

## Appendix B Policy on Academic Dishonesty

### Procedures for Dealing with Undergraduate Academic Dishonesty

- I. Principles
- II. Process for Dispensation of Academic Dishonesty Cases
- Chart: Procedures for Dispensation of Academic Dishonesty Cases
- III. Assignment of Grade and Submission of Evaluation
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## Procedures for Dealing with Undergraduate Academic Dishonesty University of California, Santa Cruz

The following principles and procedures by which justice shall be administered in the instance of an undergraduate student accused of academic misconduct were accepted by the UCSC Senate's Committee on Educational Policy (CEP) and took effect on September 1, 1999. The full text of this document is printed in the *Student Policies and Regulations Handbook*, and the *Navigator* and the *Faculty Handbook* have been amended as necessary. In addition, an *extensive web site* ([www.ucsc.edu/academics/academic\\_integrity](http://www.ucsc.edu/academics/academic_integrity)) is available for student and faculty consultation on procedures and rules for dealing with cases of academic dishonesty. Graduate students' cases should be reported to the dean, Graduate Studies (see Appendix O, *Student Policies and Regulations Handbook*).

### I. Principles

1. Academic misconduct includes, but is not limited to, cheating, fabrication, plagiarism, or facilitating academic dishonesty or as further specified in campus regulations.
2. Instructors<sup>1</sup> shall make a reasonable effort to explain to students at the outset of a course the behavior expected of them when taking examinations or preparing and submitting other course work.
3. In the event that academic misconduct is suspected, due process shall be respected. The procedures described below shall be invoked to determine the facts of a case and to decide upon both academic and disciplinary sanctions where appropriate. All steps need to be carefully documented in writing and should be completed in a timely fashion<sup>2</sup>.
4. All members of the university community who suspect academic dishonesty should report it to the instructor of record. If the instructor of record is unavailable, or the case is outside the scope of the course, it should be reported to the chairperson of the department sponsoring the course. If so desired by the student, the chairperson will maintain the student's identity in strict personal confidence, even at the expense of dropping the case.
5. The instructor of record is responsible for recommending the academic sanctions to be imposed. Academic sanctions may include reduced scores on assignment(s), a reduced grade in the course, or failure of the course.
6. Disciplinary sanctions are determined by the provost of the student's college or, if the student's case goes to a hearing, by the Academic Tribunal.
7. The decision of the Academic Tribunal is final. Appeals to the chancellor will be considered only for alleged violation of due process.
8. In a case of academic misconduct involving more than one student, provosts will coordinate their decisions to ensure that disciplinary sanctions are applied fairly.
9. No grade notation or evaluation will be issued until the process outlined is completed and a final decision is made on the charges and the sanctions to be imposed. The student may appeal the academic sanctions (grade or evaluation) imposed by the instructor through the Narrative Evaluations Student Grievance Committee (UC Santa Cruz Academic Senate bylaw 13.17.8).
10. In serious cases in which academic misconduct has been determined to occur, a notation of misconduct shall be entered for a specified period on a student's transcript, including all external copies.

### II. Process for Dispensation of Academic Dishonesty Cases

(see *chart on page 127*)

An instructor who has evidence of student academic misconduct has discretion to decide whether that misconduct is sufficiently serious to warrant formal action.

The instructor initiates the process by making a formal request for a meeting with the student to discuss the charges, evidence of misconduct, and the academic sanctions to be imposed. If the student refuses to meet with the instructor, that refusal shall be reported to the student's provost and shall be taken as *prima facie* evidence of violation. There can be one of three outcomes to the meeting of the instructor and student:

1. The term instructor refers to the "instructor of record" of the course.
2. All attempts should be made to complete cases within the academic quarter in which the incident occurred or within the quarter or summer immediately following the incident.

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- A. *The instructor and student mutually agree that there is no violation.* No report of the incident will be issued.
- B. *The student admits violation and accepts academic sanctions.* The instructor must make a formal report of the incident by completing a standardized form (available on the UCSC Academic Integrity web site and at departmental and college offices) summarizing the charges and the academic sanctions to be imposed. This form requires the signature of both the instructor and student and should be completed and submitted within three working days of the initial meeting between student and instructor. The report must include
- the date of the offense;
  - the nature of the offense;
  - the instructor's analysis;
  - any physical evidence, such as tests or assignment papers; and
  - academic sanctions to be imposed and an explanation of why specific sanctions will be imposed.

