

Academic Integrity Breach Management Procedure

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Purpose

The objectives of this Procedure are to operationalise the *Student Academic Integrity Ordinance* and the University's *Statement on Academic Integrity*; assist staff at the University to manage and report on breaches of academic integrity and to ensure that:

- academic integrity is central to the quality of all student academic endeavour;
- all potential and actual breaches and sanctions are reported according to this Procedure; and
- this Procedure is applied with appropriate regard to discrete and professional handling.

This Procedure applies to:

- Academic Integrity Advisers, College Associate Deans (Learning and Teaching), the Deputy Vice-Chancellor (Research) and College/Division Appeals Panels;
- Staff undertaking teaching duties, including casual staff; and
- Exam Invigilators and Exam Supervisors.

This Procedure should be read in conjunction with:

- [Student Academic Integrity Ordinance](#)
- [Academic Integrity Adviser \(AIA\) workflow](#)
- [Academic Integrity forms and template letters](#) as prescribed by the Provost (e.g. Academic Integrity Breach Report (A1) and Allegation letter (A2)).
- [Academic Integrity staff intranet site](#) and relevant [toolkits](#).

Applicable governance instruments

Instrument	Section	Principles
Student Academic Integrity Ordinance	All	N/A
Statement on Academic Integrity	All	N/A

Procedure

1 Initial Reporting of Potential Breaches

- All staff involved in student assessment must be familiar with what constitutes a breach of academic integrity under the [Student Academic Integrity Ordinance](#).
- The [Academic Integrity Breach Report \(A1\)](#) is available for staff use, as is guidance on what constitutes a breach. Breach examples can be found in the [Student Academic Integrity Ordinance](#).
- All potential breaches of academic integrity must initially be referred to the Unit Coordinator for the unit in which the potential breach has occurred.
- **Section A** of the [Academic Integrity Breach Report \(A1\)](#) must be completed by an assessor/marker who suspects a breach of academic integrity.
- The report, and all supporting documentation, must then be forwarded to the relevant Unit Coordinator.
- The report for each individual student should be named as: FAMILY NAME, First Name (Student Number) – Academic Integrity Breach Report. Also, the same labelling information in the email subject line should be stated when forwarding the report.
- The Unit Coordinator must then complete **Section B** of the [Academic Integrity Breach Report \(A1\)](#) and forward it to the relevant Academic Integrity Adviser. Student results and final grades should be withheld pending investigation and breach level determination by an Academic Integrity Adviser.
- A listing of [Academic Integrity Advisers](#) is available.
- If the potential breach relates to an exam, the Exam Invigilator must report it directly to the Exam Supervisor using **Section A** of the [Academic Integrity Breach Report \(A1\)](#).
- The Exam Supervisor must then complete **Section B** of the report and forward it to the relevant Academic Integrity Adviser.
- If the potential breach involves an activity that is not directly related to a single piece of assessment but is counter to the expectations of academic integrity (e.g. obstruction/interference), the staff member will contact the Academic Integrity Adviser most closely related to the relevant organisational unit, for advice.
- If the potential breach involves a Higher Degree by Research (HDR) candidate, the Unit Coordinator will forward all such cases and Breach Reports (A1) in the first instance to the Dean of Graduate Research. The [Research Integrity and Ethics Unit](#) must also be notified of the potential breach.
- If the potential breach arises in a unit in which only HDR candidates are enrolled, the Dean of Graduate Research will then proceed and investigate.
- If the potential breach arises in a discipline specific unit (i.e. an elective unit), the Dean of Graduate Research will refer the case back to the Academic Integrity Adviser in the relevant school. The Adviser should then investigate, make a determination and seek confirmation of breach level/sanction from the Dean of Graduate Research, prior to notifying the student.
- If there are any risks or concerns about the health, safety or wellbeing of a student related to academic integrity or other matters at any stage of the process, the Safe and Fair Community Unit (SaFCU) must be contacted by emailing SaFCU@utas.edu.au. Concerns about safety do not negate the need to report breaches.
- Further advice on the initial reporting of a potential breach is available from the Academic Integrity Office at academic.integrity@utas.edu.au.

