**Northern Arizona University**

**Academic Integrity Policy [[1]](#footnote-1)**

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# PREFACE

Integrity is expected of every member of the NAU community in all academic undertakings. Integrity entails a firm adherence to a set of values, and the values most essential to an academic community are grounded in honesty with respect to all intellectual efforts of oneself and others. Academic integrity is expected not only in formal coursework situations, but in all University relationships and interactions connected to the educational process, including the use of University resources. This document sets forth the policy and procedures related to student violations of these principles.

An NAU student’s submission of work is an implicit declaration that the work is the student’s own. All outside assistance should be acknowledged, and the student’s academic contribution truthfully reported at all times. In addition, NAU students have a right to expect academic integrity from each of their peers.

Faculty members have a responsibility to be clear in expectations related to academic assignments, exams and other academic endeavors. Faculty members also have a responsibility to support academic integrity by reporting any act of academic dishonesty in a timely manner and in accordance with the procedures described in this policy.

GUIDELINES FOR FACULTY

## General Responsibilities and Information

1. Faculty members have a responsibility to be clear in expectations related to academic assignments, exams and other academic endeavors.
2. Faculty members also have a responsibility to support academic integrity by reporting any act of academic dishonesty in a timely manner and in accordance with the procedures described in this policy.
3. While faculty have authority and discretion under this policy to handle academic integrity violations, the Hearing Board has the authority to modify or overturn a faculty member’s decision or penalty.

## Specific Responsibilities

1. Faculty members shall provide a copy of, or link to, this policy in each syllabus
2. Any statements about penalties for academic integrity violations shall align with the principles of this policy – in particular, penalties should be commensurate with the activity of the student. If faculty wish to impose penalties that may be considered overly severe, faculty should articulate why the severe penalties are appropriate for the course and should receive department approval, college approval in non departmentalized units, prior to including that statement in the syllabus.

GUIDELINES FOR STUDENTS

## General Responsibilities

1. A student shall in no way misrepresent his or her work.

2. A student shall in no way attempt to achieve a grade through fraudulent or unfair means.

3. A student shall not in any other manner violate the principle of academic integrity.

4. A student shall report any observed violations of the academic integrity policy.

Examples of Violations

The following actions are examples of activities that violate the Academic Integrity Policy.[[2]](#footnote-2) This is not a comprehensive list.

Cheatingis the intentional use of, or attempted use of, unauthorized materials, information, study aids, or previously prepared solutions in any academic exercise, exam, paper or other assignment. Cheating includes, but is not limited to the following acts:

* Copying another student’s work.
* Sharing answers for either a take-home or in-class examination unless specifically and explicitly allowed.
* Using notes, books or web materials in an exam when such aids are forbidden.
* Taking an examination in another student’s name or having another person take one for a student.
* Changing the answers in an examination after it has been graded in order to gain more credit than deserved.
* Possession of a “cheat-sheet” or other prohibited assistance (calculator, cell phone, text messaging, etc.) during an examination.
* Working on an examination outside the specified time limits, such as beginning before the faculty member directs students to begin, or continuing to work after the faculty member has declared an end to the examination period.
* Using a commercial service or engaging another person (whether paid or unpaid) to prepare assigned work. Unless prohibited by the faculty member for educational reasons, editing and/or proof-reading by another person is not considered cheating.

Collusionoccurs where:

* Two or more students[[3]](#footnote-3) work together to produce individually submitted work without the permission of the appropriate faculty member, or
* A student produces work and knowingly allows another student to copy it and submit that copy for assessment. Where this occurs, both students will be regarded as having colluded, but shall be subject to penalties as individuals.
* A student disseminates course assessment materials (for example, online exams, homework assignments, pictures of exams)
* A student assists another student to commit an act of academic dishonesty

Fabrication/Fraudis the unauthorized falsification or invention of any information, data, or citation in an academic exercise. It also includes, but is not limited to:

* The presentation of information or data not collected in accordance with standard applicable ethical guidelines.
* The intentional failure to include an accurate account of the method by which data was gathered or collected.
* Any attempt to deceive a faculty member or administrative officer of the university regarding academic work.

