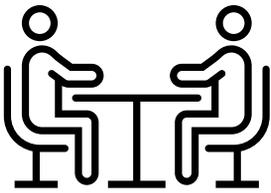


Manage academic misconduct identified during an exam: Accept and Investigate (ASO)

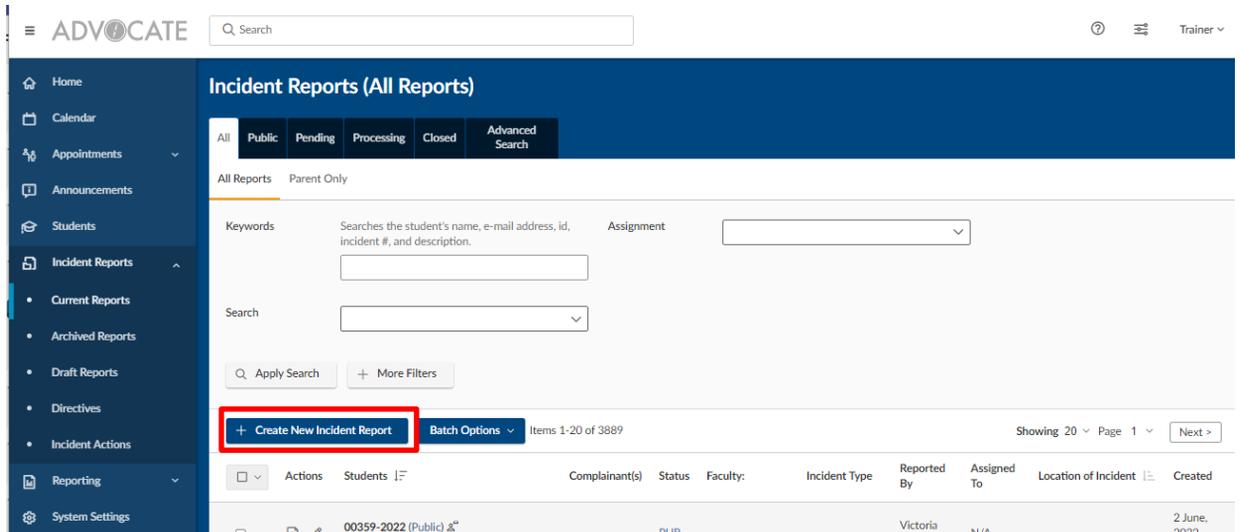
The Assessment Services Office manages breaches in exams. This guide describes the process for conducting the initial investigation when a breach is identified by an invigilator during an in-person examination.

1 Interview the student and take notes



The student must be interviewed immediately after the examination. Capture any notes in your standard template and save in a secure location with the file name: Student ID_StudentName_MeetingNotes_Date.