2 Supporting Documentation

- The [Academic Integrity Breach Report \(A1\)](#) must be accompanied by supporting documentation to assist the Academic Integrity Adviser's investigation.
- Please note that too much evidence is better than none.
- This supporting documentation, depending on the type of breach, may include but is not limited to:
 - a) original assessment item/s submitted by student;
 - b) unit outline and assessment task outline;
 - c) Turnitin report;
 - d) Authorship Investigate report;
 - e) screenshots (e.g. social media, direct messaging, emails);
 - f) document properties/metadata;
 - g) annotated code;
 - h) official documents (e.g. medical certificates, academic transcripts, placement reports);
 - i) photocopies, photos, or video of any relevant materials;
 - j) photos or video of unauthorised materials taken into an exam;
 - k) photos or video of the student, if there is concern about the identity of the student sitting an exam;
 - l) Exam Invigilator's report;
 - m) timelines of suspicious activity;
 - n) if multiple students are involved, the relationship between the individual students and the context of the potential breach must be explained in the report to the Unit Coordinator/Exam Supervisor.

3 Breach Management Procedure for Academic Integrity Advisers

- An Academic Integrity Adviser will receive the [Academic Integrity Breach Report \(A1\)](#) from a Unit Coordinator or Exam Supervisor.
- In the case of Higher Degree by Research (HDR) candidates, these Breach Reports must first be referred to the Dean of Graduate Research.
- On receipt of the report, the Adviser must assess the report and associated supporting documentation on face value and determine whether the matter warrants a formal allegation.
- Examples of the reasons that an Adviser might decide **not** to proceed with a formal allegation, include, but are not limited to: administrative error or misidentification of student/s.
- *Perceived lack of intent on the part of the student* is not a good reason to not issue a formal allegation and may instead point to a low-level breach (poor academic practice) which, nonetheless, requires remediation and educative responses.
- If the Adviser decides that the breach **does not** warrant further consideration, they must provide a brief explanation in **Section C** of the [Academic Integrity Breach Report \(A1\)](#), complete the confirmation declaration and forward it to the Academic Integrity office at academic.integrity@utas.edu.au. The Adviser should also notify the Unit Coordinator that student's results and final grades can be released.
- If the Adviser decides that the breach **does** warrant a formal allegation, they must, within 10 working days, inform the student by sending, via email, the following:
 - a) The approved Allegation letter template (A2), which outlines the substance of the allegation and the range of potential sanctions that could be imposed in the absence of any additional information provided by the student. The allegation letter should encourage the student to attend a meeting with the Adviser. They should also be notified of their right to be

accompanied at the meeting by a support person who is not a lawyer or other legal representative (e.g. TUU advocate). If they choose not to attend, the student **must** be offered an opportunity to submit a written statement in lieu of that meeting;

- b) A copy of any supporting documentation related to the breach allegation; and
 - c) A copy of the [Student Academic Integrity Ordinance](#).
- An Adviser may determine that a case forwarded by a Unit Coordinator ‘**does not warrant further consideration**’ as the breach is relatively minor (e.g. a student attempted to reference appropriately but neglected to put quotations marks around two or three sentences due to carelessness). In this instance, the citation error could be rectified in a couple of minutes. In these types of cases, the Adviser should liaise with the original Unit Coordinator and suggest appropriate and relevant ‘**educational advice**’ to support the student’s understanding of academic integrity.
 - However, if the student has repeated this behaviour significantly (e.g. multiple examples of inappropriate referencing throughout the task such as seen in a very high Turnitin similarity match) and it is apparent that the student did not have an adequate understanding of the conventions of academic integrity, then this situation would ‘**warrant further consideration**’. In these types of cases, the student should be sent a formal ‘**A2 - Allegation letter**’ and invited to discuss the potential breach.
 - If the breach allegation involves multiple students an identified and de-identified set of supporting documentation for each student must be provided. Each student involved should be able to see their own work in comparison to the de-identified work of the other/s. This should be attached to the allegation letter and sent to individuals.
 - An Adviser may use an application such as Skype, Zoom, Facetime, WeChat, Google Duo etc. if the student is unable to attend the meeting in person.
 - If the student chooses to attend the meeting, the Adviser should organise to do so within 10 working days. As required by the [Student Academic Integrity Ordinance](#) clause 5.4, a written record of the meeting must be kept.
 - If the student **does not** reply within 10 days, the Adviser may make a decision based on the submitted supporting documentation alone.
 - If there is a delay in the process, an email explaining the reasons for the postponement should be sent to the student which should also refer to clause 5.2 of the *Student Academic Integrity Ordinance* (time limits).
 - Advice for Advisers on conducting meetings with students is available in the [Academic Integrity Adviser toolkit](#).

