# ACADEMIC MISCONDUCT (COURSEWORK) PROCEDURES

<table>
<thead>
<tr>
<th>Date first approved:</th>
<th>Date of effect:</th>
<th>Date last amended (refer Version Control table):</th>
<th>Date of next Review:</th>
</tr>
</thead>
<tbody>
<tr>
<td>17 August 2007</td>
<td>1 Jan 2008</td>
<td></td>
<td>January 2020</td>
</tr>
</tbody>
</table>

**First approved by:** University Council

**Custodian title & e-mail address:** Director, Academic Quality and Standards Unit, quality@uow.edu.au

**Responsible Division:** Academic Quality and Standards Unit, Deputy Vice-Chancellor (Academic) Portfolio

**Supporting documents, procedures & forms of this procedure:**
- Academic Misconduct (Coursework) Flowchart
- Investigation and Outcome Notice Templates
- Student Misconduct Investigation Form
- Academic Misconduct (Coursework) Outcome Guideline

**References & Legislation:**
- Higher Education Standards Framework
- State Records Act 1998
- General Retention and Disposal Authority GDA23
- Student Conduct Rules
- Academic Integrity Policy
- Records Management Policy
- Research Misconduct Policy

**Audience:** Public – accessible to anyone

Submit your feedback on this policy document using the Policy Feedback Facility.
## Contents

1. **Introduction and Purpose** 4
2. **Scope of Procedure** 4
3. **Definitions** 4
4. **Roles and Responsibilities** 6
   - 4.1 Student 6
   - 4.2 Teaching Staff, including sessional tutors 7
   - 4.3 Subject Coordinators 7
   - 4.4 Academic Integrity Officers (AIOs) 7
   - 4.5 Executive Officer to Investigation Committees 7
   - 4.6 Other Roles and Responsibilities 8
5. **Academic Misconduct by a Student Undertaking Coursework** 9
   - 5.1 Poor Academic Practice 9
   - 5.2 Academic Misconduct 10
   - 5.3 Considerations for Determining an Appropriate Outcome 10
   - 5.4 Outcomes and Authorised Officers 11
6. **Urgency Provisions** 13
7. **Overview of Procedural Stages** 14
8. **Stage 1 – Subject Coordinator Investigation** 14
   - 8.1 Commencing the Investigation 14
   - 8.2 Allegation Dismissed 15
   - 8.3 Findings of Poor Academic Practice 15
   - 8.4 Escalating the Investigation 16
   - 8.5 Continuing the Investigation 16
   - 8.6 Allegation Upheld 17
9. **Stage 2 – AIO Determination** 17
   - 9.1 Determining an Outcome 17
   - 9.2 Allegation Upheld 18
   - 9.3 Allegation Escalated to Faculty Investigation Committee (FIC) 19
   - 9.4 AIO Assisted Investigations 19
10. **Stage 3 – Faculty Investigation Committee Determination** 21
11. **Stage 4 – Student Conduct Committee Determination** 22
12. **Appeals** 22
   - 12.1 Appeal Against Finding of a Subject Coordinator 22
   - 12.2 Appeal Against Finding of an Academic Integrity Officer 23
   - 12.3 Appeal Against Decision of Faculty Investigation Committee 23
   - 12.4 Appeal Against Decision of Student Conduct Committee 24
   - 12.5 Final Appeal on Grounds of Lack of Due Process 24
13. **Conduct of Investigation Committees** 25
   - 13.1 Service of an Investigation Notice 25
13.2 Investigation Committee Meetings 26
13.3 Conduct of Investigation 26
13.4 Outcome of Investigation 28
13.5 Allegation Dismissed 28
13.6 Allegation Upheld 29

14 Suspension of Investigation Proceedings 29

15 Extension of Time Limits 29

16 Record Keeping 30

17 Templates 30

18 Version Control and Change History 31

Schedule 1 - Application of the Procedure to Collaborative Partners 32
1 Introduction and Purpose

1. This procedure supports and should be read in conjunction with the Student Conduct Rules. In accordance with the Rules, this procedure must be followed when managing alleged academic misconduct by a student undertaking coursework.

2. This procedure also supports the Academic Integrity Policy and the University’s commitment to providing an educational approach to academic integrity, recognising that students need to be supported to develop and demonstrate relevant academic skills.

3. The purpose of this procedure is to direct UOW staff and students on the process to be followed when managing alleged academic misconduct by a student undertaking coursework.

2 Scope of Procedure

1. This procedure applies to the management of alleged academic misconduct by a student of UOW undertaking coursework, including Honours or Masters-by-Coursework, under the circumstances defined in sections 3 & 4 of the Student Conduct Rules.

2. This procedure includes management of alleged academic misconduct by a Higher Degree Research student undertaking coursework subjects.

3. This procedure does not apply to alleged research misconduct by a Higher Degree Research Student undertaking thesis subjects (with a subject code THES). Investigation of these cases will be carried out in accordance with the Research Misconduct Policy.

4. This procedure applies to students studying UOW courses through Collaborative Partners (third party providers), with the modifications outlined in Schedule 1.

5. This policy does not apply to students enrolled in courses offered by UOW Enterprises, including the University of Wollongong in Dubai or UOW College, as they have their own procedures.

3 Definitions

<table>
<thead>
<tr>
<th>Word/Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Integrity</td>
<td>Academic integrity involves upholding ethical standards in all aspects of academic work, including learning, teaching and research. It involves acting with the principles of honesty, fairness, trust and responsibility and requires respect for knowledge and its development. Academic integrity is foundational to the work of the whole academic community, including students, teachers, researchers, coordinators and administrators.</td>
</tr>
<tr>
<td>Academic Integrity Officer (AIO)</td>
<td>One of several academic staff members in a Faculty (at the level of Lecturer or above) who are responsible for making a determination of the allegation of academic misconduct, for imposing Low-Level</td>
</tr>
</tbody>
</table>
| **Academic Misconduct** | Conduct of a student when undertaking the preparation, presentation or submission of coursework, or during the course of undertaking research, that is in breach of:  
  • Academic Integrity Policy,  
  • Research Misconduct Policy,  
  • Examination Rules,  
  • Code of Practice - Research,  
  • Faculty/Unit requirements,  
  • Subject Outlines, or  
  • Other University policy documents or requirements setting out student academic requirements. |
| **Central Register** | A register and file of student misconduct findings controlled and maintained by the Student Services Division. |
| **Collaborative Partner** | Another institution or organisation (typically another higher education provider) with which the university has a partnership arrangement. For the purpose of these procedures it excludes affiliated entities under the management of UOW Enterprises (UOWE): UOW Dubai (UOWD), UOW College (UOWC) and Community College of City University in Hong Kong (CCCU), as it is expected they will have their own procedures. |
| **Complainant** | An individual who brings to the attention of a Subject Coordinator an allegation/concern about academic misconduct. |
| **Conflict of interest** | A conflict between a person's private interests and University obligations. |
| **Due process** | Procedural rights under this procedure, including the application of the principles of natural justice, including:  
  a) informing all parties of the procedure being followed and providing them with access to relevant Rules, standards, codes, policies, guidelines and procedures;  
  b) informing the respondent of any allegation made against them, and allowing time for a response in accordance with the timeframes stipulated;  
  c) providing the respondent with the opportunity to state their case, provide an explanation and/or put forward a defence;  
  d) conducting a factual investigation of the allegation, |
**Procedural rights under this procedure, including the application of the principles of natural justice, including:**

- **a)** informing all parties of the procedure being followed and providing them with access to relevant Rules, standards, codes, policies, guidelines and procedures;
- **b)** informing the respondent of any allegation made against them, and allowing time for a response in accordance with the timeframes stipulated;
- **c)** providing the respondent with the opportunity to state their case, provide an explanation and/or put forward a defence;
- **d)** conducting a factual investigation of the allegation, interviewing all relevant and available parties and considering all relevant information; and
- **e)** acting fairly, impartially and without bias by considering all relevant information, including any mitigating factors.