The completed form and copies of any physical evidence are sent to the provost<sup>3</sup> of the student's college, who then determines what disciplinary sanctions may be appropriate. The provost will summarize the charges and the academic and disciplinary sanctions to be imposed and notify in writing:

1. the originator of the charges, the student, and the chair(s) of the student's academic department (if one is declared). Only after receiving the formal report on the final dispensation of the case will the instructor submit the final grade and evaluation for the student;
  2. the campus judiciary officer, who will notify the registrar and request specific actions as appropriate;
  3. the vice provost and dean of undergraduate education (VPDUE).
- C. *The student does not admit to a rules violation.* The instructor must send a completed form to the student's provost summarizing the charges and academic sanctions proposed together with a summary of the specifics of the disagreement by the student. Both the instructor and student must sign the completed form. This completed form should be submitted within three working days of the initial meeting between student and instructor.

Once the form is received, the student's provost will schedule a meeting with the student to begin the formal hearing process. At this meeting, the provost serves as a procedural adviser to the student, advising the student of his or her options, the consequences of various options, and the procedures that are open to the student.

After meeting with the provost, the student may agree to the charges. In this case, the provost will then determine disciplinary sanctions and formally report the decision to the appropriate parties.

If the student does not admit violation, the case is referred to a formal hearing of the Academic Tribunal. The provost of the student's college will schedule this hearing to occur in as timely a manner as possible. Every effort will be made to schedule this hearing within one month of the initial charge.

In cases involving multiple accused students, it will be up to the discretion of the tribunal whether to hear the cases separately or jointly.

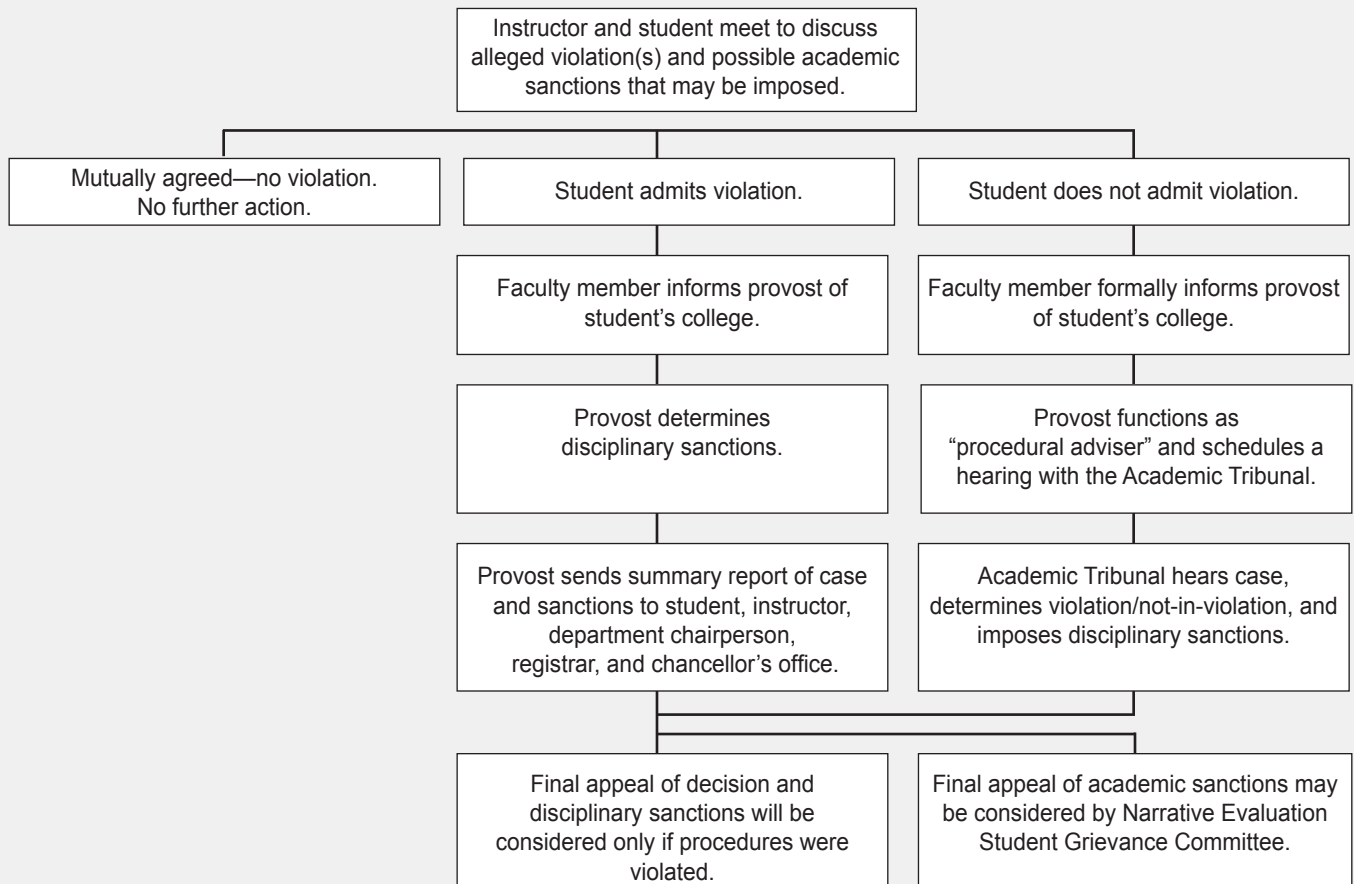
The Academic Tribunal will hear the originator's and student's case<sup>4</sup>, decide upon disciplinary sanctions, and report their decision to the student's provost, who informs all other parties and the originator of the charge. The instructor may then impose the academic sanctions first proposed or may modify these sanctions based on the findings of the Academic Tribunal.

