

THE JOSEPH M. KATZ
GRADUATE SCHOOL OF BUSINESS

GUIDELINES ON ACADEMIC INTEGRITY

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GUIDELINES ON ACADEMIC INTEGRITY¹

The Guidelines on Academic Integrity, currently in force, were adopted by the faculty of the Katz Graduate School of Business to guarantee the right of due process to students.² The Katz Guidelines are consistent with the University's 1995 *Guidelines on Academic Integrity: Student and Faculty Obligations and Hearing Procedures*.

1. ACADEMIC INTEGRITY: STUDENT OBLIGATIONS

1.1. INTRODUCTION

Academic programs such as ours often put substantial pressure on students to complete a heavy amount of work in a relatively short time. Temptations may thus arise during the school year to take advantage of situations which violate accepted academic standards.

In certifying a student for graduation, the Katz Graduate School of Business is informing the community that the student has met academic criteria pertaining to certain skills, techniques, and knowledge. It also suggests that other standards of the academic community have been met, including those which reflect upon the integrity of the graduate. It is expected that all students will take individual responsibility for their own work as stated in the course syllabus and/or as directed by the faculty member. Academic integrity must be maintained in order to protect for all students the value of the academic programs and degrees of the Katz Graduate School of Business.

Accordingly, the Katz Graduate School of Business establishes the following procedures for fulfilling its responsibility for maintaining academic integrity. All cases involving academic standards will be processed in the manner set forth below. These Guidelines on Academic Integrity and the implementation thereof are accepted and recognized as the policy of the Katz Graduate School of Business.

It is expected that every student, faculty, and staff member will be familiar with and abide by the provisions of these Guidelines. Copies of the Guidelines will be on file in the Library of the Katz Graduate School of Business and on the Katz website.

1.2. STUDENT OBLIGATIONS

A student has an obligation to exhibit honesty, and to comply with the student obligations of the Guidelines for Academic Integrity (as specified below) in carrying out his or her academic assignments. Without limiting the application of this principle, a student may be found to have violated the obligation if he or she:

¹ Katz faculty teaching in the College of Business Administration, the College of Arts and Sciences, or the College of General Studies should consult the Guidelines on Academic Integrity for these schools. The CBA guidelines can be found at <http://www.cba.pitt.edu/home/acadint.htm>.

² These guidelines were most recently amended and approved by the Katz Faculty on October 20, 2000.

1. Refers during an academic evaluation to materials or sources, or employs devices not authorized by the instructor.
2. Provides assistance during an academic evaluation to another person in a manner not authorized by the instructor.
3. Receives assistance during an academic evaluation from another person in a manner not authorized by the instructor.
4. Engages in unauthorized possession, buying, selling, obtaining, or using a copy of any materials intended to be used as an instrument of academic evaluation in advance of its administration.
5. Acts as a substitute for another person in any academic evaluation process.
6. Utilizes a substitute in any academic evaluation process.
7. Practices any form of deceit in an academic evaluation proceeding.
8. Depends on the aid of others, in a manner expressly prohibited by the instructor, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic credit or evaluation.
9. Provides aid to another person, knowing such aid is expressly prohibited by the instructor, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic credit or evaluation.
10. Presents as one's own, for academic evaluation, the ideas, representations, or words of another person or persons without customary and proper acknowledgement of sources.
11. Submits the work of another person in a manner which represents the work to be one's own.
12. Knowingly permits one's work to be submitted by another person without the instructor's authorization.
13. Attempts to influence or change one's academic evaluation or record for reasons other than achievement or merit.
14. Indulges, during a class (or examination session) in which one is a student, in conduct which is so disruptive as to infringe upon the rights of the instructor or fellow students.
15. Fails to cooperate, if called upon, in the investigation or disposition of any allegation of dishonesty pertaining to another student, or any other breach of a student's obligation to exhibit honesty.

1.3. PROCEDURES FOR ADJUDICATION

No student should be subject to an adverse finding that he or she committed an offense related to academic integrity and no sanction should be imposed relating thereto, except in accordance with procedures appropriate for disposition of the particular matter involved. In all cases the objective is to provide fundamental fairness to the student as well as an orderly means for arriving at a decision, starting first with the individual instructor and then designated administrative officers or bodies.

These procedures are not meant to address differences of opinion over grades issued by faculty in exercising good faith professional judgments of student work. They are meant to address ways in which a faculty member deals with a student regarding an alleged breach of academic integrity. In matters of academic integrity the succeeding procedural steps must be followed:

1. Any member of the University community who has evidence may bring to the attention of the instructor a complaint that a student has failed, in one or more respects, to meet faithfully the obligations specified in section 1.2. [NOTE: If the instructor elects not to pursue a complaint submitted by a member of the University community, the complaint can be submitted to an individual appointed by the dean who can pursue the matter in place of the instructor.]