These principles are consistent with the Student Conduct Rules.

<table>
<thead>
<tr>
<th>Evidence</th>
<th>Any relevant material presented in relation to an allegation of academic misconduct. This may include, but is not limited to, submitted assessment items, emails, originality reports, transcripts of student interviews and matched text (websites/books/articles).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Investigation Committee (FIC)</td>
<td>A Faculty coordinated committee that makes a determination on cases of academic misconduct that have been escalated by an Academic Integrity Officer or where a student has appealed the decision of a Subject Coordinator or Academic Integrity Officer.</td>
</tr>
<tr>
<td>Investigation Committee</td>
<td>Faculty Investigation Committee or Student Conduct Committee</td>
</tr>
<tr>
<td>Local Register</td>
<td>A register and file of student academic misconduct investigations and instances of poor academic practice, controlled and maintained by the Faculty.</td>
</tr>
<tr>
<td>Poor Academic Practice</td>
<td>Conduct that represents a minor contravention of acknowledgement practice or other academic standards or requirements and/or arose from a genuine and reasonable lack of understanding.</td>
</tr>
<tr>
<td>SOLSMail</td>
<td>Student Online Services email system</td>
</tr>
<tr>
<td>Student Conduct Committee (SCC)</td>
<td>A University Committee, coordinated by the Governance Unit, which makes a determination on cases of academic misconduct that have been escalated by a FIC or where a student has appealed the decision of a Faculty Investigation Committee. This committee has additional responsibilities outside the scope of this procedure.</td>
</tr>
</tbody>
</table>
University Examination

| **University Examination** | An examination conducted by the Student Services Division (SSD) during specified end-of-session examination periods. |

All other definitions relating to Student Conduct are detailed in section 3 of the Student Conduct Rules.

## 4 Roles and Responsibilities

### 4.1 Students

1. Students have a responsibility to uphold the values of academic integrity and avoid academic misconduct, as outlined in the Academic Integrity Policy.

2. Students against whom a finding of poor academic practice or academic misconduct is made have a responsibility to pursue opportunities to improve their academic practice and to undertake any suggested supplementary activity suggested by the Subject Coordinator, Academic Integrity Officer or Investigation Committee.

### 4.2 Teaching Staff, including sessional tutors

1. All teaching staff have a responsibility to act on instances of alleged academic misconduct. When an instance of alleged academic misconduct comes to the attention of teaching staff, they should immediately report this to the relevant subject coordinator, providing an explanation of their reasoning and the immediate evidence.

### 4.3 Subject Coordinators

1. Subject Coordinators have a responsibility to actively seek to identify cases of possible misconduct and support teaching staff to identify cases of possible misconduct.

2. Subject Coordinators should initiate investigations of alleged academic misconduct by a student undertaking coursework in accordance with the procedures set out in section 8.

3. Subject Coordinators should maintain records throughout the investigation and submit complete records of investigations (including the misconduct form, invitation to attend meeting and any evidence) to the AIO or relevant Faculty Investigation Committee (FIC) Executive Officer, as appropriate.

### 4.4 Academic Integrity Officers (AIOs)

1. AIOs have a responsibility to:
   a. Determine an appropriate finding and outcome for academic misconduct by a student undertaking coursework, in accordance with the procedures set out in section 9;
   b. Impose Low-Level outcomes in response to upheld allegations of academic misconduct by a student undertaking coursework;
   c. Communicate the progress and outcome of an investigation to the student, Subject Coordinator and complainant, using the appropriate notice letter template (provided in section 17);
d. maintain records throughout the investigation and submit complete records of investigations (including the misconduct form, invitation to attend meeting, outcome letter and any evidence) to the relevant Faculty Investigation Committee (FIC) Executive Officer for inclusion on the Local Register; and

e. Refer cases to the FIC where necessary

4.5 Executive Officer to Investigation Committees

1. All Investigation Committees (i.e. Faculty Investigation Committee or the Student Conduct Committee) will have an Executive Officer to assist the Committee in whatever way the Chair of the Committee directs.

2. The Executive Officer:
   a. plays a key role in the operation and conduct of the Committee, and in ensuring that investigations are carried out in accordance with relevant policies and procedures.
   b. has a direct reporting link to the Chair of the Committee regarding the conduct of the Committee’s business;
   c. keeps the Chair informed on all issues relating to the affairs of the Committee and works closely with the Chair to establish and implement good governance practices for the Committee;
   d. provides guidance to the Chair and members of the Committee as to their responsibilities under the Committee’s terms of reference;
   e. is the point of contact for Committee members who wish to obtain information from officers of the University;
   f. is responsible for advising the Committee on policy and procedural matters;
   g. is responsible for all aspects of Committee meeting arrangements in consultation with the Chair;
   h. is responsible for preparation of Investigation Committee meeting documentation (including agendas, minutes and Chair’s notes), conducting research and preparing reports where required; and
   i. ensures that all documentation provided to the Committee is accurate, timely, concise and appropriate.

4.6 Other Roles and Responsibilities

1. Investigation Committee Chairs and members are responsible for undertaking investigations of alleged academic misconduct by a student undertaking coursework in accordance with the procedures set out in section 13.

2. The Head of School is responsible for ensuring that a minimum of two AIOs are appointed for their school and that the AIOs have completed the mandatory training. The Head of School may perform the role of AIO, once they have completed the mandatory training.
3. The Faculty Investigation Committee (FIC) Chair is responsible for receiving, and making a decision upon, appeals by students against a decision of the AIO or Subject Coordinator.

4. The Student Ombudsman is responsible for receiving, and making a decision upon, appeals by students against a decision of the Faculty Investigation Committee.

5. The Deputy Vice-Chancellor (Academic) is responsible for receiving, and making a decision upon, final appeals on the grounds of lack of due process.

6. The Vice-Chancellor is responsible for undertaking action in accordance with the Urgency Provisions set out in section 6.

7. The Academic Quality and Standards Unit is responsible for maintaining a record of AIOs.

8. The Academic Quality and Standards Unit, Governance Unit and Learning, Teaching and Curriculum Unit are responsible for making available professional development to AIOs, Subject Coordinators, student representatives and other staff involved in investigating academic misconduct.

9. The Student Services Division is responsible for maintaining the Central Register.

10. The Governance Unit is responsible for providing support to the Student Conduct Committee.

11. The Learning, Teaching and Curriculum Unit is responsible for providing opportunities for students to improve their understanding of academic integrity and appropriate conduct when completing assessment tasks via workshops and individual consultations in the Learning Co-op, and by providing Academic Misconduct Modules for students.

5 Academic Misconduct by a Student Undertaking Coursework

5.1 Poor Academic Practice

1. In some cases the Subject Coordinator, AIO or Investigation Committee may determine not to make a finding of academic misconduct on the grounds that the conduct of the student represents poor academic practice rather than academic misconduct. For example, this poor academic practice outcome may be imposed where:

   a. it is the student’s first offence;
   b. the student is at an early stage of an undergraduate program of study;
   c. the student is undertaking study at an Australian university for the first time.
   d. the conduct represents a minor contravention of acknowledgement practice or other academic standards or requirements; and/or
   e. there is other compelling evidence that the conduct arose from a genuine lack of understanding of acknowledgement practice or other academic standards or requirements.

1. Poor academic practice should only be found where the alleged academic misconduct is not extensive, blatant or does not result from an obvious lack of effort overall.
2. In such cases, the Subject Coordinator, AIO or Investigation Committee must impose a poor academic practice outcome in response to the student’s conduct to educate the student on correct academic practice.