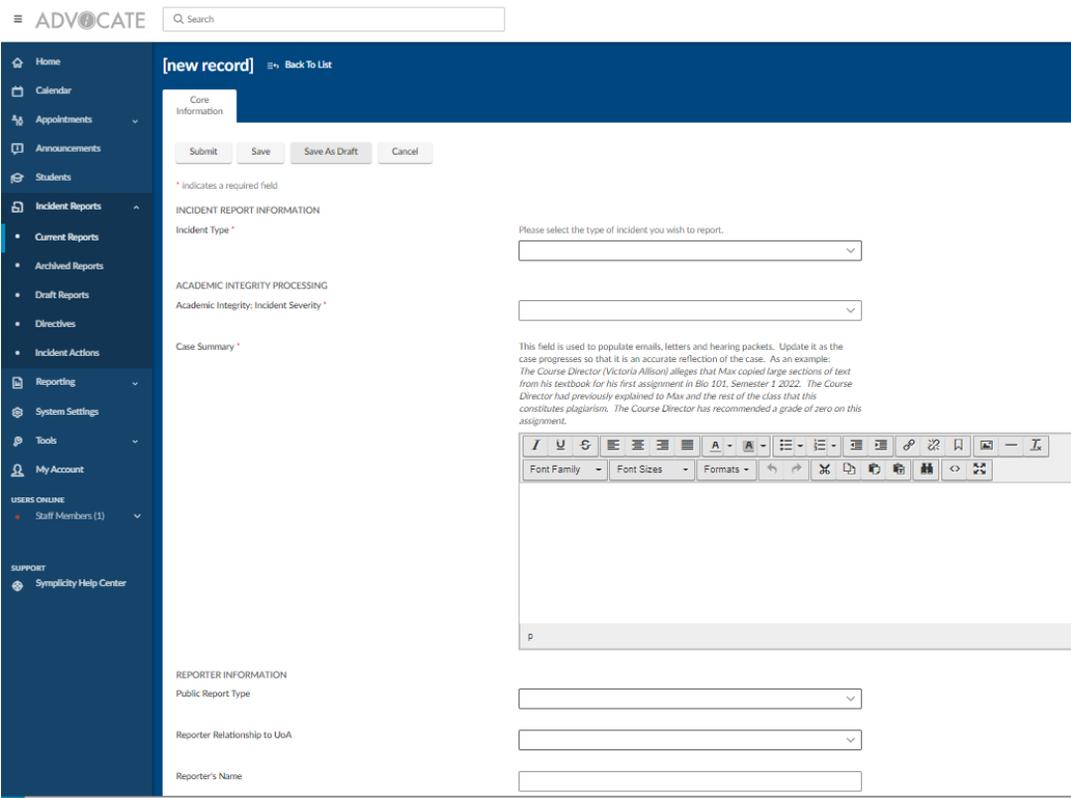
2 Create new report



The screenshot shows the ADVOCATE system interface. The left sidebar contains a navigation menu with items: Home, Calendar, Appointments, Announcements, Students, Incident Reports (expanded), Current Reports, Archived Reports, Draft Reports, Directives, Incident Actions, Reporting, and System Settings. The main content area is titled 'Incident Reports (All Reports)' and features a search bar, filters (All, Public, Pending, Processing, Closed, Advanced Search), and a table of reports. The '+ Create New Incident Report' button is highlighted with a red box. Below the table, a row of data is visible: 00359-2022 (Public) with a status of PUB, reported by Victoria, and assigned to N/A, created on 2 June, 2022.

In Symplicity, go to the page called **Incident Reports >> Current Reports** and select **Create New Incident Report**

3 Populate case fields



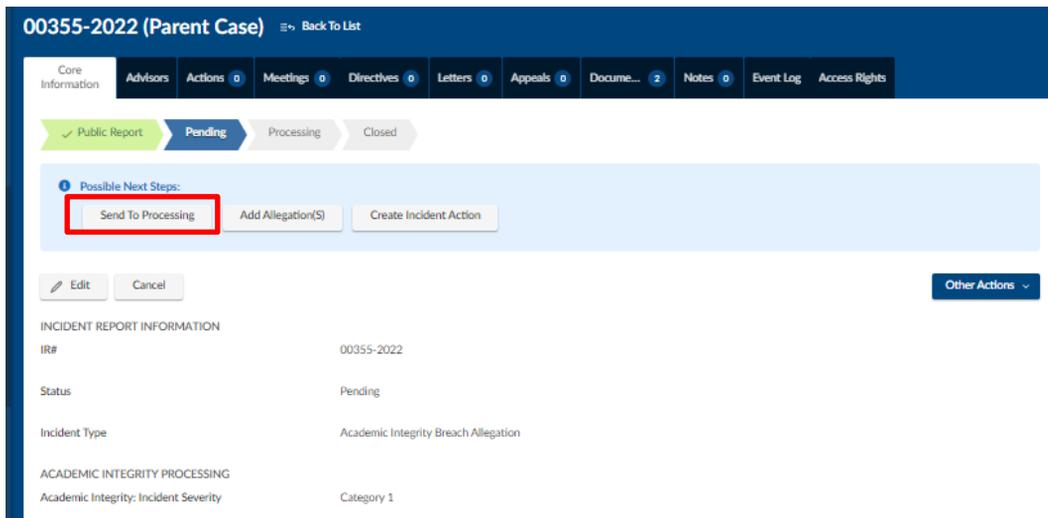
The screenshot shows the 'ADVOCATE' system interface for creating a 'new record'. The left sidebar contains navigation options like Home, Calendar, Appointments, Announcements, Students, Incident Reports, Current Reports, Archived Reports, Draft Reports, Directives, Incident Actions, Reporting, System Settings, Tools, My Account, Users Online, and Support. The main content area is titled 'new record' and includes a search bar and a 'Back To List' link. The form is divided into sections: 'Core Information' with 'Submit', 'Save', 'Save As Draft', and 'Cancel' buttons; 'INCIDENT REPORT INFORMATION' with a dropdown for 'Incident Type *'; 'ACADEMIC INTEGRITY PROCESSING' with a dropdown for 'Academic Integrity: Incident Severity *'; a 'Case Summary *' text area with a rich text editor toolbar; and 'REPORTER INFORMATION' with dropdowns for 'Public Report Type', 'Reporter Relationship to UoA', and 'Reporter's Name'.