2. Acting on his or her own evidence, and/or on the basis of evidence submitted to him or her, the instructor will advise the student that he or she has reason to believe that the student has committed an offense related to academic integrity. The student may be afforded an informal opportunity to respond, or the instructor may elect to go directly to the preliminary conference. The student may also request that the dispute go directly to a preliminary conference.

3. If the accused student and the instructor accept a specific resolution offered by either of them, the matter shall be considered closed if both parties sign a written agreement to that effect, and submit it to the dean's office.³ The dean's office will maintain a written record of the agreement, signed by the student and the instructor. These records are not to be added to the student's individual file and they are to be destroyed when the student graduates or permanently terminates registration. The dean's office may provide such information identifying an individual student for the following uses.

a. to an instructor who is involved with a student integrity violation at the initial stage and who wishes to use this previous record in determining whether a resolution between the faculty member and the student or an academic integrity board hearing may be most appropriate, especially in the case of repeat offenders; and

b. to an Academic Integrity Hearing Board after a decision of guilt or innocence has been made in a case, but before a sanction has been recommended.

³ A copy of a form that may be used for this purpose is included in the appendix to these Guidelines.

4. If the instructor affords the student an informal opportunity to respond and subsequently finds the response of the student unsatisfactory as an explanation of the possible misconduct, a preliminary conference will be held. If this occurs at the end of the term, the “G” grade should be issued for the course until the matter is decided.

5. The Preliminary Conference

As noted above, the faculty member or the student can request a preliminary conference initially or if the faculty member and the student are not able to come to an agreement regarding the charge. The primary purpose of the preliminary conference is to establish whether or not there are reasonable grounds to conclude that a violation of the Guidelines has occurred, and to ascertain the various issues involved.

Parties present at the preliminary conference will be limited to the complaining party, the accused party, and the Katz Academic Integrity Officer.

The complaining party will set the date and time of the preliminary conference, and so inform all parties involved. The date and time shall be mutually agreeable, and shall be as soon as reasonably practical after the discovery of the alleged violation.

The Academic Integrity Officer is charged with the responsibility of presiding at the preliminary conference.

6. Results of the Preliminary Conference

- a. If the parties attending the preliminary conference conclude that no violation of the Guidelines has occurred, then the matter is terminated.
- b. If the parties agree that a violation of the Guidelines has occurred, and if the parties further agree to the sanction assessed, if any, then the following procedure will be followed:
 - i. The Academic Integrity Officer will prepare a summary statement of the results of the preliminary conference.
 - ii. The student(s) and the instructor, in the presence of the Academic Integrity Officer, will each sign the summary statement.
 - iii. The Dean of the Katz Graduate School of Business will be notified in writing by the Academic Integrity Officer that such action has taken place, and that the matter has been settled by the parties involved, with the results of the conference set forth. Records will be kept in the dean’s office as described in section 1.3. for the purposes also described in that section.
- c. If the parties agree that a violation of the Guidelines has occurred, but cannot agree on the sanction assessed, then the summary statement

referred to in b.i. above will be forwarded to the Academic Integrity Hearing Board for determination of sanction in accordance with the provisions set forth in Section 1.4. below.

- d. If the party accused of the violation denies any violation of academic integrity, and if the complaining party desires to press charges further, and if the Academic Integrity Officer determines that a prima facie case of violation of the Guidelines has been established, then a formal Academic Hearing shall be held in accordance with the provisions set forth in Section 1.5. below.

1.4. THE DETERMINATION OF SANCTIONS HEARING

Not sooner than 72 hours after the preliminary conference, the Academic Integrity Officer shall notify the accused party in writing that he/she is in violation of the Guidelines and that the Academic Integrity Hearing Board is being convened for determination of sanction.

The notice, to be prepared by the Academic Integrity Officer, will include the following listed items:

1. The violation, citing the relevant sections of the Guidelines;
2. The date, time, and place of the violation;
3. The date, time, and place of the Determination Hearing;
4. That the violator and the faculty member may make a statement at the hearing on his or her behalf;
5. The possible sanctions that could be assessed by the Board;
6. That the hearing will be closed to the public, unless the violator informs the Academic Integrity Officer in writing that he or she desires a public hearing;
and
7. The name of the party filing the complaint.

The notice will be sent by certified mail to the local residence of the party accused, or it may be given to him/her personally. (The latter is preferred.) At the same time, a copy will be sent to the complaining party and to the Dean, Katz Graduate School of Business.

