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## Student Academic Misconduct Procedure

<b>Office of Administrative Responsibility:</b>	Vice Provost and Dean of Students
<b>Approver:</b>	General Faculties Council
<b>Scope:</b>	This procedure applies to all University of Alberta <b>students</b> as defined in the Student Academic Integrity Policy.

### OVERVIEW

As an institution of higher learning, the university adopts procedures that reflect its academic mission, that is, they aim to foster a vibrant and supportive **learning environment**, and, wherever possible, encourage rehabilitation, learning, remediation and personal accountability for students who have contravened the *Student Academic Integrity Policy*. The University is committed to **procedural fairness** and **equity-informed practice** to reduce harm throughout the student **academic integrity** process.

**Non-disciplinary accountability options** for resolution are also available, including remedial, restorative, and other facilitated processes to create space for accountability, with or without a complaint.

The **student** cycle at the university necessitates a timely way to address conduct that negatively affects the university community and the learning environment. Students engaged in a process under this policy need clarity as to outcomes and to have the matter addressed expeditiously and fairly.

### PURPOSE

The purpose of this procedure is to:

- set out general responsibilities of students, Instructors, Deans and other decision makers involved in an academic integrity process;
- describe how any person may bring forward a potential academic integrity concern;
- set out the recommendations the **Instructor** may make to the **Dean** for addressing a potential academic integrity concern;
- describe the procedure for the Dean for addressing a potential academic integrity concern, including initiating a complaint;
- set out resources for non-disciplinary accountability options;
- describe the procedures for the **Faculty Decision-Maker**,
- describe the procedures for the **Student Conduct Officer**;
- set out the right to appeal the decision of a Faculty Decision-Maker or Student Conduct Officer to the **Student Misconduct Appeal Panel**
- describe the service of documents related to the complaint.

## PROCEDURE

### 1. Responsibilities

- a. Students are solely responsible for the academic integrity of all work submitted under their name in their courses, programs, and other scholarly activities.
- b. Instructors are responsible for encouraging and promoting academic integrity education as it relates to the **course elements** in their course and identifying potential violations.
- c. Deans, Faculty Decision-Makers, and Student Conduct Officers are responsible for administering and monitoring any non-disciplinary accountability agreements they arrange, or any conditions or sanctions they impose.

### 2. Raising Academic Integrity Concerns

- a. Anyone may raise an academic integrity concern by bringing the concern to the Instructor or, where an Instructor cannot be identified or is unavailable, to the relevant Dean, and should do so as soon as possible after becoming aware of the concern.
- b. The Instructor may raise an academic integrity concern with a student and make any inquiries about the concern as they deem appropriate.

### 3. Instructor's Recommendations to the Dean

- a. As soon as possible after becoming aware of a potential violation of the *Student Academic Integrity Policy*, the Instructor will provide to the Dean a detailed account of the events that transpired, a brief explanation for their recommendations and supporting documentation or other information relevant to the situation.
- b. The Instructor may recommend to the Dean that the academic integrity concern be addressed through
  - i. non-disciplinary accountability options; or
  - ii. a complaint process.
- c. The Instructor may also include suggestions for specific non-disciplinary or disciplinary outcomes, depending on the overall approach they have chosen to recommend. If a non-disciplinary accountability option is recommended, the Instructor should include any ways in which they would be willing to participate.