Populate critical fields, including:

- Incident type
- Incident Severity
- Case summary
- Reporter's name and contact info
- Faculty information
- Course information
- Student(s) involved
- Examiner/Course Director
- Type of Assessment
- Date Identified
- Allegation
- Accused student
- Location

Once complete, click **Save**

4 Update status to processing



00355-2022 (Parent Case) Back To List

Core Information | Advisors | Actions 0 | Meetings 0 | Directives 0 | Letters 0 | Appeals 0 | Docume... 2 | Notes 0 | Event Log | Access Rights

Public Report (checked) | Pending (selected) | Processing | Closed

Possible Next Steps:

- Send To Processing (highlighted)
- Add Allegation(S)
- Create Incident Action

Edit | Cancel | Other Actions

INCIDENT REPORT INFORMATION

IR#	00355-2022
Status	Pending
Incident Type	Academic Integrity Breach Allegation

ACADEMIC INTEGRITY PROCESSING

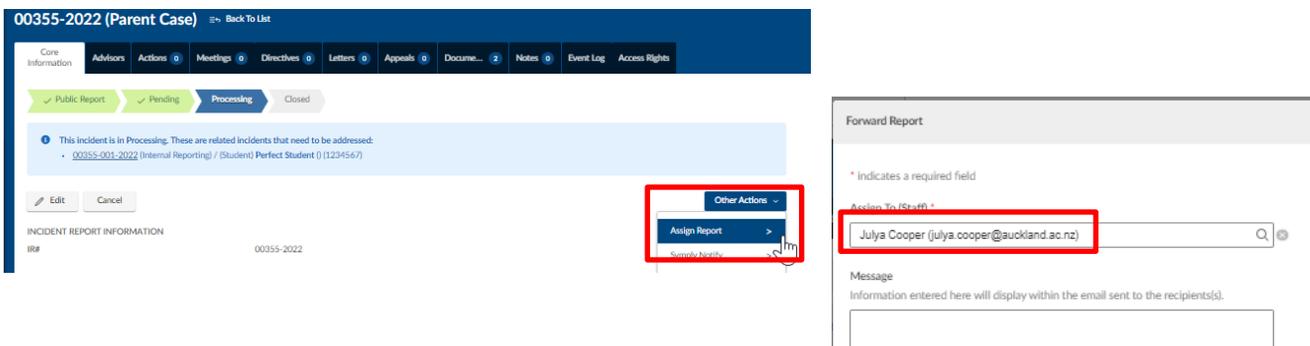
Academic Integrity: Incident Severity	Category 1
---------------------------------------	------------

Once all fields are finalized, select **Send to Processing**. This will create a **child** case for each accused student. Click on the hyperlink to go into the child case.

Tip

Incidents have a parent report and a child report. The parent case can be used to (for example) send initial emails to all students involved in a collusion case. However, **actions and decisions must be entered against the child report**. Once all child reports are closed, the parent report closes automatically.

