PURPOSE

To outline the procedures for addressing academic or scholarly misconduct as described in the Policy on Academic, Scholarly, and Professional Integrity and Misconduct.

APPLIES TO

This policy applies to all members of the University Community engaged in academic, scholarly, and professional activity in undergraduate and graduate education as outlined in the Policy on Academic, Scholarly, and Professional Integrity. These procedures apply to graduate students and postdoctoral scholars, except for those in the Schools of Dental Medicine, Medicine, or Law. The procedure outlined by those Schools must be followed. However, it does apply to graduate students enrolled in UConn Health programs that come under the jurisdiction of The Graduate Schools (e.g., MPH, Ph.D. programs). The procedures outlined below do not apply to Research Misconduct, which is addressed in the Policy on Research Integrity. The procedures for addressing research misconduct must be followed.

Cases involving an alleged violation of standards governing the professional codes of conduct for students in professional fields (e.g., pharmacy, nursing, education, counseling, and therapy) or research may be subject to additional review by other entities inside or outside the University (e.g., professional organizations or credentialing boards, research misconduct review boards as noted in the Research Integrity Policy).

DEFINITIONS

Academic Consequences: means consequences imposed by an instructor, a program, or the Academic and Scholarly Integrity Hearing Panel resulting from violations of the Academic or Scholarly Integrity policy during a course (e.g., assignment, exam), as part of degree requirements (e.g., placement, capstone or comprehensive exam, placement exams), or at other times during undergraduate, graduate, or professional study and performance, including during engagement in fieldwork, clinical placements, or research. Examples of academic consequences include but are not limited to receiving a lowered
grade on an assignment, exam, or course; repeating an assignment, course, or programmatic experience; or engaging in additional educative experiences.

**Academic and Scholarly Integrity Hearing Panel (Hearing Panel):** means the group of University representatives who are authorized to conduct a hearing to determine the appropriate resolution of an alleged violation of the *Policy on Academic and Scholarly Integrity*, and/or to impose academic consequences or affect other remedies as appropriate.

**Evidence** – means any document, tangible item, or testimony offered or obtained during a misconduct hearing that is intended to prove or disprove the existence of an alleged fact.

**Hearing Chair:** means the individual who presides over the hearing to ensure that 1) the hearing procedures are followed and 2) no party threatens, intimidates, or coerces any of the participants.

**Instructor:** means any faculty member, teaching assistant, or any other person authorized by the University to provide educational services (e.g., teaching, research, or academic advising).

**Preponderance of Evidence:** The standard of evidence used by the Hearing Panel is “preponderance of evidence.” Preponderance of evidence means that the action/event was more likely to have occurred than not. Students may be found responsible on the bases of direct evidence (e.g., a behavior observed by an instructor, such as cheating during an in-person exam), circumstantial evidence, or a combination of the two. Examples include but are not limited to any of the following: a dramatic change in writing style; possession of accessible notes, devices (i.e., mobile phone, calculators, etc.) or similarly prohibited materials during an exam; observed communication between students during an exam; or unusual similarity among exams, papers, assignments, projects, or other work, including similarity with online resources.

**Reporting party:** means any person who submits an allegation that a student violated the *Academic and Scholarly Integrity Policy*. If the reporting party is not an instructor, the issue will be referred to an appropriate instructor, who will facilitate this process.

**Sanctions:** means a consequences that may be imposed, individually or in various combinations by the University, on any student found to have violated the *Student Code, including the Academic and Scholarly Integrity Policy*. Sanctions include, but are not limited to warning, probation, suspension, or expulsion (see Section E of the Student Code for more information). Sanctions are administered by Community Standards and designees only, and are separate from academic consequences imposed by an instructor or a program.

**Student:** means any person admitted, registered, enrolled, or attending any University course or University program; any person admitted to the University who is on University premises or University-related premises for any purpose pertaining to the person’s registration or enrollment. For purposes of *The Student Code*’s jurisdiction, which includes Academic and Scholarly Integrity, the Director of Community Standards will make any final determination as to whether an individual is a student.

**Support person:** means any person who accompanies a student or instructor for the limited purpose of providing support and guidance. A support person may not directly address the Hearing Panel, question witnesses, or otherwise actively participate in the hearing process.
Witness: means any individual who has direct knowledge of an incident. Character witnesses are not part of the student misconduct process. Witnesses cannot serve as support persons.