Obtaining an unfair advantagemeansengaging in activities that directly or indirectly compromise the fair assessment or grading of a student’s work or constraining other students’ ability to successfully complete an assignment.

Obtaining an unfair advantage includes but is not limited to the following acts:

* Stealing, reproducing, circulating or otherwise gaining access to assessment materials before the authorized time.
* Stealing, destroying, defacing or concealing library or other reference materials and so causing others to be deprived of their use or hindering or preventing a faculty member from assessing a student’s work.
* Possessing, using, or circulating previously administered examinations, unless authorized by the appropriate faculty member.

Plagiarismmeansrepresenting the words, expressions, productions or creative works of another as one’s own in any academic exercise. It includes, but is not limited to, ***actual*** ***plagiarism, improper paraphrasing, insufficient citation and self-plagiarism.*** Plagiarism occurs when a student uses the words of another person or entity (including using one’s own words in previous without the permission of the instructor), without proper citation or permission. It also includes improper paraphrasing, or making a small change to a passage or paper without appropriate citation.

## Jurisdiction

1. Faculty members make the initial determination of whether a specific action shall be treated as a violation of the Academic Integrity policy and may impose penalties related to their courses.
2. A faculty member’s determination and/or the penalties may be appealed in a Primary Appeal. The chair of the Primary Appeal may uphold, revise or reverse the faculty member’s determination and/or penalty.
3. The Academic Integrity Hearing Board (also called the Hearing Board throughout this document) hears appeals of Primary Appeals decisions, or takes referrals directly from faculty or other university personnel, and can uphold, revise or reverse the decision of the Primary Appeal. The Hearing Board also may impose further, department and college penalties as well as recommend university-level penalties.

## Penalties

1. *Faculty and primary appeal imposed penalties:* Examples of possible faculty member-imposed penalties include, but are not limited to:

#### Educational assignments such as completion of an academic dishonesty tutorial or a learning module[[4]](#footnote-4)

#### Reducing the grade on the assignment or examination

#### Awarding a grade of zero or “F” on the assignment or examination

#### Reducing the grade in the course by one letter grade

#### Awarding a failing grade in the course

#### Warning the student in writing about the incident

Other faculty member-imposed penalties may be deemed appropriate in accordance with the nature of the offense and related information after consultation with the faculty member’s Department Chair/Director/Associate Dean.

1. *Hearing Board penalties:* Other penalties that may be imposed by the Hearing Board (“Hearing Board penalties”) for violations of the Academic Integrity Policy, but that are not available for an individual faculty member to impose, include, but are not limited to:
* Removal from the student’s program of study
* Recommendation to the Provost or the Provost’s designee that the student be placed on University Probation
* Recommendation to the Provost or the Provost’s designee that the student be suspended
* Recommendation to the Provost or the Provost’s designee that the student be expelled
1. Penalties associated with violations of this policy shall be proportionate to the nature of the violation. Factors to consider may include:
	1. Academic level of the student
	2. Prior violations (indicating an awareness of the policy)
	3. Evidence of training in academic integrity issues
	4. Consistency of the penalty with similar incidents within the college
2. Those who violate the Academic Integrity policy will be subject to penalties under this policy and may also be subject to penalties under the Student Code of Conduct, state and federal laws.

