

Manage academic misconduct: Escalate category 2 case (Assessment Services)

University staff, students and the public can report student academic integrity breaches. The Assessment Services Office manages breaches in exams. This guide describes the process once the investigation is complete and a decision made to escalate the case to the Discipline Committee.

1 Create Incident Action to escalate case

Incident Report 00377-001-2022: [new incident action] Back To List

Core Information | **Advisor** | **Actions** | Meetings | Directives 1 | Letters | Appeals | Docume... | 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 (-) (1234567)

Action Type **AI: Escalate category 2 case (Tier 1)**

Checklist Items

Import From Checklist Template | Manually Create New Checklist

Choose a checklist template to import: **AI: Escalate category 2 case (Tier 1)**

1. Add student transcript to documents tab
2. Use Symply Notify to request approval to escalate from the Assessment Services Manager
3. Close action, and create new incident action for Provost approval

Deadline Date * **2022-08-03**

Completed * Yes No

Go to the **Actions** tab and **Add New Incident Action**. Select **Action Type** of "AI: Escalate category 2 case (Tier 1)", and Checklist template of "AI: Escalate category 2 case (Tier 1)".

Enter **Deadline Date**, put your name in the **Assigned To Staff** field, then **Save**.

2 Upload transcript to the Documents tab

Upload Documents

TEST FORM.DOCX (0.012 MB)

Document Title * Test form.docx

Document Type **Academic Transcript**

Privacy Type Semi-Private Private

Description

Classification

- Attachment
- Decision Letter
- Emails
- Meeting Notes
- Police Report
- Sanction Information
- Submitted Support Documentation

Status Draft **Final**

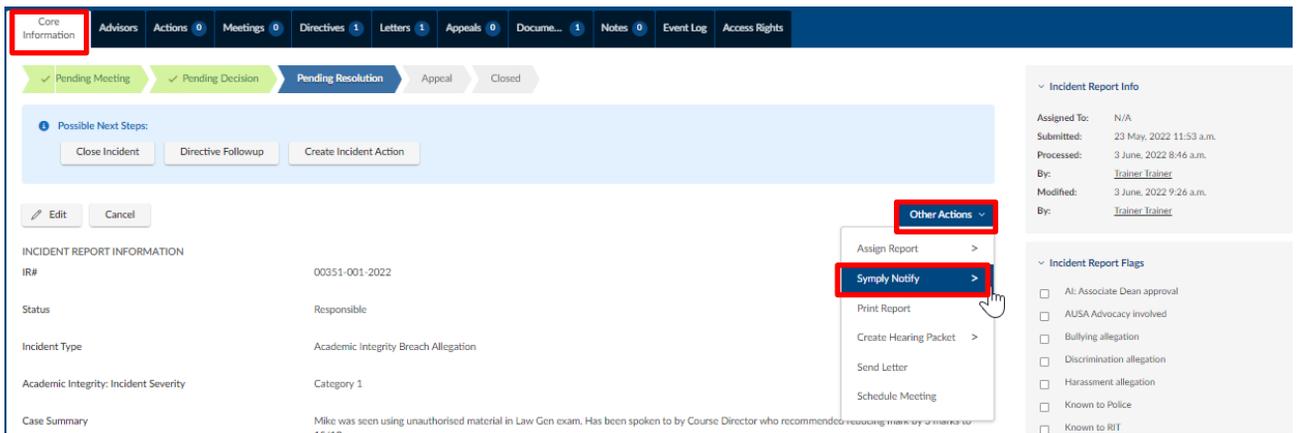
Done

Obtain the student's transcript from CS9 and save securely. Go to the **Documents** tab and select **Add New Document**.

