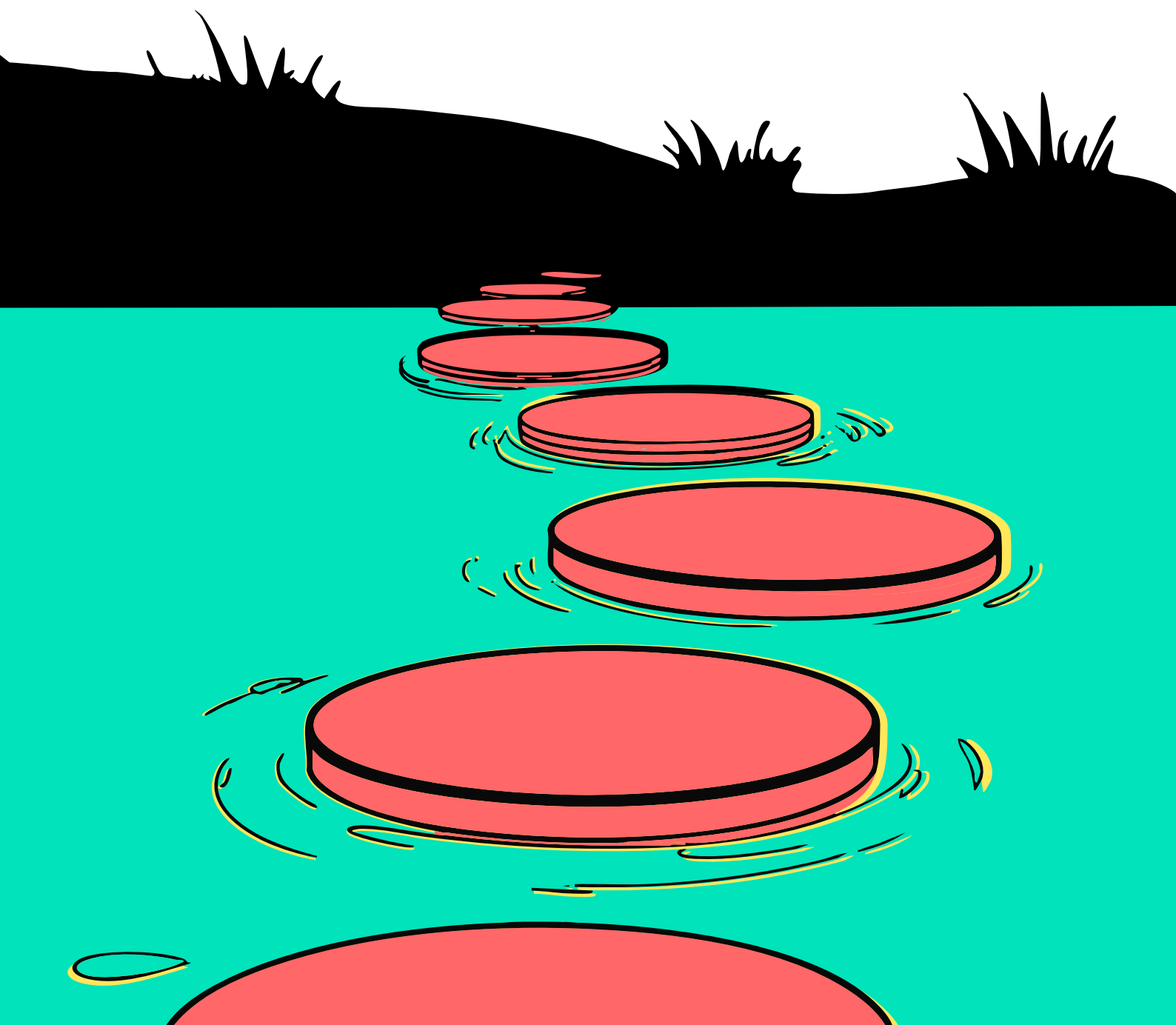




Funded by  
the European Union  
NextGenerationEU

# Compendium for Academic Integrity Case Management



# Table of Contents

---

Table of Contents .....	1
List of Tables .....	2
Message From N-TUTORR .....	3
<b>Section 1: Overview and Purpose of the Compendium .....</b>	<b>4</b>
Development of the Compendium.....	5
Objective of the Compendium .....	7
<b>Section 2: Policy .....</b>	<b>9</b>
Integrated Approach to Policy .....	10
Education & Training.....	12
Roles & Responsibilities .....	13
Third Parties .....	14
Detection & Investigation .....	15
Consideration, Classification & Sanction .....	17
Recording & Reporting .....	19
Review .....	19
Policy - Gap Analysis Findings .....	20
<b>Section 3: Procedures .....</b>	<b>30</b>
Education & Awareness Raising .....	31
Detection & Initial Investigation.....	32
Full Investigation .....	34
Consideration, Classification & Sanction .....	36
Independence & Mitigating Bias .....	38
Supporting Student Wellbeing.....	39
Procedures - Gap Analysis Findings .....	40
<b>Section 4: Reporting and Recording .....</b>	<b>51</b>
Recording & Reporting .....	52
GDPR & Data Protection.....	53
Scope of Records .....	53
Review and Use of Records .....	54
Reporting and Recording - Gap Analysis Findings.....	55
<b>Section 5: Training and Guidance for Staff and Students .....</b>	<b>58</b>
Education & Awareness Raising .....	59
Training & Skills Building .....	60
Guidance & Training for Those Involved in Academic Misconduct Processes.....	61
Training and Guidance for Staff and Students - Gap Analysis Findings .....	62
<b>Section 6: Next Steps.....</b>	<b>65</b>
Confirmation of Checklist Completion.....	66
Additional Resources .....	67

# List of Tables

---

Table 1: Gap Analysis Against Policy Checklist .....	20
Table 2: Gap Analysis Against Procedures Checklist .....	40
Table 3: Gap Analysis Against Reporting and Recording Checklist .....	55
Table 4: Gap Analysis Against Training for Staff and Students Checklist .....	62



**Compendium for Academic Integrity Case Management** by N-TUTORR is licensed under CC BY 4.0. To view a copy of this license, visit <https://creativecommons.org/licenses/by/4.0/>

The National Technological University Transformation for Recovery and Resilience Programme (N-TUTORR) is an innovative collaboration of higher education institutions from across the technological sector in Ireland aimed at transforming the student experience.

Academic Integrity is one of the six core themes that has underpinned the N-TUTORR Programme. Work package 3.1 of the N-TUTORR Programme has focused on Sustainable Learning and Pedagogical Environment: digitally enabled examinations / assessment embedding academic integrity. Its main aim is to equip staff and students with the tools and training to ensure honesty, trust and fairness in learning, teaching and assessment in the context of technological enhancements.