The date for the hearing will not be sooner than five days (excluding Saturdays, Sundays, and official School holidays) after delivery or mailing of the notice. Provided, however, that if the violation occurs within two weeks of the student's projected graduation date, then the preliminary conference and the hearing may be accelerated as

required by the limitations of the School calendar. Provided further, however, that such reduced time period does not prejudice the rights of the parties involved.

The entire hearing will be recorded on tape, and the tape will constitute the official record of the hearing. The tape recorder will be furnished by the Katz Graduate School of Business.

The general order of the hearing will be as follows:

1. The summary statement prepared by the Chairperson of the Hearing Board will be read to the Hearing Board.
2. The instructor may make a statement and recommend a penalty, if he/she so wishes.
3. The student may make a statement, if he or she so wishes.
4. The Board will recess to deliberate the sanction.
5. The hearing will be reconvened and the Board will announce its recommendations.
6. The hearing will be terminated.

A formal report of the sanctions recommended by the Board must be made in writing to the Dean, and copies sent to the student or students involved and the complaining party. The report will be signed by all members of the Board who so agreed. Dissenting options, if any, may also be included and signed by the author thereof. Records will be kept in the Dean's office as described in section 1.3.

1.5. THE ACADEMIC INTEGRITY HEARING

In cases where there is no mutual agreement in the preliminary hearing that a violation of the Guidelines has taken place, the following procedures will be followed.

Not sooner than 72 hours after the preliminary conference, the Academic Integrity Officer shall notify the accused party in writing that charges of violation of the Guidelines are being brought against him or her, and that he or she will be called before the Academic Integrity Hearing Board for a hearing and determination of the charges.

The notice, to be prepared by the Academic Integrity Officer, will include the following listed items:

1. The alleged violation, citing the relevant section of the Guidelines;
2. The date, time, and place of the alleged violation;

3. The date, time, and place of the academic hearing;
4. That the charging party and the accused may have witnesses to testify on their behalf;
5. That extramural legal counsel is not permitted, but both the student and the instructor may be accompanied by a non-legal representative from within the University community; A law student cannot be used as a representative at the Academic Integrity Hearing Board;
6. That the accused need not testify;
7. The possible sanctions that could be assessed by the Board;
8. That the hearing will be closed to the public, unless the alleged violator informs the Academic Integrity Officer in writing that he or she desires a public hearing;
9. The name of the party filing the complaint;
10. That failure to appear, without cause, would be prejudicial to his/her defense, and that sanctions could be assessed against him/her.

The notice will be sent by certified mail to the local residence of the party accused, or it may be given to him or her personally. (The latter is preferred.) At the same time, a copy will be sent to the complaining party and to the Dean, Katz Graduate School of Business.

The date for the hearing will not be sooner than five days (excluding Saturdays, Sundays, and official School holidays) after delivery or mailing of the notice. If the alleged violation occurs within two weeks of the student's projected graduation date, then the preliminary conference and the hearing may be accelerated as required by the limitations of the School calendar. Provided, however, that such reduced time period does not prejudice the rights of the parties involved.

The entire hearing (exclusive of deliberations to arrive at a decision) will be recorded on tape, and the tape will constitute the official record of the hearing. The tape recorder will be furnished by the Katz Graduate School of Business.

The general order of the hearing will be as follows:

1. The accused will be called before the Hearing Board to answer to the charges which will be read to him or her, and whether or not he or she admits to the allegations.

2. The instructor will present his or her case, and any witnesses in his or her behalf may be called. The student may cross-examine anyone testifying on the instructor's behalf.
3. The accused [or his or her representative] will present his or her case, and any witnesses in his or her behalf may be called. The instructor may cross-examine anyone testifying on the student's behalf.
4. The instructor may make a closing statement, if he or she so wishes.
5. The student may make a closing statement, if he or she so wishes.
6. The Board will recess to deliberate the evidence.
7. The hearing will be reconvened, and the Board will announce its decision, with the recommended sanction, if any.
8. The hearing will be terminated.

The proposed decision, which shall be written, will include a determination whether the charges have been proved by clear and convincing evidence, together with findings with respect to the material facts. If any charges are established, the decision shall state the particular sanction or sanctions to be imposed.

This formal report shall be submitted to the Dean, and copies sent to the student or students involved and the complaining party. The report will be signed by all the members of the Board who so agreed. Dissenting options, if any, may also be included and signed by the author thereof. Records will be kept in the Dean's office as described in section 1.3.

1.6. TIMELINESS

It is the responsibility of all parties, including administrative officers, to take prompt action in order that charges can be resolved quickly and fairly. Failure of the instructor to use diligence in utilizing these procedures may constitute grounds for dismissal of charges.