### 4. Procedures to Decide Academic Integrity Pathway

- a. Upon receiving an academic integrity concern, the Dean will consider the information and the Instructor's recommendation as to whether the matter should be addressed through non-disciplinary accountability options or a complaint process.
- b. As soon as possible, the Dean will
  - i. offer the student the opportunity to provide a brief written explanation, in a timely way, of their views on whether the concern should be addressed through non-disciplinary accountability options or through a complaint;
  - ii. offer the student the opportunity to provide any information to the Dean that is relevant to the decision on how to address the concern; and
  - iii. advise the student that they may consult with and be accompanied by an **advisor** at any point during an academic integrity process and provide the student with information about on-campus assistance.
- c. The Dean may also offer to meet with the student, in-person or virtually.
- d. In deciding how to address the academic integrity concern, the Dean may consider
  - i. the information and the Instructor's recommendation, if any, related to the academic integrity concern;
  - ii. the views and information provided by the student;
  - iii. the student's participation in a prior non-disciplinary accountability option and/or

prior history of academic integrity violations, if any; and

- iv. any other relevant information.
- e. While the Dean will consider the instructor's recommendation and the views of the student as to how to address the academic integrity concern, the Dean is not bound by that recommendation or those views.
- f. Notwithstanding the above, students have a right to engage the complaint process. Therefore, where a student wants the academic integrity concern to be addressed through a complaint process, the Dean will follow the procedures under section 6.

#### **5. Non-Disciplinary Accountability Options**

- a. Where the Dean offers to address the academic integrity concern through non-disciplinary accountability options, the Dean will determine what actions and/or assignments the student will undertake in order to
  - i. educate and develop the student's understanding of the harms caused by academic misconduct and the importance of academic integrity; and
  - ii. develop the student's knowledge, skills and abilities in a matter that aligns their behaviour with the fundamental values of academic integrity.
- b. The Dean may consider the student's views as to the appropriate non-disciplinary accountability options.
- c. Non-disciplinary accountability options are voluntary. As a result, where a student disagrees with the actions and/or assignments determined by the Dean, the student may opt to have the academic integrity concern addressed in a complaint. In that case, the Dean will follow the procedures under section 6.
- d. Where the Dean's proposed actions and/or assignments would require the participation of any university service unit, office or individual, the Dean will ensure those university units, offices or individuals agree to participate before confirming those actions and/or assignments in writing.
- e. Where the student and the Dean agree, the actions and/or assignments and their agreement to them will be confirmed in writing. The actions and/or assignments must be specific and measurable and a date for their completion must be specified in the agreement. The actions and/or assignments should not involve the instructor who raised the academic integrity concern without the instructor's consent.
- f. The Dean will monitor the student's performance of the actions and/or assignments and, where appropriate, may, in writing, agree to extend any timelines or vary the actions and/or assignments set out in the agreement.

- g. The Dean will determine whether and when the student has successfully completed the actions and/or assignments by the timelines in their agreement. If the student disagrees with the Dean's determinations in any of these respects, the student may, within 5 working days of the decision, apply to a Student Conduct Officer for a decision on whether or not the terms of the agreement have been met. The Student Conduct Officer's decision is final.
- h. Where the Dean determines that the student has successfully completed the actions and assignments as agreed, the Dean will confirm in writing the student's successful completion of the non-disciplinary accountability option to the student, the student's Faculty and the instructor who raised the academic integrity concern.
- i. Where the student completes their educational and/or non-disciplinary accountability expectations successfully, the academic integrity concern will be considered resolved and cannot subsequently be referred for a decision under the complaint process.
- j. Where the Dean determines that the student has not successfully completed the actions or assignments as agreed and following a decision by the Student Conduct Officer on any challenge by the student under Section 5g, the Dean will refer the matter to a Faculty Decision-Maker to address the academic integrity concern through the complaint process.
- k. Information gathered in the course of carrying out a non-disciplinary accountability option will not be used as evidence of a violation in a complaint process, but may be considered in determining an appropriate sanction.
- l. A Dean may consider the student's successful completion of the actions and/or assignments in their agreement to determine whether any subsequent allegation of an academic integrity concern should be addressed through non-disciplinary accountability options or a complaint process.
- m. A Faculty Decision-Maker may consider the student's successful completion of the actions and assignment in their agreement when determining a sanction, when a complaint process is used to address a subsequent academic integrity complaint.