Making a Determination

- Following the meeting, the expiry of a right of reply, or the provision of a written statement, in lieu of a meeting in person, the Academic Integrity Adviser should make a timely determination in order to minimise student concern and distress.
- An Adviser’s decision should **only** consider whether that particular allegation has been substantiated or not.
- If the Adviser decides the breach allegation **has** been substantiated, they must:
 - a) Provisionally assign a breach level (low, intermediate, high) using the breach level matrix (see [Student Academic Integrity Ordinance](#) – Part 7); and
 - b) Formulate an appropriate sanction and educative response using the breach level matrix.

- The Adviser must **only** then check for previous substantiated breaches related to the student, using the [Academic Integrity database](#).
- If the student **does not** have previous substantiated breaches, the Adviser's provisional assignment of a breach level, and associated sanction, will be confirmed.
- If the student **does** have previous substantiated breaches, the Adviser may reassess the determination at a higher breach level using the breach level matrix.
- The category '**Not substantiated**' or '**No breach**' will apply for situations in which an Adviser decides that a case does '**warrant further consideration**' yet after further investigation and/or a meeting with the student, '**No breach**' was determined. This could be for situations such as misidentification of a student (e.g. in a collusion case) or administrative error (e.g. incorrect student number or name). It is anticipated that this situation will be relatively rare. Other cases in which a breach might be '**Not substantiated**' is where, after further investigation and/or a meeting with a student, there is compelling evidence or explanation as to why there was no breach.
- Advisers should strive to achieve consistency in their decision-making to ensure that outcomes for students are equitable.
- Further advice on assigning breach levels and imposing sanctions is available in the [Academic Integrity Adviser toolkit](#) and from the Academic Integrity Office at academic.integrity@utas.edu.au.

Procedure for recommending suspension of enrolment or permanent exclusion from study

- If the Academic Integrity Adviser decides that a high-level breach is substantiated and warrants an enrolment-level sanction (such as suspension of enrolment, permanent exclusion or revocation of award), approval must be sought from the Provost using the Request for Referral to Provost letter template (E1).
- Recommendations for these sanctions, including all documentation relating to the breach, must be forwarded to the Academic Integrity Office at academic.integrity@utas.edu.au for progression through the approval process. Advisers will be notified of the outcome by the Academic Integrity office.
- Further guidance on this process is included in **Appendix A** – Process and guidelines for recommending suspension of enrolment or permanent exclusion from study.

Notification of Determination

- Once the determination is reached, including where no breach is found, the Academic Integrity Adviser must notify the student in writing, using the appropriate Determination letter template (i.e. No breach – D1; Low-level breach – D2; Intermediate-level breach – D3; High-level breach – D4).
- The determination letter must clearly state the type of breach, sanction, educative response and reasons for the determination (if the allegation is substantiated).
- The letter must also advise the student that within 10 working days of the date of the notice of determination, they have the right to apply for appeal to the College Associate Dean (Learning and Teaching).
- If a student has permissible grounds for appeal, they must make an application using the Student Appeal Application form (SA1).
- If the student does not appeal against a high-level sanction with enrolment restriction (i.e. suspension, exclusion or higher) within 10 working days of receiving a Determination letter (D4), the Adviser must send the student an Enrolment Restriction – End of Appeal Period Notification letter (E2).
- Once the Academic Integrity Adviser has notified the student of the determination and sanction, the Adviser must complete **Section C** of the [Academic Integrity Breach Report \(A1\)](#) and forward it

with all supporting documentation to the Academic Integrity office at academic.integrity@utas.edu.au for reporting purposes. The Adviser should also notify the Unit Coordinator that student's results and final grades can be released.