3. In each case where a poor academic practice outcome is imposed, the student should be referred to an appropriate Academic Integrity Module. In addition one of the outcomes listed in Table 5.1 may be applied.

4. Where a student has previously been required to complete the Academic Integrity Module, they should not be required to complete this module for a second time.

<table>
<thead>
<tr>
<th>Table 5.1 – Range of Possible Outcomes to Poor Academic Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outcome</strong></td>
</tr>
<tr>
<td>− The issue of a warning to the student.</td>
</tr>
<tr>
<td>− A requirement that the student resubmit/resit the assessment item without penalty.</td>
</tr>
<tr>
<td>− A requirement that the student provide additional material to support the assessment item.</td>
</tr>
<tr>
<td>− The imposition of a mark penalty of no more than:</td>
</tr>
<tr>
<td>a) 5% of the total subject mark, or</td>
</tr>
<tr>
<td>b) 10% of the available marks for the assessment provided that (a) or (b) does not result in the student receiving a technical fail for the subject, and (a) is not more than the value of the assessment task.</td>
</tr>
</tbody>
</table>

5. Where a mark penalty is imposed as provided in section 5.1.4, it should be applied following the grading of the assessment against the assessment rubric.

6. Where a student fails to complete the Academic Integrity Module they are referred to, their final results will be withheld until such time as they complete the required module.

7. Where a student fails to complete the other actions required of them as a result of the imposition of a poor academic practice outcome, their case may be escalated to academic misconduct and a more severe penalty imposed. These cases should be referred to the AIO, who will take action in accordance with section 9.4.

8. Where a Subject Coordinator has taken action under an informal response during Stage 1 of the investigative process (as per section 8.1), the Subject Coordinator will follow the steps outlined in section 8.3. Where the Subject Coordinator deems that completion of an Academic Integrity Module is not warranted, an exemption may be granted by an Academic Integrity Officer.

9. Where an AIO or Investigation Committee has imposed a poor academic practice outcome at a later stage of the investigative process, the outcome will be communicated to the AIO,
Subject Coordinator, student and any other relevant staff. Any record made of the investigation on the central register shall be removed. The record on the Local Register should be updated.

5.2 Academic Misconduct

1. Academic misconduct by a student undertaking coursework is defined in the Student Conduct Rules. The Academic Integrity Policy lists types of academic misconduct in Section 6. Any attempt to engage in academic misconduct may be investigated and determined as if the academic misconduct had occurred.

2. A determination as to whether academic misconduct by a student undertaking coursework has occurred will be made on the strength of the evidence available and will be determined on the balance of probabilities.

3. Submitting fraudulent documentation (including, but not limited to medical certificates) for the purposes of an academic consideration request is general misconduct that is managed in accordance with the Procedure for Managing Alleged General Misconduct by a Student.

5.3 Considerations for Determining an Appropriate Outcome

1. Where a finding of academic misconduct by a student undertaking coursework has been made, the following considerations may be taken into account when determining an appropriate outcome:

   a. Any apparent intention to deceive by the student and, if any, the level and effect of that intention;

   b. Whether the misconduct is considered of consequence to a particular assessment item, taking into account:
      i. the nature of the misconduct;
      ii. the context in which it is found; and/or
      iii. the impact on the student’s attainment of the subject learning outcomes;

   c. The extent of the misconduct in an assessment item;

   d. The proportion of the overall subject mark represented by the assessment item;

   e. The nature of the subject and the assessment item;

   f. The conventions associated with the particular academic discipline;

   g. The educational background of the student, including opportunities that the student was previously given to learn about academic integrity expectations;

   h. Any relevant individual circumstances of the student; and/or

   i. Whether a finding of academic misconduct has previously been made against the student and is the subject of an entry on any applicable Local Registers or the Central Register;
2. The general conduct of a student should not impact upon a determination of academic misconduct. Any general misconduct case must be dealt with separately. Student attendance and/or class participation should not factor into the determination.

3. The Academic Misconduct Outcomes for Coursework (AMOC) Guideline provides further guidance on the level of outcome that should be imposed.

5.4 Outcomes and Authorised Officers

1. Academic misconduct by a student undertaking coursework may be managed with a Low-Level Outcome, Medium-Level Outcome or High-Level Outcome. The only possible outcomes of each level and the persons authorised to impose these outcomes are shown in Table 5.2.

2. In all instances where a Low-Level Outcome is imposed the student should be directed to complete an Academic Integrity Module, unless they have already completed this module or an exemption is otherwise granted. Where it is deemed that completion of an Academic Integrity Module is not warranted an exemption may be granted by the Faculty Investigation Committee Chair or Student Conduct Committee Chair.

3. Where a student fails to complete the Academic Integrity Module they are referred to, their final results will be withheld until such time as they complete the required module.

4. In addition an intervention strategy may be imposed. An intervention strategy is referring the student to services appropriate to that student’s needs. These may include:
   a. Learning Development;
   b. Counselling Service;
   c. the PASS Program (if available);
   d. Disability Services; and/or
   e. Student Support Adviser (who can provide information, support and referral services on non-academic matters);

5. The FIC or SCC may also implement a restricted enrolment status to help support the student. Students placed on a course status of restricted need to seek academic advice from a Head of Students (HOST) before enrolling in subjects. HOSTs may prevent students from enrolling in some subjects, and may place restrictions on the number of subjects that students are able to attempt while on restricted status.

<table>
<thead>
<tr>
<th>Level of Outcome</th>
<th>Outcome</th>
<th>Authorised Persons</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 5.2 – Range of Possible Outcomes to Academic Misconduct
| Low-Level Outcome | • Requirement that the student complete an Academic Integrity Module; and/or  
• Submission of an alternative assessment task; or  
• Assessment penalties that do not directly result in the student receiving a Technical Fail for the subject, including:  
  o Resubmission of assessment task with a mark penalty;  
  o Deduction of marks for assessment task;  
  o Zero mark in assessment task where the assessment is less than 50% of the final grade for the subject; or  
• Reduced mark in subject (e.g. student restricted to a pass grade)  

| Medium-Level Outcome | • Assessment penalties that result in the student receiving a Technical Fail for the subject;  
• Zero mark in assessment task (where the assessment is 50% or more of the final grade for the subject and/or the student would receive a Technical Fail for failing the assessment); and/or  
• Zero mark for the subject.  

| High-Level Outcome | • Immediate Suspension by the Vice-Chancellor (with or without also suspending any scholarship the student may hold);  
• Deferred Suspension by the Vice-Chancellor subject to one or more conditions (e.g. good behaviour, demonstrated consultation with a registered professional, academic performance);  
• Exclusion from the University by the Vice-Chancellor;  
• Expulsion from the University by the Vice-Chancellor; and/or  
• Rescission of degree by the University Council*  

| Academic Integrity Officer (AIO)  
• Faculty Investigation Committee  
• Student Conduct Committee  

| Medium-Level Outcome | • Faculty Investigation Committee  
• Student Conduct Committee  

| High-Level Outcome | On the recommendation of the Student Conduct Committee, the Vice-Chancellor may approve these outcomes  
*This outcome needs to be approved by the University Council  

### 6 Urgency Provisions
1. Urgency provisions may take effect where alleged *academic misconduct* by a student undertaking coursework:
   a. is the subject of investigation by the Police or other civil authorities;
   b. may bring the University and its staff and students into disrepute;
   c. involves extreme harassment or vilification which breaches the University’s organisational values, rules, codes and/or policies;
   d. threatens the welfare or study of other students or staff; or
   e. is otherwise considered to be serious enough to warrant immediate action.

2. In the above situations a recommendation may be made to the Vice-Chancellor that the following action be taken, pending the outcome of the investigation:
   a. temporary block of the student’s IT access;
   b. limitation of the student’s right of access to the University;
   c. withhold official certification (e.g. academic transcript, degree testamur) for up to three months;
   d. termination of the student’s right of access to the University; or
   e. immediate suspension of the student from the University.