PROCEDURES

I. Initial Conversation (between Instructor and Student(s))

If an instructor believes that a student has violated the Academic, Scholarly, and Professional Integrity and Misconduct Policy, the instructor is expected to have an initial conversation with the student (i.e., in person, virtually, or by email correspondences sent to a student’s university email address (i.e., name@uconn.edu) regarding the suspected or apparent violation to determine if any additional information is available that might be relevant to the determination of whether a violation has actually occurred and what might be an appropriate consequence. This initial conversation should take place as soon as practical after the alleged violation has come to the attention of the instructor (typically within one week). The instructor shall present the student with the apparent or suspected allegation and provide the student with an opportunity to respond and present evidence refuting the allegation if they wish.

Based on all available information, the instructor may find that the student is either:
- “not in violation” of the Academic, Scholarly, and Professional Integrity and Misconduct Policy. In such cases, no additional action is necessary, or
- “in violation” of the Academic, Scholarly, and Professional Integrity and Misconduct Policy.

When an instructor finds that a student is “in violation” of the Academic and Scholarly Integrity policy and intends to impose an academic consequence for the violation the instructor must follow the steps outlined below to ensure that the student’s due process rights are not violated.

1. The instructor must report this action, the nature of the violation, and the proposed academic consequence in writing using the Academic and Scholarly Misconduct Report Form. A copy of this report, which will document the allegations and intended consequences, will be sent to the student via their official University email address. The email will also include instructions for seeking additional guidance through an Informational Meeting (described below) and the process to contest the findings, including specific deadlines to which they must adhere (also described below).

2. When the allegation occurs in the context of a course, the instructor may also bring the case directly to the Academic and Scholarly Integrity Hearing Panel if they believe a failing grade, the most severe academic consequence that the course instructor can impose, is too lenient given the nature of the offense.

Upon receiving official notification of an alleged violation, a student may contest the finding and/or the intended consequence(s) using the procedures outlined below. If the student contests the finding(s) and/or the intended consequence(s), the consequence(s) may not be formally applied until the process regarding the contestation has been completed.

If a finding of “in violation” is not contested by the given deadline, the notification will be considered a finding of responsibility for violating the Academic and Scholarly Integrity policy and the intended academic consequence will be applied.
II. Informational Meeting

When an instructor notifies a student that they are in violation, the student and/or the instructor may request an informational meeting with a representative from the Office of Academic and Scholarly Integrity. These meetings provide an opportunity to obtain additional information and guidance about the Academic, Scholarly, and Professional Integrity and Misconduct Policy and student misconduct procedures. These informational meetings provide impartial information and guidance only and do not provide advice about a course of action that should be taken by either the instructor or the student. Guidance may be provided about the following:

- the Policy on Academic, Scholarly, and Professional Integrity and Misconduct and/or other policy set in School/College documents (e.g., syllabi, program handbook, school/college policies)
- the Procedures for Addressing Student Violations of the Academic, Scholarly, and Professional Integrity and Misconduct
- instructor and student rights and responsibilities, including implications of multiple findings of “in violation”
- information about consequences that may be levied, including academic and programmatic consequences and university sanctions.
- educative information or where additional information can be found about academic, scholarly, and professional integrity (e.g., library resources about plagiarism)

Students are encouraged to take advantage of an informational meeting to seek additional insights and obtain answers to questions prior to deciding whether to contest the finding(s) of the instructor and/or the intended consequence(s).

Note: The individual providing the guidance cannot be part of a subsequent hearing process.

III. Academic and Scholarly Integrity Hearing Panel Process

A student found “in violation” by an instructor may contest the finding(s) and/or the intended academic consequences. If the alleged violation involves a course and a grade for the student in the course must be submitted before the case can be decided, the faculty member shall record a grade of incomplete (I), pending a decision by the Hearing Panel or a final appeal.