The Programme engaged closely with the National Academic Integrity Network (NAIN) which is focused on actively supporting higher education institutions to embed a culture of academic integrity among providers and to develop national resources and tools for providers to address the challenges presented by academic misconduct.

A joint N-TUTORR / NAIN Working Group was established to support and progress this project work: it identified a suite of specific activities to enhance the area of academic integrity across the sector, including:

- i. bespoke training for staff and students,
- ii. the implementation of tools to assist in academic misconduct investigations, and
- iii. the development of implementation guidelines/toolkit to assist institutions in using the Case Management Framework (CMF) for Academic Misconduct and Case Management Investigations.

We wish to thank the various N-TUTORR partner institutions for their valuable contributions to this project which will be shared widely across the sector.



**n→TU  
TORR**

# **Section 1**

## **Overview and Purpose of the Compendium**

# Development of the Compendium

---

The National Academic Integrity Network (NAIN) [Framework for Academic Misconduct Investigation and Case Management](#) (CMF) was published in August 2023. The CMF, which is informed by best practice nationally and internationally, is intended to support Irish higher education institutions (HEIs) in developing, reviewing, revising, and adapting policies and procedures related to the management of academic misconduct. It sets out a framework for HEIs to manage the full lifecycle of academic misconduct cases from education and awareness raising through detection, investigation and sanctioning of confirmed misconduct. As part of its academic integrity workstream, N-TUTORR commenced a project to develop guidelines for HEIs on the implementation of the CMF. Consultation with N-TUTORR partner institutions conducted as part of that project revealed a need for a compendium of resources, including a checklist tool, to support HEIs currently considering and adapting their approaches to managing academic misconduct. Consequently, this compendium was developed.<sup>1</sup> It has been informed by the requirements of the CMF; good practice in Irish and other international HEIs; and the Governance Assurance Matrix for Academic Integrity (GAMAI) developed by Sharon Andrews and Irene Glendinning.<sup>2</sup>

This compendium brings together the components needed by higher education institution (HEIs) when developing comprehensive frameworks for managing academic misconduct cases. It serves as both a practical guide and a reflective resource, aimed at strengthening and promoting a culture of academic integrity. The development of the compendium was initially inspired by the NAIN Case Management Framework, which provided a valuable starting point in understanding the approaches that HEIs must adopt to adequately and appropriately manage academic misconduct. The fruits of an exploration of good practice nationally and internationally, and engagement with N-TUTORR partner institutions, is a collection of resources that extends beyond the CMF. It is intended as a practical reference tool for HEIs engaged in the development, review and/or revision of academic misconduct frameworks. Whether a HEI is starting from a blank page or refining existing approaches and processes, this compendium offers a wealth of guidance and exemplars from which to draw. Each section includes comprehensive checklists illustrated by real-world examples and concludes with a gap analysis tool to inform and support local activity. Ultimately, this compendium aims to contribute to the sector-wide enhancement of academic integrity practices, offering a common foundation for continuous improvement and peer learning.

---

<sup>1</sup> This compendium was compiled by Dr Deirdre Stritch on behalf of N-TUTORR.

<sup>2</sup> Andrews, S., Glendinning, I. (2023). Governing Academic Integrity: Conceptualizing the Assurance and Efficacy of Strategies and Outcomes. In: Eaton, S.E. (eds) Handbook of Academic Integrity. Springer, Singapore. [https://doi.org/10.1007/978-981-287-079-7\\_185-1](https://doi.org/10.1007/978-981-287-079-7_185-1)

The authors gratefully acknowledge the openness and generosity of N-TUTORR institutions that shared their plans and experiences to date in developing coherent, institution-wide approaches to managing and addressing academic misconduct, and who offered insights into both the successes and challenges faced in that regard. Their willingness to candidly reflect on their experiences and lessons learned was critical in informing a resource which is grounded in the realities faced by higher education institutions.

# Objective of the Compendium

---

This compendium is intended to support HEIs to design and develop policies, procedures and systems to appropriately and effectively manage academic misconduct. To that end, it identifies actions and collates resources under the four key domains of activity a HEI will need to address: policy, procedures, reporting and recording systems, and training and guidance for staff and students. The checklist for each domain addresses (as appropriate) the six dimensions of the CMF:

- Education & Awareness Raising
- Detection & Initial Investigation
- Full Investigation
- Consideration, Classification & Sanction
- Recording & Reporting
- Review

In recognition of the autonomy and unique contexts and organisational structures of individual institutions, the four checklists do not set out a detailed and prescriptive set of steps which must be implemented uniformly and in their totality within and across institutions. Similarly, specific roles and/or organisational units are not named or are only referred to using generalised terminology. Rather, the checklists identifies a set of high-level actions, which can be addressed in a variety of ways as appropriate to each institutional setting. In some instances, checklist items are accompanied by prompt questions or ‘considerations’ to be reflected upon when determining how to address that item most effectively within a given HEI.

Where possible, the four checklists have also been supplemented with links to additional guidance and templates of good practice. Many of these are drawn from the technological sector in Ireland; others are drawn from other Irish and international HEIs. The compendium is intended to be a ‘living document’ and will continue to be updated with additional links and resources, including case studies, as they become available. Each checklist concludes with a gap analysis tool designed to enable HEIs to identify those areas of policy and practice in which they are in alignment with the checklist items, highlight where enhancements or additional actions are required, and record the key roles responsible for leading on actions, as well as related completion deadlines.

The approach to managing academic misconduct reflected in this document is informed by a commitment to developing and embedding institution-wide cultures of accountability for academic integrity. That culture promotes student wellbeing, as reflected in:



1. Clear, transparent and easily accessible policies.
2. Procedures that ensure due process and have appropriate regard for GDPR and data protection.
3. The provision of academic integrity guidance and academic skills training (preventative approaches).
4. Enhanced, UDL-informed approaches to assessment design and delivery.
5. Educative and proportionate responses to academic misconduct.
6. Comprehensive supports for students undergoing disciplinary processes.
7. Guidance and training for student representatives involved in disciplinary processes.

Please note that this compendium is concerned with steps to manage *student* academic misconduct only: it does not address the facilitation or enabling of student academic misconduct by postdoctoral researchers and academic staff (e.g., by providing assessment answers to students, ignoring or minimising academic misconduct in their classrooms, supplying contract cheating services (i.e., supplying assignment materials or providing assignment writing services etc.) either directly to learners or via a third party, or by engaging or modelling poor academic practice themselves). HEIs are, however, strongly encouraged to ensure that staff policies, procedures and contracts adequately address this issue.