#### 6. **Complaint Process for Faculty Decision-Makers**

- a. Where the Dean decides to address the academic integrity concern through the complaint process, the Dean will inform the student in writing, giving reasons for the decision, and assign a Faculty Decision-Maker.
- b. The Faculty Decision-Maker will offer the student a **hearing** to determine whether the student agrees with or disputes the facts of the academic integrity concern as disclosed by the instructor or Dean;
- c. the offer of a hearing will include

1. the purpose of the hearing,
  2. the student's right to an advisor,
  3. reasonable disclosure of relevant information related to the academic integrity concern, and
  4. choice of hearing format, for example, written document exchange, or virtual or in-person meeting.
- d. If the student disputes the facts, the Faculty Decision-Maker will review the matter further by talking with the relevant parties and completing any necessary investigation to arrive at a finding, on a balance of probabilities, as to whether the student is in violation of the *Student Academic Integrity Policy*.
- e. Only where the Faculty Decision-Maker has found the student to be in violation, and then prior to imposing a sanction the Faculty Decision-Maker will
- i. check the student's **academic integrity history**, if it exists, to determine if the student has violated the *Student Academic Integrity Policy* to determine if the student has previously engaged in academic misconduct or is or has been involved in any non-disciplinary accountability options.
  - ii. only consider the student's previous violation or involvement in a non-disciplinary accountability option for the purpose of determining an appropriate sanction.
- f. Where the Faculty Decision-Maker determines, on a balance of probabilities, that the student has violated the *Student Academic Integrity Policy*, or where the student does not dispute the facts, the Faculty Decision-Maker may impose one or more of the following sanctions as set out in Schedule B of the *Student Academic Integrity Policy*, and specify any conditions or starting dates required by the following sanctions:
- i. Reprimand,
  - ii. Academic Integrity Conditions,
  - iii. Grade Sanctions,
  - iv. Rescission of Admission Offer,
  - v. Refusal to Consider Application.
- g. In the event that the student refuses or fails to provide a response to the academic integrity concern within a specified period of time, the Faculty Decision-Maker will make a decision, which may include one or more sanctions, taking into account the available evidence.

- h. The Faculty Decision-Maker will communicate their decision in writing to the student, normally within six weeks of receiving the complaint. The decision will include:
  - i. a finding on whether the student is in violation of the *Student Academic Integrity Policy*,
  - ii. the sections of Appendix A of the *Student Academic Integrity Policy*, if any, the student is found to have violated,
  - iii. which sanctions, if any, are being imposed, as per Appendix B of the *Student Academic Integrity Policy*,
  - iv. any conditions imposed as part of those sanctions,
  - v. any recommendation to the Student Conduct Officer, where applicable,
  - vi. the reasons for the findings and sanctions,
  - vii. the student's right to appeal, and
  - viii. the appeal deadline if there is no referral to the Student Conduct Officer.
- i. The Faculty Decision-Maker will refer the case to a Student Conduct Officer where the Faculty Decision-Maker seeks to apply any of the following, either directly or through an Academic Integrity Condition:
  - i. Suspension from an Academic Program,
  - ii. Expulsion,
  - iii. Suspension of a Degree,
  - iv. Recission of a Degree.
- j. In making a referral to a Student Conduct Officer, the Faculty Decision-Maker will forward their decision, all relevant information and submissions collected or received by them and reasons for their recommendation of the above sanctions to the Student Conduct Officer.