A. All contestations must be submitted in writing through the Scholarly Misconduct Report Form no later than two weeks (i.e., 10 business days) after notification of the in violation finding. Upon receiving a student’s request to contest the finding(s) and/or intended consequences, the instructor will be notified and the merits of the contestation will be reviewed by a Hearing Chair.
   - An exception to the 10-day deadline may be granted at the discretion of the Hearing Chair on a showing of good cause.
B. Students who contest an allegation for a course that is in progress should continue attending the class and complete coursework.
C. A contestation’s merits will be reviewed by a Hearing Chair to determine if it should proceed to a Hearing Panel. Contestations found to have merit are moved to the Hearing Panel process.
   - Lack of intentionality is not an acceptable basis to contest. Academic consequences cannot be contested in cases where the penalt(ies) are explicitly stated in the course syllabus and/or fall within standard recommendations set by the University.
If the Hearing Chair decides not to convene a Hearing Committee because the case does not have merit, a rationale will be provided and the decision cannot be appealed.

D. The Hearing Panel may conclude that a student is:
- **in violation** of the *Academic, Scholarly, and Professional Integrity and Misconduct* and determine that the student will receive consequences as described below. These consequences may differ from the consequences recommended by the instructor.
- **not in violation** of the *Academic, Scholarly, and Professional Integrity and Misconduct* and determine that the student will not be subject to the consequence determined by the instructor (i.e., they will earn the grade or credit received for the assignment, experience, or course).

E. A student found **in-violation** of the *Academic, Scholarly, and Professional Integrity and Misconduct* or the instructor may contest the Hearing Panel’s decision by submitting a final appeal (see section IV).

Note: A student who is found **in-violation** of the academic and scholarly integrity policy and is determined to have presented false evidence or false statements at the hearing may have a second violation brought against them by the Hearing Panel. This would constitute multiple violations and potentially more serious penalties, including status consequences, which may include suspension or permanent expulsion.

IV. Composition of the Academic and Scholarly Integrity Committee and Hearing Panels

A. **Academic and Scholarly Integrity Committee**

The Academic and Scholarly Integrity Committee is a standing committee of the Provost Office.
- **Charge:** This committee will be charged with the following:
  - Participate in annual training to be eligible to serve as Hearing Chairs and members of Academic and Scholarly Integrity Hearing Panels
  - Serve on Academic and Scholarly Integrity Hearing Panels
  - Represent their school/college on all issues related to academic and scholarly integrity.
  - Make recommendations to sustain a culture of Academic and Scholarly Integrity at UConn.
    - Review the Academic and Scholarly Integrity information (e.g., relevant policies, processes, and procedures, relevant systemic and structural processes, educative material, and annual reports).
    - Advise on needed programming (e.g., Academic and Scholarly Integrity Awareness Week) or educational materials
- **Members:**
  - Co-Chairs
    - Vice Provost and Dean of The Graduate School
    - Vice Provost for Faculty, Staff, and Student Development
  - Faculty Representatives
    - With the exception of the College of Liberal Arts and Sciences, each School/College governed by these procedures will select three faculty members to serve three-year staggered terms. At least two of the members must be members of the Graduate Faculty. Due to its size, the College of Liberal Arts and Sciences will elect six members to serve
3-year staggered terms. At least 4 of these members must be members of the Graduate Faculty. Schools/Colleges shall notify the Provost Office of their new representatives for the subsequent academic year by April 1.

- **Student Representatives**
  - Three (3) students from each school/college. They may be elected by representatives of the study body at the Undergraduate or Graduate Level. When possible, student terms should be staggered. Otherwise, students will be appointed to serve on the Committee by the Dean or Dean’s designee, annually.

- **Ex Officio Members** (One representative from each of the following)
  - Academic and Scholarly Integrity Office
  - Community Standards,
  - The Graduate School
  - UConn Library

Note: To facilitate the transition to staggered elected terms, the inaugural members from each school/college will be appointed to a 1-, 2-, or 3-year term. After that, each new member of the committee will be appointed to a 3-year term. In addition, when necessary, the Dean will appoint an alternate faculty member to replace a school/college representation for a short duration (e.g., sabbatical) or the remainder of an elected representative’s term (e.g., resignation from the University).

### B. Academic and Scholarly Integrity Hearing Panels

The Hearing Panel will be comprised of the following:

- **Hearing Chair**
  - The Hearing Chair will be a non-voting representative from Academic and Scholarly Integrity Committee from a school/college not represented in the hearing. The Hearing Officer will only vote in cases of a tie.
  - The Hearing Chair presides over the hearing to ensure that 1) the hearing procedures are followed, and 2) no party threatens, intimidates, or coerces any of the participants. They also keep clear and complete records of the proceedings and submit the Panel’s findings and a report of the proceedings.