1.7. SANCTIONS

The alternative sanctions which may be imposed by an instructor or by the Academic Integrity Hearing Board, upon a finding that an offense related to academic integrity has been committed, are the following:

1. Dismissal from the University without expectation of readmission.
2. Suspension from the University for a specific period of time.

3. Reduction in grade, or assignment of a failing grade, in the course in which the offending paper or examination was submitted.
4. Reduction in grade, or assignment of a failing grade, on the paper or examination in which the offense occurred.

The imposition of such sanctions may be considered by the School in the preparation of any report concerning a student submitted to a government agency, accrediting body, or other person or institution in accordance with the requirements of law or the consent of the student.

1.8. REVIEW APPEAL PROCEDURES

1. In those instances where the student has admitted to the violation of the Guidelines, and has agreed to the sanction assessed, the student may still appeal to the Dean to reduce the sanction.
2. In those cases where the student has admitted the violation of the Guidelines, but has not agreed to the sanction assessed, the student may still appeal to the Dean to reduce the sanction as recommended by the Hearing Board.
3. In those cases where there has been an Academic Hearing before the Academic Integrity Board and charges have been established, the student may still appeal to the Dean to reduce any sanction recommended by the Board.
4. In all cases involving issues of academic integrity, the proceedings must be independently reviewed by the Dean, including cases wherein the student has agreed to the sanction. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever he or she deems this necessary. Upon completion of such additional proceedings, if any, the Dean shall issue a final decision. The Dean may reject any findings made by the Hearing Board adverse to the student, and may dismiss the charges or reduce the severity of any sanction imposed, but the Dean may not make new findings adverse to the student or increase the severity of a sanction.
5. The Dean shall then transmit to the student and the instructor a copy of his or her final decision. If a sanction is imposed, the notice to the student will make reference to the student's opportunity to appeal to the University Review Board on matters within its jurisdiction and scope of review. (See Appendix of this document for details of the URB appeal procedure.)

1.9. MEMBERSHIP OF THE ACADEMIC INTEGRITY HEARING BOARD

The membership of the Academic Integrity Hearing Board shall consist of three students and three members of the faculty, plus a faculty Chairperson named by the Dean. If the matter in controversy involves masters students, then the student members shall be

members of the current masters class.⁴ If Ph.D. students are involved, then such student members shall be members of the current Ph.D. class.

In either case, the student members shall be selected in the manner authorized by the members of the masters or Ph.D. classes currently in residence. Similarly, the students shall select, according to their method of selection, two alternate members.

In addition to the three regular faculty members appointed by the Dean, Katz Graduate School of Business, he or she shall also appoint two faculty members to serve as alternates.

Similarly, the students shall select, according to their method of selection, two alternate members.

The term of office, for faculty and student members, regular and alternate, shall be for the current academic year.

1.10. QUORUMS AND VOTING

The Board, when convened for the purpose of a Determination Hearing or an Academic Hearing, shall at all times consist of the Chairperson and the three faculty members and the three students.

In the event that the appointed Chairperson is unable to attend, then the Dean, Katz Graduate School of Business, shall select one of the faculty alternates to serve as Chairperson.

In the event that any regular members of the Board are unable to attend, then the alternate members, faculty or student as the case may be, shall attend in place of the absent members.

With respect to voting, a majority of four shall be required to determine the matter at issue. In the event of tied voting, then no more than two additional ballots shall be taken, the second and third (if needed) following the first ballot at reasonable intervals. If the accused party is found “not guilty,” then all records, wherever situate, pertaining to the case will be destroyed.

In matters involving academic integrity the Chairperson shall in all cases be a non-voting member of the Board.

No student or faculty member directly involved in a hearing shall participate as a member of the Hearing Board with respect to such hearing. Furthermore, any student or faculty member may also disqualify himself from the proceedings without cause, prior to the hearing.

⁴ Student members of the Board should be drawn from the same program [e.g., full-time, evening or executive masters) as the accused, where this is feasible.

1.11. ACCESS TO AND RETENTION OF RECORDS

All records will be kept under security at the Katz Graduate School of business, with access thereto only by authorization of the Dean, Katz Graduate School of Business. The records shall be destroyed when the student graduates or permanently terminates registration, unless otherwise directed by the Dean, Katz Graduate School of Business.

1.12. ADDENDUM

Nothing in the Guidelines on Academic Integrity shall be construed to be in conflict with or to deny to the student any of his or her rights which may be authorized to him or her pursuant to University rules, regulations, or administrative procedures. To the extent that any provision or section of these Guidelines may be contrary to or conflict therewith, such provision or section is hereby revoked and shall be null and void.

