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## **For Undergraduate Students**

### **Official University Policy on Academic Integrity for Undergraduate Students**

"...knowledge without integrity is dangerous and dreadful" - Samuel Johnson

Academic integrity is the cornerstone of a university education. Academic dishonesty diminishes the University as an institution and all members of the University community. It tarnishes the value of a UCSC degree.

All members of the UCSC community have an explicit responsibility to foster an environment of trust, honesty, fairness, respect, and responsibility. All members of the university community are expected to present as their original work only that which is truly their own. All members of the community are expected to report observed instances of cheating, plagiarism, and other forms of academic dishonesty in order to ensure that the integrity of scholarship is valued and preserved at UCSC.

In the event a student is found in violation of the UCSC Academic Integrity policy, he or she may face both academic sanctions imposed by the instructor of record and disciplinary sanctions imposed either by the provost of his or her college or the Academic Tribunal convened to hear the case. Violations of the Academic Integrity policy can result in dismissal from the university and a permanent notation on a student's transcript.

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#### **I. Principles**

#### **Principles and Procedures for Dealing with Undergraduate Academic Dishonesty**

The following principles and procedures by which justice will be administered in the instance of an undergraduate student accused of academic misconduct have been accepted by the UCSC Senate's Committee on Educational Policy and became effective on September 1, 2011. Graduate student cases should be reported to the Graduate Dean, who will invoke the appropriate grievance procedure (outlined at [http://www1.ucsc.edu/academics/academic\\_integrity/graduate\\_students/](http://www1.ucsc.edu/academics/academic_integrity/graduate_students/)).

1. Academic misconduct includes but is not limited to cheating, fabrication, plagiarism, or facilitating academic dishonesty or as further specified in the *Student Policies and Regulations Handbook* [Section 102.01](#).
2. Instructor of record ("instructor") should 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 as reflected in the procedures described below must be respected. These procedures shall be invoked to determine the facts of a case and to decide upon both academic and disciplinary sanctions where appropriate. All steps should be carefully documented and should be completed in a timely fashion.
4. All members of the university community who suspect academic dishonesty should report it to the instructor of record. If the instructor of record for the relevant course is unavailable, or the case is outside the scope of an individual course, the matter should be reported to the chair of the relevant department. If so desired by a student reporting academic misconduct, the instructor or chair must maintain that student's identity in strict personal confidence, even at the expense of dropping the case.
5. The instructor of record is responsible for determining 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. Notation of disciplinary sanctions are retained in accordance with [Section 109](#) of the *UCSC Code of Student Conduct*.
7. The decision of the Academic Tribunal is final. Appeals to the Chancellor will be considered only for alleged violation of due process. Appeals to the Chancellor will be considered for alleged violation of these procedures.
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. Assignment of a final grade and (optional) submission of a narrative evaluation must 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. Until that time, the instructor will assign the notation "DG" for *deferred grade*. A student may not withdraw from a class in which s/he is charged with academic misconduct. The student may appeal the grade imposed by the instructor only through the [Academic Assessment Grievance Committee \(UC Santa Cruz Academic Senate bylaw 13.17.8\)](#).
10. In serious cases in which academic misconduct has been determined to occur and when the student has been suspended as a result, 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**

Questions regarding Academic Integrity policy should be directed to [college provosts](#) or the office of the [Vice Provost and Dean of Undergraduate Education](#) (VPDUE) for clarification.

### **A. Meeting between instructor and student**

An instructor who has evidence of student academic misconduct (as described in Principles above) has discretion to decide whether that misconduct is sufficiently serious to warrant formal action. If the alleged misconduct is considered sufficiently serious to affect the student's grade in the course, the student has a right to due process.

The instructor initiates the Academic Integrity procedures by making a formal request for a meeting with the student to discuss the charges, the evidence of misconduct, and the academic sanctions to be imposed.

Unless the instructor ultimately determines that no violation has occurred, s/he must make a formal report of the incident by completing a standardized Report Form.

The report form includes:

- Contact and course information
- The date of the offense
- The nature of the offense
- The instructor's analysis
- Any physical evidence such as tests or assignment papers
- Academic sanctions to be imposed and an explanation of why specific sanctions will be imposed.
- A student declaration of guilt or innocence of the charges and (optional) associated explanation.
- Signatures of instructor and student.

If the student does not respond in a timely way to the instructor's requests for a meeting, the instructor should nonetheless complete, sign, and submit the Report Form to the provost of the student's college. If a student does not respond to requests to meet with the instructor (or with the provost in section B below), the provost should take this lack of response as *prima facie* evidence of violation.