$n \rightarrow$  TU  
TORR

# Section 2

## Policy

# Integrated Approach to Policy

---

1. Academic integrity policies are developed in consultation with academic faculty, professional staff and students.
2. Academic integrity policies are easy-to-locate/read, well written, clear and concise. The policy uses plain English, logical headings, provides links to relevant resources and the entire policy is downloadable as an easy-to-print and easy to-read document.

## Examples of good practise<sup>3</sup>:

- [IADT Academic Integrity Policy](#) (clear procedural steps and sanctions for different classifications of academic misconduct)
- [University College Dublin Academic Integrity Policy](#) (provides examples of types of behaviour and practice that constitute academic misconduct)
- [University of Galway Academic Integrity Policy](#) (clear and detailed description of processes)
- [Macquarie University Academic Integrity Policy](#) (clearly outlines roles and responsibilities and provides examples of acceptable and unacceptable practice)
- [University of New South Wales \(UNSW\) Academic Integrity Policy](#) (includes definitions and examples of different types of academic misconduct and outlines roles and responsibilities)
- [T U Dublin Academic Integrity Policy](#) (clear and accessible with a strong focus on whole of institution and educative approaches to managing misconduct)
- [UL Academic Integrity Policy](#) (clear description of all roles and responsibilities and explicitly references relevant Irish law and NAIN guidelines and frameworks)

3. A review of all relevant, related policies and procedures is undertaken to ensure that the academic integrity policy does not contravene or contradict the implementation of other related institutional policies and procedures; for example assessment regulations or the policy on marks and standards, to ensure that a consistent and coherent approach to managing academic misconduct is in place.

---

<sup>3</sup> Please be advised that linked policies have been selected for the positive aspects of their overall approach, design, presentation and accessibility and not because they include all aspects relevant to the implementation of the CMF.

4. Codes of conduct for students and/or student handbooks are updated to reflect academic integrity policies, procedures and related reporting and recording systems.

**Examples of good practise:**

- [Swansea University Student Charter](#) (links directly to academic integrity webpages and policy)
- [University of Calgary Academic Integrity Student Handbook](#) (comprehensive dedicated handbook)
- [Trinity College Dublin Academic Integrity Policy](#) (Requires programme handbooks to contain Trinity's specified section on academic integrity)

5. HEI webpages and virtual learning environments (VLEs) dedicated to academic integrity carry links to relevant policies and procedures and contain accessible, student-oriented information, guidance and examples of acceptable and unacceptable practice.

**Examples of good practise:**

- [Academic Integrity at the University of Melbourne](#) (clear and easy-to-read descriptions of what constitutes acceptable and unacceptable practice with links to more detailed information and guidance, as well as university policy and procedures)
- [Academic Integrity and Academic Misconduct at Swansea University](#) (Useful collection of descriptions, links and resources presented in a variety of easy-to-access formats)
- [UCC Library – Academic Integrity Information and Resources](#) (contains useful discussion illustrating key concepts)
- [RMIT Learning Lab – Academic Integrity](#) (helpful and accessible, real-world descriptions of acceptable and unacceptable practice)
- [UC San Diego Academic Integrity Top 10 Tips for Students](#) (helpful, multi-faceted advice and guidance for students on how to engage in their work ethically and a reminder of the supports in place in the university should they be needed)

# Education & Training

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

6. Academic integrity is viewed as an educative process and is referred to as such in the introductory sections of the policy. There is a clear statement of purpose and values with a genuine and coherent institutional commitment to academic integrity through all aspects of the policy.

## Examples of good practise:

- [TU Dublin Academic Integrity Policy](#)
- [University of New South Wales \(UNSW\) Academic Integrity Policy](#)

7. The approach to managing academic misconduct outlined in the policy is informed by a commitment to maintaining and supporting student wellbeing.
8. The policy promotes a culture of open and supportive communication, where students and staff are encouraged to have frank, open and honest conversations about academic misconduct.
9. The policy includes provision for the enhancement of assessment design and other mitigation measures. Strong assessment design is supported, for example, through the application of UDL.

## Considerations:

- ✓ Have other relevant institutional policies also been reviewed and updated to reflect the direction and provisions of the academic integrity policy?
- ✓ Have the resource implications of supporting large-scale review and enhancement of teaching, learning and assessment methodologies been considered and addressed?

## Examples of good practise:

- [IADT Academic Integrity Policy](#) (policy explicitly endorses the principles of UDL)

# Roles & Responsibilities

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

10. The policy clearly outlines the responsibilities of all relevant stakeholders, including university management, academic and professional staff, and students.
11. The policy ensures that students know that it is their responsibility to:
  - Be familiar with the academic protocols, rules and conventions that relate to the assessment of their module and programme.
  - Ensure that all work submitted by way of assessment is fully their own, or that of the group in the case of group work.
  - Ensure that all the assessment items they submit are the assessment artefacts for which they wish to be assessed.
12. Students are required to sign academic integrity declarations when submitting work to be assessed.

## Examples of good practise:

- [Victoria University Assessment Declaration Form](#)
- [TU Dublin Student Assessment Declaration](#)
- [UCD Student Assessment Submission Form](#)
- [The Open College Assessment Declaration Form](#)

## Third Parties

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

13. The policy explicitly and clearly outlines roles and responsibilities for managing academic misconduct on joint and/or collaborative programmes, such that there is mutual understanding of what (and whose) policies and procedures apply, and that there is consistency of practice for learners. Where relevant, it is also clear whether and how policies and procedures are implemented on any overseas campuses.
14. Where relevant, the policy explicitly and clearly outlines roles and responsibilities for managing academic misconduct in any linked providers.<sup>4</sup>
15. The policy outlines mechanisms to routinely monitor, identify and respond to misuse of HEI logos; IP etc. by essay mills or student file sharing sites.

### Considerations:

- ✓ Who is responsible for investigating and addressing the misuse of HEI logos; IP etc. by essay mills or student file sharing sites?
- ✓ Is a record maintained of all contact with third parties, and outcomes of such interactions, in relation to the misuse of HEI logos; IP etc. by essay mills or student file sharing sites?
- ✓ Are template letters available to inform communication with third parties in relation to the misuse of HEI logos; IP etc?

### Template:

- [Template letters used by De Monfort University](#) when contacting file-sharing websites to have copyrighted material removed.