3. The following officers may, after preliminary review, make a recommendation as detailed in section 6.2:
   a. AIO
   b. Chair of a Faculty Investigation Committee
   c. Chair of the Student Conduct Committee

4. Upon receiving a recommendation under section 6.2 the Vice-Chancellor or standing nominee of the Vice-Chancellor may either:
   a. accept the recommendation, impose the recommended action, and, where appropriate, direct the officer that made the recommendation to refer the matter to the Faculty Investigation Committee as soon as possible and within a maximum of ten working days; or
   b. not accept the recommendation and refer the matter back to the officer that made the recommendation for further investigation in accordance with the normal procedure.

5. Where action is imposed under section 6.3, the officer that recommended the action to the Vice-Chancellor or standing nominee of the Vice-Chancellor will:
   a. ensure that the student is served with a written notice of the temporary block of IT access, limitation or termination of right of access, or suspension, as a matter of urgency;
   b. refer the matter to the Faculty Investigation Committee for the service of an Investigation Notice; and
c. notify the Director, Student Services in writing, for advice to relevant officers.

6. Rule 4.5 of the Campus Access and Order Rules stipulate action to be taken where teaching activities have been disrupted by disorderly conduct of a student.

7 Overview of Procedural Stages

1. Staff members responsible for managing alleged academic misconduct by a student undertaking coursework will follow the process set out in this procedure and should refer to the Academic Misconduct (Coursework) Flowchart.

2. This procedure provides for a staged investigation for dealing with all allegations of academic misconduct by a student undertaking coursework:
   - Stage 1: Subject Coordinator Investigation
   - Stage 2: AIO Evidence Review and Determination
   - Stage 3: Faculty Investigation Committee Determination
   - Stage 4: Student Conduct Committee Determination

3. In the case of alleged academic misconduct arising during University Examinations the investigation will be conducted in accordance with Section 8 of the Examination Procedure. Such cases will then be referred to the AIO for a determination. The AIO will discharge their duties in accordance with section 9 of the Academic Misconduct (Coursework) Procedures.

4. Students have the right to appeal the imposition of a Poor Academic Practice, Low-Level, Medium-Level or High-Level Outcome, as per section 12.

8 Stage 1 – Subject Coordinator Investigation

8.1 Commencing the Investigation

1. A staff member must bring an allegation of academic misconduct by a student undertaking coursework to the attention of the responsible Subject Coordinator as soon as possible once it has been identified.

2. A student or any member of the public may bring an allegation of academic misconduct by a student undertaking coursework to the attention of the responsible Subject Coordinator.

3. The complainant will provide the Subject Coordinator with any relevant information and evidence that they may have relating to the allegation. It is not the complainant's responsibility to gather and document relevant evidence.

4. The Subject Coordinator must collect evidence relating to the allegation.

5. The Subject Coordinator must make the determination as to whether misconduct has occurred as soon as possible and within a maximum of ten (10) working days of having received the allegation.

6. If the Subject Coordinator is not available at any time during the investigation of alleged academic misconduct, another member of academic staff in a similar position and nominated...
by the Head of School may act in place of the Subject Coordinator for the purpose of investigating the allegation.

7. If the Subject Coordinator has a potential or actual conflict of interest in conducting the investigation, the Head of School may nominate another member of academic staff to investigate the allegation.

8. The Subject Coordinator has the option to consult with an AIO at any stage outlined in section 8.1 to 8.6. At this stage of the investigation an AIO may only provide generic advice about the case along with specific advice on the process. If an AIO becomes actively involved in the investigation of the case at commencement stage of the investigation it must be submitted to a different AIO if the case is escalated to Stage 2.

9. The Subject Coordinator may obtain administrative assistance from other staff members during the investigation.

10. The Subject Coordinator will review the initial evidence to check whether there is sufficient evidence that academic misconduct may have occurred. The Subject Coordinator may at this stage:
   a. dismiss the allegation (refer to section 8.2),
   b. make a finding of poor academic practice (refer to section 8.3),
   c. escalate the matter to the AIO for referral to the FIC (refer to section 8.4), or
   d. continue the investigation (refer to section 8.5).

8.2 Allegation Dismissed

1. If the Subject Coordinator determines that there is insufficient evidence of academic misconduct and/or poor academic practice has not occurred, the allegation will be dismissed.

2. The Subject Coordinator will advise the student (if the student had been made aware of the allegation) and the complainant that the allegation has been dismissed. No further action will be taken.

3. The complainant may be advised of the process undertaken to reach an outcome. However, the details of the case and any consideration of the personal circumstances of the student should not be released.

8.3 Findings of Poor Academic Practice

1. As per section 5.1, in some cases the Subject Coordinator may determine not to make a finding of academic misconduct on the grounds that the conduct of the student represents poor academic practice rather than academic misconduct.

2. After this determination has been made by the Subject Coordinator, they should then consult with the FIC Executive Officer for their Faculty to check that the student does not already have a record for academic misconduct or poor academic practice. The FIC Executive Officer will ensure that they check the registers for each Faculty and the Central Register.
The determination should be made before checking the student’s previous history, so as not to unduly influence the consideration of a particular case.

3. If the student does have a record on a Local Register, then an AIO must be notified of the case. The FIC Executive Officer must not disclose any information about the incidents recorded on the register to the Subject Coordinator. The AIO determines whether to continue the investigation of the case (in accordance with section 9.4) or whether the previous record warrants that case being escalated to the FIC (in accordance with section 9.3).

4. If the student does not have a record on a Local Register then the Subject Coordinator can continue the course of action by discussing the matter with the student.

5. The Subject Coordinator must submit a record of this interaction /discussion to the FIC Executive Officer for inclusion on their Local Register. It shall be clearly noted on the register that the finding was for poor academic practice not academic misconduct.

6. The Subject Coordinator will advise the student and the complainant of the poor academic practice outcome to be imposed.

8.4 Escalating the Investigation

7. If the Subject Coordinator determines that the academic misconduct is severe enough to warrant the imposition of a Medium-Level or High-Level Outcome:
   a. the Subject Coordinator is not required to discuss the matter with the student;
   b. the Subject Coordinator should notify an AIO of the case and provide any evidence; and
   c. The AIO determines whether there is sufficient evidence to escalate the case to the FIC (in accordance with section 9.3) or whether it should be referred back to the Subject Coordinator to continue the investigation (in accordance with section 8.5).

8.5 Continuing the Investigation

1. If there is sufficient evidence that academic misconduct may have occurred and the matter is not escalated as provided in section 8.4 the allegation will continue to be investigated by the Subject Coordinator.

2. The Subject Coordinator will seek to interview the student and obtain a student response to the allegation. The interview time should be negotiated between the student and Subject Coordinator.

3. Where a student is unable to attend the campus for an interview with the Subject Coordinator, including where the student is studying offshore or by distance, the discussion may be held over the phone or with the assistance of other technology (e.g. Skype or teleconferencing facilities).

4. The Subject Coordinator will provide the following information to the student via SOLSMail and email (to their student email address) prior to the interview with the student, using the appropriate notice letter template:
a. Substance of the allegation;

b. Date, time and location of the discussion (or means by which the discussion will be held);

c. Advice that a support person may be present for both the student and the Subject Coordinator;

d. Advice regarding the timeframes mandated by the procedures and the possibility of extensions;

e. Reference to related policies, procedures and rules (including a link to these procedures);

5. During the interview with the student, the Subject Coordinator will explain the allegation to the student and give the student the opportunity to respond to the allegation. The student has the right to refuse to respond to the allegation.

6. Both the student and the Subject Coordinator may be assisted or accompanied by a support person during the discussion.

