

# Manage academic misconduct: Accept and Investigate (Assessment Services)

University staff, students and the public can report student academic integrity breaches. The Assessment Services Offices manages breaches in exams. This guide describes the process for conducting the initial investigation when a breach is reported after the examination.

## 1 Identify new public reports

The screenshot shows the ADVOCATE interface. On the left sidebar, 'Incident Reports' is expanded, and 'Current Reports' is highlighted with a red box. The main area displays a table of incident reports. The first row is highlighted, and the status 'PUB' is highlighted with a red box. The table columns include Actions, Students, Complainant(s), Status, Faculty, Incident Type, Reported By, Assigned To, Location of Incident, and Created.

| Actions | Students                | Complainant(s) | Status | Faculty                | Incident Type             | Reported By      | Assigned To | Location of Incident | Created                 |
|---------|-------------------------|----------------|--------|------------------------|---------------------------|------------------|-------------|----------------------|-------------------------|
|         | 00359-2022 (Public)     |                | PUB    |                        |                           | Victoria Allison | N/A         |                      | 2 June, 2022 11:26 a.m. |
|         | 00358-2022 (Processing) |                | PR     | Faculty of Engineering | Academic Integrity Breach | Victoria         | Victoria    | NOT APPLICABLE       | 2 June, 2022            |

In Symplicity, go to the page called **Incident Reports > Current Reports**. Select the new report by clicking on view icon (magnifying glass). Note status of report will be **PUB** (Public.)



## 2 Accept and review the report

The screenshot shows the '00355-2022 (Parent Case)' page. The 'Possible Next Steps' section has 'Accept & Review' highlighted with a red box. The 'Incident Report Info' section shows 'Assigned To: N/A', 'Created: 31 May, 2022 4:52 p.m.', 'Modified: 2 June, 2022 3:20 p.m.', and 'By: Trainer Trainer'. The 'Incident Report Flags' section lists various flags with checkboxes.

**Possible Next Steps:**

- Accept & Review**
- Archive

**INCIDENT REPORT INFO**

IR# 00355-2022

Status Public

Incident Type Academic Integrity Breach Allegation

**ACADEMIC INTEGRITY PROCESSING**

Academic Integrity: Incident Severity Category 1

**Incident Report Info**

Assigned To: N/A

Created: 31 May, 2022 4:52 p.m.

Modified: 2 June, 2022 3:20 p.m.

By: Trainer Trainer

**Incident Report Flags**

- AI: Associate Dean approval
- AUSA Advocacy involved
- Bullying allegation
- Discrimination allegation
- Harassment allegation
- Known to Police
- Known to RIT
- Mental Health concerns
- R&M Issues

Scan the report. If the report is valid, select **Accept and Review**. If the report is clearly spurious, select **Archive** to close the case

## 3 Update incident type and select the student(s) involved

00355-2022 (Parent Case) [Back To List](#)

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

Public Report | Pending | Processing | Closed

Submit | Save | Archive | Cancel

\* indicates a required field

INCIDENT REPORT INFORMATION

IR# 00355-2022

Status Pending

Incident Type \*  
Please select the type of incident you wish to report.  
**Academic Integrity Breach Allegation**

ACADEMIC INTEGRITY PROCESSING

Academic Integrity: Incident Severity \*  
**Category 1**

Case Summary \*

This field is used to populate emails, letters and hearing packets. Update it as the case progresses so that it is an accurate reflection of the case. As an example: *The Course Director (Victoria Allison) alleges that Max copied large sections of text from his textbook for his first assignment in Bio 101, Semester 1 2022. The Course Director had previously explained to Max and the rest of the class that this constitutes plagiarism. The Course Director has recommended a grade of zero on this assignment.*

**Saw student was using unauthorised materials in his Civil 200 Exam. Explained to student how this could be considered an academic integrity breach and will be reported.  
Reduce mark by 50% - 10/25**

COURSE INFORMATION

Course Name \* Engineering/CIVIL

Course Code 200

Faculty \* **Faculty of Engineering**

PARTIES INVOLVED

Accused Student \*  
Please list all students involved in this incident.  
   