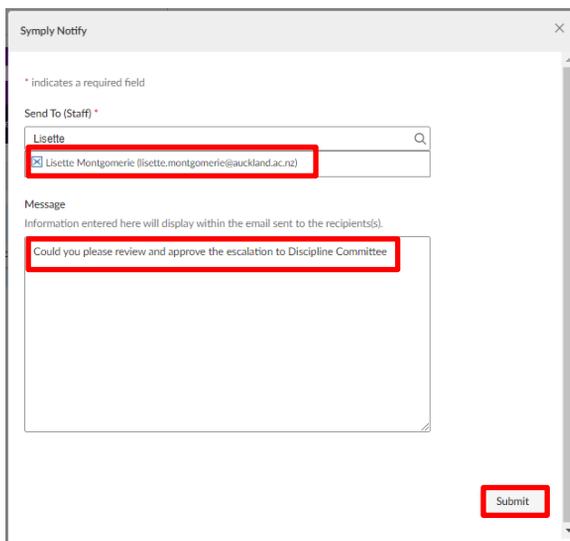
Upload or drag in the transcript and select **Edit Details**.

Select document type of 'Academic Transcript' and mark as **Final**. Select **Save and Done**.

3 Request approval to escalate case (Tier 1)



The screenshot shows the 'Core Information' tab of an incident report. The 'Possible Next Steps' section includes buttons for 'Close Incident', 'Directive Followup', and 'Create Incident Action'. The 'INCIDENT REPORT INFORMATION' section displays details such as IR# (00351-001-2022), Status (Responsible), Incident Type (Academic Integrity Breach Allegation), and Category 1. The 'Other Actions' dropdown menu is open, highlighting the 'Simply Notify' option. The 'Incident Report Info' and 'Incident Report Flags' sections are also visible on the right side of the dashboard.



The 'Simply Notify' dialog box is shown with the 'Send To (Staff)' field populated with 'Lisette' and 'Lisette.Montgomerie@ Auckland.ac.nz'. The 'Message' field contains the text: 'Could you please review and approve the escalation to Discipline Committee.' The 'Submit' button is highlighted in red.

Go to the **Core Information** tab. Under **Other Actions** select **Simply Notify**, then **Staff Members**. In the **Send to (Staff)** field, search for the Assessment Services Manager (currently Lisette Montgomery)

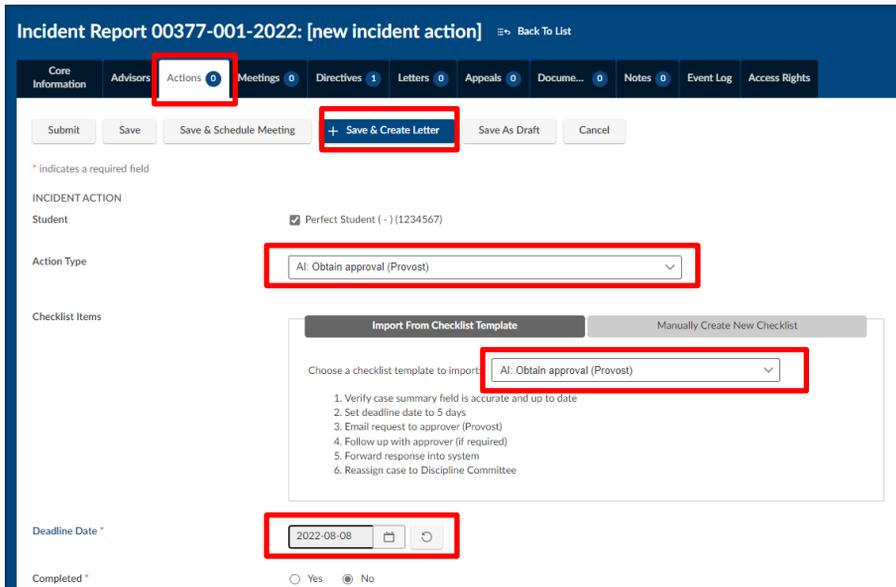
Add a brief note requesting approval of the escalation to Discipline Committee. Click **Submit**.

Monitor the incident action dashboard, and follow-up with the Assessment Services manager if you do not receive a response by the deadline. Once a response is received, close the first Incident Action, and move on to obtaining Provost approval (Step 4).