7. The Subject Coordinator will keep an adequate record of the discussion. If given permission by the student, the Subject Coordinator may make an audio recording of the discussion and attach this to the investigation file.

8. If after all reasonable efforts have been made to contact and discuss the allegation with the student, the Subject Coordinator has not been able to do so, they may proceed with the investigation without discussion with the student.

9. In accordance with the General Course Rules, a student may not vary their enrolment in a subject that is currently part of an academic misconduct investigation until the investigation has been finalised. Where a student attempts to vary their enrolment in a subject that is currently part of an academic misconduct investigation, the Student Services Division will reinstate the student’s enrolment.

10. The student should continue their normal academic work within that subject while the investigation is taking place, as failure to do so would disadvantage the student.

11. Based on the evidence collected, including information gathered during the discussion with the student (if this has taken place), the Subject Coordinator will make a finding of whether academic misconduct has occurred. The Subject Coordinator must make this finding as soon as possible and within a maximum of ten working days of having received the allegation.

12. Subject Coordinators may decide to dismiss the allegation (in accordance with section 8.2), determine there is a case of poor academic practice (in accordance with section 8.3) or uphold the allegation (in accordance with section 8.6).

### 8.6 Allegation Upheld

1. If the Subject Coordinator considers that academic misconduct has occurred, the allegation will be upheld.
2. The Subject Coordinator will notify an AIO of the case and will provide all of the evidence collected to the AIO, including:
   a. Academic Misconduct - Notice of Initial Investigation
   b. Academic Misconduct - Investigation Form
   c. Record of the meeting with the student
   d. All available evidence

9 Stage 2 – AIO Determination

9.1 Determining an Outcome

1. The AIO will consider the evidence submitted to check whether there is sufficient evidence that academic misconduct has occurred. The AIO may obtain further evidence if required and may discuss the matter with the student, Subject Coordinator and other individuals involved in the case.

2. AIOs are permitted to seek advice from other University staff during the investigation of alleged academic misconduct by a student undertaking coursework. Where possible, such advice should be sought from staff who are unlikely to be involved in the conduct of the investigation at a later date. AIOs may obtain administrative assistance from other staff members during the investigation.

3. Evidence of any prior finding of poor academic practice or academic misconduct can only be used in determining an appropriate penalty.

4. The AIO may at this stage:
   a. Dismiss the allegation, ensuring that the student, Subject Coordinator and complainant are notified of the outcome. No further action will be taken. The complainant may be advised of the process undertaken to reach an outcome. However, the details of the case and any consideration of the personal circumstances of the student should not be released.
   b. Make a finding of poor academic practice, ensuring that the following actions are taken.
      i. The AIO must submit a record of this interaction/discussion to the FIC Executive Officer for inclusion on their Local Register. It shall be clearly noted on the register that the finding was for poor academic practice not academic misconduct.
      ii. The AIO will advise the student, Subject Coordinator and the complainant of the poor academic practice outcome to be imposed.
   c. Escalate the matter to the FIC (refer to section 9.3); or
   d. Uphold the allegation and impose a Low-Level outcome (refer to section 9.2).

9.2 Allegation Upheld
1. The **AIO** will contact the FIC Executive Officer to check the **Local Register** and **Central Register** to determine whether an entry exists for the student for any previous finding of **academic misconduct** or **poor academic practice**. Where the student is, or has been, enrolled in a subject(s) from another faculty(ies), the FIC Executive Officer will request the relevant faculty(ies) check the **Local Register** to determine whether an entry exists for the student for any previous finding of **academic misconduct** or **poor academic practice**.

2. The **AIO** will determine the appropriate level of outcome. In doing so, the **AIO** may give consideration to the factors listed at [section 5.3](#).

3. An outcome will be determined by the **AIO** as soon as possible and within a maximum of ten (10) working days of the case being referred to them.

4. If the **AIO** becomes unavailable at any time during the investigation of alleged **academic misconduct** by a student undertaking coursework, another **AIO** may be appointed to undertake any outstanding duties.

5. The **AIO** will:
   - impose the outcome;
   - submit a complete record of the case and outcome to the FIC Executive Officer for inclusion on the **Local Register**, including
     - Academic Misconduct - Investigation Form
     - Academic Misconduct - Outcome Letter
     - Academic Misconduct – Notice of Invitation to Meeting
   - A record of the meeting with the student
   - All available evidence
   - advise the student of the outcome using the appropriate notice letter template; and
   - advise the complainant, Subject Coordinator and other relevant staff of the outcome, as necessary.

9.3 **Allegation Escalated to Faculty Investigation Committee (FIC)**

1. If the **AIO** determines to refer a matter to the **FIC**, the **AIO** must:
   - use the Student Misconduct Investigation Form to record full details of the case, including:
     - a detailed explanation of the allegation;
     - summary of key evidence supporting the allegation;
     - summary of results of evidence gathering (including interview with the student); and
     - supporting materials.
   - submit a record of the case and referral to the FIC Executive Officer for inclusion on the **Local Register**;
c. advise the student of the referral using the appropriate notice letter template; and

d. advise the complainant, Subject Coordinator and other relevant staff of the referral.

9.4 AIO Assisted Investigations

1. In very limited circumstances the AIO may become actively involved in the initial investigation and continue to make a determination. This is only permitted when the Subject Coordinator made an initial assessment that the allegation should result in a finding of **poor academic practice**, however, the student already has a prior record of **poor academic practice** or **academic misconduct**. In this instance, the AIO will take the lead in the investigation and will be supported by the Subject Coordinator.

2. The AIO and Subject Coordinator will seek to interview the student and obtain a student response to the allegation. The interview time should be negotiated between the student, AIO and Subject Coordinator.

3. Where a student is unable to attend the campus for an interview, including where the student is studying offshore or by distance, the discussion may be held over the phone or with the assistance of other technology (e.g. Skype or teleconferencing facilities).

4. The AIO will provide the following information to the student via SOLS Mail and email (to their student email address) prior to the interview with the student, using the appropriate notice letter template:
   
   a. Substance of the allegation;
   
   b. Date, time and location of the discussion (or means by which the discussion will be held);
   
   c. Advice that a support person may be present for both the student and the AIO (in addition to the Subject Coordinator);
   
   d. Advice regarding the timeframes mandated by the procedures and the possibility of extensions;
   
   e. Reference to related policies, procedures and rules (including a link to these procedures);

5. During the interview with the student, the AIO and Subject Coordinator will explain the allegation to the student and give the student the opportunity to respond to the allegation. The student has the right to refuse to respond to the allegation.

6. Both the student and the AIO may be assisted or accompanied by a support person during the discussion. This is additional to the presence of the Subject Coordinator.

7. The AIO will keep an adequate record of the discussion. If given permission by the student, the AIO may make an audio recording of the discussion and attach this to the investigation file.

8. If after all reasonable efforts have been made to contact and discuss the allegation with the student, the AIO has not been able to do so, they may proceed with the investigation without discussion with the student.
9. In accordance with the General Course Rules, a student may not vary their enrolment in a subject that is currently part of an academic misconduct investigation until the investigation has been finalised. Where a student attempts to vary their enrolment in a subject that is currently part of an academic misconduct investigation, the Student Services Division will reinstate the student’s enrolment.

10. The student should continue their normal academic work within that subject while the investigation is taking place, as failure to do so would disadvantage the student.

11. Based on the evidence collected, including information gathered during the discussion with the student, the AIO will make a finding of whether academic misconduct has occurred. The AIO must make this finding as soon as possible and within a maximum of ten (10) working days of having received the allegation.