ORGANIZATION AND PROCEDURE

## Faculty/Student Meeting

1. **Investigation and Faculty/Student Meeting.** If a faculty member believes, or receives information from a third party, that a student has violated the Academic Integrity Policy, the faculty member shall meet with the student to discuss the alleged violation.[[5]](#footnote-5) This meeting with the student must occur no later than 10 business days after the discovery of evidence.
	1. During the meeting, the faculty member will describe the evidence that indicates a violation of the Academic Integrity Policy.
	2. The student shall have an opportunity to respond to the faculty member’s evidence.
	3. A student charged with violating the Academic Integrity policy in a course may not drop that course without the consent of the instructor unless the student has subsequently been cleared of the charges.[[6]](#footnote-6)
	4. The instructor may not drop or suspend a student from the course until a final determination has been made and no further appeals are allowed.
2. **Outcome.** There are several outcomes that may result from the meeting.
	1. If the student denies the allegations and provides sufficient evidence to the faculty member that no violation occurred, the incident shall be closed with no report.
	2. If the student admits the allegations, and the action is such that faculty-imposed penalties are sufficient, the faculty member shall impose a penalty and shall complete the Academic Integrity Violation Reporting Form and forward it to the Associate Dean of the College with copies to the Department Chair/Director of the course’s department and to the Associate Dean of the Graduate College if the student is a graduate student.
		1. If the faculty member believes that faculty-imposed penalties are not sufficient, the faculty member shall refer the case directly to the Academic Integrity Hearing Board of the course’s college for consideration of Hearing Board penalties.
		2. The faculty member shall notify the student in writing of the decision, penalty, any referral to the Hearing Board, and shall provide information to the student about the appeal process.[[7]](#footnote-7) The faculty member shall complete the Academic Integrity Violation Reporting Form, including the proposed penalty and indicating the referral to the Academic Integrity Hearing Board. The form shall be sent to the Associate Dean of the course’s college with a copy to the Department Chair/Director of the course’s department. The Associate Dean of the course’s college will check for prior violations, and if any exist, may refer the student to the Academic Integrity Hearing Board of that student’s college.
	3. If the student denies the allegations, but the faculty member determines that there is clear and convincing evidence[[8]](#footnote-8) that a violation occurred, the faculty member shall impose a penalty and shall complete the Academic Integrity Violation Reporting Form and forward it to the Associate Dean of the College with copies to the Department Chair/Director of the course’s department and to the Associate Dean of the Graduate College if the student is a graduate student.
		1. If the faculty member believes that faculty-imposed penalties are not sufficient, the faculty member shall refer the case directly to the Academic Integrity Hearing Board for consideration of Hearing Board penalties.
		2. The faculty member shall notify the student in writing of the decision, penalty, any recommendation to the Hearing Board, and shall provide information to the student about the appeal process.[[9]](#footnote-9) The faculty member shall complete the Academic Integrity Violation Reporting Form, including the proposed penalty and indicating the referral to the Academic Integrity Hearing Board. The form shall be sent to the Associate Dean of the College with a copy to the Department Chair/Director of the course’s department. The Associate Dean of the College will check for prior violations, and if any exist, may refer the student to the Academic Integrity Hearing Board of that student’s college.