**Student, Perfect (1234567)**

Location of Incident  
Please choose the appropriate location from the drop down.  
**VIRTUAL**

Submit | **Save** | Archive | Cancel

Update the **Incident Type** to 'Academic Integrity Breach'.

Select the appropriate **Incident Severity** Type (e.g. Category 1 or Category 2)

Update **Case Summary** with a summary of incident. Note this field is used to populate emails, letters and hearing packets.

Verify that the **Course Code** is valid and select the **Faculty**.

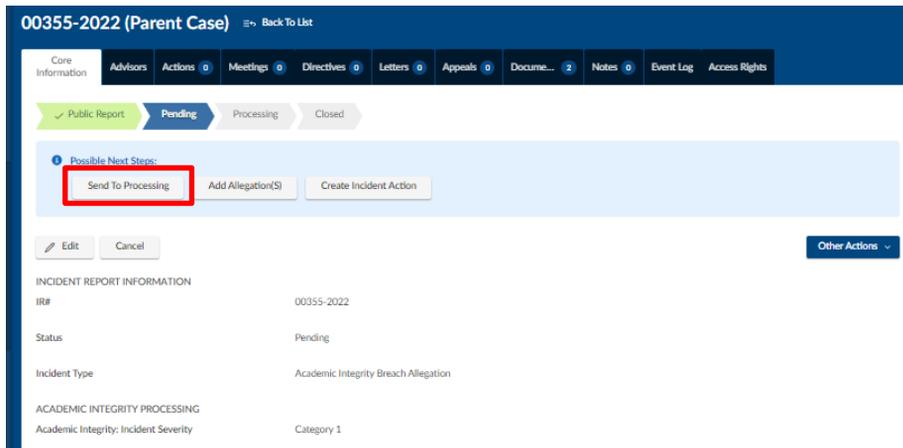
In the **Parties Involved** section, select the student(s) in the Accused **Student** field.

Enter location (often 'Virtual' or 'Not Applicable')

Once all fields are complete click **Save**.

Be VERY careful to select Academic Integrity Breach NOT Conduct. If you select Conduct by accident, the system wipes all of the fields that are unique to Academic Misconduct. If you accidentally select Conduct, hit **Cancel**.

## 4 Update status to processing



00355-2022 (Parent Case) [Back To List](#)

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

Public Report | **Pending** | Processing | Closed

**Possible Next Steps:**

**Send To Processing** | 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 |
|---------------------------------------|------------|

Select **Send to Processing**. This will create a **child** case for each accused student. Click on the link to the **child case**.

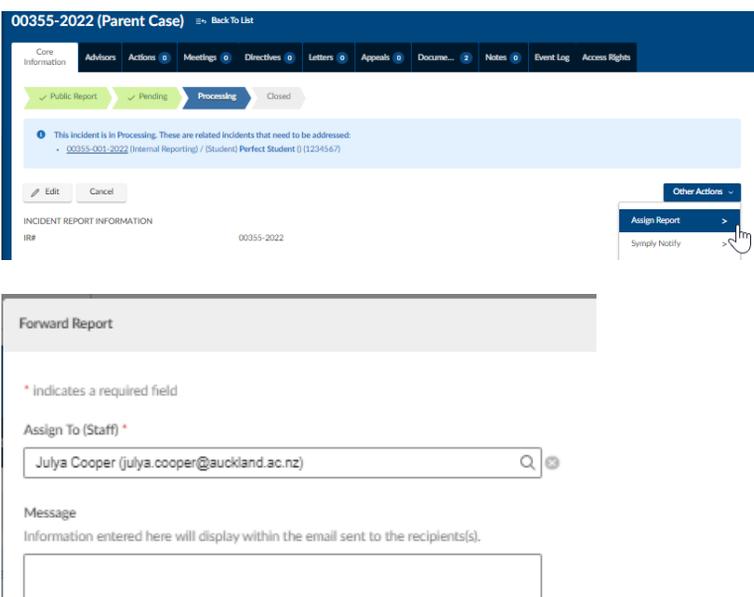
This incident is in Processing. These are related incidents that need to be addressed:

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

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** | Meetings | Directives | Letters | Appeals | Docume... | Notes | Event Log | Access Rights

Public Report | Pending | **Processing** | Closed

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

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

Edit | Cancel | Other Actions

Assign Report | Simply Notify

Forward Report

\* indicates a required field

Assign To (Staff) \*

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

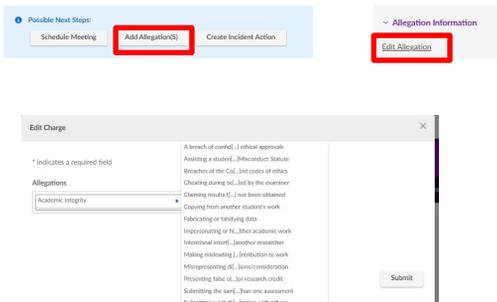
Message

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**

## 6 Add Allegations



**Possible Next Steps:** Schedule Meeting, **Add Allegations?**, Create Incident Action

**Allegation Information:** **Add Allegations**

**Edit Charge**

\* Indicates a required field

**Allegations**

- Academic Integrity
- Assessing a student's misconduct status
- Breaches of the Col. and codes of ethics
- Cheating during the test, test by the examiner
- Claiming results (i.e. not been obtained)
- Copying from another student's work
- Fabricating or falsifying data
- Impersonating or having another academic work
- Intentional email, another researcher
- Making misleading contribution to work
- Misrepresenting self, non-consideration
- Presenting false or research credit
- Submitting the work, than one assessment

Submit

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

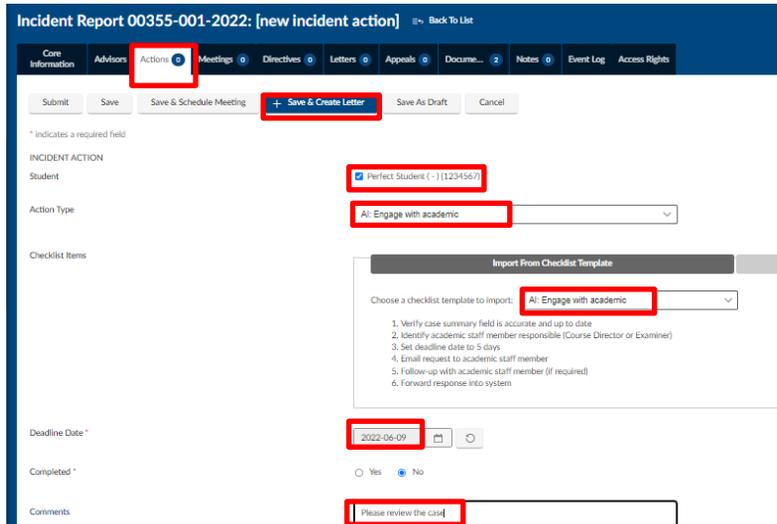
Select the relevant **allegation types** from the drop-down list. Note that you can add multiple allegations. In addition, you can **Edit** Allegations as more information is made available. Once entered, click on **Submit**

## 7 Determine if more information is required from examiner

|  |   |
|--|---|
| ACADEMIC MISCONDUCT                    |   |
| Accused Student                        | James Mitchell<br>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 report and determine if you need more information from the examiner. If you need more information from the academic go to **step 8**. If not, go to **step 11** (engage with the student)

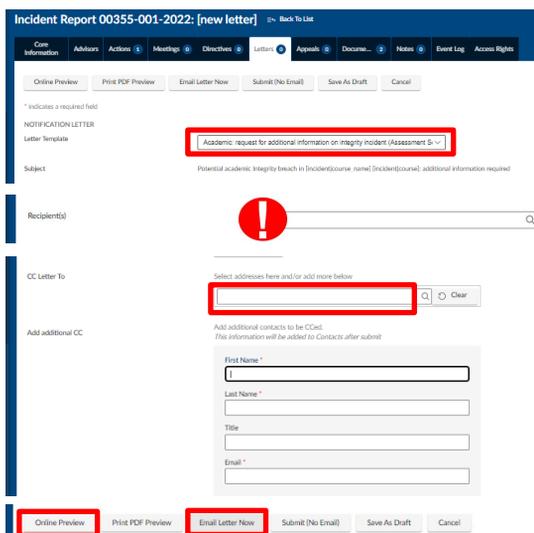
## 8 Create incident action to engage with the examiner



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**.