2. ACADEMIC INTEGRITY: FACULTY OBLIGATIONS

2.1. FACULTY OBLIGATIONS

A faculty member accepts an obligation, in relation to his or her students, to discharge his or her duties in a fair and conscientious manner in accordance with the ethical standards generally recognized within the academic community, as well as those of the profession of management. The provisions of this portion are intended to deal with specific complaints raised by students and are not intended to constitute general standards for evaluation of faculty.

Without limiting the application of the above principle, members of the faculty are also expected (except in cases of illness or other compelling circumstance) to conduct themselves in a professional manner, including the following:

1. To meet their classes when scheduled.
2. To be available at reasonable times for appointments with students, and to keep such appointments.
3. To make appropriate preparation for classes and other meetings.
4. To perform their grading duties and other academic evaluations in a timely manner.
5. To describe to students, within the period in which a student may add and drop a course, orally, in writing, or by reference to printed course descriptions, the general content and objectives of a course; and announce the methods and standards of evaluation, including the importance to be assigned various factors in academic evaluation and, in advance of any evaluation, the permissible materials or references allowed during evaluation.

6. To base all academic evaluations upon good-faith professional judgment.
7. Not to consider, in academic evaluation, such factors as race, color, religion, sex, sexual orientation, age, national origin, and political or cultural affiliation, and life style activities or behavior outside the classroom unrelated to academic achievement.
8. To respect the confidentiality of information regarding a student contained in University records; and to refrain from releasing such information, except in connection with intra-University business, or with student consent, or as may be required by Law.⁵
9. Not to exploit their professional relationship with students for private advantage; and to refrain from soliciting the assistance of students for private purposes in a manner which infringes upon such students' freedom of choice.
10. To give appropriate recognition to contributions made by students to research, publication, service, or other activities.
11. To refrain from any activity which involves risk to the health and safety of a student, except with the student's informed consent, and, where applicable, in accordance with the University policy relating to the use of human subjects in experimentation.
12. To respect the dignity of students individually and collectively in the classroom and other academic contexts.

2.2. GENERAL GRIEVANCE PROCEDURES

Any member of the University community having evidence may bring to the attention of the Associate Dean⁶ a complaint that a faculty member has failed, in one or more respects, to meet faithfully the obligations set forth above. Program directors, graduate advisors and other staff members may advise and counsel students on the grievance procedures, but shall not try to mediate an issue between a student and a faculty member. The Associate Dean, at his or her discretion, will take such action by way of investigation, counseling, or action—in accordance with applicable School and University procedures—as may appear to be proper under the circumstances. The faculty member's and complainant's interest in confidentiality, academic freedom, and professional integrity in such matters will be respected.

⁵ References or recommendations may be given in good faith by a faculty member without documentation of a student's consent if it may be reasonably perceived that the student initiated the request for a recommendation, in response to apparent bona fide inquiries, such as those from institutions which state that the student has applied for employment, for admission to graduate school, or for a professional license. See full statements concerning University records in the *Student Code of Conduct and Judicial Procedures*.

⁶ Masters students should contact the Associate Dean for Professional Programs and doctoral students should contact the Associate Dean for Research.

2.3. INDIVIDUAL STUDENT APPEALS

In order to provide a means for students to seek and obtain redress for grievances affecting themselves individually, the following procedures should be followed. These are not intended and shall not be used to provide sanctions against faculty members.

Where an individual student alleges with particularity that the actions of a faculty member have resulted in serious academic injury to the student, the matter shall (if required by the student) be presented to the Academic Integrity Hearing Board for adjudication. Serious academic injury includes, but is not necessarily limited to, the awarding of a lower grade than that which the student has earned, or suspension from a class. However, this is not intended to address normal grading decisions of faculty exercising good faith professional judgments in evaluating student work.

It is the responsibility of the student, before seeking to have a grievance adjudicated, to attempt to resolve the matter by personal conference with the faculty member concerned, and, if such attempts are unavailing, to call the matter to the attention of the Associate Dean for consideration and adjustment by informal means. If a matter remains unresolved after personal conferences with the faculty member involved and the Associate Dean, then the following grievance procedure shall be employed:

1. The aggrieved student will file a written statement of charges with the Associate Dean.
2. If the Associate Dean determines that the charges are subject to adjudication under the terms of the preceding paragraphs, he or she will transmit these charges to the faculty member, together with a copy of these regulations.
3. The letter of transmittal to the faculty member, a copy of which shall also be sent to the student, will indicate that the Associate Dean will request that the Academic Integrity Officer conduct an informal review. The purpose of this review is to provide a last effort at informal resolution of the matter between the student and the faculty member.
4. The Academic Integrity Officer shall convene an interview, at which the faculty member shall again be informed of the nature of the charges against him, and shall be invited to discuss, explain, or refute them. This interview shall not constitute a hearing, shall be preliminary in nature, and none of the procedural rules provided in these guidelines shall apply thereto. The Academic Integrity Officer should consult with the student and any other parties who may assist in his or her work to effect an adjustment, or failing that, advise the faculty member of his or her views.
5. The Academic Integrity Officer's views shall be sent to the faculty member and the Associate Dean. If the faculty member agrees with the recommendations of the Academic Integrity Officer, he or she shall take the

corrective action on behalf of the student that is recommended or which the faculty member considers to be appropriate.