**There can be one of three outcomes to the meeting of the instructor and the student:**

1. **The instructor and student mutually agree that there is no violation.** No report of the incident will be issued.

2. **The student admits violation and accepts academic sanctions.**

The completed Report Form and copies of any physical evidence are sent to the provost of the student's college.

Per the *UCSC Student Policies and Regulations Handbook* [section 105.15](#), the instructor may impose, and note on the Report Form, one or more of the following academic sanctions for violations involving academic dishonesty:

1. no credit or reduced credit for academic work in question;
2. failing grade or reduced final grade for the course or "No Pass" for the course;
3. narrative notation or revision (optional);
4. retaking of examination or resubmission of assignment;
5. exclusion from course; and
6. other academic sanctions deemed appropriate to the misconduct.

Only after receiving the formal report on the final dispensation of the case from the provost (or when appropriate from the Academic Tribunal) will the instructor submit the final grade and (optionally) a narrative evaluation for the student.

The provost determines the appropriate *disciplinary* sanctions, summarizes the charges and the academic and disciplinary sanctions to be imposed, and notifies in writing: the originator of the charges, the student, and the Vice Provost and Dean of Undergraduate Education (VPDUE).

If the proposed disciplinary sanction includes the suspension or disqualification of the student, the provost will also notify the VPDUE and the campus judiciary officer who will in turn notify the Registrar and request specific actions as appropriate.

If a student fails to fulfill any aspect of the disciplinary sanction imposed, the provost may bar the student from enrolling in classes in a subsequent term.

### **3. The student does not admit violation.**

The instructor must send a completed Report Form (described above) to the student's provost. On the form, the instructor summarizes the charges and the tentative academic sanctions; the student declares his/her guilt or innocence of the charges and offers an (optional) explanation. Both the instructor and student sign the completed form. The instructor should submit the completed Report Form within three working days of the initial meeting between the student and the instructor.

#### **MULTIPLE STUDENTS**

When more than one student is accused of cheating, the instructor will submit separate Report Forms to the provost of each student's college.

#### **B. Meeting between provost and student**

Once the Report 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 advisor 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 as noted above.

If the student does not admit violation, the case is referred to a formal hearing by the Academic Tribunal.

#### **C. The Academic Tribunal**

Four standing provosts will be appointed by the VPDUE to serve on the Academic Tribunal, each for a two-year term. Any case will be adjudicated by at least two of the four members. Any provost with a conflict of interest (e.g., s/he is the provost of the accused student's college) will be excused from the proceeding. Provosts' terms will be staggered to provide continuity between academic years.

The provost of the student's college will schedule an Academic Tribunal hearing to occur in as timely a manner as possible. Every effort will be made to schedule this hearing within two months of the initial charge and to complete cases within the academic quarter in which the incident occurred, or within the quarter immediately following the incident.

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

The procedures of the formal Academic Tribunal will provide for both the instructor and the student to be present and to present their cases. If either the student or instructor does not attend the scheduled hearing, the Academic Tribunal may decide the case and determine the disciplinary sanction on the basis of the available evidence and testimony.

The accused student and members of the Academic Tribunal are normally provided with copies of the relevant evidence at least one week prior to the scheduled hearing. If the accused student wishes to present written evidence or to call witnesses at the hearing, the written evidence itself and the names of the witnesses must be provided to the student's provost at least ten days before the scheduled hearing. It is the responsibility of the accused student to invite witnesses for their defense if needed.

At least ten days prior to the hearing date, the student may submit a request to his/her provost to bring another person (student, parent) to the hearing for support. If permitted by the Academic Tribunal, such a person may communicate quietly with the accused student but is not allowed to address the Academic Tribunal members nor participate in questioning or testimony. Support individuals may attend the hearing at the discretion of the members of the Academic Tribunal and may be asked to leave at any time.

The purpose of the hearing is to establish findings of fact. Issues of legality of university or campus policies will not be considered. The Tribunal is not bound by formal court procedures and evidence at the hearing and is not subject to the same restrictions as in a court of law. The chair may exclude evidence that is marginally relevant, repetitive, or unreliable. The Academic Tribunal decides cases on the basis of "a preponderance of the evidence".

An audio recording is made of the proceedings of the Academic Tribunal. A student considering an appeal may request a copy of this recording which is maintained by the office of the Vice Provost and Dean of Undergraduate Education until the opportunity for a student to appeal has passed.