---

<sup>4</sup> QQI (2016). Statutory Quality Assurance Guidelines developed by QQI for Designated Awarding Bodies. "A linked provider is a provider that is not a designated awarding body but enters into an arrangement with a designated awarding body under which arrangement the provider provides a programme of education and training that satisfies all or part of the prerequisites for an award of the designated awarding body.", p. 1, fn. 1.

# Detection & Investigation

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

16. The policy confirms that all cases of suspected academic misconduct are investigated.
17. The policy differentiates between deliberate misconduct and poor academic writing or other relevant assessment skills, and enables students to be supported and educated to avoid academic misconduct.
18. Investigations can take place in relation to any form of assessment (formative and summative); and any work submitted for assessment at any level (undergraduate, postgraduate and for taught or research based academic work).
19. Investigations are instigated as soon as an incident of academic misconduct is suspected and completed as quickly as possible. However, the policy makes provision for retrospective investigation, including following completion of an academic programme and/or following the granting of an award to a student.

## Considerations:

- ✓ Are there mechanisms in place to engage with relevant professional, statutory and regulatory bodies (PSRBs) in cases involving graduates in regulated areas?
- ✓ Is there a role identified with responsibility for engaging with PSRBs in cases involving graduates in regulated areas?
- ✓ Are procedures for engaging with PSRBs in relation to cases of academic misconduct compliant with GDPR requirements?
- ✓ Have fitness-to-practise policies and procedures been reviewed and updated to adequately address academic misconduct and cohere with the academic integrity policies and related procedures?
- ✓ Are there provisions in place to revoke awards where very serious academic misconduct has been confirmed in relation to graduates?

## Examples of good practise:

- [Academic Integrity and Fitness to Practise at TU Dublin](#)



20. Any student investigated for academic misconduct is presumed innocent until proven otherwise through an investigation and subsequent upholding of a case.
21. The policy supports the development and implementation of investigative and disciplinary processes that ensure due process for students suspected or alleged to have engaged in academic misconduct.
22. Students are made aware in the VLE and in relevant documentation (such as in student and programme handbooks) of any software used to monitor, detect or investigate cases of academic misconduct.
23. Students are incentivized to admit their academic misconduct at an early stage in the investigative process, for example, by reducing sanctions to reflect cooperation and acknowledgement of wrongdoing on the part of the student.

#### Examples of good practise:

- [University of Galway Academic Integrity Policy](#)

24. The investigator's opinion at the conclusion of the initial investigation stage determines whether a case progresses to a full investigation stage and associated pathway for a full disciplinary hearing if required.

#### Considerations:

- ✓ Who is responsible for conducting initial investigations of suspected cases of academic misconduct?
- ✓ What, if any, specialised support is available (locally or centrally) to support staff in conducting initial investigations into suspected cases of academic misconduct?
- ✓ What, if any training, is provided to staff in conducting initial investigations into suspected cases of academic misconduct?
- ✓ What measures are taken to ensure consistency of practice in how initial investigations are conducted within and across programmes in the institution?

# Consideration, Classification & Sanction

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

25. The policy outlines how the classification of academic misconduct (e.g., as poor practice, minor or serious misconduct) impacts on escalation within the HEI. The policy also clarifies when escalation is required. Intervention points are clearly delineated.

## Examples of good practise:

- [TU Dublin Academic Integrity Procedures](#)
- [IADT Academic Integrity Policy](#)

26. The principles of consistency, equity and fairness govern the management of all investigations conducted, as well as the sanctions applied to academic misconduct. Sanctions are correlated with the severity of the academic misconduct and/or the student's history of engaging in academic misconduct.
27. In determining the level of severity of misconduct, consideration is given to:
- The nature of the alleged misconduct e.g., a poor approach to referencing, contract cheating etc;
  - The stage that the student is at in the programme;
  - The assessment modality;
  - Whether the assessment was low-stakes or high-stakes;
  - Any effort to induce other students to engage in academic misconduct;
  - Whether this was a first or subsequent offence;
  - Any extenuating circumstances
28. The investigation of academic misconduct is based on the actions of the student rather than their submission of a defense of not intending to engage in academic misconduct.
29. In instances of serious academic misconduct, or where a student has a record of previous alleged, investigated, or upheld academic misconduct, on programmes that lead to professional registration with a fitness to practise requirement, cases may be referred to the relevant Fitness to Practise Committee.

**Considerations:**

- ✓ Are there mechanisms in place to engage with relevant professional, statutory and regulatory bodies (PSRBs) in cases involving regulated areas?
- ✓ Is there a role identified with responsibility for engaging with PSRBs in cases involving students in regulated areas (e.g., in relation to postgraduate or CPD programmes aimed at professionals who are already registered with a PSRB)?
- ✓ Are procedures for engaging with PSRBs in relation to cases of academic misconduct compliant with GDPR requirements?
- ✓ Have fitness-to-practice policies and procedures been reviewed and updated to adequately address academic misconduct and cohere with the academic integrity policies and related procedures?

30. Academic misconduct is established to have occurred based on 'the balance of probabilities' rather than 'beyond all reasonable doubt'.
31. All members of disciplinary panels or committees (including student representatives) receive adequate and appropriate training so that they are fully informed of the HEI's expectations of them in carrying out their role, and of the consequences of the disciplinary process.
32. Where academic misconduct has been established, steps are taken to determine an appropriate sanction: including educational steps aimed at preventing any further engagement in academic misconduct by the student.
33. All students who have acted inappropriately are directed to academic integrity training.

**Considerations:**

- ✓ Where and how is this training provided?
- ✓ Who records that the student has engaged appropriately and adequately with the training?
- ✓ Who determines whether the student requires additional or more focused training than that already or automatically provided?
- ✓ Is a record of the student's misconduct maintained so that any subsequent academic misconduct can be appropriately addressed (see Section 4 below)?
- ✓ How is the impact of any training provided evaluated/measured?
- ✓ How does the HEI ensure that the content of the training remains current and up to date?

## Recording & Reporting

---

34. All instances of academic misconduct are recorded to ensure that the HEI has a comprehensive insight into, and understanding of, the nature of academic misconduct it must address. A track record is also maintained of individual student's engagement in academic misconduct so that sanctions imposed are proportionate and take account of repeat misconduct.

### Examples of good practise:

- [University of Limerick Academic Integrity Policy](#)
- [University of Galway Academic Integrity Policy](#)
- [TU Dublin Academic Integrity Policy](#)
- [Trinity College Dublin Academic Integrity Policy](#)

## Review

---

*Many of the examples of policy linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

35. Academic integrity policies and procedures are subject to periodic review and enhancement based on learnings from the period under review and informed by national and international best practice.