12. The AIO may at this stage:
   a. Dismiss the allegation, ensuring that the student, Subject Coordinator and complainant are notified of the outcome. No further action will be taken. The complainant may be advised of the process undertaken to reach an outcome. However, the details of the case and any consideration of the personal circumstances of the student should not be released.
   b. Make a finding of poor academic practice, ensuring that the following actions are taken.
      i. The AIO must submit a record of this interaction/discussion to the FIC Executive Officer for inclusion on their Local Register. It shall be clearly noted on the register that the finding was for poor academic practice not academic misconduct.
      ii. The AIO will advise the student, Subject Coordinator and the complainant of the poor academic practice outcome to be imposed.
   c. Escalate the matter to the FIC (refer to section 9.3); or
   d. Uphold the allegation and impose a Low-Level outcome (refer to section 9.2).

10 Stage 3 – Faculty Investigation Committee Determination

1. The FIC will consider cases referred to it by:
   a. the AIO;
   b. the Faculty Investigation Committee Chair as a result of an appeal by the student against a decision of the AIO;
   c. the Student Ombudsman for reconsideration as a result of appeal by the student against a decision of the FIC; or
   d. the Deputy Vice-Chancellor (Academic) for reconsideration as a result of an appeal by the student against a decision of the FIC or Student Conduct Committee.
2. The FIC will meet to consider the evidence of the case and interview the student and any other persons relevant to the case.

3. Based on the evidence considered and the interview with the student, the FIC will make a finding of whether academic misconduct has occurred.

4. The FIC will comprise:
   a. the Associate Dean Education (or a standing nominee selected by the Associate Dean Education) as Chair;
   b. an AIO or FIC Chair from another Faculty (appointed by the Chair); and
   c. an AIO from within the Faculty (appointed by the Chair) who is not involved with the teaching or assessment of the subject concerned and has had no prior involvement with the case.

5. Both genders must be represented on an FIC.

6. A person may not sit on an FIC investigating an allegation of misconduct where that person has previously been involved with the investigation of the allegation or there is, otherwise, a potential or actual conflict of interest on the part of that person.

7. A member of an FIC who, during an investigation or appeal, ceases to hold the office by virtue of which they are a member of that Committee, may remain a member of the Committee (with approval of the Chair) until the investigation has been completed.

8. If during the investigation or appeal a member of the FIC becomes unable (through illness or any other cause) to act for a period that would unduly delay the completion of the investigation, the Committee may complete its investigation or appeal in their absence as long as at least two other members are still able to act.

9. A professional services staff member appointed by the Associate Dean (Education) will act as Executive Officer to the FIC. The Executive Officer, who is not a member of the Committee, will assist the FIC in whatever way the Chair of the Committee directs Section 4.5 details the role of the Executive Officer to the Committee.

10. The Faculty Investigation Committee will be conducted in accordance with section 13.

11 Stage 4 – Student Conduct Committee Determination

1. The Student Conduct Committee will consider cases referred to it by:
   a. the Faculty Investigation Committee;
   b. the Student Ombudsman based on an appeal by the student against the decision of the Faculty Investigation Committee; or
   c. the Deputy Vice-Chancellor (Academic) for reconsideration as a result of appeal by the student against the decision of the FIC or Student Conduct Committee.

2. Where the Chair of the Student Conduct Committee considers that the case has been referred to the Student Conduct Committee unnecessarily, the Chair may determine to refer the matter back to the Faculty Investigation Committee for consideration.
3. The Student Conduct Committee will comprise:
   a. The Chair of Academic Senate (or a nominee appointed by the Deputy Vice-Chancellor (Academic)), as Chair;
   b. a senior UOW staff member appointed by the Chair; and
   c. a student appointed by the Chair, from the following student representative groups:
      i. Wollongong Undergraduate Student Association
      ii. Wollongong University Postgraduate Association
      iii. University Council Student Representatives
      iv. Academic Senate (or subcommittee) Student Representatives
      v. Faculty Student Representatives

4. An Executive Officer to the Committee will be appointed by the Governance Unit, to assist the Committee in whatever way the Chair of the Committee directs. Section 4.5 details the role of the Executive Officer to the Committee.

5. Both genders must be represented on the Student Conduct Committee.

6. Based on the evidence considered and the interview with the student, the Student Conduct Committee will make a finding of whether academic misconduct has occurred.

7. A person may not sit on an SCC investigating an allegation of misconduct where that person has previously been involved with the investigation of the allegation or there is, otherwise, a potential or actual conflict of interest on the part of that person.

8. The Student Conduct Committee will meet to consider the evidence of the case and interview the student and any other persons relevant to the case. The Committee will conduct the interview in accordance with section 13.

12 Appeals

12.1 Appeal Against Finding of a Subject Coordinator

1. Once a poor academic practice outcome has been imposed, a student may appeal against the finding of the Subject Coordinator, only if the appeal is based on a lack of due process or if there is new and substantial evidence that has not previously been considered.

2. Referral to an AIO or the FIC does not constitute an imposed outcome and therefore a student cannot appeal against it. An appeal can only be lodged once an outcome is imposed.

3. An appeal by a student against a decision of the Subject Coordinator will follow the same process as an appeal against the finding of an AIO, as stipulated in section 12.2.3-12.2.8.

12.2 Appeal Against Finding of an Academic Integrity Officer
1. Once an outcome has been imposed, a student may appeal against the finding of the AIO, only if the appeal is based on a lack of *due process* or if there is new and substantial evidence that has not previously been considered.

2. Referral to the FIC does not constitute an imposed outcome and therefore a student cannot appeal against it. An appeal can only be lodged once an outcome is imposed.

2. An appeal by a student against a decision of the AIO must:
   a. be lodged in writing with the FIC Chair within a maximum of ten (10) working days of notification of the outcome of the AIO’s review;
   b. state fully the reasons for the appeal; and
   c. include any relevant documentary evidence to support the appeal.

3. The FIC Chair will consider the case put forward and evidence provided by the student to support the appeal.

4. The FIC Chair will determine whether there are sufficient grounds for the appeal as soon as possible and within a maximum of ten (10) working days of having received the appeal.

5. The FIC Chair may determine that:
   a. there are not sufficient grounds for the appeal and the decision of the AIO stands;
   b. there are sufficient grounds for the appeal due to new and substantial evidence and refer the matter back to the AIO to review the case in accordance with section 9; or
   c. there are sufficient grounds for the appeal due to a lack of due process and refer the matter to the Faculty Investigation Committee under section 10.

6. Where there may be a conflict of interest or perceived bias, the FIC Chair may refer the matter back to a different AIO.

7. The FIC Chair will:
   a. Submit a record of the appeal and outcome/referral to the FIC Executive Officer for inclusion on the Local Register; and
   b. advise the student, AIO and any other relevant staff of the outcome using the appropriate notice letter template for advice to the student.

12.3 Appeal Against Decision of Faculty Investigation Committee

1. Once an outcome has been imposed by the FIC, a student may appeal against the finding of the FIC, only if the appeal is based on lack of due process or if there is new and substantial evidence that has not previously been considered.

2. An appeal by a student against a decision of the FIC must:
   a. be lodged, in writing, with the Student Ombudsman within a maximum of ten (10) working days of notification of the outcome of the FIC’s investigation;
   b. state fully the reasons for the appeal; and
c. include any relevant documentary evidence to support the appeal.

3. The Student Ombudsman will consider the case put forward and evidence provided by the student to support the appeal.

4. The Student Ombudsman will determine whether there are sufficient grounds for the appeal as soon as possible and within a maximum of ten (10) working days of having received the appeal.

5. The Student Ombudsman may determine that:
   a. there are not sufficient grounds for the appeal and the decision of the Faculty Investigation Committee stands;
   b. there are sufficient grounds for the appeal due to new and substantial evidence and refer the matter back to the Faculty Investigation Committee for reconsideration; or
   c. there are sufficient grounds for the appeal on the basis of a lack of due process and refer the matter to the Student Conduct Committee for consideration.

