instructor can provide input into sanctions, but final recommendations will be rendered by the Academic Integrity Committee. [The Committee may recommend that any original sanctions be reduced, dismissed, upheld or increased.]
- G. The OSE Liaison (on behalf of the Academic Integrity Chair) will provide written notification (email is acceptable) of the committee's findings to the Dean Designee.
- H. The OSE Liaison will notify the student(s) in writing (on behalf of the Dean Designee) explaining all actions taken relating to the breach of the academic integrity policy (email is acceptable). Copies of the letter will be provided to the Academic Integrity Committee.
- I. Accused student(s) have 5 business days from reception of the notification letter to either accept the Academic Integrity Committee's sanctions or request a hearing. Moreover, the instructor may request an Academic Integrity hearing if he/she disagrees with the Academic Integrity Committee's decision.
- J. If the subject student(s) agree to the Academic Integrity Committee's action on the matter, and there is no instructor request for a hearing, the student(s) will so notify via returning their signed sanction letter to the OSE Liaison and the matter will be documented via the appropriate AIC Record.
- K. If the accused student(s) do not agree with the Academic Integrity Committees findings, they can request an Academic Integrity Committee Hearing following the Academic Integrity Committee Hearing procedures listed below.
- L. In the event that the Academic Integrity Committee finds a pattern of repeat offenses of breaches of the student academic integrity policy, the Dean Designee will forward all relevant materials to the Office of the Dean of Programs.
- M. Dean Designee submits recommendations to the University Dean of Graduate Studies. The University Dean of Graduate Studies issues a decision, and if appropriate a sanction.

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- ***Academic Integrity Committee Hearing, Generally***
  - A. Notification of Academic Integrity Committee Hearing: Student, instructor, Academic Integrity Committee and Dean Designee will be provided written notification (email is acceptable) of the date, place, and time that the Academic Integrity Hearing will take place at least 5 business days\* prior to the hearing.
  - B. Notice of Allegations: At least 5 business days\* prior to the scheduled hearing, the student and the instructor will be sent written notice (email is acceptable) of the allegations of the breach of the student academic integrity policy. The notice will include:
    - A description of the alleged breach of academic integrity code.
    - The names of individuals expected to be present at the hearing.
  - C. Practicing lawyers are not permitted to participate in the Academic Integrity Process as a representative of the student or faculty, unless the faculty member involved is a practicing lawyer.
    - The Academic Integrity hearing process is not a legal procedure, and therefore the rules of court of law do not apply. The Chair of the Academic Integrity Committee will determine the range of testimony permitted by witnesses and items of information that will be considered.
  - D. Witnesses: Witnesses will be allowed to speak for either the student or the instructor. Names and contact information for anyone presenting relevant information must be submitted in advance of the meeting to the Academic Integrity Committee. Written statements are allowed to be submitted to the committee instead of physical attendance at the meeting. Written statements must be read aloud for the purposes of recording the content and getting relevant information on the record.
  - E. Participants: All Academic Integrity Committee hearings will be conducted in private. The Academic Integrity Committee chair will facilitate the hearing process and only the student, instructor, Academic Integrity Committee, Academic Integrity Advocate and witnesses involved in a particular allegation may be present. The only other people who may be allowed in the hearing are those who may be providing access services.
  - F. Recordings: All Academic Integrity Committee hearings will be recorded. There will be a single record of the Academic Integrity hearing and this record shall be the property of the Simon Business School and kept secure by the OSE Academic Integrity Liaison.
    - In the event the student requests an appeal the recording will be submitted by the Academic Integrity Chair to the Dean for use during the appeal process. The recordings will be destroyed after the appeal has been complete.

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- ***The Academic Integrity Committee Hearing Procedure***
  - A. Every Academic Integrity hearing participant (student and instructor) will describe their situation, and their individual perspectives of the alleged incident(s). The individual who brought the charges will present first.
  - B. The Academic Integrity Committee members will be allowed to ask questions after the student and instructor are finished speaking.
  - C. The Academic Integrity Committee may attend remotely if otherwise occupied (conference call, skype).
  - D. Each party will have an opportunity for closing remarks after the Academic Integrity Committee has finished with their questions.
  - E. In incidences involving more than one student, the Academic Integrity Chair, in consultation with the Academic Integrity Committee, may permit hearings concerning each student to be conducted separately or together.
  - F. Following conclusion of all testimony, questions and final statements, all participants will be dismissed and the Academic Integrity Committee will deliberate privately.
  - G. At the conclusion of the Academic Integrity hearing, the committee will determine by a simple majority vote if a breach of the Academic Integrity policy did or did not occur.
  - H. If Academic Integrity Committee finds a student responsible for academic dishonesty, the Committee's finding and the sanction decided upon must be approved by the Dean of the Simon School. The Dean of the Simon School will forward the finding to the University Dean of Graduate Studies, as per the University "Judicial Process for Academic Misconduct by Graduate Students." The University Dean of Graduate Studies will issue the final decision letter to the student and reporting person with 5 business days\*.
  - I. The student may file an appeal of the Academic Integrity Committee's findings. An appeal must be filed within 5 business days\* from the date of mailing of findings of the Academic Integrity Committee.
  - J. Upon conclusion of the hearing, all documentation regarding the hearing will be submitted to the Academic Integrity Chair and maintained for a period of 2 years.