## 9 Send email to examiner



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**

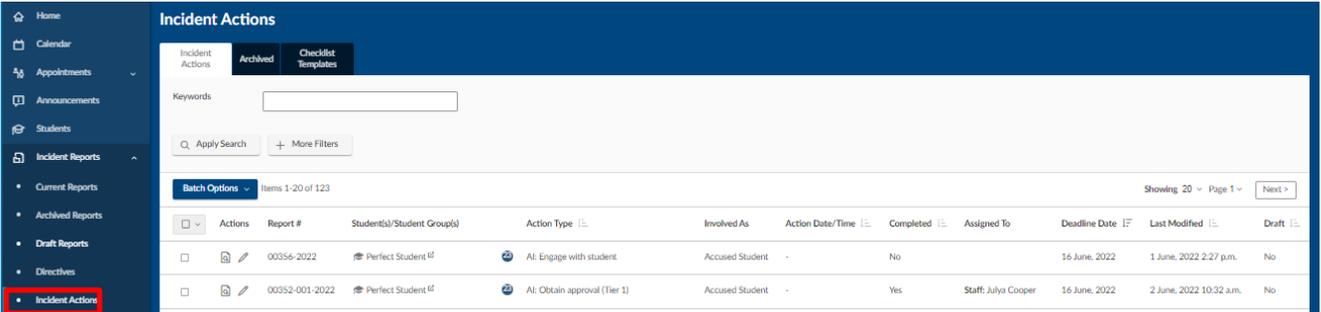
Manually edit any content highlighted in pink e.g. Academic name and additional incident text.

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 **CC letter to** field, select Add **Additional CC** and enter academic details. Their name will appear on the list next time.

## 10 Monitor Incident Action dashboard for examiner's response



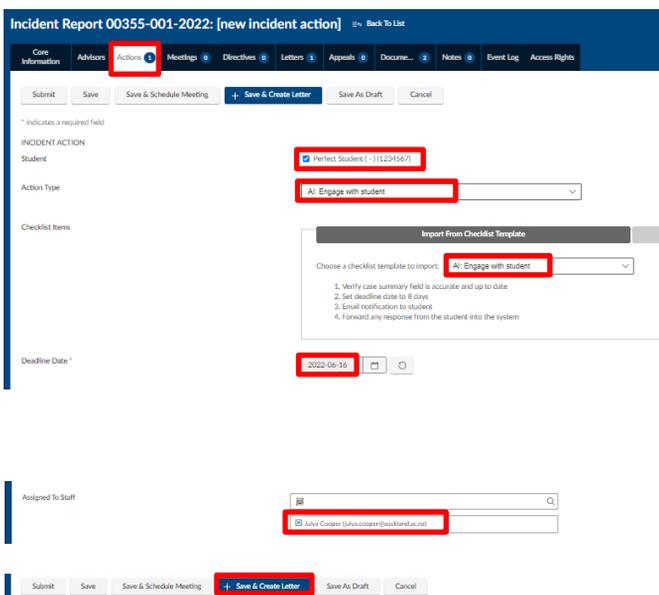
Go to the **Incident Actions** tab, and set the filters to show your actions, and open cases. Sort by deadline date. If the deadline for the examiner to respond has past and they haven't responded, follow-up with them by phone. When the examiner responds, their email will need to be forwarded into the system, and the incident action marked as **Completed**.