Primary Appeal

1. **Primary Appeals** will be held when a Faculty/Student Meeting does not resolve the situation in cases 2b and 2c above. A student may initiate a Primary Appeal by written request to the Department Chair/Director of the course’s department or appropriate administrator of the college in which the course resides. This request must be made within 10 business days of the Faculty/Student Meeting. Any official report should include the student in the notification list.
2. **Notification.** The Department Chair/Director or appropriate administrator shall present both the faculty member and the student with the allegations of violation as well as the basis for appeal (if initiated by the student). The allegations document shall indicate that a Primary Appeal will be held within ten (10) business days after the alleged infraction has come to the attention of the faculty member. A copy of this document shall be copied to the Associate Dean of the college in which the course resides.
3. **Composition.** The following individuals shall be present at the Primary Appeal: the faculty member concerned, the student in question, and a third-party decision-maker (Appeal’s Chair). The Appeal’s Chair shall be a Department Chair/Director or other administrator as appointed by the Dean. The student and faculty member may bring witnesses to testify regarding the alleged academic integrity violation. Witnesses for the student must be witnesses to the events in question and not character references. The student is allowed to bring an advocate with them to the hearing. The advocate may consult with the student but may not speak on behalf of the student. Any variation in the composition of the appeals attendees must be negotiated with the Dean in advance.
4. **Procedure**
5. At the Primary Appeal, the Appeal’s Chair shall introduce all parties and shall go over this policy. The Appeal’s Chair shall take notes during the meeting which shall constitute the official minutes of the meeting.
6. The faculty member shall present evidence in support of the allegations against the student. The student shall be given the opportunity to respond and, if the student wishes, to present evidence refuting the allegations.
7. If the student fails to attend the Primary Appeal without a compelling excuse, the hearing may proceed in his or her absence.
8. **Outcome**. There are several potential outcomes of the Primary Appeal
	1. The Appeal’s Chair may overturn the decision of the faculty and declare that no violation occurred;
	2. The Appeal’s Chair may uphold the decision and the penalty imposed by the faculty member if there is clear and convincing evidence to support the faculty member’s finding
	3. The Appeal’s Chair may uphold the decision of the faculty member that a violation occurred but may modify the penalty in accordance with this policy, up to and including failure in the course. The Chair has the authority to either reduce or increase the penalty.
		1. If the Appeal’s Chair believes that Hearing Board penalties should be considered, the Appeal’s Chair shall refer the case directly to the Academic Integrity Hearing Board.
	4. A student wishing to seek review of the decision of the Appeal’s Chair may request that the case be taken to the Academic Integrity Hearing Board of the faculty member’s college.
9. The Appeal’s Chair shall complete the Academic Integrity Violation Reporting Form and forward it to the Associate Dean of the College with copies to the Department Chair/Director of the course’s department (if that person is not the Appeal’s Chair) and to the Associate Dean of the Graduate College if the student is a graduate student.