Tip

If the Assessment Services Manager or Provost do NOT approve your request to escalate to the Discipline Committee, manage the case as a category 1 offence instead.

4 Request approval to escalate case (Provost)



Incident Report 00377-001-2022: [new incident action] [Back To List](#)

Core Information | **Advisors** | **Actions** 0 | Meetings 0 | Directives 1 | Letters 0 | Appeals 0 | Docume... 0 | 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

Checklist Items

Choose a checklist template to import:

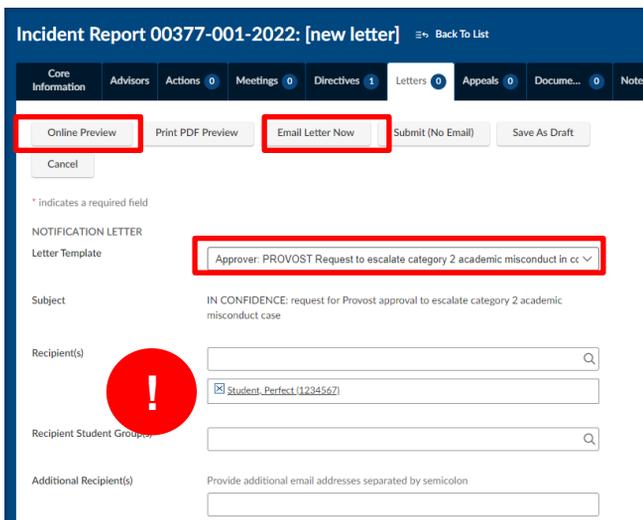
1. Verify case summary field is accurate and up to date
2. Set deadline date to 5 days
3. Email request to approver (Provost)
4. Follow up with approver (if required)
5. Forward response into system
6. Reassign case to Discipline Committee

Deadline Date *

Completed * Yes No

Go to the **Actions** tab and **Add New Incident Action**. Select **Action Type** of "AI: Obtain approval (Provost)", and Checklist template of "AI: Obtain Approval (Provost)".

Enter a **Deadline Date** and put your name in the **Assigned To Staff** field. Select **Save and Create Letter**.



Incident Report 00377-001-2022: [new letter] [Back To List](#)

Core Information | Advisors | Actions 0 | Meetings 0 | Directives 1 | **Letters** 0 | Appeals 0 | Docume... 0 | Notes

* indicates a required field

NOTIFICATION LETTER

Letter Template

Subject IN CONFIDENCE: request for Provost approval to escalate category 2 academic misconduct case

Recipient(s)

Recipient Student Group(s)

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

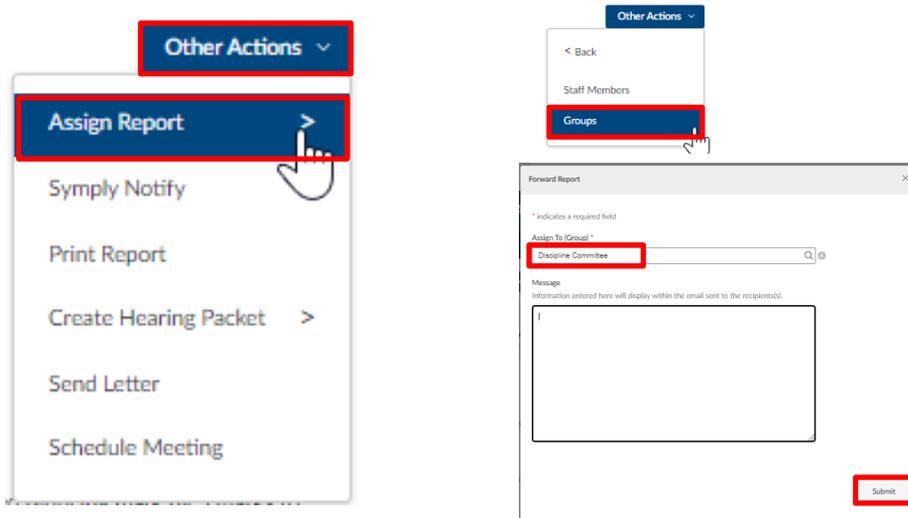
Choose the template called 'Approver: PROVOST Request to escalate category 2...':

Remove the student from the recipient field, and add the Provost to the **cc letter to** field.