6. As promptly as reasonable, and at least within five working days after the faculty member is in receipt of the recommendations of the Academic Integrity Officer, the faculty member shall privately take that action which he or she elects, and so advise the student, the Academic Integrity Officer and the Associate Dean of that action.
7. If the student elects to pursue the matter further, either because he or she is dissatisfied with the resulting action of the faculty member or the conclusion of the Academic Integrity Officer, he or she may discuss this intent with the Associate Dean; the student and the Associate Dean shall discuss procedures as may be needed for further action. If the student requests a formal hearing, the Associate Dean shall consult with the faculty member to determine whether formal adjustments might be agreed upon. If not, the formal hearing procedure must be initiated by the Associate Dean and the Academic Integrity Hearing Board of the School.
8. The formal hearing should provide a fair inquiry into the truth or falsity of the charges, with the faculty member and the student afforded the right to cross-examine. Legal counsel shall not be permitted, but non-legal representatives from within the University community shall be permitted for both faculty and students.
9. A suitable audio record shall be made of the proceedings, exclusive of deliberations to arrive at a decision.
10. The proposed decision, which shall be written, will include a determination whether the charges have been proved by clear and convincing evidence, together with findings with respect to the material facts. If any charges are established, the proposed decision shall state the particular remedial action to be taken.
11. The decision of the Academic Integrity Hearing Board shall be submitted to the Dean, who will make an independent review of the hearing proceedings. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever he or she deems this to be necessary. Upon completion of such additional proceedings, if any, the Dean shall issue a decision. The Dean may reject any findings made by the Academic Integrity Hearing Board, may dismiss the charges or reduce the extent of the remedial action to be taken. If the Dean believes the remedial action may infringe upon the exercise of academic freedom, he or she will seek an advisory opinion from the Senate Committee on Tenure and Academic Freedom before issuing his own decision. The decision of the Dean shall be in writing, shall set forth with particularity any new findings of

fact or remedies, and shall include a statement of the reasons underlying such action.

12. The Dean shall then transmit to the faculty member and student copies of all actions affecting them taken by the hearing authority and the Dean. Suitable records, separate from faculty members' official files, shall be maintained as confidential and retained in the Office of the Dean for one year, at which time they will be destroyed. The faculty member involved will have unrestricted access to these records.

2.4. REMEDIAL ACTION

Remedies in a student's behalf should usually be those agreed to willingly by the faculty member. Other remedial action to benefit a student may be authorized by the Dean only upon recommendation of the Academic Integrity Hearing Board and limited⁷ to: allowing a student to repeat an examination; allowing a student to be evaluated for work that would otherwise be too late to be considered; directing that additional opportunities be afforded for consultation or instruction; elimination of a grade that had been assigned by a faculty member from the transcript; changing of a passing⁸ letter grade to a "pass" or "satisfactory" grade, so as not to adversely affect a student's grade average; allowing a student to repeat a course, without penalty, schedule and program permitting.

If some action is contemplated that might be deemed to infringe upon the academic freedom of the faculty member, the Dean will seek an advisory opinion from the Senate Committee on Tenure and Academic Freedom. In such cases, T.A.F. may identify other acceptable remedies or render such advice as may be appropriate in the particular situation.

2.5. REVIEW AND APPEAL

A student or faculty member may seek to have an adjudication (or a determination that the charges are not subject to adjudication) reviewed by the Provost, who may seek the advice of the University Review Board. The student may appeal also to the University Review Board, whose recommendation shall be made to the Provost. The Action of the Provost, taken with or without the advice of the University Review Board, shall constitute an exhaustion of all required institutional remedies.

If any such determination may be deemed to have a possible adverse effect upon the faculty member's professional situation, the faculty member may seek the assistance of the Tenure and Academic Freedom Committee of the University Senate.

⁷ Other remedial action may be added on the recommendation of the Senate Committee on Tenure and Academic Freedom.

⁸ The minimum letter or numerical grade that would constitute a "pass," were a "pass-fail" type of description originally employed, should be determined by each faculty.