The Academic Tribunal may reach 'no finding' or may find the student 'guilty' or 'not guilty' of the charges. If the Tribunal finds the student guilty of the charges, the Tribunal also determines the disciplinary sanction in the case. The Tribunal's decisions are communicated in a letter to the accused student with copies to the student's provost, to the instructor, to the Vice Provost and Dean of Undergraduate Education, and to any other units/individuals with a business need to know (e.g., judicial affairs officer).

Upon receipt of the Academic Tribunal's letter the instructor may impose the academic sanctions tentatively identified in the report form or may modify these sanctions based upon further reflection or the findings of the Academic Tribunal.

If the Tribunal reaches 'no finding' or finds the student 'not guilty' of the charges or if, for any reason the instructor withdraws the charges before a determination of guilt or innocence can be determined, the Report Form and other records transmitted from the instructor to the college provost and to the members of the Academic Tribunal shall be immediately destroyed and will not be forwarded off campus.

If the Tribunal finds the student 'not guilty' the instructor must not impose an academic sanction (change in grade or narrative evaluation on the basis of the alleged violation of the *UCSC Student Policies and Regulations Handbook*, [Section 102.01](#)). To impose such a sanction under these circumstances would be

to violate the student's right to due process and would create grounds for the student to appeal for recourse from the [Academic Assessment Grievance Committee](#).

If a student admits guilt or is found guilty of academic misconduct by the Academic Tribunal and if the college provost or the Academic Tribunal issues a letter of disciplinary *warning*, this letter will be maintained by the student's college office and will be destroyed upon the student's graduation.

For undergraduate students who receive a sanction of disciplinary probation or suspension, college records of the case are reviewed for destruction five academic years from the date of the incident.

For those cases that result in dismissal, records are maintained in the college indefinitely.

In addition, in cases in which a disciplinary sanction of suspension or dismissal is imposed, a notation will be made on the student's official transcript and will remain there for the duration of the sanction.

If a student requests that UCSC provide information on his/her academic record to others (e.g., a graduate school, study abroad program, federal office), UCSC must disclose all academic integrity violations on record at the time of the request.

#### **D. Procedural Appeal Process**

The decision of the Academic Tribunal with respect to verdict and sanctions ends the process unless there is an appeal to the Chancellor. Only the student (not the instructor bringing charges) may appeal the decision of the Academic Tribunal to the Chancellor.

Appeals will be granted only if one or more of the following conditions are met:

- There is substantial evidence to support the finding(s) of violation of university policies or campus regulations for which the discipline was imposed;
- There is evidence which could not be shown at the time of the original hearing which is likely to change the result;
- There was procedural unfairness in the conduct of the hearing.

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

If, as a result of an appeal, it is found that a student was improperly found guilty, the Vice Provost and Dean of Undergraduate Education shall have any reference to the disciplinary process removed from the student's record. In such instances, the record of the hearing will remain confidential to the extent permitted by law. The Chancellor also may take other reasonable actions to ensure that the status of the student's relationship to the university shall not be adversely affected by such disciplinary action.

#### **III. Assignment of Grade and Submission of Optional Narrative Evaluation**

Assignment of a final grade must 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. Until that time, the instructor will assign the notation "DG" for *deferred grade*.

As with any grade, the student has the right to an appeal through the [Academic Assessment Grievance Committee](#) (UC Santa Cruz Academic Senate bylaw 13.17.8).

The procedures and deadlines for filing a grievance of a grade are outlined in Academic Senate regulations [Appendix C](#). As noted in that document:

“A grievance may be filed if the student believes that the instructor has given a course grade or evaluation of the student’s work by criteria that were not clearly and directly related to the student’s performance in the course for which the grade or evaluation was assigned, as by the use of:

A. Non-academic criteria such as ethnicity, political views, religion, age, sex, financial status or national origin;

B. Capricious or arbitrary application of academic criteria in a manner not reflective of student performance in relation to course requirements.”

#### **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 particular, cases of multiple offenses shall be noted. Copies of the report will be sent to the Committee on Educational Policy (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 for providing web-based and paper copy information to the campus community.

#### **V. Chronology of Development and Sunset Provision**

Initial call for reconsideration of UCSC Academic Integrity Procedures was made on the floor of the Senate during the February 1997 meeting. CEP considered this during the spring quarter of 1997. 10/3/97 letter suggested recording procedures: 4/20/98 CEP subcommittee of G. Brown, J. Isbister, and P.Kolaitis, drafted more extensive changes. Document from CEP was modified by L. Goff 7/1/98. Discussions among G. Brown, L.Goff, D. Birnbaum and J. Yellin resulted in changes in a 8/13/98 redraft by J. Yellin; this was reviewed and revised by D. Birnbaum and L. Goff 8/27/98; final revisions by Goff, 10/1/98 and 11/1/98. Submitted to CEP for reconsideration on 11/1/98. VPDUE Goff redrafted version after considerable discussion campus-wide and incorporating input of CEP from 4/21/99 meeting. Both CEP and the Council of Provosts approved the final version of this proposal in June, 1999. Final version reviewed on 6/29/99 by George Brown, Lynda Goff and Richard Hughey. Significant revisions and updates in February, 2011 by David Evan Jones, Jessica Fiske Bailey, and the Council of Provosts. CEP approved the revised version on June 8, 2011.