4 Appeal Procedure

College Level Appeal

- All student applications for appeal must be made to the College Associate Dean (Learning and Teaching) within 10 working days of the date of receiving the breach determination letter. In the case of Higher Degree by Research (HDR) candidates, applications for appeal must be made to the Deputy Vice-Chancellor (Research).
- All requests for appeal must be made using the Student Appeal Application Form (SA1).
- The Associate Dean (Learning and Teaching)/ Deputy Vice-Chancellor (Research) must send the student an Appeal Application Acknowledgement letter (SA2) advising receipt of the appeal request and notification of the two-part appeal review process.
- The Associate Dean (Learning and Teaching)/ Deputy Vice-Chancellor (Research) must complete **Section A** of the Appeal Application Checklist (SA3) and make a timely decision (especially for high-level breaches involving enrolment restriction) whether the application discloses a reasonable basis on which any of the permissible grounds can be made out, as specified in the *Student Academic Integrity Ordinance*, clause 4.1.3. These grounds include:
 - a) manifestly excessive or inappropriate sanction for the level of breach; and/or
 - b) evidence that the student did not have at the time of the decision, and which could not by reasonable diligence have been obtained at that time, and that would probably have affected the decision; and/or
 - c) material procedural error that would probably have affected the decision.
- If the Associate Dean (Learning and Teaching)/ Deputy Vice-Chancellor (Research) **does not** believe that there is a reasonable basis for appeal, they must notify the student of the reasons for that determination using the Appeal Application Determination letter template (SA4).
- The Appeal Application Checklist (SA3), all supporting including the appeal request and determination letters must be forwarded to the Academic Integrity Adviser and the Academic Integrity Office at academic.integrity@utas.edu.au for record keeping purposes.
- If the Associate Dean (Learning and Teaching)/ Deputy Vice-Chancellor (Research) **does** believe that there is a reasonable basis for appeal, they must notify the student using the Appeal Application Determination letter template (SA4).
- The Associate Dean (Learning and Teaching) must then appoint two College Appeals Panel members to hear the appeal, from the approved College pool. For Higher Degree by Research (HDR) candidates, the Deputy Vice-Chancellor (Research) must appoint two Appeals Panel members from the Research Division to hear the appeal.
- In all cases, the Appeals Panel members must not have had any prior direct involvement in the breach allegation or determination. If there is a potential conflict of interest for any of the Panel members (i.e. prior connection with the student such as a teaching or family relationship) an alternative Chair (or other Panel member) must be nominated. Authorisation is to be stated in writing to ensure procedural fairness.
- The Appeals Panel Chair (i.e. Associate Dean (Learning and Teaching) or Deputy Vice-Chancellor (Research)) should request a copy of all material related to the matter from the relevant Academic Integrity Adviser such as the [Academic Integrity Breach Report \(A1\)](#) for the student and any additional materials supplied with the application for appeal by the student.

- The Appeals Panel Chair may contact the student to request additional information, and/or invite them to meet with the Appeals Panel. The student should also be notified of their right to be accompanied at the meeting by a support person who is not a lawyer or other legal representative (e.g. TUU advocate). If the student chooses not to attend, they must be offered an opportunity to submit a written statement in lieu of that meeting.
- The Appeals Panel Chair may contact the Academic Integrity office to request additional information, for example in relation to precedents regarding sanctions.
- The Appeals Panel must make a decision to either dismiss, maintain or vary the existing sanction within 15 working days of receipt of the appeal by the Associate Dean (Learning and Teaching) or Deputy Vice-Chancellor (Research).
- As required by the *Student Academic Integrity Ordinance* clause 5.4, a written record of the meeting must be kept.
- Once a decision has been made, the Appeals Panel must communicate their determination to the student in writing in a timely manner using the Appeal Panel Determination letter (SA5). In the case of appeals against high-level sanctions with enrolment restriction (i.e. suspension, exclusion or higher), the Appeals Panel Chair must send the student an Enrolment Restriction – Appeal Panel Determination letter (E3).
- The Appeals Panel members must then complete **Section B** of the Appeal Application Checklist (SA3) and forward it and all supporting documentation including the appeal request and determination letters to the relevant Academic Integrity Adviser and the Academic Integrity Office at academic.integrity@utas.edu.au for record keeping purposes.

5 Support for Staff

- Staff who have any queries about this Procedure can contact their Academic Integrity Adviser or the Academic Integrity Office for assistance at academic.integrity@utas.edu.au.
- Further information on [academic integrity is available for staff](#).
- Further information on academic integrity for students can be found at <https://www.utas.edu.au/students/learning/academic-integrity>.