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- *Academic Integrity Appeals*

The instructor or the student may appeal the findings of the Academic Integrity Committee to the Dean within 5 business days\* of the mailing of the decision to the Dean. The decision of the Dean is final.

An **appeal shall be limited** to a review of the recording of the initial hearing, supporting documentation, and/or the finding on the following grounds:

1. Procedural error (if the error is enough to alter the decision)
2. Determining whether the decision was appropriate based on the violation.
3. New information exists that was not available at the time of the hearing where this information is sufficient to alter the decision.

If new information is provided to the Dean that s/he determines is sufficient for a reconsideration of the case, the case will be referred back to the Academic Integrity Committee for a further meeting with the student and determination of a finding. If the Dean determines that referring the case back to the Academic Integrity Committee will cause an undue delay in the resolution of the case, or is otherwise inadvisable, s/he will reconsider the case in consultation with one member of the Board on Academic Honesty.

Students may appeal the board's decision to the University Provost. Appeals must be initiated by means of a letter written to the Provost within one week of the date of the decision letter.

Board files on all individual cases remain in the possession of the secretary to the board for a period of seven years, after which they are destroyed. The reporting person (usually an instructor) is required to keep the information confidential. Students applying for awards and fellowships or employment may be asked to sign a waiver revealing whether they have been found responsible of academic dishonesty as part of the application process. No information about a student's academic honesty record will be shared without a signed waiver, unless required by law

**Optional Procedure for Handling Alleged Breaches of Academic Integrity Administratively Within Class**

- A. Anyone, including staff, student or faculty, who is made aware of an incident of a suspected breach to the academic integrity policy in a specific class or course is responsible for alerting the professor or an Office of Student Engagement (OSE) representative. They bring the information to the OSE Liaison to the Academic Integrity Committee, the Liaison will in turn be responsible for contacting/interacting with the instructor on the matter. If the matter is limited to a distinct and non-material grade component the subject instructor has the option to consider the matter himself/herself, but must first inform the Academic Integrity Committee (AIC) through its OSE Liaison that this is the case and that he/she requests to handle the incident administratively in class. The OSE Dean Designee/AIC will then review the subject matter and the student(s) involved to confirm that there are no extenuating circumstances, such as subject student histories of violations, that would require broader consideration than “in-course” handling. Once notified that no such circumstances exist, the instructor will proceed as follows with the matter in a timely fashion.
- B. The instructor will notify the student(s) in writing of his/her suspicion of academic misconduct, outlining the facts and circumstances supporting the suspicion, and requesting a meeting to discuss the alleged misconduct within 5 business days.
- C. If, after meeting with the student(s), the instructor determines that a violation of academic integrity has occurred he/she will be limited to sanctions related to the direct grade of the non-material assignment, quiz or exam in question. The instructor’s decision must then be provided to the AIC/OSE Dean Designee to review/verify Integrity Code enforcement consistency. Assuming a satisfactory, time sensitive review, the instructor must then notify the student(s) in writing (email is acceptable) explaining all actions taken relating to the breach of the academic integrity policy. This part of the process must be completed within 3 business days of meeting with the student(s).
- D. If the subject student(s) agree to the instructor’s action on the matter, the instructor will so notify the OSE Liaison to the AIC and the matter will be documented via the appropriate AIC/OSE Dean Designee letter to the student(s) and to the AIC Record.
- E. If any student(s) in the matter disagrees with the result of the instructor’s in-class process, the student(s) may bring the matter to the attention of the Dean of Faculty. The Dean of Faculty may either uphold, or reduce the sanction to the student(s). Any appeal from the Dean of Faculty’s decision will follow the appeal process designated for appeals from AIC rulings.

## **THE IMPACT OF INFRACTIONS**

**1) Effects on honors and prizes:** violations of the Academic Integrity Policy will, with few exceptions, make a student ineligible for the following prizes, distinctions, and honors:

- a. The Dean's List for the period of the sanction (which will generally mean the term in which the infraction occurred, unless a longer period of "probation" or "warning" has been imposed)
- b. Honors at graduation: Department awards, academic prizes awarded at Commencement, leadership awards.

**2) Effect on letters of reference and recommendation:** When requested by appropriate external organizations, violations of the academic integrity policy will be reported. In the reporting process, the OSE will provide an appropriate context so as not to unduly jeopardize the student's academic opportunities before and after graduation.

**3) Effect on academic standing:** The Committee on Academic Integrity considers academic integrity violations when reviewing the profiles of students who do not meet minimal standards for continuation at Simon. Academic integrity infractions may influence whether the academic standards committee recommends that a student complete their Simon degree.

**4) Effect on study abroad:** The Academic Integrity Committee, along with the Office of Student Engagement, considers a student's academic integrity record when determining eligibility to study abroad.

**5) Other effects:** academic integrity violations will make a student ineligible to participate in club leadership positions, TA positions, tutoring, or proctoring positions.