#### **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 Academic Senate. At the end of the third year, the VPDUE shall prepare an addendum to the annual report to the Academic Senate with recommendations for any modifications to these procedures.

## **VI. Council of Provosts' Advisory to Students and Faculty**

It is the responsibility of each student to understand university policy on Academic Integrity and the policies of each instructor on issues such as the citation of sources and limits on acceptable collaboration on assignments. Faculty normally detail course policies in the syllabus and/or in announcements to the class. If a student is unsure whether a particular behavior might violate university or course policy, it is his or her responsibility to consult with the instructor for clarification.

The [\*UCSC Student Policies and Regulations Handbook\*, Section 102.01](#) prohibits “[a]ll forms of academic misconduct, including but not limited to, cheating, fabrication, plagiarism, or facilitating academic dishonesty”. Students are hereby referred to the *Handbook*, which provides definitions and examples of each of these terms.

Note that the procedures outlined in this document are relevant only to the academic misconduct described specifically or in general terms in the *Handbook* [Section 102.01](#). Instructors retain the individual authority to lower a student’s grade if the student violates other clearly stated course rules (such as prohibitions against using a cell phone or talking during an examination).

While the definitions from the *Handbook* will not be restated here, a few points regarding plagiarism warrant additional emphasis:

As defined in the *Handbook*, plagiarism includes not only the literal incorporation—without appropriate citation—of phrases and sentences from the work of another person, but also the use of “views, opinions, or insights of another without acknowledgment” and “paraphrasing the characteristic or original phraseology, metaphor, or other literary device of another without proper attribution.”

Students should take particular care to cite ideas and materials garnered from the internet. Such information may or may not be in the public domain but it clearly constitutes work provided by another person that must be acknowledged appropriately. If students are unsure of the appropriate format for citation, they should consult with the instructor of the course.

Most instructors also prohibit what could be called “self plagiarism”: seeking academic credit for the same work in more than one course. If a student wishes to fulfill an assignment in one course by expanding upon work completed for another, s/he must obtain the prior permission of the second instructor.

### **FOR INSTRUCTORS**

Instructors should explain to students at the outset of a course the behavior expected of them when taking examinations or preparing and submitting other course work. This information should also be stated clearly in the course syllabus. The instructor should discuss possible ambiguities in course policies. For example:

- If the instructor encourages students to work on homework problems together, it should be clear if separate and not joint submissions are expected and what is allowed and what not.
- In courses in which papers are required, the instructor should ensure that students understand the course conventions for citation and quotation, and should emphasize that materials obtained over the internet must be cited appropriately.

A variety of measures may help prevent cheating during examinations:

- In large courses in which the instructor does not know each student personally, the instructor may require that picture IDs be checked against a master list as students enter the examination room or during the examination.
- Instructors may require that students leave cell phones and other electronic devices on the floor or otherwise out of reach.
- Instructors should insure that there is attentive proctoring. Where physically possible, the instructor should ask students to maximize the distance among themselves. Where space is an issue the instructor should consider making more than one version of the examination.

The following links provide several useful ways to prevent and to detect academic misconduct:

<http://teaching.berkeley.edu/academic-integrity-under-construction>

<http://tlt.its.psu.edu/plagiarism/facguide>

Instructors should make clear in the course syllabus that academic misconduct will not be tolerated and that violations of university policy may lead to failure of the course and even to suspension or dismissal from the university. As made clear in the procedures outlined above, instructors are responsible for reporting centrally to the college provosts all violations of campus regulations on academic integrity.

Only by working together can UCSC students, staff, and faculty maintain a culture in which academic integrity prevails.

## **VII. Academic Integrity Resources**

### **Definitions**

#### **Examples of Violations of Academic Integrity**

This list is not exhaustive. For the complete list, refer to the [\*UCSC Student Policies and Regulations Handbook and its updates\*](#).