5 Assign child case to yourself



00355-2022 (Parent Case) Back To List

Core Information | Advisors | Actions 0 | Meetings 0 | Directives 0 | Letters 0 | Appeals 0 | Docume... 2 | Notes 0 | Event Log | Access Rights

Public Report (checked) | Pending (checked) | Processing (selected) | Closed

This incident is in Processing. These are related incidents that need to be addressed:

- 00355-001-2022 (Internal Reporting) / (Student) Perfect Student (I) (1234567)

Edit | Cancel | Other Actions

Assign Report (highlighted)

Forward Report

* Indicates a required field

Action To (Staff) *

Julya Cooper (julya.cooper@aukland.ac.nz)

Message

Information entered here will display within the email sent to the recipients(s).

Assign the child case to yourself. This will ensure that you are notified if the student appeals the closed case. From the **Core Information** Tab, select **Other Actions** then **Assign Report**. Select **Staff Members**, then search for your name in the **Assign to (Staff)** field. Then select **Submit**

Manage academic misconduct identified during an exam: Accept and Investigate (ASO)

6 Upload interview notes into the documents tab

The screenshot shows the ADVOCATE system interface. The top navigation bar includes a search box and a 'Trainer' dropdown. The left sidebar lists various menu items, with 'Incident Reports' expanded to show 'Current Reports', 'Archived Reports', 'Draft Reports', 'Directives', and 'Incident Actions'. The main content area displays the case details for '00358-001-2022 (Perfect Student - 1234567)'. The 'Documents' tab is selected and highlighted with a red box. Below the tab, there is a search bar and a table of documents. A red box highlights the '+ Add New Note' button. The table contains one document entry: 'FW: Academic Quality Office: response required (ENGGEN 131)'.

Open the relevant child case. Go to the **Documents** tab and **Add New Document**. Upload or drag in the meeting notes.

The first screenshot shows the 'Upload Documents' dialog box. It features a dashed box for file upload with a cloud icon and the text 'Drag and Drop your files into this area to upload'. Below this is an 'Upload File' button. At the bottom, there is a list of files, including 'MEETINGNOTES_PERFECTSTUDENT_20210126.PDF (0.042 MB)', with an 'Edit Details' button. The second screenshot shows the 'Classification' dialog box. It has a 'Classification' section with radio buttons for 'Attachment' (checked), 'Decision Letter', 'Emails', 'Meeting Notes', 'Police Report', 'Sanction Information', and 'Submitted Support Documentation'. The 'Status' section has radio buttons for 'Draft' and 'Final' (checked). There are 'Save', 'Delete', and 'Cancel' buttons. A 'Done' button is located at the bottom right.

Ensure you **Edit Details** and mark the file as an **Attachment** and **Final** so that the document can be attached to an email. Click on **Save** and **Done**.

7 Add Allegations

The screenshot shows the 'Add Allegations' process. At the top, there are buttons for 'Possible Next Steps': 'Schedule Meeting', 'Add Allegations' (highlighted with a red box), and 'Create Incident Action'. Below this is the 'Edit Charge' dialog box. It has a left sidebar with a dropdown menu for 'Allegations' showing 'Academic Integrity'. The main area contains a list of allegation types with descriptions, such as 'A breach of confid... [ethical approvals]', 'Assisting a student... [Misconduct Statute]', 'Breaches of the Cd... [nd codes of ethics]', 'Cheating during te... [ed by the examiner]', 'Claiming results th... [not been obtained]', 'Copying from another student's work', 'Fabricating or falsifying data', 'Impersonating or M... [ther academic work]', 'Intentional inteni... [another researcher]', 'Making misleading l... [tribution to work]', 'Misrepresenting ot... [onsi/consideration]', 'Presenting false or... [or research credit]', and 'Submitting the sam... [han one assessment]'. A 'Submit' button is at the bottom right.

In the **Possible next steps** section or in the side bar, select **Add Allegations**.