Related procedures

- *Managing Allegations of Research Misconduct Procedure*
- [A1 - Academic Integrity Breach Report](#)
- [Academic Integrity Toolkits for Staff](#)

Versions

Version	Approval Authority	Responsible Officer/s	Approval Date
1	Provost	Director, Academic Quality and Standards	Feb 20
2	Director, Academic Quality and Standards	Academic Integrity Manager	Mar 20
3	Director, Academic Quality and Standards	Academic Integrity Manager	May 20
4	Provost	Director, Academic Quality and Standards	7 Dec 20

Definitions

[academic integrity](#) | [breach of academic integrity](#) |

Definitions and acronyms can be found at: <https://www.utas.edu.au/policy/policy-definitions>

Once printed this is an uncontrolled document; for latest version refer <https://www.utas.edu.au/policy>

Appendix A: Process and guidelines for recommending suspension of enrolment or permanent exclusion from study

If an Academic Integrity Adviser decides that a high-level breach is substantiated and warrants an enrolment-level sanction (such as suspension of enrolment, deferred suspension of enrolment, permanent exclusion or revocation of award), confirmation must be sought from the Provost using the 'Request for Referral to Provost' letter template (E1).

Recommendations for these sanctions, including all documentation relating to the breach, must be forwarded to the Academic Integrity Office at academic.integrity@utas.edu.au for progression through the confirmation process. Advisers will be notified of the outcome by the Academic Integrity Office.

Points to consider when applying a high-level breach with enrolment restriction:

1. Is the student international or domestic?

Under Australian government legislation, the University must report the suspension of enrolment/permanent exclusion of an international student visa holder from the University to the Department of Home Affairs. Once the Department of Home Affairs has been notified of a suspension of enrolment/permanent exclusion, the student visa holder will have 28 days to either provide a Confirmation of Enrolment (CoE) or leave Australia. For this reason, the Determination letter used in these cases includes additional support information for students.

Another option, instead of a fixed-period suspension of enrolment, is a 'deferred suspension of enrolment'. This means that the student receives an 'Zero mark/NN for the unit' in which the breach occurred but can continue in other units unless there is a further future breach. If any future breach is substantiated, the original period of suspension is applied immediately plus any further sanctions for any additional breach.

2. At what point in the semester was the breach determined?

If deciding on a suspension of enrolment for a fixed period, it is important to consider when the student is eligible to return to study. It is advisable to decide on a period (i.e. number of months) of suspension that allows a student to be able to enrol in the next suitable study period/beginning of following semester (as appropriate).

The following points are included in the messaging that lets students know when they are able to return to study:

*The **[X]-month suspension of enrolment** period started on **[INSERT DATE]** being the date of the original determination. The suspension of enrolment period will end on **[INSERT DATE]**.*

*This means that you are eligible to enrol in Semester **[X]**, **[YEAR]**, on **[INSERT DATE]**, if you so choose.*

A suspension of enrolment for a fixed period and a permanent exclusion are effective from the date of the original determination letter. The following grades will be shown on a student's academic record for both a suspension of enrolment and a permanent exclusion:

*Unit in which the breach occurred :
NN (Fail)*

All other units in the semester at the time of the determination: WW

If the breach occurred after the census date in the semester, the student will still be required to pay fees for all relevant units.

3. What sanctions and grades will be applied and by whom?

Any serious high-level breach with an enrolment restriction (suspension of enrolment or permanent exclusion) should receive a 'Zero mark/NN for the unit' regardless of how much work the student has already completed at the date of the original determination.

For situations of suspension of enrolment and permanent exclusion, the Academic Integrity Office will notify Student Operations to place a sanction of:

NXT (suspension of enrolment/temporary exclusion); or

NXP (permanent exclusion) on the student's academic record once a high-level breach with an enrolment restriction has been confirmed by the Provost.

The Academic Integrity Office will activate an NXT or NXP sanction after the 10-day appeal period has ended (if the student does not apply for appeal). If the student does apply for appeal, the Academic Integrity Office will do this after receiving an appeal application determination from the College Associate Dean (learning and Teaching) (i.e. if an appeal application has not been successful).

Unit Coordinators/Course Coordinators should continue to request and apply a grade of 'Zero mark/NN for the unit' in which the breach occurred.

The Academic Integrity Office will request that Student Operations apply a grade of WW (withdrawn without academic penalty) for all other units in which the student is enrolled at the date of initial determination letter.

Academic Integrity Advisers should notify Unit Coordinators/Course Coordinators in the other units in which the breach *did not* occur of a student's suspension of enrolment or permanent exclusion and that the student will receive a WW grade for these units.