### Considerations:

- ✓ Who is responsible for the academic integrity policy and its monitoring, review and enhancement?
- ✓ How is it ensured that the policy is maintained current in light of the rapidly evolving academic integrity landscape?
- ✓ How does the HEI ensure that all relevant stakeholders (including students) are involved in informing revisions of the policies and procedures?

36. Audits of the policy are intended to confirm whether there is widespread compliance by staff and students. Evaluation seeks to provide assurance of the efficacy, consistency, transparency and fairness of policies.
37. The management and enhancement of the academic integrity policy (and related procedures and systems) is embedded within quality assurance processes and the institutional quality assurance cycle.

## Policy - Gap Analysis Findings

The table below provides a structured gap analysis of institutional compliance with the Policy Checklist. It enables the HEI to identify areas of alignment, highlight where enhancements or additional actions are required, and record the key roles responsible for leading on actions along with related completion deadlines.

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
1.	Policy developed in consultation with academic faculty, professional staff and students.						
2.	Policies are easy to locate and read, are well written, clear and concise, use plain English, logical headings, and provide links to relevant resources. Policy is downloadable as an easy-to-print and read document.						
3.	All relevant, related policies and procedures are reviewed to ensure coherence with academic integrity policy, e.g. policy on marks and standards, such that a consistent and coherent approach to managing academic misconduct is in place.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
4.	Codes of conduct and/or student handbooks are updated to reflect academic integrity policies, procedures and related reporting and recording systems.						
5.	Institutional webpages and virtual learning environments (VLEs) dedicated to academic integrity carry links to relevant policies and procedures and contain accessible, student-oriented information, guidance and examples of acceptable and unacceptable practice.						
6.	Academic integrity is viewed as an educative process and referred to as such in the introductory sections of the policy. There is a clear statement of purpose and values with institutional commitment to academic integrity through all aspects of the policy.						
7.	Policy is informed by a commitment to maintaining and supporting student wellbeing.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
8.	A culture of open and supportive communication is promoted. Students and staff are encouraged to have frank, open and honest conversations about academic misconduct.						
9.	Provision included for enhancement of assessment design and other mitigation measures. Strong assessment design is supported, e.g., through UDL.						
10.	Responsibilities of all relevant stakeholders outlined, including university management, academic and professional staff and students.						
11.	Policy ensures students know their responsibilities: i. Be familiar with the academic protocols, rules and conventions. ii. Ensure all assessment is fully their own/that of the group. iii. All the assessment items they submit are those for which they wish to be assessed.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
12.	Students required to sign academic integrity declarations when submitting assessments.						
13.	Roles and responsibilities for management of academic misconduct outlined on joint and/ or collaborative programmes. Clear whether and how policies and procedures are implemented on overseas campuses, if appropriate.						
14.	Roles and responsibilities outlined re management of academic misconduct in linked providers.						
15.	Mechanisms outlined to routinely monitor, identify and respond to misuse of HEI logos; IP etc. by essay mills or student file sharing sites.						
16.	All cases of suspected academic misconduct are investigated.						



Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
17.	Deliberate misconduct is differentiated from poor academic writing or other relevant assessment skills. Students supported and educated to avoid academic misconduct.						
18.	Investigations take place in relation to any form of assessment (formative and summative); at any level (undergraduate, postgraduate and for taught or research-based academic work).						
19.	Investigations are instigated as soon as academic misconduct is suspected and completed as quickly as possible. Policy makes provision for retrospective investigation, including following completion of an academic programme and/or following the granting of an award.						
20.	Students investigated for academic misconduct presumed innocent until proven otherwise through an investigation and subsequent upholding of a case.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
21.	Investigative and disciplinary processes ensure due process for students suspected or alleged to have engaged in academic misconduct.						
22.	Students are made aware in the VLE and relevant documentation of any software used to monitor, detect or investigate cases of academic misconduct.						
23.	Students are incentivized to admit their academic misconduct at an early stage.						
24.	The investigator's opinion at the conclusion of the initial investigation stage determines whether a case progresses to full investigation and associated pathway for a full disciplinary hearing if required.						
25.	Policy outlines how the classification of the misconduct impacts on escalation within the HEI, and clarifies when escalation is required. Intervention points are clearly delineated.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
26.	Principles of consistency, equity and fairness govern the management of all investigations conducted, as well as the sanctions applied for academic misconduct. Sanctions are aligned with the severity of the academic misconduct and/or the student's history of engaging in academic misconduct.						
27.	<p>In determining the level of severity of misconduct, consideration is given to:</p> <ul style="list-style-type: none"> <li>i. the nature of the alleged misconduct</li> <li>ii. the programme stage;</li> <li>iii. the assessment modality;</li> <li>iv. whether the assessment was low or high-stakes;</li> <li>v. Any effort to induce other students to engage in academic misconduct;</li> <li>vi. whether it was a first or subsequent offence;</li> <li>vii. any extenuating circumstances</li> </ul>						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
28.	Investigation is based on the actions of the student rather than a defense of not intending to engage in academic misconduct.						
29.	Investigation of academic misconduct on programmes leading to professional registration with a fitness to practice requirement, may be referred to a Fitness to Practice committee in cases of severe academic misconduct and/or where academic misconduct related to the student were previously alleged, investigated, and/or upheld.						
30.	Academic misconduct is determined based on ‘the balance of probabilities’ rather than ‘beyond all reasonable doubt’.						
31.	All members of any disciplinary panels or committees (including student representatives) receive training and are fully informed of the their role, and of the consequences of the disciplinary process.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
32.	Confirmed academic misconduct results in appropriate sanction, including educational steps aimed at preventing any further academic misconduct by the student.						
33.	All students who have acted inappropriately are directed to academic integrity training.						
34.	All instances of academic misconduct are recorded. Track records are maintained of individual student's engagement in academic misconduct so that sanctions imposed are proportionate and take account of repeat misconduct.						
35.	Policies and procedures are subject to periodic review and enhancement based on learnings from the period under review and informed by national and international best practice.						

Checklist Item	Policy Element	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
36.	Policy audits seek to confirm widespread compliance by staff and students. Evaluation seeks to provide assurance of efficacy, consistency, transparency and fairness.						
37.	Management and enhancement of the academic integrity policies, procedures and systems is embedded within QA processes and the institutional QA cycle.						