College Academic Integrity Hearing Board

1. **Composition.** Each college in the University shall establish its own Academic Integrity Hearing Board.[[10]](#footnote-10) Not all members of the Hearing Board will serve on all hearings. If a college contains schools within the college, the Dean of the college may establish a separate Hearing Board for the school. A model Hearing Board consists of the following:
2. A chairperson who is a member of the faculty and, preferably, an experienced Board member, appointed by the Dean of the college for a two-year term. A college may have two or more faculty members trained as chairpersons.
3. Five faculty members elected for three-year terms by the faculty of the college.
4. Five students appointed by the Dean of the college for at least one year terms. At least one student should be a graduate student. When possible, student terms should be two years and should be staggered.
5. Two identified record keepers responsible for keeping clear and complete records of the proceedings. This record may be notes of the meeting or may be by tape recording or other type of recording. This record is the official record of the meeting.
6. **Training.** All members of the Hearing Board, including chairpersons, shall receive training.
7. **Jurisdiction**
8. Hearing Boards shall have jurisdiction to hear cases if
	1. The hearing is an appeal of faculty member-imposed penalties for a course within the college
	2. The hearing is an original hearing to determine Hearing Board-imposed penalties and the student has a declared major within the college.
9. A student may appeal the decision of a Primary Appeal to the Hearing Board of the college where the course resides if:
	1. The student believes the procedure was improper or unfair.
	2. The student contests the finding of violation.
	3. The student contests the penalty as too strict considering the offense.
10. A student or faculty may appeal a reversal of the original decision by the Primary Appeal decision-maker
11. A faculty member may
	1. Refer a case to the student’s major’s college Hearing Board if the student believes that the incident warrants penalties beyond classroom penalties (i.e. program dismissal, or university probation, suspension or expulsion).
12. A student with a history of violations of the Academic Integrity policy may be summoned before the Hearing Board of the college of the student’s major by the Department Chair/Director, Associate Dean or Dean. The Hearing Board may impose an additional penalty for such repeated offenses.
13. The individual seeking review shall notify the chairperson of the appropriate Hearing Board within ten working days of the Primary Appeal.
14. An exception to this deadline may be granted at the discretion of the chairperson of the Hearing Board on a showing of good cause.
15. **Procedures**
16. The Academic Integrity Hearing Board shall convene not more than 10 business days after notification of a request for review. Seven business days’ notice should be given to all parties. The notice shall include the date, time and location of the hearing, as well as a list of the Hearing Board members who will serve on the panel. If a grade for the student in the course must be submitted before a case can be decided, the faculty member shall record a grade of incomplete, pending a decision by the Hearing Board.
17. Those present at the hearing shall be:
	1. The student, who has the right to be accompanied by an advocate and/or relevant witnesses
		* 1. The advocate may consult with the student throughout the hearing but may not speak on behalf of the student or represent the student
	2. The faculty member, who has the right to bring relevant witnesses
	3. The Appeal’s Chair of the Primary Appeal, if held
	4. The chairperson
	5. A panel of two students and two faculty members from the Board.
		1. If the accused student is a graduate student, then at least one graduate student must be on the panel.
		2. If the student’s college is different from the faculty member’s, at least one panel member must come from the student’s college. The chairperson shall work with the chairperson of the student’s college to obtain a panel member from the other college.
		3. A student may challenge the participation of any member of the Hearing Board on the grounds of personal bias by submitting a written statement to the Chair setting forth the basis for the challenge no later than 5 business days prior to the hearing. The Chair will determine whether to sustain or deny the challenge. If the challenge is sustained, a replacement member will be appointed to serve on the Hearing Board. If a challenge is filed against the Chair, the Provost (or designee) will rule on the challenge.
	6. Any other person called by the chairperson.
	7. The official record keeper
18. Should the student or faculty member fail to appear before the Hearing Board, the Board shall have full authority to proceed in his or her absence.
19. The Board members shall hear all cases before them *de novo*, hearing all available parties to the dispute and examine all the evidence presented. The Board may solicit outside advice at the discretion of the chairperson. The chairperson shall preside over the hearing to ensure that no party threatens, intimidates, or coerces any of the participants.
20. The student shall have the right to present her or his case and to challenge the charges or the evidence. The student’s advocate may assist the student in the presentation and questioning.
21. Following the presentation of information and closing statements, the members of the Hearing Board will discuss the information that has been presented and the reasonable inferences to be drawn from this information prior to reaching their decision. Only the members of the hearing board and its legal advisor, if any, may be present during the deliberations.
22. Of those present, a simple majority shall decide the issue. The chairperson shall vote only in the case of a tie vote. The Board shall find the student in violation only if there is clear and convincing evidence indicating that the student has violated this policy.
23. The chairperson shall notify each party to the dispute, in writing, of the Board’s decision and, if appropriate, the penalty imposed. If the judgment of the faculty member is affirmed by the Board, or if the Board decides a different penalty is warranted, the Dean of the faculty member’s college, the Dean of the student’s college, and the Dean of the Graduate College (for graduate students only) also shall receive the report. This notification should be sent within 7 business days of the hearing.
24. The chairperson shall complete the Academic Integrity Violation Reporting Form and forward it to the Associate Dean of the College with copies to the Department Chair/Director of the course’s department and to the Associate Dean of the Graduate College if the student is a graduate student.
25. **Findings.**
26. The decision of the Hearing Board is a final and binding decision unless overturned on appeal through the process established below. The Dean of the college shall ensure that the Hearing Board decision is implemented.
27. The Hearing Board may:
	* 1. Find the student not in violation of the policy and overturn any penalty imposed in a prior hearing or meeting.
		2. Find the student in violation of the policy and
			1. Affirm the penalty imposed by the faculty member
			2. Reduce the penalty imposed by the faculty member. The Hearing Board shall articulate the reasons for the reduction.
			3. Increase the penalty imposed by the faculty member. The Hearing Board shall do this in rare circumstances in order to maintain consistency across the college and shall articulate the reasons for the increased penalty.
			4. Recommend to the Dean of the student’s college that the student be removed from the student’s program of study.
			5. Recommend to the Provost or the Provost’s designee that the student be placed on University probation
			6. Recommend to the Provost or the Provost’s designee that the student be suspended from the University for a period of time
			7. Recommend to the Provost or the Provost’s designee that the student be expelled from the University