Use the **Online preview** field to verify the letter is correct, then **Email letter** now.

Monitor the incident action dashboard, and follow-up with the Provost if you do not receive a response by the deadline. Once a response is received, close the second Incident Action, and move on to step 5.

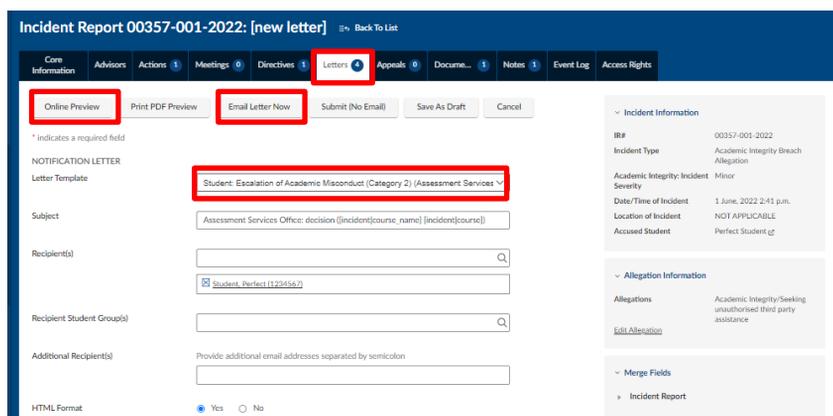
5 Reassign case to the Discipline Committee



The image shows two screenshots from a web application. The first screenshot shows a dropdown menu titled 'Other Actions' with the following options: 'Assign Report', 'Simply Notify', 'Print Report', 'Create Hearing Packet', 'Send Letter', and 'Schedule Meeting'. A hand cursor is pointing at 'Assign Report'. The second screenshot shows a 'Forward Report' dialog box. It has a 'Back' button, 'Staff Members', and 'Groups' sections. The 'Groups' section contains a search input field with 'Discipline Committee' entered. Below this is a 'Message' field and a 'Submit' button.

Once the escalation is approved, go to the **Core Information** tab. Select **Other Actions** then **Assign Report**. Select **Groups**, then search for **Discipline Committee**. Click **Submit**.

6 Notify student that the issue has been escalated



The image shows a screenshot of the 'Incident Report 00357-001-2022: [new letter]' form. The 'Letters' tab is selected. The form has several tabs: 'Core Information', 'Advisors', 'Actions', 'Meetings', 'Directives', 'Letters', 'Appeals', 'Documents', 'Notes', 'Event Log', and 'Access Rights'. The 'Email Letter Now' button is highlighted. The 'Letter Template' dropdown is set to 'Student: Escalation of Academic Misconduct (Category 2) (Assessment Services)'. The 'Subject' field is 'Assessment Services Office: decision [incident:course_name] [incident:course:]'. The 'Recipient(s)' field is 'Student: Perfect (1228456)'. The 'Recipient Student Group(s)' field is empty. The 'Additional Recipient(s)' field is 'Provide additional email addresses separated by semicolon'. The 'HTML Format' section has 'Yes' selected. The right sidebar shows 'Incident Information' with fields for 'IR#', 'Incident Type', 'Academic Integrity: Incident Severity', 'Date/Time of Incident', 'Location of Incident', and 'Accused Student'. The 'Allegation Information' section shows 'Allegations' as 'Academic Integrity: Seeking unauthorised third party assistance'. The 'Merge Fields' section shows 'Incident Report' and 'Administrative Action'.

Go to the **Letters** tab and select **Create New Letter**.

Select the template called "Student: Escalation of academic misconduct (Category 2) (Assessment Services)". Proofread the letter using **Online Preview**, and then **Email Letter Now**.