- **Cheating:** Acting to gain unfair advantage over fellow students using such methods as copying another's work on a test or paper; plagiarism; using unauthorized materials in an exam; collaborating on work to be turned in for credit where such collaboration is disallowed by the instructor; altering graded coursework to increase a score or grade.
- **Fabrication:** In any academic exercise, submitting falsified data including bibliographic resources and experimental data, or altering graded coursework/exams and resubmitting to the instructor for a higher score.
- **Facilitating Academic Dishonesty:** Assisting another in violating the policy of Academic Integrity, such as taking an exam for another student or providing coursework for another student to turn in as his or her own effort
- **Multiple Submission:** Submitting the same work in multiple classes for credit
- **Plagiarism:** Submitting ideas or sentences as your own without proper citation or acknowledgement.

- **Copyright Violation:** Reproducing published (web-obtained or hand-copy) material without obtaining formal copyright release from owner.

## **Due Process**

### **Procedural Due Process:**

Procedural due process is basic to the proper enforcement of university policies and campus regulations. Chancellors shall establish and publish campus regulations providing for the handling of student conduct cases in accordance with basic standards of procedural due process. Consistent with this requirement, procedures specified in such regulations shall be appropriate to the nature of the case and the severity of the potential discipline.

When a formal hearing is required, campus implementing regulations shall provide the following minimum procedural standards to assure a fair hearing:

- a. written notice, including a brief statement of the factual basis of the charges; the university policies or campus regulations allegedly violated; and the time and place of the hearing, within a reasonable time before the hearing; wherever these policies and regulations require that notice be given, it may be delivered in person to the student, or shall be sent by mail to the address appearing on the student's most recently filed registration materials, or, if undeliverable at that address, to the permanent address of record. Whether delivered in person or by mail, a signed receipt shall be obtained if possible. Day: For the purpose of this code, the term "working day" shall be defined as the normal business day and shall not include Saturdays, Sundays, or administrative holidays;
- b. the opportunity for a prompt and fair hearing, upon the request of the student, at which the university shall bear the burden of proof, and at which the student shall have the opportunity to present documents and witnesses and to confront and cross-examine witnesses presented by the university; no inference shall be drawn from the silence of the accused;
- c. a record of the hearing; an expeditious written decision based upon the preponderance of evidence, which shall be accompanied by a written summary of the findings of fact; and
- d. an appeal.

## **Faculty Guide to Academic Integrity**

Cheating is an academic issue. When cheating is suspected in a course, it is the responsibility of the instructor of record ("instructor") to try to establish the facts. If the instructor becomes convinced that cheating has occurred, he or she has the responsibility to impose some consequence within the context of that course, for example, to treat the work on which the cheating has occurred as not having been submitted.

The chancellor and the Academic Senate strongly support the efforts of individual instructors to deal with academic dishonesty.

## **Set Expectations**

- Instructors should announce at the beginning of a course that cheating will not be tolerated, and that cheating in any part of the course may lead to failing the course and suspension or dismissal from the university. Instructors should refer students to the UC Santa Cruz Academic Integrity web pages.
- Instructors should **explain to students at the outset of a course the behavior expected of them when taking examinations or preparing and submitting other course work.** The instructor should discuss possible ambiguities in his or her policies. For example, if the instructor

encourages students to work on problems together, it should be clear if separate and not joint submissions are expected. In courses in which papers are required, the instructor must insure that students understand the academic conventions for quotations and citation, and should inform students that material obtained over the internet must be cited appropriately or copyright permission must be obtained. In large courses, where the instructor does not know every student personally, the instructor may require that picture IDs be checked against a master list as students enter the examination room or during the examination. In examination rooms, the instructor should insure that there is attentive proctoring. Where physically possible, the instructor should ask students to maximize the distance between them, and should take other appropriate precautions.

- The following links provide tips on creating assignments and arranging exams to reduce the likelihood of plagiarism or cheating. Additionally, a sample syllabus insert regarding academic integrity is provided here for your use.
  - <http://teaching.berkeley.edu/academic-integrity>
  - <http://tlt.psu.edu/plagiarism/instructor-guide/> (Tips for faculty including how to detect plagiarism, strategies for minimizing cheating, and summary of paper mills).

### **Due Process**

- In the event an instructor suspects a student of academic misconduct in a course, due process shall be respected. Please see the procedures to be invoked to determine the facts of a case. All steps need to be carefully documented in writing and should be completed in a timely fashion.

### **What to Report**

Reporting violations of academic integrity is essential to ensure that a complete picture of a student's coursework at the university is considered. What may seem like a minor infraction to you in your individual course may be part of a larger pattern evident to the college provost. Refer to the [\*UCSC Student Policies and Regulations Handbook Section 102.01\*](#) for information concerning what is considered grounds for student discipline.