6. Where there are sufficient grounds for the appeal due to new and substantial evidence, but also a conflict of interest or perceived bias, the Student Ombudsman may refer the matter back to the FIC for reconsideration, with requirements for a change in members.

7. The Student Ombudsman will:
   a. advise the FIC Executive Officer and Student Service Division to update the case, appeal and outcome/referral on the Local and Central Registers, as relevant; and
   b. advise the student, AIO and any other relevant staff of the outcome using the appropriate notice letter template for advice to the student.

12.4 Appeal Against Decision of Student Conduct Committee

1. Once an outcome has been imposed by the SCC, a student may appeal against the finding of the SCC, only if the appeal is based on a lack of due process (refer to section 12.5).

12.5 Final Appeal on Grounds of Lack of Due Process

1. Once an outcome of an initial appeal, or outcome from the SCC has been imposed, a student may appeal against this finding, only if the appeal is based on a lack of due process.

2. Any appeal by a student must:
   a. be lodged, in writing, with the Deputy Vice-Chancellor (Academic) within a maximum of twenty (20) working days of notification of the outcome of the appeal;
   b. state fully the reasons for the appeal; and
   c. include any relevant documentary evidence to support the appeal.

3. The Deputy Vice-Chancellor (Academic) will consider the case put forward and evidence provided by the student to support the appeal.
4. The Deputy Vice-Chancellor (Academic) will determine whether there are sufficient grounds for the appeal, as soon as possible and within a maximum of ten (10) working days of having received the appeal.

5. The Deputy Vice-Chancellor (Academic) may determine that:
   a. there are not sufficient grounds for the appeal and the decision of the Student Conduct Committee or Faculty Investigation Committee stands; or
   b. there are sufficient grounds for the appeal, then the case is referred to either the Student Conduct Committee or Faculty Investigation Committee for reconsideration.

6. Where a case is referred back to an investigation Committee for reconsideration and there is a conflict of interest or perceived bias, the Deputy Vice-Chancellor (Academic) may change the members before referring the matter.

7. The Deputy Vice-Chancellor (Academic) will:
   a. advise the Student Services Division to update the case, appeal and outcome/referral on the Central Register;
   b. advise the relevant FIC Executive Officer to update the case, appeal and outcome/referral on the Local Register; and
   c. advise the student, AIO and any other relevant staff of the outcome/referral using the appropriate notice letter template for advice to the student.

8. The student has no further opportunity to appeal the decision within the University.

13 Conduct of Investigation Committees

13.1 Service of an Investigation Notice

1. Where a matter has been referred to a Faculty Investigation Committee or the Student Conduct Committee, the Executive Officer of that Committee must serve the student with a written Investigation Notice as soon as possible and within a maximum of ten (10) working days of the referral.

2. An Investigation Notice served must include:
   a. details of the allegation;
   b. reference to any rule, policy or code allegedly breached;
   c. advice on withholding assessment results (where relevant);
   d. an invitation to attend an interview at a given date, time and location;
   e. the option for the student to be assisted by a support person of their choice at the interview;
   f. attached copies of any documentation being considered (subject to any requirement to maintain the privacy or safety of another person) and any relevant rule, policy or code;
g. an invitation to the student to provide a written statement of how they wish to answer the allegation and any supporting evidence, including counselling reports in advance of the investigation interview; and

h. advice that, if the student chooses not to attend, the matter will be determined in their absence.

3. A notice may be served on a student either:
   a. personally within the University or elsewhere (e.g. at their residence); or
   b. by SOLSMail and email to their student email address.

4. If a notice is served by way of SOLSMail and email, it will be deemed to have been served on the student on the date on which the email was sent.

13.2 Investigation Committee Meetings

1. The Committee meeting should be held as soon as possible and within a maximum of twenty (20) working days of the date of service of the Investigation Notice, unless the Chair of the Committee grants an extension to the student or more time is required to collect necessary evidence.

2. Where a student is unable to attend:
   i. the campus for the meeting, including where the student is studying offshore or by distance, the discussion may be held over the phone or with the assistance of other technology (e.g. Skype or teleconferencing facilities); or
   ii. the specified time or date and advises the Executive Officer, reasonable attempts should be made to reschedule to a new mutually agreed time.

3. If a student wishes to submit documentation to the Committee, it must be provided at least two (2) working days before the Committee meeting. The following documents may be submitted:
   i. a written statement of how they intend to respond to the allegation;
   ii. other written material pertinent to their case, including professional report(s), statement(s) of extenuating circumstances, or character reference(s); or
   iii. the names of any witness(es) and/or any person supporting the student during the meeting in accordance with section 13.3.2(f).

4. With the permission of the Chair, late supporting documentation may be provided at the Committee meeting. In determining whether late documentation will be accepted the Chair must consider whether the evidence can be verified adequately at the meeting.

13.3 Conduct of Investigation

1. Where a student who has been given due notice chooses not to attend a Committee meeting, the Committee may investigate the matter or hear an appeal in the student’s absence.

2. In conducting an investigation meeting, a Committee will:
a. explain the allegation to the student and give the student the opportunity to respond to the allegation;

b. with the permission of the student, make an audio recording of the interview between the Committee and the student and attach to the Committee file;

c. give the AIO bringing the allegation and/or any other staff member or student involved in the event(s) leading up to the allegation an opportunity to be heard;

d. permit the student to be assisted or accompanied by a support person;

e. at the discretion of the Chair, permit any person appearing before the Committee to be assisted by a support person;

f. permit any support person attending the meeting to provide advice to the student and to address the Committee in a summary statement only; the support person is not permitted to interview witnesses or to address the Committee directly during interviews;

g. permit the student to nominate witnesses to appear to support their defence against the allegation;

h. permit any person appearing before the Committee in accordance with (d) above to nominate witnesses to appear to support their evidence;

i. disallow questions which it considers to be unseemly or irrelevant for the nature of its investigation;

j. caution all persons appearing before the Committee that they are expected to conduct themselves in a reasonable and responsible manner during the proceedings and that any form of behaviour which is an impediment to the proceedings will of itself be regarded as a breach of the Student Conduct Rules;

k. where there is reasonable concern by the Committee or any witness or participant in the proceedings that an individual’s safety may be compromised by contact with the student who is the subject of the allegation (e.g. where the student is subject to an Apprehended Violence Order), be entitled to allow the evidence to be presented without the student being present;

l. where the conduct of any person interferes with any other person’s right to be heard, be entitled to remove that person from the meeting and to hear their evidence separately;

m. in cases where the Committee makes a finding of academic misconduct, give the student the opportunity to be heard on the issue of outcome;

n. hold all its proceedings in private; and

o. keep an adequate record of the Committee meeting proceedings.

3. Decisions of a Committee are made by majority.

4. Where multiple investigations of alleged academic misconduct by a particular student undertaking coursework are taking place concurrently, the determination of an appropriate
outcome for the latter investigation/s may be deferred until the determination of an outcome for the former investigation has been made.

5. A comprehensive file of all relevant documentation, including records of the Committee proceedings, evidence presented and the Committee’s decision will be created, maintained and retained by Executive Officer of each committee in accordance with section 16 of this procedure.

13.4 Outcome of Investigation

1. As soon as practicable after a meeting of a Faculty Investigation Committee or Student Conduct Committee, and within a maximum of ten working days, the Chair of the Investigation Committee (or nominee), must serve the student with written notice of the outcome of the investigation using the appropriate notice letter template.

2. Where a High-Level Outcome is imposed, the notice will be signed by the Vice-Chancellor (or nominee).

3. A copy of the outcome notice served on a student must be provided to the Director, Student Services, for advice to other relevant officers of the University. Other details that should be provided include:
   - Student name
   - Faculty
   - Student Type – Undergraduate or Postgraduate
   - Student Type – International or Domestic
   - Student number
   - Subject code
   - Session
   - Type of Misconduct
   - Allegation
   - Name of the AIO who referred the matter to the FIC and the date they did so
   - Name of the person who chaired the FIC
   - Date the FIC met
   - Outcome
   - Details of SCC meeting (if relevant)

4. The Investigation Committee may determine to:
   a. Dismiss the allegation, in accordance with section 13.5; or
   b. Uphold the allegation, in accordance with section 13.6.