Select the relevant **allegation type(s)** from the drop-down list. Note that you can add multiple allegations. In addition, you can **Edit** Allegations as more information is made available. Once entered, click on **Submit**

8 Determine if more information is required

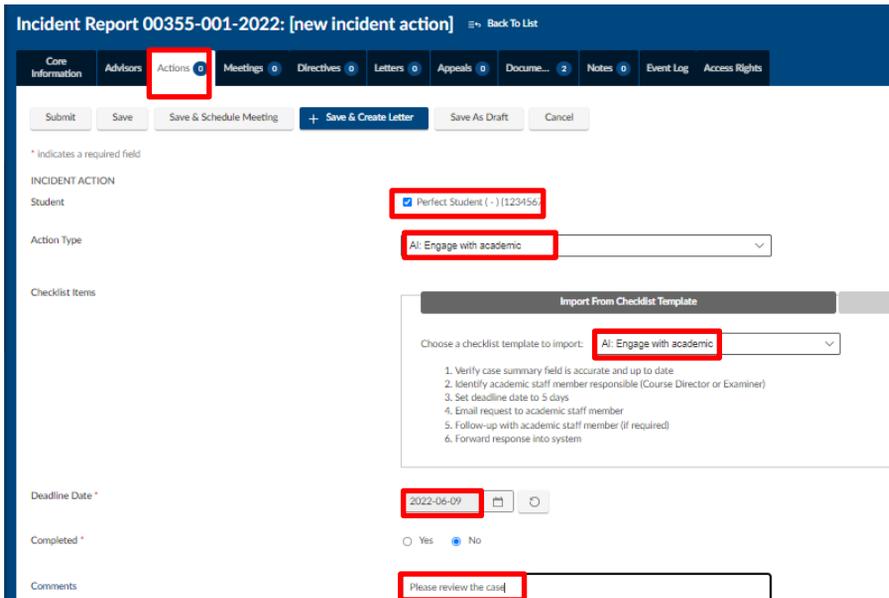
ACADEMIC MISCONDUCT

Accused Student	James Mitchell Jack Knowles
Type of assessment	Coursework or Test
Date identified	21 February, 2022
Allegation	Collaboration/Collusion, Copying, Data fabrication
What is the nature of this allegation?	Caught making up data
Educative session held?	Yes
Date held	21 February, 2022
Rationale for proposed consequences	Had informal warning before so recommend mark as zero

Review the submitted content and determine whether further information is required from the examiner. If so, go to step 9. If not, go to step 12.

If you are engaging with the examiner, email the interview notes to the student now: the student needs to have the opportunity to review the notes soon after the interview. If you are NOT engaging with the examiner, send the notes attached to the formal notice of allegations (step 13)

9 Create incident action to engage with the examiner



Incident Report 00355-001-2022: [new incident action] [Back To List](#)

Core Information | **Actions** | Advisors | Meetings | Directives | Letters | Appeals | Document... | Notes | Event Log | Access Rights

Submit | Save | Save & Schedule Meeting | **+ Save & Create Letter** | Save As Draft | Cancel

* Indicates a required field

INCIDENT ACTION

Student Perfect Student (-) (123456)

Action Type AI: Engage with academic

Checklist Items

Import From Checklist Template

Choose a checklist template to import: AI: Engage with academic

1. Verify case summary field is accurate and up to date
2. Identify academic staff member responsible (Course Director or Examiner)
3. Set deadline date to 5 days
4. Email request to academic staff member
5. Follow-up with academic staff member (if required)
6. Forward response into system

Deadline Date * 2022-06-09

Completed * Yes No

Comments Please review the case!

Go to the **Actions** tab and click on **Add New Incident Action**. Select the check-box next to the student's name. This ensures the student's name appears in the incident action notification.

Select **Action Type AI: Engage with Academic**. Choose the checklist template **AI: Engage with Academic**.

Set an appropriate **Deadline date**. Enter **Comments** as required. **Assign** the action to yourself and select **Save and Create Letter**.