- **Two (2) faculty representatives from the Academic and Scholarly Integrity Committee**
  - For cases involving graduate students, these faculty members must be Graduate Faculty members.
  - If the infraction occurs during the summer session, the faculty representatives will be appointed by the Dean of the school/college where the incident occurred.

- **Two (2) student representatives from the Academic and Scholarly Integrity Committee**
  - For cases involving graduate students, the members must be graduate student members.

No member of the Hearing Panel may be a member of the program/department of either party to the hearing, nor may any Hearing Panel member have personal or professional associations with the parties.
C. Jurisdiction

The Hearing Panel shall hear all cases that come before it de novo. In addition, as part of the hearing process, the Hearing Panel will consider all academic and scholarly integrity standards set in policy by the school/college or program (e.g., syllabi, program handbooks). The student shall have the right to present their case and to challenge the allegations or the evidence. While the Hearing Panel may recommend an increase in the intended consequence proposed by the instructor, it should consider raising the consequence only in the exceptional case, particularly when it is the student seeking the review.

V. Academic and Scholarly Integrity Hearing Panel Procedures

The Academic and Scholarly Integrity Hearing Panel shall convene as soon as practical after notification of a student contestation. Usually, a hearing will be conducted within fifteen (15) business days of the student being notified of the hearing. The Hearing Panel shall hear from all available parties and examine all the evidence presented.

- If the alleged violation involves a course and a grade for the student in the course must be submitted before the case can be decided, the faculty member shall record a grade of incomplete, pending a decision by the Hearing Panel or a final appeal.
- When a hearing involves more than one student, the Hearing Chair may permit the hearings concerning each student to be conducted separately or jointly.

A. The instructor and the student shall each have the right to:

1. Be notified of all alleged violations via the University's official email address, which will provide a link to the documentation and information about the hearing process.
2. Review any written allegation(s) and supporting documents.
3. A reasonable period of time (e.g., at least five business days) to prepare for a hearing.
4. Request a delay of a hearing due to extenuating circumstances. The decision to grant or deny any such request is within the discretion of the Hearing Chair.
5. Submit a written account and/or a personal statement regarding the incident and/or any relevant evidence to be considered using the Academic and Scholarly Misconduct Report Form.
   - All documentary evidence should be clearly labeled, organized, and submitted at least 10 business days before the hearing. New evidence will be allowed at the hearing at the sole discretion of the Hearing Chair. The party seeking to introduce new evidence must provide copies of the evidence for review by the Hearing Chair. One complete copy of all submitted evidence will be maintained as part of the record.
   - Failure to provide documentation by the established deadline will not be an acceptable reason for a final appeal.
   - The decision to not present information by the student is not an admission of responsibility.
6. Provide the names and contact information of witnesses who have direct knowledge of the incident, a brief description of the evidence each will provide, and provide a list of recommended questions for any witnesses or the involved parties.
• This information must be provided by the date established by the Hearing Chair. Failure to provide witness information by the established deadline will not be an acceptable reason for an appeal. The Hearing Chair will make every effort to interview those witnesses with direct knowledge as part of the Hearing Panel process; however, the witness cannot be compelled to speak with the Hearing Chair.

• The list of any witnesses must be provided to the Hearing Chair at least two business days before the hearing. The Panel may decide not to permit one or more witnesses to participate in the hearing if the information they are expected to provide is not relevant to any material issue and is deemed unnecessary or repetitive of other information already in the record.

• The party proposing a witness is responsible for any communication with the witness regarding attendance at the hearing.

7. Be notified of the identity of witnesses who have been called to speak at the hearing or who have been asked to provide additional written information by the Panel.

8. Be accompanied by a support person and consult their support person throughout the hearing. However, the support person is not permitted to participate in the hearing directly. (Hearings are not rescheduled based on the availability of the support persons or the witnesses).

B. Those present at the hearing shall be:
• The student, who is entitled to bring a support person
• The instructor, who is entitled to bring a support person
• Approved witnesses identified by the instructor or student, including any third-party independent witness who observed the initial conversation between the instructor and the student.
  o Witnesses will be present in the hearing room only during the period in which their statement will be provided.