13.5 Allegation Dismissed

1. The Investigation Committee may determine:
   a. that neither academic misconduct or poor academic practice have occurred. The allegation will be dismissed and any outcome previously imposed will be quashed.
b. not to make a finding of \textit{academic misconduct} on the grounds that the conduct of the student represents \textit{poor academic practice} rather than \textit{academic misconduct}, and may impose a \textit{poor academic practice} outcome (quashing any previous outcome).

2. The \textit{Investigation Committee} will
   a. advise the FIC Executive Officer to update the record of the case on the \textit{Local Register};
   b. advise the student and the \textit{AIO} of the outcome using the appropriate notice letter template for advice to the student.

3. Where the case was heard by the Student Conduct Committee, as an appeal against the decision of the FIC, the Executive Officer to the Student Conduct Committee should remove the record of the case from the \textit{Central Register}.

13.6 \textbf{Allegation Upheld}

1. If the Investigation Committee finds that \textit{academic misconduct} has occurred, the allegation will be upheld.

2. The Investigation Committee will then determine the appropriate level of outcome. When doing so, consideration may be given to the factors listed in section 5.3.

3. Where an FIC has heard the case only Low-Level or Medium-Level Outcomes can be imposed. If the committee determines a High-Level Outcome is warranted the matter will be escalated to the SCC by the FIC (refer to section 11).

4. The Investigation Committee will:
   a. impose an outcome;
   b. advise the FIC Executive Officer to update the case and outcome on the \textit{Local Register}; and
   c. advise the student and the \textit{AIO} of the outcome using the appropriate notice letter template for advice to the student.

5. Where the case was heard by the Student Conduct Committee, the Executive Officer to the Student Conduct Committee should update the record of the case on the \textit{Central Register}.

6. Where the case was heard by the FIC, the FIC Executive Officer should advise the Student Services Division to update the case and outcome on the \textit{Central Register}.

14 \textbf{Suspension of Investigation Proceedings}

1. Any student misconduct investigation proceedings, including appeal proceedings, may be suspended by the Deputy Vice-Chancellor (Academic) if the student ceases to be enrolled at the University.

2. If student misconduct investigation proceedings are suspended, the Deputy Vice-Chancellor (Academic) will advise:
   a. the student that:
i. they have no automatic right to return to the University; and

ii. if they apply for re-enrolment, their application will only be considered pending the outcome of the investigation proceedings, which will be reinitiated; and

b. the Student Services Division to ensure that the record of the investigation on the Central Register is updated accordingly.

15 Extension of Time Limits

1. Any time limit set in this procedure may be extended at the discretion of the Subject Coordinator, AIO or Chair of the Committee, for example, to provide adequate time to gather evidence and convene a meeting or because of special circumstances demonstrated by the student.

2. If a time limit is extended the reason should be recorded and communicated to the student, prior to the expiration of the original time period.

16 Record Keeping

1. Cases of poor academic practice and academic misconduct by a student undertaking coursework resulting in a Low-Level outcome will be recorded on the Local Register by the FIC Executive Officer. Each faculty is responsible for creating and maintaining a Local Register.

2. Cases of academic misconduct by a student undertaking coursework resulting in a Medium-Level or High-Level Outcome will be recorded centrally by the Student Services Division.

3. The Student Services Division is responsible for developing and maintaining the Central Register.

4. All files relating to investigations of student misconduct will be retained and disposed of in accordance with the University’s Records Management Policy, the State Records Act 1998 and the General Retention and Disposal Authority GDA23. Records of the investigation may include evidence and other information gathered, records of investigation meetings (including minutes), summaries of investigations and outcomes of investigations.

5. Files relating to cases of academic misconduct by a student undertaking coursework that have been investigated by the Student Conduct Committee will be retained and disposed of by the Governance Unit.

6. The student has the right of access to copies of all records relating to the investigation.

17 Templates

1. Investigation and Outcome Notice Templates are available at:

<table>
<thead>
<tr>
<th>Version</th>
<th>Date Effective</th>
<th>Approved By</th>
<th>Amendment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1 Jan 2008</td>
<td>University Council</td>
<td>Procedure for Managing Alleged Academic Misconduct by a Student Undertaking Coursework accompanies Student Conduct Rules and replaces Rules for Student Conduct and Discipline.</td>
</tr>
<tr>
<td>2</td>
<td>20 May 2008</td>
<td>Vice-Principal (Administration)</td>
<td>Minor amendment to clause 7.6 to accommodate alleged academic misconduct during a University Examination.</td>
</tr>
<tr>
<td>3</td>
<td>5 Feb 2009</td>
<td>Deputy Vice-Chancellor (Academic)</td>
<td>Migrated to UOW Procedure Template as per Policy Directory Refresh</td>
</tr>
<tr>
<td>4</td>
<td>5 Feb 2010</td>
<td>University Council</td>
<td>References to Council Committee of Appeal (Student Discipline) amended to Council Committee of Appeal, and Committee membership amended, as per University Council resolution 2010/03.</td>
</tr>
<tr>
<td>5</td>
<td>Feb 2011</td>
<td>University Council</td>
<td>Major review</td>
</tr>
<tr>
<td>6</td>
<td>21 Jun 2011</td>
<td>Vice-Principal (Administration)</td>
<td>Updated to reflect change of name from Wollongong College Australia to UOW College.</td>
</tr>
<tr>
<td>7</td>
<td>5 Aug 2011</td>
<td>University Council</td>
<td>Clause 7.18 added to cross-reference General Course Rule regarding students not withdrawing from a subject that is part of a student misconduct investigation.</td>
</tr>
<tr>
<td>8</td>
<td>17 Jan 2013</td>
<td>Vice-Principal (Administration)</td>
<td>Updated to reflect title change from DVC(A) to DVC(E).</td>
</tr>
<tr>
<td>9</td>
<td>8 Feb 2013</td>
<td>University Council</td>
<td>Update to Table 5.1 and types and examples for “Facilitating Academic Dishonesty”.</td>
</tr>
<tr>
<td>10</td>
<td>11 Sept 2013</td>
<td>Chief Administrative Officer</td>
<td>Updated to reflect title change from VP(A) to CAO.</td>
</tr>
<tr>
<td>11</td>
<td>9 Mar 2015</td>
<td>Chief Administrative Officer</td>
<td>Administration amendment to correct clause references.</td>
</tr>
<tr>
<td>12</td>
<td>9 Jan 2017</td>
<td>Chief Administrative Officer and Deputy Vice-Chancellor (Academic)</td>
<td>Major review to streamline investigation and appeals and implement changes required by the new Academic Integrity Policy</td>
</tr>
</tbody>
</table>
Application

1. The conduct of UOW students who are undertaking study through Collaborative Partners is governed by the Student Conduct Rules and associated procedures, as defined in section 4 of the Student Conduct Rules.

2. The following modified features apply to management of alleged academic misconduct by a UOW student who is undertaking study through a Collaborative Partner. Where otherwise not stipulated, the Academic Misconduct (Coursework) Procedure applies without modification.

Authorised Officers

3. For the purposes of applying the Academic Misconduct (Coursework) Procedure to UOW students studying through a Collaborative Partner, the role of the Subject Coordinator will be undertaken by the Academic Program Director.

4. Allegations of misconduct escalated to an AIO or the Faculty Investigation Committee will be handled in accordance with the standard procedural provisions. These officers may use teleconferencing or video-conferencing facilities to conduct their duties.