10 Send email to examiner

Incident Report 00355-001-2022: [new letter] [Back To List](#)

Core Information | Advisors | Actions | Meetings | Directives | **Letters** | Appeals | Documents | Notes | Event Log | Access Rights

Online Preview | Print PDF Preview | Email Letter Now | Submit (No Email) | Save As Draft | Cancel

* indicates a required field

NOTIFICATION LETTER
Letter Template
Academic request for additional information on integrity incident (Assessment Services)

Subject
Potential academic integrity breach in [incident/course name] [incident/course]; additional information required

Recipient(s)


CC Letter To
Select addresses here and/or add more below

Add additional CC
Add additional contacts to be CCed.
This information will be added to Contacts after submit

First Name *

Last Name *

Title

Email *

Under the Letter tab, select the Letter Template: **Academic request for additional information on integrity incident (Assessment Services)**

Important: Remove the student from the recipient list

Manually edit any content highlighted in **pink** e.g. Academic name and additional incident text.

Add the academic to the **CC Letter to** field. Preview the email using the **Online Preview** button, and then select **Email Letter Now**.

Tip

If the Academic's name is not listed under the **Email letter to** field, select **Add Additional CC** and enter their details. Their name will be on the list next time.

11 Monitor Incident Action dashboard for examiner's response

Incident Actions

Incident Actions | **Archived** | Checklist Templates

Keywords

Apply Search

Batch Options Items 1-20 of 123

Showing 20

<input type="checkbox"/>	Actions	Report #	Student(s)/Student Group(s)	Action Type	Involved As	Action Date/Time	Completed	Assigned To	Deadline Date	Last Modified	Draft
<input type="checkbox"/>		00356-2022	Perfect Student 	AI: Engage with student	Accused Student	-	No	-	16 June, 2022	1 June, 2022 2:27 p.m.	No
<input type="checkbox"/>		00352-001-2022	Perfect Student 	AI: Obtain approval (Tier 1)	Accused Student	-	Yes	Staff: Julia Cooper	16 June, 2022	2 June, 2022 10:32 a.m.	No

Go to the **Incident Actions** tab, and set the filters to show your actions, and open cases. Sort by deadline date. If the deadline for the examiner to respond has past and they haven't responded, follow-up with them by phone. Otherwise, close the incident action and move on to the next step.

You can add emails to a case within Symplicity by forwarding them to incidentnumber.uoa-advocate@advocate.symplicity.com (e.g. 00012-001-2021.uoa-advocate@advocate.symplicity.com).

The email address and case number is at the bottom of each email template sent out from Symplicity.

12 Create incident action for student engagement

Incident Report 00355-001-2022: [new incident action] [Back To List](#)

Core Information | Advisors | **Actions 1** | Meetings 0 | Directives 0 | Letters 1 | Appeals 0 | Docume... 2 | Notes 0 | Event Log | Access Rights

Submit | Save | Save & Schedule Meeting | **+ Save & Create Letter** | Save As Draft | Cancel

* Indicates a required field

INCIDENT ACTION

Student Perfect Student (-) (1234567)

Action Type AI: Engage with student

Checklist Items

Import From Checklist Template

Choose a checklist template to import: AI: Engage with student

1. Verify case summary field is accurate and up to date
2. Set deadline date to 8 days
3. Email notification to student
4. Forward any response from the student into the system

Deadline Date * 2022-06-16

Assigned To Staff

Julya Cooper (julya.cooper@auckland.ac.nz)

Submit | Save | Save & Schedule Meeting | **+ Save & Create Letter** | Save As Draft | Cancel

Go to the **Actions** tab and Add New Incident Action.

Select the check-box next to the student's name. This ensures the student's name appears in the incident action notification.

Select **Action Type AI: Engage with student**. Choose the checklist template **AI: Engage with student**. Set a **Deadline Date** at least **5 working days** from today, **Assign** the action to yourself.

Select **Save and Create Letter**.