Tip

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

## 11 Engage with the student – create incident action



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

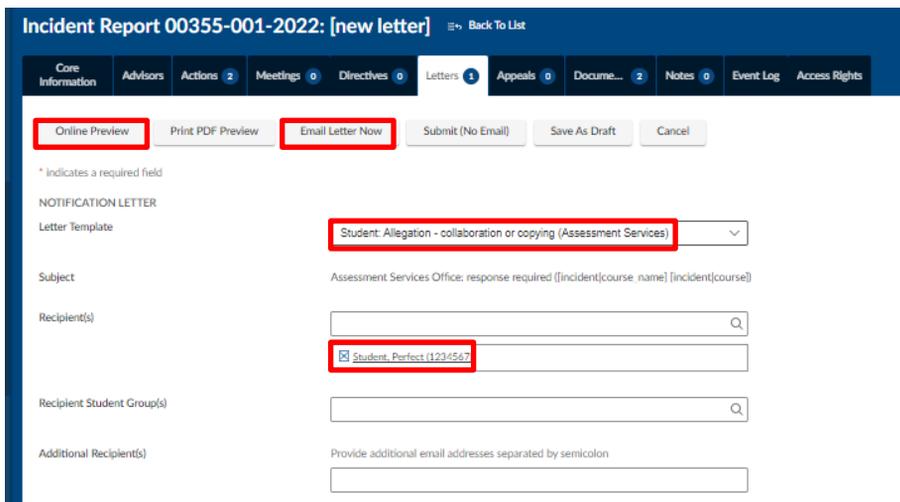
Select the check-box next to the student's name. This ensures the student's name appears in the incident action notification.

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**.

## 12 Email allegations to student



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

Core Information | Advisors | Actions | Meetings | Directives | **Letters** | Appeals | Docume... | 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: **Student: Allegation - collaboration or copying (Assessment Services)**

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

Recipient(s):

Recipient Student Group(s):

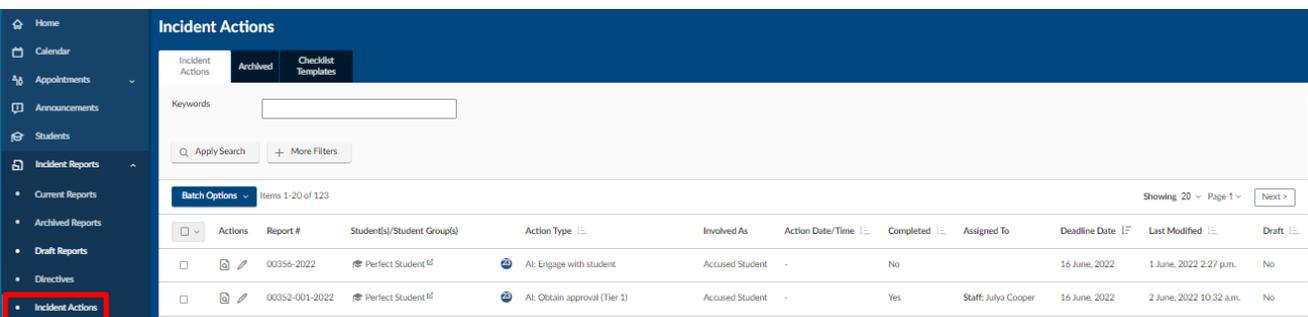
Additional Recipient(s):

Select the relevant Letter Template, e.g. "**Student Allegation - ...**" and manually populate any content highlighted in **pink**. Preview the email using the **Online Preview** button.

Ensure the student is showing in the **Recipient(s)** field. Ensure that appropriate staff (e.g. Course Director) 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**

## 13 Monitor Incident Action dashboard



Home | Calendar | Appointments | Announcements | Students | Incident Reports

Incident Actions | Archived | Checklist Templates

Keywords:

Apply Search | More Filters

Batch Options | Items 1-20 of 123 | Showing 20 | Page 1 | Next

| 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"/> | <a href="#">00356-2022</a>     | <a href="#">Perfect Student</a> | AI: Engage with student      | Accused Student | -                | No        |                     | 16 June, 2022 | 1 June, 2022 2:27 p.m.  | No    |
| <input type="checkbox"/> | <a href="#">00352-001-2022</a> | <a href="#">Perfect Student</a> | AI: Obtain approval (Tier 1) | Accused Student | -                | Yes       | Staff: Julya 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.