$n \rightarrow$  TU  
TORR

# Section 3

## Procedures

# Education & Awareness Raising

---

1. Systems are in place to enable the implementation of the academic integrity policy including procedures, resources, modules, training, seminars and professional development activities, as well as mechanisms to facilitate student awareness and understanding of the policy.
2. All staff members and students are made aware of the relevant policy and procedures. These are disseminated in UDL-accessible form. Training is provided for staff, and academic support is provided for students.
3. A student honour code is in place and is promoted as part of student orientation and academic integrity education.

## Examples of good practise:

- [General guidance and suggestions on formatting honour codes from Yale University](#)

4. There is a separate student assessment declaration requiring students to state that they have acted ethically and have not breached the HEI's academic integrity policy, which must be submitted with each assessment.

## Examples of good practise:

- [Victoria University Assessment Declaration Form](#)
- [TU Dublin Student Assessment Declaration](#)
- [UCD Student Assessment Submission Form](#)
- [The Open College Assessment Declaration Form](#)

5. The assessment declaration also confirms that no un-authorised content generation (UCG) was used to complete the assessment.



# Detection & Initial Investigation

---

6. All steps of the investigate and disciplinary processes are designed to ensure due process for students suspected or alleged to have engaged in academic misconduct.
7. Competent strategies are employed consistently across disciplines by appropriately trained personnel in exam settings to identify alleged academic misconduct.

## Considerations:

- ✓ How are exam invigilators trained and by whom?
- ✓ Is the escalation process upon identification of an instance of academic misconduct clear for exam invigilators (e.g. who is the key liaison person within the Examinations Office)?

8. Detection and investigation methods and approaches support education and awareness through the engagement of students, and enable conversations between staff and students, as well as feedback opportunities.

## Examples of good practise:

- [University of Galway Academic Integrity Policy](#)
- [UNSW 'Courageous Conversations'](#)

9. Where a suspicion of academic misconduct arises, an evidentiary approach is adopted to support investigations. The approaches adopted enables the investigator to objectively ascertain the extent and seriousness of the misconduct.

## Examples of good practise:

- [UCL Student Academic Misconduct Procedure](#)
- [DCU Procedure for Academic Misconduct Investigation and Sanction](#)
- [TU Dublin Academic Integrity Procedures](#)
- [Trinity College Dublin Procedures in Cases of Suspected Academic Misconduct](#)

10. Staff are provided with tools, guides and checklists (e.g., text matching software, TEQSA Toolkit and the NAIN Principles for Education and Investigation) to support detection, documentation and categorisation of academic misconduct. Staff have access to proprietary investigation tools, including appropriate licenses.

**Considerations:**

- ✓ Who is responsible for identifying appropriate software and tools for use and for acquiring relevant licenses?
- ✓ Who is responsible for developing (and updating) relevant guides and checklists?
- ✓ Who ensures that staff receive appropriate training and use the tools and guides to support detection, documentation and categorisation of academic misconduct? Is this subject to monitoring and review, and by whom?

11. Staff members use templates/checklists etc. and other means to make a judgement about an item of submitted assessment.

**Considerations:**

- ✓ Who designs and maintains templates and checklists and ensures that they remain current?
- ✓ Who ensures that staff use the tools and guides to support detection, documentation and categorisation of academic misconduct? Is this subject to monitoring and review, and by whom?

12. The assessor is responsible for investigating Level 1 infringements. Staff with specialist expertise investigate Level 2 and 3 infringements. This principle is included in the academic integrity policy and is widely and frequently communicated to staff and students. Specific legal advice is sought when needed.

**Considerations:**

- ✓ How are staff with relevant specialist expertise identified (are permanent investigative support roles in place or are relevant skills identified on a case- by-case basis)? Are there role descriptors available?
- ✓ Do workload allocation models allow provision for the involvement of staff in the management of academic misconduct, through for example investigations or the provision of specialist advice and guidance to support investigations?
- ✓ How and where are Level 1 infringements recorded and by whom?

# Full Investigation

---

*Many of the examples of procedures linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

13. Suspected cases of moderate or serious academic misconduct are referred to an appropriate investigator and decision-maker or the appropriate next level.

## Considerations:

- ✓ Who refers or escalates suspected cases of academic misconduct to the next level and is this recorded?

14. Staff carefully examine each aspect of the assessment and other relevant sources of evidence, and identify every aspect that is a cause for concern. Staff conduct an interview with the student to ascertain his/her familiarity with the contents of the assessment.

## Considerations:

- ✓ Are templates available to staff to facilitate and ensure consistency of the investigative process and to inform communication with students and any other parties?
- ✓ Are 'scripts' / guides available to staff to inform interviews with students?

15. Suspected academic misconduct is investigated as a lay proceeding, using the standard from civil law, where the 'balance of probabilities' is the relevant test to which allegations are subjected. The balance of probabilities is based on 'clear and convincing evidence' that it is more likely than not that the allegation is true. This is less demanding than the legal test of 'beyond reasonable doubt'.

16. Staff assessing student work are provided with adequate support. More complex investigations receive additional or specialised support (e.g. expert investigators for a doctoral thesis). Staff who have responsibility for overall management of academic misconduct processes are also provided with adequate resources, support and training.

## Considerations:

- ✓ Are templates available to staff to facilitate and ensure consistency of the investigative process and to inform communication with students and any other parties?
- ✓ Are 'scripts' / guides available to staff to inform interviews with students?

## Examples of good practise:

- [University of Galway Academic Integrity Policy](#) (see role of Academic Integrity Advisors)
- [DkIT Academic Integrity Policy and Procedures](#) (see Plagiarism Advisor Role Descriptor)
- [University of Limerick Academic Integrity Policy](#) (see Academic Integrity Champion Responsibilities)

17. A range of evidence is collected and summarised that clearly and convincingly establishes that academic misconduct is highly probable, including a) textual evidence b) knowledge of the student's academic and linguistic abilities.

## Considerations:

- ✓ Is there a standardised format or templates for the recording and presentation of such evidence?

18. Investigators use a range of text-matching tools and other relevant software (e.g., AI detection software where appropriate) to identify where academic misconduct has potentially occurred, and use a bank of recorded knowledge to identify possible sources or mechanisms for text copying. Weight is given to each piece of evidence, based on common sense, everyday experience, and experience of previous academic misconduct cases. It is clearly highlighted to students in the VLE and in relevant documentation (such as in student and programme handbooks) that such software is being used.

## Considerations:

- ✓ How is the cumulative knowledge generated through investigating suspected academic misconduct cases collated, stored and made available to staff in order to support and inform future detection and investigation work?
- ✓ Who is responsible for collating and recording such information, e.g., are staff 'debriefed' by an academic integrity officer or equivalent post every case in which an allegation of academic misconduct is upheld?
- ✓ Are templates provided for collating and recording such information?