2.6. TIMELINESS

It is the responsibility of all parties, including administrative officers, to take prompt action in order that grievances can be resolved quickly and fairly. While no explicit time limit could be applied to all cases, failure to use diligence in seeking redress may constitute grounds for denial of a hearing or other relief, especially if prejudice results.

2.7. MEMBERSHIP OF THE ACADEMIC INTEGRITY HEARING BOARD

The membership of the Academic Integrity Hearing Board shall be as described in section 1.9. of these Guidelines.

2.8. QUORUMS AND VOTING

The rules for quorums and voting shall be as described in section 1.10 of these Guidelines.

GRIEVANCE PROCEDURES AGAINST THE DEAN

A student complaint of arbitrary or unfair treatment against the Dean, Katz Graduate School of Business, should be made to the Provost. There must be a prompt review and decision on the grievance. Members of the faculty who may be called upon to review and advise on the grievance should be drawn from outside the jurisdiction of the Dean of Katz Graduate School of Business.

APPENDIX

UNIVERSITY REVIEW BOARD

The University Review Board (URB) is the duly authorized appellate body which serves as an advisor to the Provost and Senior Vice Chancellor and the Chancellor. (Regional Campuses may establish similar appellate bodies which serve as an advisor to their President and whose appellate jurisdiction shall be limited to non-academic matters.)

The URB may exercise appellate jurisdiction for academic and non-academic matters and shall have sole appellate jurisdiction for academic matters originating from judicial bodies within the University Student Judicial System.

The URB shall also exercise limited jurisdiction for matters referred directly from the Chancellor and the Provost, the Senior Vice Chancellor of the Health Sciences, or the Vice Chancellor for Student and Public Affairs.

The University Review Board may meet from time to time for the purpose of orienting new members and reviewing prior decisions and shall meet at such other times as are necessary to conduct appellate hearings.

URB STRUCTURE

The URB shall be a standing body of fifteen members of the University community appointed for staggered terms of two years. Appointment shall be made in the following manner:

1. Five faculty members elected by the University Senate.
2. Five graduate and professional students appointed by the Graduate and Professional Student Association.
3. Five undergraduate students:
 - a. Two appointed by the General Studies Student Cabinet.
 - b. Three appointed by the Undergraduate Student Government.

A matter properly submitted for review shall be heard by the review board of five members of the URB. Review boards shall be composed as follows:

1. In academic cases, three faculty members and two students.
2. In non-academic cases, two faculty members and three students.

URB MODERATOR

An attorney appointed by the Chancellor who shall serve as URB Moderator is authorized to:

1. Conduct the administrative and procedural operations of the URB.
2. Determine the appropriateness and completeness of Petitions to the URB in consultation with one student and one faculty member of the URB.
3. Provide advice and assistance to members of University community regarding the processing of an appeal.
4. Select members from the URB membership to serve on review boards.

5. Moderate all proceedings before the URB.
6. Serve as legal advisor to the URB.
7. Provide legal advice related to URB proceedings and recommendation if requested, to the Chancellor or other referring authority.

BASIS FOR APPEAL

The URB shall hear an appeal whenever requested by the Chancellor, Provost and Senior Vice Chancellor, Senior Vice Chancellor for the Health Sciences, or the Vice Chancellor for Student and Public Affairs.

The URB shall also hear appeals on the petition of a faculty member, student or student organization when either petition, together with supporting documentation, presents a substantial question within the scope of review of the URB and the prior adjudication or action resulted in:

1. Suspension or dismissal from the University for violation of the Student Code of Conduct;
2. Suspension or dismissal from the University or the imposition of a serious academic sanction for violation of academic integrity standards;
3. Grant or denial of a remedy in an academic grievance proceeding;
4. Suspension or dismissal from the University residence halls;
5. Procedural rulings or substantive interpretations which have an important continuing impact upon the University Student Judicial System or the University community.

SCOPE OF REVIEW

The scope of review of the URB shall be limited to consideration of the following questions:

1. Whether rights affirmed by the Board of Trustees have been denied.
2. Whether the adjudication process of an initial hearing was conducted fairly and in conformity with properly prescribed procedures.
3. Whether the adjudication was supported by substantial evidence.
4. Whether the regulations involved were lawful and proper and whether they were properly applied in the particular case.
5. Whether the sanction or remedy imposed was in due proportion to the gravity and nature of the conduct.

URB PROCEDURES

Any faculty member or student adversely affected by the decision of a judicial body within the University Student Judicial System may institute an appeal before the URB by filing a petition in the Office of the URB Moderator.