## **7. Complaint Process for Student Conduct Officers**

- a. After receiving a recommendation from a Faculty Decision-Maker, the Student Conduct Officer will offer the student a hearing. The offer of a hearing will include:
  - i. the purpose of the hearing,
  - ii. the student's right to an advisor,
  - iii. a description of the recommended sanction(s) and their implications, and

- iv. reasonable disclosure of any information forwarded in support of the Faculty Decision-Maker's recommended sanctions and the reasons for the recommendation.
- b. Where the student accepts the facts as laid out in the Faculty Decision-Maker's decision, the Faculty Decision-Maker's decision is confirmed and the student may make written or oral submissions about the recommended sanction(s) and their impact.
- c. Where the student disputes facts as laid out in the Faculty Decision-Maker's decision or the Faculty Decision-Maker's interpretation of the facts, the student may provide the Student Conduct Officer with a written or oral response to the Faculty Decision-Maker's decision along with any relevant information or supporting documents.
- d. The Student Conduct Officer may, at their discretion, engage in further investigation as necessary.
- e. When the Student Conduct Officer is satisfied they have access to all of the available evidence, they will determine, on a balance of probabilities, whether the student was in violation of the *Student Academic Integrity Policy* ("Violation") or the violation was not established ("No Violation").
- f. If a student declines the hearing, either directly or through missing a reasonable deadline for the hearing, the Student Conduct Officer will confirm the Faculty Decision-Maker's decision and proceed to a consideration of the recommended sanction(s).
- g. Where the Faculty Decision-Maker's decision is confirmed, the Student Conduct Officer will determine sanctions, if any, from the list in Appendix B of the *Student Academic Integrity Policy*. The Student Conduct Officer will take into account:
  - i. the recommendation of the Faculty Decision-Maker,
  - ii. what they learned from the student,
  - iii. the available information, and
  - iv. other relevant factors, including applicable prior conduct history.
- h. The Student Conduct Officer will specify any starting dates, conditions or other details required for the sanctions imposed.
- i. Any sanctions imposed by the Faculty Decision-Maker will stand except where
  - i. the Student Conduct Officer finds No Violation of the *Student Academic Integrity Policy* or
  - ii. new information or circumstances clearly warrant a variation of the sanctions imposed by a Faculty Decision-Maker.



- j. Where the Student Conduct Officer finds No Violation or varies the sanction imposed by the Faculty Decision-Maker, the earlier decision by the Faculty Decision-Maker will be set aside and, where applicable, the course element will be marked and factored into the student's final grade.
- k. The Student Conduct Officer will communicate their decision in writing to the student, normally within six weeks of receiving the referral. The decision will include:
  - i. whether the Faculty Decision-Maker's decision is confirmed or set aside,
  - ii. the sections of Appendix A of the *Student Academic Integrity Policy*, if any, the student is found to have violated,
  - iii. an overview of the evidence and arguments considered,
  - iv. information, including any history of related violations, that may have been influential in determining the appropriateness of the sanction(s),
  - v. any sanctions imposed, as per Appendix B of the *Student Academic Integrity Policy*,
  - vi. any conditions imposed as part of those sanctions,
  - vii. the reasons for the findings and sanctions,
  - viii. information regarding deadlines and procedures for appeal, and
  - ix. a list of on-campus assistance.
- l. Where the Student Conduct Officer is not able to provide the written decision within the timeline noted above, the Student Conduct Officer will give the student and the Faculty Decision-Maker written notice of the anticipated timeline for the decision.
- m. The Student Conduct Officer's decision is subject to appeal by both the student and the Faculty Decision-Maker, as set out in the *Student Academic Misconduct Appeal Procedure*.
- n. The Student Conduct Officer's decision is final and takes effect immediately, subject to an appeal under the *Student Academic Misconduct Appeal Procedure*.

## **8. Complaint Service and Notice**

- a. The Faculty Decision-Maker and, if applicable, the Student Conduct Officer will send their decision electronically to the
  - i. student,
  - ii. Instructor who raised the academic integrity concern,