19. All the evidence is evaluated to form an overall picture that provides clear and convincing evidence on the 'balance of probability' that academic misconduct has or has not occurred.

## Considerations:

- ✓ Who evaluates the evidence to determine whether academic misconduct has or has not occurred and how and when does this happen?

20. Students have an opportunity to explain and demonstrate, either in person (face to face/ teleconference) or in writing, how they developed their assessment. The student is supported appropriately in this process and may have a support person present, such as student union representative. The investigator(s) outline what they have found. The independent chair of the meeting writes up agreed minutes of the meeting and these are made available to a disciplinary hearing.

**Considerations:**

- ✓ Who may act as a support person to the student? Are there any restrictions on who may act as a support person (for example, can the student be accompanied by formal legal representation?)?
- ✓ What is the role of the support person, e.g., may they speak on behalf of the student?
- ✓ What training is provided for student union officers who engage in disciplinary processes, either as a support person or as a member of the disciplinary committee?

21. Responsibility for convening meetings of investigator(s) and students is allocated to specified staff member(s), and resources are identified to allow meetings to take place and to be properly recorded and documented.

**Considerations:**

- ✓ Where are meeting records and related documentation saved, and for how long?
- ✓ Who has access to such records and related documentation?

## Consideration, Classification & Sanction

---

*Many of the examples of procedures linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

22. Where, following investigation, it is considered that there is a case, the alleged misconduct is classified by its type and severity (Levels 1 - 3, poor academic practice, minor misconduct and major misconduct) prior to further consideration. This includes details of any mitigating factors, including whether the student admits to the misconduct. Classifications also account for factors such as the student's stage within the programme, recidivism, extenuating circumstances, where an admission has been made by the student etc.

## Examples of good practise:

- [TU Dublin Academic Integrity Procedures](#)
- [DCU Procedures for Academic Misconduct Investigation and Sanction](#)
- [University of Galway Academic Integrity Policy](#) and [Outcomes for Student Breach of Academic Integrity](#)
- [IADT Academic Integrity Policy](#) (see Appendix 1 - Appendix 1: Penalties for Academic Misconduct)
- [Trinity College Dublin Procedures in Cases of Suspected Academic Misconduct](#)

23. Level 1 cases are typically managed at a local level (e.g., within the academic department), and level 2 and level 3 cases are referred to an academic integrity investigator or an investigative panel for management at institutional level. Academic misconduct within examination settings is not considered a level 1 infringement.
24. The academic integrity investigator or the investigative panel may invite relevant individuals to comment on the matter.
25. The academic integrity investigator or the investigative panel determines whether academic misconduct has in fact occurred, the extent of the misconduct in relation to insights and explanations provided by relevant individuals and any mitigating circumstances.
26. In determining the severity of the alleged academic misconduct and the appropriate sanction, consideration is given to the following elements:
  - The student's stage of academic advancement;
  - The extent of the alleged academic misconduct;
  - The evidence available;
  - Professional, Regulatory, Statutory Body (PRSB) and/or fitness to practise requirements;
  - The impact of the alleged misconduct on the candidate's overall result;
  - Admissions of guilt;
  - Previous record of academic misconduct.

# Independence & Mitigating Bias

---

*Many of the examples of procedures linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

27. The academic integrity investigator or the investigative panel passes the evidence to another committee for determination and sanction to eliminate any perceived bias.
28. Documentation is passed to an adjudication panel that decides on any educative and/or disciplinary steps to be taken, within context of relevant HEI policy and procedures. All documentation is securely and confidentially stored and archived as appropriate, and in compliance within GDPR guidelines.

## Considerations:

- ✓ Who is responsible for sharing and securely saving relevant evidence and documentation?
- ✓ Where is documentation saved (and for how long) and who has access to it?

29. Where it is determined that there is no case to answer, the case is closed without delay and all relevant stakeholders are informed of this decision, and appropriate supports are offered to the student.

## Considerations:

- ✓ Are records maintained of all suspected or alleged cases of academic misconduct, and if yes, who maintains these records and where?
- ✓ Is standardised wording/templates available to staff to ensure consistency and the appropriateness of such communications?

30. Relevant committees have an independent chair and representatives from faculty and management, as appropriate. A consistent chair is in place to enable experience to be built up and consistency of decision-making to be achieved, and training (including refresher training) is provided by the institution to facilitate same. All panel members are independent of the matter being investigated.

# Supporting Student Wellbeing

---

*Many of the examples of procedures linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

31. Independent wellbeing support is offered to the student, and the student is permitted to bring a support person to any meeting.

## Considerations:

- ✓ Who may act as a support person to the student? Are there any restrictions on who may act as a support person (for example, can the student be accompanied by formal legal representation?)?
- ✓ What is the role of the support person, e.g., may they speak on behalf of the student?
- ✓ What training is provided for student union officers who engage in disciplinary processes, either as a support person or as a member of the disciplinary committee?

## Examples of good practise:

- [UCL Student Academic Misconduct Procedure](#)

32. All students who have engaged in academic misconduct are directed to training in academic integrity.

## Considerations:

- ✓ Where and how is this training provided?
- ✓ Who records that the student has engaged appropriately and adequately with the training?
- ✓ Who determines whether the student requires additional or more focused training than that already or automatically provided?
- ✓ Is a record of the student's misconduct maintained so that any subsequent academic misconduct can be appropriately addressed (see Section 4 below)?
- ✓ How is the impact of any training provided evaluated/measured?
- ✓ How does the HEI ensure that the content of the training remains current and up to date?

32. Following a determination of academic misconduct, an HEI-level appeals process, considered by a separate committee, is available.



## Procedures - Gap Analysis Findings

The table below provides a structured gap analysis of institutional compliance with the Procedures Checklist. It enables the HEI to identify areas of alignment, highlight where enhancements or additional actions are required, and record the key roles responsible for leading on actions along with related completion deadlines.