## Review of Hearing Board Decision

The student or the faculty member may appeal a decision of the Hearing Board. The appeal must be directed to the Dean of the Hearing Board’s college, in writing, and shall be constructed according to one or both of the guidelines established below. The appeal shall be submitted within 2 weeks of notification of the Hearing Board’s decision, but exceptions to this deadline may be granted by the Dean on showing of good cause. **Appeal of a finding that a violation occurred.** A student who has been found in violation of this policy by the Hearing Board, or whose finding of violation in a Primary Appeal was upheld by the Hearing Board, may appeal on one or both of the following grounds:

1. Additional evidence which might have affected the outcome of the hearing became available following the hearing.
2. A violation of procedure by the Hearing Board that might have prejudiced the outcome of the hearing.
3. **Appeal of a penalty.** The student may appeal the findings of the Hearing Board regarding penalties. The appeal shall specify the reasons why the student believes the penalty is inappropriate.
4. **Appeal of a finding that no violation occurred or of a reduction of penalty.** The faculty member may appeal the findings of the Hearing Board regarding a finding of no violation or a reduction of penalty. The appeal shall specify the reasons why the faculty member believes the Hearing Board decision is not correct.

The Dean may deny the appeal, may hear the appeal and uphold, modify or reverse the decision or penalties of the Hearing Board, or may send the case back to the Hearing Board for reconsideration. The Dean’s decision cannot be appealed. Once the Dean has made a decision, s/he will complete the Academic Integrity Violation Reporting Form and forward it to the Associate Dean of the College with copies to the Department Chair/Director of the course’s department and to the Associate Dean of the Graduate College if the student is a graduate student.

Records of Action

All actions (Faculty/Student Meetings, Primary Appeals and Hearing Board hearings) shall be recorded via the *Academic Integrity Violation Reporting Form* and filed with the Office of the Provost. Students who have two or more violations with grade penalties shall meet with the Office of Student Life under the Student Code of Conduct (Section F.1) for possible suspension or expulsion. **If the student is found not in violation by the Hearing Board or if the Dean overturns a finding of a violation, a note will be made to the file that the student was found not in violation with a short description of the process and results.**

1. This policy was compiled from the current NAU policy and from the Cornell Policy found online at http://theuniversityfaculty.cornell.edu/pdfs/AcadIntegHdbk9.06Rev.pdf [↑](#footnote-ref-1)
2. Those who violate the Academic Integrity policy will be subject to penalties under this policy and may also be subject to penalties under the Student Code of Conduct, state and federal laws. [↑](#footnote-ref-2)
3. All individuals involved in collusion will be reviewed independently. [↑](#footnote-ref-3)
4. See e-Learning (<http://www.nau.edu/~d-elearn/support/tutorials/academicintegrity/index.php>) for tutorials and course shell modules on academic integrity. [↑](#footnote-ref-4)
5. The term meeting, as used throughout this document, includes in person, via telephone, or by other meeting assistive technologies (such as Skype). [↑](#footnote-ref-5)
6. If a student drops the course, the Associate Dean or Department Chair/Director can work with the Registrar to have the student reinstated and given a grade. If a student is to receive an F in the course, the faculty can file a “Change of Grade” form with the Office of the Registrar as soon as that penalty is finalized and the Registrar will input that grade preventing the student from dropping the course. [↑](#footnote-ref-6)
7. E-mail sent through the NAU e-mail system to NAU e-mail accounts constitutes a sufficient writing. [↑](#footnote-ref-7)
8. The standard of “clear and convincing” evidence means evidence beyond a mere preponderance (50% +1) but below that characterized as “beyond a reasonable doubt” so that the faculty member has a firm belief in the truth of the evidence. [↑](#footnote-ref-8)
9. E-mail sent through the NAU e-mail system to NAU e-mail accounts constitutes a sufficient writing. [↑](#footnote-ref-9)
10. Extended Campuses also shall have a Hearing Board for programs and courses offered by Extended Campus departments. If courses are offered by Flagstaff departments but through Extended Campuses, the home college of the course shall be the home of the Hearing Board for any appeals. [↑](#footnote-ref-10)