- iii. Dean of the College and/or Faculty in which the student is registered,
  - iv. if applicable, student’s advisor and Graduate Coordinator, and
  - v. Appeals and Compliance Coordinator.
- b. In addition, the Student Conduct Officer will provide a copy of the decision for information to the:
- i. Faculty Decision-Maker who referred the matter to the Student Conduct Officer,
  - ii. Office of General Counsel, and
  - iii. Vice Provost and Dean of Students.
- c. All decisions will be communicated using university accounts. See the *Electronic Communication Policy for Students and Applicants* in the *University Calendar*. Where a student’s advisor does not have a university account, the student may forward the decision to their advisor.
- d. The Faculty Decision-Maker and/or Student Conduct Officer may also provide a copy or excerpts of the decision to any other University of Alberta unit as may be appropriate to administer the sanction or for other authorised purposes, for example, to units including, but not limited to, the following:
- i. the Office of the Registrar where a sanction is to be noted on the student’s central academic record or **transcript**,
  - ii. the partner institution for programs jointly offered with that partner institution, when the violation relates to the student’s conduct at that partner institution.

**9. Records**

- a. The student’s academic integrity history will be kept in accordance with the applicable records retention procedures. Any record of completed expectations as laid out in a non-disciplinary accountability option will be expunged upon completion of the student’s academic program or upon the normal date of file destruction, whichever comes first.

**DEFINITIONS**

<i>Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.</i>	
<b>Academic integrity</b>	Academic integrity refers to the expectation that every member of an academic community will conduct themselves with the highest

	<p>standards of ethical conduct. A student demonstrates academic integrity in ways that include:</p> <ol style="list-style-type: none"> <li>1. situating their own work in the larger body of knowledge, properly acknowledging the work of others,</li> <li>2. accurately distinguishing their own ideas, words images and data from those developed using other sources, and</li> <li>3. Avoiding any activity that results in unfair academic or other advantage for themselves or others.</li> </ol> <p>Failing to align with the principles of academic integrity harms the entire university community, regardless of whether that failure stems from a lack of knowledge, skill or an attempt to gain unfair academic or other advantage.</p>
<p><b>Academic integrity history</b></p>	<p>The records related to the academic integrity proceedings undertaken in relation to a student, including but not limited to, any non-disciplinary actions and/or assignments and their outcomes, any violations investigated, evidence collected and the findings, if any, of the decision-maker. Academic integrity history records are held electronically and are updated as cases progress through the process described in the <i>Student Academic Misconduct Procedure</i> and the <i>Student Academic Misconduct Appeal Procedure</i>.</p>
<p><b>Advisor</b></p>	<p>An individual who assists a student during an academic integrity process. Assistance may be provided by the Office of the Student Ombuds, Student Legal Services, legal counsel or another advisor chosen by the student.</p>
<p><b>Dean</b></p>	<p>“Dean” means</p> <ul style="list-style-type: none"> <li>● the Dean of the Faculty, or their delegate, in which a course is offered when the allegation of academic misconduct occurs in a course element, or</li> <li>● the Dean of the Faculty, or their delegate, to which an student applied or has applied, for application-related offences, or</li> <li>● the Dean of the Faculty, or their delegate, in which the student is enrolled, in all other cases, or</li> </ul>

	<ul style="list-style-type: none"> <li>• the Registrar or their delegate where a student is enrolled in Open Studies, or</li> <li>• the Associate Vice-President, Online Learning and Continuing Education.</li> </ul>
<b>Equity-informed practice</b>	An approach to processes, procedures and service provision that centres equitable and inclusive access, aspires to barrier-free design for learning principles, and supports reasonable accommodation when access to or participation in the learning environment is limited as a result of a protected ground.
<b>Faculty Decision-Maker</b>	The individual the Dean has delegated authority to hear and decide an academic integrity complaint.
<b>Hearing</b>	The opportunity for students to provide or respond to information, arguments, and evidence in a complaint process. A hearing can take the form of written document exchange and/or one or more oral meetings, either virtual or in-person, with the decision maker.
<b>Instructor</b>	An individual who is responsible for the administration of a university course or program of study, including but not limited to: the individual who taught the course, a course coordinator, a lab instructor, course captain, graduate supervisor, or supervisory committee chair. "Instructor" should be interpreted broadly to include any individual responsible for the assessment of student academic performance in a course or program of study.
<b>Learning environment</b>	<p>The learning environment is to be understood broadly to encompass all aspects of university life. It includes:</p> <ul style="list-style-type: none"> <li>• physical and virtual spaces where university teaching, learning, work, research, residence, recreational and social activities take place;</li> <li>• university activities, events and functions, including, but not limited to, teaching, research, studying, work, administration, meetings, public service, travel, conferences, training, public lectures, performances, student group events, and social or sports activities.</li> </ul>