### **When to Report**

When a student is suspected of cheating, the instructor must make a formal request for a meeting with the student to discuss the charges, evidence of misconduct and the academic sanctions being considered. If a student denies the allegation and the instructor is persuaded that no misconduct occurred, no report is filed and the matter is closed. If the student admits the violation or if the student denies the allegation but the instructor disagrees and has strong evidence of misconduct, the instructor must make a formal report of the incident by completing an Report of Academic Misconduct Form within two weeks of the alleged violation. If the allegation is made by a student who wishes to maintain his/her anonymity, the student's identity should be kept in strict confidence, even at the expense of dropping the case.

### **How to report**

Complete a Report of Academic Misconduct Form. The form is signed by the instructor and student and submitted to the provost of the student's college of record (listed on the course roster). Signing the form indicates that the statements written by the instructor and student on it have been reviewed. Signature of the student is not imperative, but an instructor should document (e.g., copies of emails) that he/she attempted to meet with the student to discuss the issue. If a student fails to meet with the instructor after several requests to meet, the instructor should proceed to submit a form without the benefit of the student's perspective. A copy of the form should be given to the student and another kept for the instructor's records.

### **Academic Consequences, including what about a student's grade?**

The instructor determines the academic consequences of academic dishonesty. If the student denies the

allegation, you are asked to withhold submitting a final grade (and instead submit a Deferred Grade notation, “DG”) until you receive a letter stating the resolution of the case by the provost, Academic Tribunal, or in cases that have been appealed, from the Vice Provost and Dean of Undergraduate Education. The consequences should be equal in seriousness to the violation and evidence presented; policy provides guidance.

#### **What if the student disagrees with the academic sanction?**

The instructor of record has the responsibility and authority to determine the academic consequences of a violation (within the context of the course) and determine the impact of the violation on the student’s final grade and narrative evaluation. A student who disagrees with the final grade may file an appeal via the [Academic Assessment Grievance Committee](#).

#### **What happens when multiple students from different colleges are involved?**

Instructors should consult with other instructors and provosts to ensure coordination of actions and inquiries and the fair and uniform application of the policies and sanctions.

#### **What happens when a formal report is submitted?**

When a college provost receives a Report of Academic Misconduct Form, he/she will meet with the student to discuss the situation, the student’s perspective, documentation, and relevant code of conduct rules and policies. The provost may contact the instructor and other people who may have knowledge about the situation to ask questions or research issues further.

If the student accepts responsibility, the provost will determine appropriate disciplinary sanctions (such as a letter of warning, requiring attendance at an ethics course, assigning a research paper to demonstrate an understanding of plagiarism and citing, or suspending a student). A student who does not fulfill the requirements of the resolution imposed by the provost in the timeframe noted will be unable to enroll in classes (an administrative hold will be placed on the student’s record) until he/she has satisfied them. If the student maintains his/her innocence of the charges and the provost determines there is sufficient evidence of misconduct, the provost will arrange for an Academic Tribunal at which the case will be adjudicated. Faculty are expected to attend tribunal hearings to present the case against the student.

#### **Who will learn the resolution of the case?**

If the issue was resolved by the provost, he/she will compose a letter summarizing the charges and stating the disciplinary sanctions, including timeframes for satisfaction of them. This letter is sent to the student, instructor and relevant department chair, campus Judicial Affairs Officer, and Vice Provost and Dean of Undergraduate Education. The campus Judicial Affairs Officer will notify the Registrar and request specific action, if appropriate (e.g., student to be suspended). Suspensions and dismissals are reviewed by the Director of Student Judicial Affairs and require the approval of the Vice Provost and Dean of Undergraduate Education (VPDUE).

The College Administrative Officer of the home college of the student receives a copy of letters to students who have been found to have committed academic dishonesty. Records of disciplinary sanctions are maintained for a minimum of seven years in accordance to policies and laws related to privacy and disclosure of student records, protection of a student’s right to privacy, and the disclosure of personal student information.

Per the UCSC Code of Judicial Conduct, [section 105.15](#), one or more of the following sanctions may be imposed by the instructor of record for violations involving academic dishonesty:

1. no credit or reduced credit for academic work in question;
2. failing grade or reduced final grade for the course or “No Pass” for the course;
3. narrative notation or revision;

4. retaking of examination or resubmission of assignment;
5. exclusion from course; and
6. other academic sanctions deemed appropriate to the misconduct.

Instructors who have questions about the Academic Integrity Policy are urged to contact their department chair, a provost or the office of the Vice Provost and Dean of Undergraduate Education (VPDUE) for clarification.