13 Notify student of the allegations

Incident Report 00355-001-2022: [new letter] [Back To List](#)

Core Information | Advisors | Actions 2 | Meetings 0 | Directives 0 | Letters 1 | Appeals 0 | Docume... 2 | Notes 0 | Event Log | Access Rights

Online Preview | Print PDF Preview | Email Letter Now | Submit (No Email) | Save As Draft | Cancel

* Indicates a required field

NOTIFICATION LETTER

Letter Template

Subject Assessment Services Office: response required ([incident][course name] [incident][course])

Recipient(s)

Recipient Student Group(s)

Additional Recipient(s) Provide additional email addresses separated by semicolon

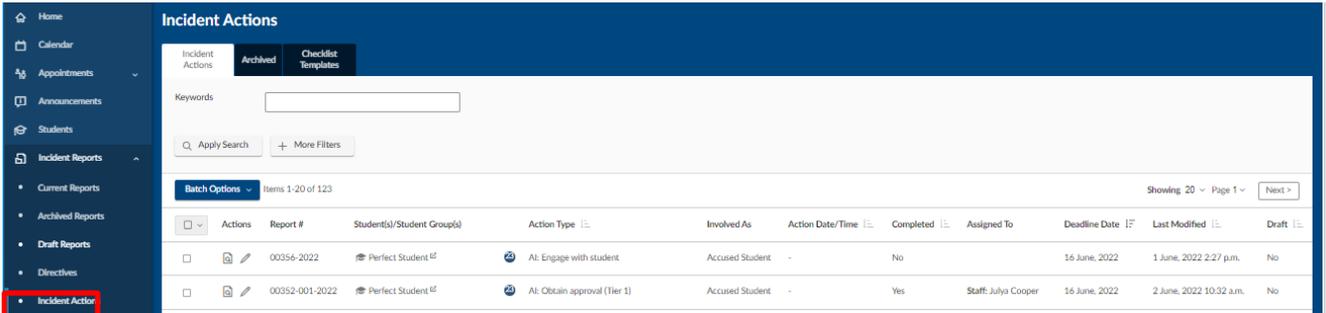
Select the relevant template, e.g. " Student: Allegation - ..." and manually populate any content highlighted in pink.

Add the interview notes to the email and preview the email using the **Online Preview** button. Ensure the student is showing in the **Recipient(s)** field and that appropriate staff (if required) are cc'ed on the letter in the **CC Letter To** field. Select **Email letter** now.

When the student responds, their email will need to be forwarded into the system, and the incident action marked as **Completed**

Attach the **notes of the interview** to the email so that the student has the opportunity to respond to these

14 Monitor Incident Action dashboard



The screenshot shows the 'Incident Actions' dashboard. On the left is a navigation menu with 'Incident Action' highlighted. The main area has tabs for 'Incident Actions', 'Archived', and 'Checklist Templates'. Below the tabs is a search bar with 'Keywords' and buttons for 'Apply Search' and 'More Filters'. A table below shows a list of incident actions with columns for Actions, Report #, Student(s)/Student Group(s), Action Type, Involved As, Action Date/Time, Completed, Assigned To, Deadline Date, Last Modified, and Draft. Two rows are visible, both for 'Perfect Student'.

Actions	Report #	Student(s)/Student Group(s)	Action Type	Involved As	Action Date/Time	Completed	Assigned To	Deadline Date	Last Modified	Draft
<input type="checkbox"/>	00356-2022	Perfect Student	At: Engage with student	Accused Student	-	No	-	16 June, 2022	1 June, 2022 2:27 p.m.	No
<input type="checkbox"/>	00352-001-2022	Perfect Student	At: Obtain approval (Tier 1)	Accused Student	-	Yes	Staff: Julia Cooper	16 June, 2022	2 June, 2022 10:32 a.m.	No

Go to the **Incident Actions** tab, and set the filters to show your actions and open cases. Sort by deadline date.

If the deadline for the student to respond has past, mark the incident action as Completed, and move to the next step in the process.

For the next stage in the process, see the QRG called 'Manage academic misconduct: process decision or escalation'