<p><b>Non-disciplinary accountability options</b></p>	<p>Voluntary, collaborative facilitated processes to explore personal accountability options outside of a complaint. Designed to assist a person in identifying and ameliorating negative consequences of their behaviour and/or align their academic success with the principles of academic integrity. Non-disciplinary accountability options are intended to be flexible and creative, and may include, but are not limited to: remedial, restorative, and other facilitated processes to create space for accountability, with or without a complaint.</p>
<p><b>Procedural fairness</b></p>	<p>The elements of the process used by a decision-making body authorised by statute or policy to make a decision that affects an individual's rights, privileges, or interests, that give effect to an individual's right to reasonable notice of the case to meet, the opportunity to respond and the right to an impartial decision maker.</p>
<p><b>Student</b></p>	<p>An individual who is or has been registered as a student at the university whether or not for credit and includes current undergraduate and graduate students, postgraduate learners, former students, and graduates who have received a degree, diploma or certificate from the university.</p> <p>An individual ceases to be an applicant, and becomes a student when: 1) they register for courses, and 2) the add/delete deadline, as published in the <i>Calendar</i>, has passed. Application-related offences discovered after the individual becomes a student will be addressed under the <i>Student Academic Integrity Policy</i> or <i>Student Conduct Policy</i>.</p>
<p><b>Student Conduct Officer</b></p>	<p>The person responsible for making a decision on recommendations from Faculty Decision-Makers and other decisions as outlined in the <i>Student Academic Integrity Policy</i> and the associated procedures.</p>
<p><b>Student Misconduct Appeal Panel</b></p>	<p>The decision-making body authorised to hear appeals of the decisions of the Faculty Decision-Maker or the Student Conduct Officer.</p>

<b>Transcript</b>	<p>A student's official academic record issued by the Office of the Registrar and bearing the signature of the Registrar. Information for the transcript is drawn from the central academic record. Information included on the University of Alberta transcript is found in the <i>University Calendar</i>.</p>
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## RELATED POLICIES, FRAMEWORKS, AND PROCEDURES

- [Code of Applicant Behaviour](#)
- [Discrimination, Harassment and Duty to Accommodate Policy](#)
- [Information Technology Use and Management Policy](#)
- [Practicum Intervention Policy](#)
- [Protocol for Urgent Cases of Violent, Threatening or Disruptive Behaviour](#)
- [Research and Scholarship Integrity Policy](#)
- [Residence Community Standards](#)
- [Sexual and Gender-Based Violence Policy](#)
- [Student Conduct Policy](#)
- [Student Groups Procedure](#)

## RELATED LINKS

- Sources of on-campus assistance**
- [Office of the Dean of Students](#)
  - [Office of the Student Ombuds](#)
  - [Student Legal Services](#)
  - [Students' Union \(SU\)](#)
  - [Graduate Students' Association \(GSA\)](#)
  - [l'Association des Universitaires de la Faculté Saint-Jean \(AUFSJ\)](#)
  - [Augustana Students' Association](#)
  - [First Peoples House](#)
  - [Academic Success Centre](#)

## Information

- [University Calendar](#)
- [Electronic Communication Policy for Students and Applicants](#)

*For questions surrounding policy document implementation, please contact the Office of Administrative Responsibility.*

*For the most recent version of this document please visit <https://www.ualberta.ca/policies-procedures/index.html>*