### **Resource: Student and Faculty Responsibilities in the Classroom**

Baruch College Professor Bill Taylor wrote a [compelling letter to his students](#) concerning academic integrity, as well as an article regarding [best practices for faculty](#) in an attempt to promote academic integrity.

### **Proper Citing and Campus Resources**

#### **Avoiding Plagiarism with Proper Citing Formats**

There are many books and online resources regarding proper citing of sources. Here are a few:

- <http://library.ucsc.edu/help/howto/citations-and-style-guides>
- <http://nettrail.ucsc.edu>
- <http://www2.liu.edu/cwis/cwp/library/workshop/citation.htm> (includes tools for creating lists of references that can be saved)
- [http://www.academicintegrity.org/educational\\_resources/pdf/plagiarism.pdf](http://www.academicintegrity.org/educational_resources/pdf/plagiarism.pdf) (easy to read page on citing from UC Davis)
- [MLA Style: Guide to Documenting Sources From the World Wide Web](#)

Ask your instructors for guidance on appropriate collaboration in their course and that discipline, as conventions and expectations may vary.

### **Campus References and Resources**

- UCSC policies regarding student discipline: <http://deanofstudents.ucsc.edu/student-conduct/index.html>
- UC system policies on student conduct and discipline: <http://www.ucop.edu/ucophome/coordrev/ucpolicies/aos/uc100.html>
- Policies and procedures related to graduate students can be found on the divisional website: [http://www.ucsc.edu/academics/academic\\_integrity/graduate\\_students](http://www.ucsc.edu/academics/academic_integrity/graduate_students)
- [Academic Assessment Grievance Committee](#)

### **Student Guide to Academic Integrity**

#### **Rights and Responsibilities:**

Academic dishonesty undermines the efforts of honest students, the value of a UC Santa Cruz degree and the integrity of the university as an institution. With this in mind, some key rights and responsibilities are outlined below.

- It is the student's responsibility to be honest and to act fairly towards others.
- It is the student's responsibility to understand university policy on Academic Integrity, as well as each instructor's policy on acceptable collaboration and cheating. If a student is unsure whether

his or her behavior violates university or faculty policy, then it is his or her responsibility to consult with the instructor or college provost for clarification.

- It is a student's responsibility to utilize proper citation formats in order to acknowledge the work of others. Students are encouraged to seek out the resources listed on these web pages, and consult with their instructors.
- Students must seek credit only for their own legitimate work.
- When a student observes violations of the Academic Integrity policy, he or she should make every effort notify the instructor.
- If a student is accused of violating the Academic Integrity policy, he or she has the right to due process including notification of charges, presumption of innocence, the right to present the facts as she or he sees them and the right to an appeal. The provost of the student's college may function as the student's procedural advisor.

### **When academic dishonesty is suspected or charged:**

If you are suspected of academic dishonesty, a faculty member will request to meet with you to discuss the issue. As soon as possible write down everything you can remember about how, when and where you did the work in question. Include information about witnesses (e.g., if the question is about an in class exam, where you sat, who sat around you, etc.). Save all of your work from the class (e.g., notes, research, other work, exams, etc.) as it may become important to you in your explanation.

At the meeting, you and the instructor may agree that there is no violation of policy, in which case no report of the incident will be submitted. Alternatively, a Report of Academic Misconduct Form will be submitted to your provost by the instructor, noting either your admission or denial of the charges. A faculty member may submit a Report of Academic Misconduct Form without the benefit of your input, if he/she has tried and been unable to meet with you. Meetings regarding academic dishonesty claims should be made a priority.

### **Meeting with the Provost:**

Upon receipt of a Report of Academic Misconduct Form, your college provost will contact you to schedule a meeting to discuss the situation and review relevant rules and procedures. He/she will provide feedback on your view of the circumstances, note alternative courses of action, and discuss possible outcomes. If you fail to meet with the provost, you give up the ability to respond to the charges and he/she will reach a decision without the benefit of your input.

If you are not going to contest the charges, be prepared to:

- Give an explanation about what you did.
- Acknowledge why that behavior is a problem.
- Report what circumstances surrounded the situation and led you to take the action(s) you did.
- Tell what you have learned from the process.
- Explain how you will do things differently in the future.
- If you admit guilt, the provost will discuss the violation and consequences. He/she will send you a letter noting disciplinary sanctions that will be imposed and any actions you need to take. Failure to follow up on these actions will result in your being unable to enroll in classes until you do so.