C. Should the student or instructor fail to appear before the Hearing Panel, the Panel shall have full authority to proceed in their absence.

D. The Hearing Panel members shall be present at every hearing. However, both parties may agree in writing to waive this quorum. Of those present, a simple majority shall decide the issue. The Hearing Chair shall vote only in the case of a tie vote. The Panel shall find the student in violation only if there is preponderance of evidence indicating that the student has violated the Academic and Scholarly Integrity policy.

E. Admission of any person into the hearing room shall be at the discretion of the Hearing Chair. The Panel shall have the authority to discharge or remove any person whose presence is deemed unnecessary or obstructive to the proceedings.

F. The hearing is not a court proceeding and will not be bound by the procedures and rules of evidence of a court of law. Therefore, formal rules of process, procedure, and/or technical rules of evidence, such as are applied in criminal or civil case, are not used in these proceedings. The hearing will occur in private and will be audio or video recorded (if held virtually).
1. The University will maintain the recording as required by Connecticut State law and it is the property of the University. Hearing participants are prohibited from making their own recordings.

2. Upon written request, an instructor or student may review the recording and make appropriate arrangements for it to be transcribed on University premises. Arrangements for a transcriber and all associated costs involved in the transcription will be the responsibility of the requesting individual(s).

G. The Hearing Chair will conduct the hearing in accordance with the following procedures:
   1. The Hearing Chair will identify the instructor and all other persons involved in the hearing.
   2. The Hearing Chair will state the issue, as set forth in the notification sent to both parties.
   3. Each party will be offered the opportunity to make brief opening statements. Each opening statement should consist of a brief summary and should not involve lengthy discussion or presentation of evidence. The instructor will present their information first.
   4. Each party will be offered an opportunity to present evidence to support their position to the Hearing Panel. Evidence shared may include written statements, personal oral statements, witness oral statements, and physical exhibits. The instructor will present their evidence first.
      • The Hearing Panel shall provide for the exclusion of irrelevant, immaterial, or unduly repetitive evidence.
   5. Witness(es) will be offered an opportunity to make statements. The Hearing Chair will determine the order in which the witnesses will provide their statements.
   6. The Hearing Panel will be offered the opportunity to question both parties and all witnesses.
   7. Both parties will have the opportunity to present a closing statement. The instructor will present their closing statement first.
   8. At the conclusion of the closing statements, the hearing will conclude and immediately following the hearing, the Hearing Panel will privately deliberate and render a decision (see further details below). The Panel’s deliberations will not be recorded. The decision shall be made by majority vote.
   9. The Hearing Chair will submit the Hearing Panel’s decision and rationale, and if appropriate, the consequence imposed through the Academic and Scholarly Integrity Reporting Form within seven (7) days of the conclusion of the hearing. The notice of the outcome will be sent to all parties via their official University email addresses, and if appropriate, by first class mail, postage paid, to the mailing address on file with the University.
      • If the Panel affirms the finding of the instructor, or if the Panel decides a different consequence is warranted, the dean of the instructor’s college and the dean of the student’s college shall also receive the hearing outcome letter.
      • When a graduate student is involved, a copy of the decision will be sent to the major advisor, the graduate program coordinator and/or department head, the Dean of the School/College in which the issue occurred, and the Dean of The Graduate School.

H. The Panel may act in one or more of the following ways
1. Find the student “Not in Violation” of the Policy of Academic and Scholarly Integrity policy
   - The Panel shall not impose any academic consequences and the instructor must give the student full credit for the work produced.
2. Find the student “In Violation” of the policy on Academic and Scholarly Integrity, and
   - Affirm the instructor’s consequence decision, or
   - Determine the consequence that shall be applied (e.g., a failing grade for the course or some portion of it.)

In addition to the imposed academic consequence(s), the Hearing Panel may make recommendations for consideration as part of an administrative review process (see section VI).

I. Unless an appeal is filed under the guidelines established below, the Dean or Dean’s Designee of the student’s college/school shall ensure that the decision of the Hearing Panel is carried out and shall notify all parties of the implementation.
   - Note: Changes to grades due to a violation of the Academic and Scholarly Integrity policy are not subject to the grade appeal process.