Four standing provosts will be appointed by the VPDUE to serve on this tribunal, each for a two-year term. Any case will be adjudicated by three of the four members to enable a provost with a conflict of interest (e.g., the provost of the student's college) to be excused from the proceeding. Provosts' terms will be staggered to provide continuity between different academic years.

*Procedural Appeal Process:* The decision of the Academic Tribunal with respect to verdict and sanctions will be final. The student may appeal the academic sanction (grade notation or evaluation) imposed by the instructor through Narrative Evaluations Student Grievance Committee.

3. When more than one student is accused of cheating, the instructor will notify the provosts of each of the students' colleges.
4. The procedures of the formal academic tribunal will provide for both the instructor and the student to be present and to present their cases. Both parties will be allowed to bring in appropriate witnesses and procedural advisers if agreed to in advance of the hearing by the Academic Tribunal.

**Procedures for Dispensation of Academic Dishonesty Cases  
University of California, Santa Cruz**



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Appeals to the chancellor or to the chancellor's designee will be considered only for alleged "use of improper criteria" as well as for procedural violations. Appeals shall be limited to the following:

1. whether there is substantial evidence to support the finding(s) of violation of university policies or campus regulations for which the discipline was imposed;
2. whether there is evidence which could not be adduced at the time of the original hearing which is likely to change the result;
3. whether there was procedural unfairness in the conduct of the hearing;
4. whether the sanctions imposed were too harsh given the findings of fact.

Any appeal to the chancellor must be made in writing and received by the chancellor's office within five working days after the student receives the decision of the Academic Tribunal.

The decision of the chancellor or chancellor's designee is final and shall be conveyed to the student and the student's provost who will formally inform all other parties involved in the case.

**III. Assignment of Grade and Submission of Evaluation**

Until a final decision is made regarding the case and sanctions to be imposed, the instructor will not assign the grade (when the option becomes available from the registrar, the instructor will assign the notation DG for deferred grade.) Assignment of a final grade and submission of an evaluation shall not occur until the case is finalized and the instructor has received a written summary of the case's outcome from the student's provost.

**IV. Annual Report and Procedural Instruction**

The VPDUE shall compile an annual public summary (omitting names and other material that would identify the concerned parties) of the disposition of cases that have been reported to that office. This report shall contain the VPDUE's summary and assessment of the effectiveness of the procedure. In

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particular, cases of multiple offenses shall be noted. Copies of the report will be sent to CEP, the Committee on Teaching (COT), and to all deans and provosts.

The VPDUE's office is responsible for monitoring consistency between colleges; instructing instructors, graduate teaching assistants, departmental chairs, and provosts on all procedures regarding academic integrity; and providing web-based and paper copy information to the campus community.

#### **V. Sunset Provision**

These procedures shall be assessed by CEP after being in effect for five years, and a report of the assessment shall be made to the Senate. At the end of the third year, the VPDUE shall prepare an addendum to the annual report with recommendations for any modifications to these procedures.