Students typically write a statement if they are contesting the charge(s). Your statement should:

- Give a specific, detailed, factual account of how you did your work (or your account of what occurred during the alleged violation) in response to the specific concerns raised by the reporting party.
- Incorporate circumstances surrounding the event that are relevant to the facts and issues of the case.

- Indicate whether you are contesting the allegation because you disagree with the facts and/or do not believe your actions are a violation of the Academic Integrity policy (and if the answer is yes, explain why).
- Offer any mitigating factors that should be considered by the provost(s) hearing the case.

If the student maintains his/her innocence, a tribunal will be scheduled. In rare cases a provost will determine there is insufficient evidence of misconduct to warrant a tribunal in which case no disciplinary sanctions will be imposed. Academic sanctions are the purview of the instructor of record and therefore would not be affected by the provost's conclusion that a tribunal will not be held.

### **Preparing for an Academic Tribunal Hearing:**

If a tribunal is scheduled, the provost's assistant will contact you with the time and date of the hearing. Every effort is made to schedule tribunals at a time when neither the relevant student(s) nor faculty has class, however there is generally little flexibility allowing for rescheduling of tribunal hearings. If you are summoned to a tribunal hearing, you should rearrange your schedule to attend it. If you do not attend the scheduled hearing, the case will still be considered and decided, but without the benefit of your perspective and feedback.

The tribunal hearing will be held at your college. At least two provosts (from colleges other than the students involved) will hear the case, one of whom serves as chair and facilitator of the proceeding. The student and faculty involved will be asked to talk about the circumstances and discuss relevant documents.

If you have evidence or witnesses that you think would be helpful to your case, please provide this information to the provost ten days in advance of the hearing so that the information can be included in the packet that is sent to tribunal members prior to the hearing date, and witnesses can be invited to attend the scheduled hearing.

The purpose of the hearing is to establish findings of fact. Therefore, issues of constitutionality or legality of university or campus policies will not be considered. Formal court procedure does not need to be followed and evidence at the hearing is not subject to the same restrictions as in a court of law. The chair may exclude evidence that is marginally relevant, repetitive, or unreliable.

At least ten (10) days prior to the hearing date you may ask the chair of the tribunal if someone can attend the proceeding with you as your support. Note that he/she will not be able to address the tribunal members or participate in any questioning or testimony. Your support attends the tribunal at the discretion of the provost members of the tribunal and may be asked to leave at any time.

The chair of the tribunal will open the hearing with a review of the procedures and possible outcomes. The faculty will be asked to present the case. You will then be asked to give your account of the circumstances. Witnesses, if any, will be able to present their account at specific times in the hearing (they do not attend the entire proceedings). Provosts may ask questions throughout the proceeding (of the faculty or student). Students and provosts may ask questions of each other during the proceeding as well. The proceedings are tape recorded. You can request a digital record of the proceedings.

### **Results of the Tribunal:**

Please refer to the Academic Tribunal page for an outline of how results of the hearing are handled.

### **Appealing a Grade:**

Academic dishonesty violations result in both an academic sanction (determined by the instructor) and a disciplinary sanction (determined by the tribunal). If a student has questions or concerns regarding the

academic sanction or ultimate grade in the course, you should discuss this with the instructor. Academic sanctions are in the purview of the faculty and not conditional upon the finding by a provost or academic tribunal.

If after meeting with the instructor you are convinced that your grade or evaluation was based upon non-academic criteria (such as ethnicity, political views or religion), or a capricious or arbitrary application of academic criteria in a manner not reflective of your work in class, you may officially dispute the grade or evaluation. You may only file a grievance based upon evidence that the instructor disregarded your academic performance in giving the evaluation or grade. You may not file a grievance merely because you disagree with an instructor's assessment of your work.

The procedure and applicable timelines for undergraduate students to file a grievance of a grade is outlined in Academic Senate regulations available [here](#) under [Undergraduate Grievance Procedures](#).

**Appealing an Academic Tribunal Decision:**

The academic tribunal's finding(s) and disciplinary sanction(s) may be appealed within five working days of receipt of the tribunal's decision and only if appropriate procedures and policies were not followed. Refer to the Procedural Appeal Process for more information.

**Determination of grade:**

Your final grade in the course in which a violation is alleged will be submitted to the Registrar's Office after the faculty receives notice from your provost that the case is closed. The faculty will assign you a "DG" (meaning *deferred grade*) as an interim notation.

**Resource: Student and Faculty Responsibilities in the Classroom**

Baruch College Professor Bill Taylor wrote a [compelling letter to his students](#) concerning academic integrity, as well as an article regarding [best practices for faculty](#) in an attempt to promote academic integrity.