VI. Appealing the Hearing Panel Decision

Either the student or the instructor may appeal the Hearing Panel’s decision. This appeal is not a new hearing. It is a review of the record of the original hearing by a Vice Provost, specifically the Vice Provost for Graduate Education for cases involving graduate students and the Vice Provost for Faculty, Staff, and Student Development in cases involving undergraduate students. If the Board’s decision involves students from more than one college or students from more than one level, the Vice Provost(s) shall consult relevant individuals to support a comprehensive review.

To prepare this appeal, the student or instructor shall have the right to review the records of the hearing, including the audio or video recording. This review of records, including the recording, is limited to preparing the appeal only. Appeals may be sought for one of the following three outcomes:

- **Appeal of a finding of “in violation”**. A student who has received a finding of “in violation” from the Panel, or whose finding of “in violation” by the instructor was upheld by the Panel, may appeal on one or both of the following grounds:
  - Additional evidence that might have affected the outcome of the hearing became available following the hearing
  - A violation of procedure by the Hearing Panel that might have influenced the outcome of the hearing.

The relevant Vice Provost may deny the appeal or send the case back to the Hearing Panel for reconsideration with specific instructions.

- **Appeal of a finding of “not in violation”**. An instructor can appeal this finding on one or both of the following grounds:
  - Additional evidence that might have affected the outcome of the hearing became available following the hearing
A violation of procedure by the Hearing Panel that might have influenced the outcome of the hearing. The relevant Vice Provost may deny the appeal or send the case back to the Hearing Panel for reconsideration.

- **Appeal of a Academic Consequence.** The student or instructor may appeal the findings of the Hearing Panel regarding penalties to determine whether any consequences imposed by the Panel were appropriate for the violation.
  - The appeal shall specify the reasons why the student or instructor believes the consequence is inappropriate.

**A.** The appeal request must be submitted in writing through the *Academic and Scholarly Integrity Form*, and shall include the Hearing Packet (i.e., all information used by the Hearing Panel to make its decision), as well as the new documentation and/or evidence, including any evidence of procedural error. The appeal must be submitted within seven (7) business days of notification of the Panel’s decision, but the Vice Provost may grant exceptions to this deadline on showing of good cause.

**B.** After consultation with the Hearing Panel, the Vice Provost may take one of the following actions:
  1. Affirm the decision of the Hearing Panel
  2. Modify the decision of the Hearing Panel (e.g., require that the academic or programmatic consequence be reduced or decline to carry out the recommended consequence; or alternately, increase the consequence).
  3. Return the case to the Hearing Panel with instructions to guide additional deliberations. The decision of the Vice Provost is final and cannot be appealed.

**VII. Records of Action**

A record of the outcome of the case, including any recordings, and the nature of the violation shall be kept by Community Standards and be assessable to the Office of Academic and Scholarly Integrity. The Office of Academic and Scholarly Integrity may disclose this record to deans, associate deans, or other university administrators in furtherance of legitimate educational interests, but to no one else unless specifically directed by the student.

**VIII. Administrative Review**

The file of a student found to be in-violation of the Academic and Scholarly Integrity Policy may be administratively reviewed by Community Standards or The Graduate School to determine if additional sanctions are warranted.

**IX. Retaliation**

Consistent with the University’s *Non-Retaliation Policy*, retaliation against any persons who makes or participates in a complaint under this policy is strictly forbidden.

**X. Accommodations for Students with Disabilities**
By federal law, a person with a disability is any person who: 1) has a physical or mental impairment; 2) has a record of such impairment; or 3) is regarded as having such an impairment, which substantially limits one or more major life activities such as self-care, walking, seeing, hearing, speaking, breathing, or learning.

A. A student requesting accommodation in regard to a hearing must follow the appropriate process for requesting accommodation through the Center for Students with Disabilities. The Center for Students with Disabilities will make a determination regarding the request and notify the appropriate parties.

B. Reasonable accommodations depend upon the nature and degree of severity of the documented disability. While the American with Disabilities Act of 1990 requires that priority consideration be given to the specific methods requested by the student, it does not imply that a particular accommodations must be granted if it is deemed not reasonable and other suitable techniques are available.

**XI. Annual Reports**

*An annual report of violations of the Academic and Scholarly Integrity policy and outcomes will be produced and published for each academic year.*