A petition must set forth the following:

1. The name and address of the petitioner adversely affected by the prior adjudication.

2. The name and address of the respondent.
3. The result of the prior adjudication.
4. One or more of the questions within the scope of review of the URB.
5. A statement supporting, through factual narrative and argument, the petitioner's position.

The Moderator in consultation with one student and one faculty member of the URB shall review petitions and determine whether all requirements set forth for the filing of an appeal are satisfied and whether the petition sets forth the basis for an appeal and raises a question within the scope of review.

Upon receipt of a properly filed petition the Moderator shall notify the parties that an appeal has been instituted. Notice shall include:

1. A copy of the petition.
2. A copy of the relevant regulations and procedures.

After determining the appropriateness and completeness of a petition and allowing a reasonable amount of time for preparation and review of any documents and recordings, the Moderator shall schedule an appeal. All parties shall receive written notification of the time, date and place.*

The Moderator shall convene a Review Board at the time, date and place scheduled and the appeal shall be conducted under the procedural guidance of the Moderator.

*The URB, in its discretion, may elect to decide an appeal based on the submission of briefs by the parties without oral argument. In such cases, the moderator will provide written instructions to the parties.

POSTPONEMENT OF SANCTION PENDING APPEALS

A sanction or remedy which has been recommended by a judicial board and approved by the appropriate administrative officer may be postponed upon petition by the affected party or parties upon a determination that pending the final examination of an appeal it would be unfair not to postpone imposition of the sanction or remedy. Persons wishing to postpone a sanction or remedy may petition URB by separate petition setting forth reasons why the imposition of a sanction or remedy would unfairly prejudice a party. Petition for postponement shall be reviewed by the Moderator, one student and one faculty member of the URB. The criteria to be applied in determining whether to postpone a sanction or remedy are as follows:

1. Whether the issues raised in the appeal may be resolved in favor of the petitioning party.
2. Whether the petitioning party will be unfairly prejudiced pending a final determination of the appeal by the immediate imposition of the sanction or remedy.
3. Whether the responding party will be unfairly prejudiced by the postponement of the sanction or remedy.

All decisions regarding the postponement of sanctions shall be made within 5 days of the receipt of such a petition and shall be communicated to all parties in writing through the Office of the Moderator.

REPRESENTATION

A party may be presented or assisted by whomever he/she wishes, but only one representative may take an active part.

ARGUMENT FORMAT

Each party in interest shall be given ample time to present his or her position. In support of a position a party may refer to any records, documents, or recordings from a prior proceeding and may present an oral or written argument.

Each party may question the other about his or her argument. Members of the URB may question the parties.

The URB shall make factual findings and shall render a final adjudication in the form of a written opinion. A majority shall control all decisions but there may be an accompanying minority opinion.

URB ACTION

The URB may remand a matter to the initial adjudicatory authorities for further proceedings if it determines there are insufficient written findings or prejudicial procedural error. In other cases, the URB shall render a written opinion and recommend action to the Chancellor, Provost and Senior Vice Chancellor, Senior Vice Chancellor for Health Sciences, or Vice Chancellor for Student and Public Affairs, accompanied by the complete record.

The Moderator shall be responsible for promptly communicating any formal action of the URB to the parties, transmitting remanded cases to the initial adjudicatory authorities, and forwarding the recommendations to the Chancellor and his or her representatives.

ACTION BY THE CHANCELLOR OR OTHER REFERRING AUTHORITY

The Chancellor and his or her representatives shall consider the opinions and recommendations of the URB, the record and such other advice as they may deem necessary and proper. He/she or they may remand the matter to the initial adjudicatory authority or to the URB for further proceedings, or he/they may enter a final decision, accepting or rejecting the recommendations in part or in their entirety. (A sanction imposed by an initial adjudicatory authority may not be increased.)

Katz Graduate School of Business

Documentation of an Informal Resolution of an Alleged Violation of an Academic Integrity Guideline

The purpose of this documentation is to record the agreement of the instructor and student on the resolution of the instructor's allegation. It is not intended as an admission of guilt nor does it necessarily imply that the student agrees with the summary of the alleged violation that appears below. However, by signing the documentation, both parties agree to the resolution proposed and agree to consider the matter closed. See section 1.3 of the Katz Guidelines on Academic Integrity for a summary of the process for an informal resolution of an alleged violation.

Summary of the Alleged Violation of an Academic Integrity Guideline

Proposed Resolution

Resolution Acceptance

Faculty Name
Joseph M. Katz Graduate School of Business

Date

I, the undersigned,
_____ accept this resolution to the allegation described above.
_____ do not accept this resolution to the allegation described above.

If I have indicated acceptance of the resolution described above, I also consider the matter closed.

Student Name

Date