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
1.	Procedures, resources, modules, training, seminars and professional development activities are in place to enable implementation of the academic integrity policy, including measures to facilitate student awareness and understanding of policy.						
2.	All staff and students are made aware of the relevant policy and procedures. These are disseminated in UDL-accessible form and training is provided for staff, and academic support is available for students.						
3.	A student honour code is in place and is promoted as part of student orientation and academic integrity education.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
4.	There is a separate student assessment declaration requiring students to state that they have acted ethically and have not breached the HEI's academic integrity policy, which must be submitted with each assessment.						
5.	The assessment declaration confirms that no un-authorised content generation (UCG) was used to complete the assessment.						
6.	All steps of the investigate and disciplinary processes are designed to ensure due process for students suspected or alleged to have engaged in academic misconduct.						
7.	Competent strategies are employed consistently across disciplines by appropriately trained personnel in exam settings to identify alleged academic misconduct.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
8.	Detection and investigation methods and approaches support education and awareness through the engagement of students, and enable conversations between staff and students, as well as feedback opportunities.						
9.	Where a suspicion of academic misconduct arises, an evidentiary approach is adopted. Approaches also enable the investigator to objectively ascertain the extent and seriousness of the misconduct.						
10.	Staff are provided with tools, guides and checklists to support detection, documentation and categorisation of academic misconduct. Staff have access to proprietary investigation tools, including appropriate licenses.						
11.	Staff use templates/checklists etc. and other means to make a judgement about submitted assessments.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
12.	The assessor is responsible for investigating Level 1 infringements. Staff with specialist expertise investigate Level 2 and 3 infringements. This principle is included in the academic integrity policy and is fully understood by students and staff. Specific legal advice is sought when needed.						
13.	Suspected cases of moderate or serious academic misconduct are referred to an appropriate investigator and decision-maker or the appropriate next level.						
14.	Staff carefully examine each aspect of the assessment and other relevant sources of evidence and identify every aspect that is cause for concern. Staff conduct an interview with the student to ascertain his/her familiarity with the contents of the assignment.						
15.	Suspected misconduct is investigated as a lay proceeding, using the standard from civil law ('balance of probabilities').						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
16.	Staff assessing student work are provided with adequate support. More complex investigations receive additional or specialised support. Staff responsible for the overall management of academic misconduct processes are provided with adequate resources, support and training.						
17.	A range of evidence is collected and summarised that clearly and convincingly establishes that academic misconduct is highly probable, including a) Textual evidence b) Knowledge of the student's academic and linguistic abilities.						
18.	All evidence is evaluated to ensure clear and convincing evidence on whether on the 'balance of probability' academic misconduct has occurred.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
19.	Investigators use a range of text-matching tools and other relevant software to identify potential academic misconduct and use a bank of recorded knowledge to identify possible sources or mechanisms for text copying. Weight is given to each piece of evidence, based on common sense, everyday experience, and experience of previous academic misconduct cases. It is clearly highlighted to students in the VLE and in relevant documentation that such software is being used.						
20.	Students have an opportunity to explain and demonstrate how they developed their assignment. The student is supported appropriately in this process and may have a support person present. The investigator(s) outline what they have found. The independent chair of the meeting writes up agreed minutes of the meeting and these are made available to a disciplinary hearing.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
21.	Responsibility for convening meetings of investigator(s) and students is allocated to specified staff member(s) and resources are identified to allow meetings to take place and be properly recorded and documented.						
22.	Where investigation establishes that there is a case, the alleged misconduct is classified by its type and severity (Levels 1 - 3, poor academic practice, minor misconduct and major misconduct) prior to further consideration. This includes details of any mitigating factors, including whether the student admits to the misconduct. Classifications also account for factors such as the student's stage within the programme, recidivism, extenuating circumstances, where an admission has been made by the student etc.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
23.	Level 1 infringements are typically managed at a local level (e.g., within the academic department), and level 2 and level 3 cases are referred to an academic integrity investigator or an investigative panel for management at institutional level. Academic misconduct within examination settings is not considered a level 1 infringement.						
24.	The academic integrity investigator or the investigative panel may invite relevant individuals to comment on the matter.						
25.	The academic integrity investigator or the investigative panel determines whether an infringement has occurred, the extent of the infringement in relation to insights and explanations provided by relevant individuals and any mitigating circumstances.						



Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
26.	<p>In determining the severity of the alleged academic misconduct and the appropriate sanction, consideration is given to the following elements:</p> <ul style="list-style-type: none"> <li>i. The student's stage of academic advancement;</li> <li>ii. The extent of the alleged academic misconduct;</li> <li>iii. The evidence available;</li> <li>iv. Any Professional, Regulatory, Statutory Body (PRSB) and/or fitness to practise requirements;</li> <li>v. The impact of the alleged misconduct on the candidate's overall result;</li> <li>vi. Admission of guilt;</li> <li>vii. Any previous record of academic misconduct.</li> </ul>						
27.	<p>The academic integrity investigator or the investigative panel passes the evidence to another committee for determination and sanction to eliminate any perceived bias.</p>						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
28.	Documentation is passed to an adjudication panel that decides on any educative and/or disciplinary steps to be taken. All documentation is securely and confidentially stored and archived as appropriate, and in compliance with GDPR guidelines.						
29.	Where there is no case to answer, the case is closed without delay and all relevant stakeholders are informed. Appropriate supports are offered to the student.						
30.	Relevant committees have an independent chair and representatives from faculty and management, as appropriate. A consistent chair is in place and training (including refresher training) is provided by the institution to facilitate same. All panel members are independent of the matter being investigated.						

Checklist Item	Procedure	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
31.	Independent well-being support is offered to the student, and the student is permitted to bring a support person to any meeting.						
32.	All students who have engaged in academic misconduct are directed to training in academic integrity.						
33.	Following a determination of academic misconduct, an HEI-level appeals process, considered by a separate committee, is available.						

**n→TU  
TORR**

# **Section 4**

## **Reporting and Recording**

# Reporting & Recording

---

1. There is a formal process for reporting and recording cases where academic misconduct has been confirmed. This enables designated staff to check and confirm repeated misconduct on the part of a student, which may be considered in categorising an incident of academic misconduct as moderate or serious and inform the sanctions imposed.

## Considerations:

- ✓ Where are records maintained (e.g., locally within departments, at school or faculty level or centrally [or a combination of these] **NOTE, that where local records are maintained, there should still be an overarching central record**)?
- ✓ Who reports confirmed cases of misconduct for recording and who is responsible for entering and maintaining records?
- ✓ Who has access to records?
- ✓ In what format are records maintained and how is this linked (if it is) to the overall student record system?
- ✓ How do assessors investigating a suspected case of academic misconduct or an academic integrity assessor/panel access the records to ascertain whether the students involved has a prior history of academic misconduct (i.e., can they access the record directly or must a request be made to the person/unit responsible for the record?)?

2. There is a central recording system for all cases of academic misconduct, in particular those brought to the full-investigation stage.

## Examples of good practise:

- [University of Limerick Academic Integrity Policy](#)
- [University of Galway Academic Integrity Policy](#)
- [TU Dublin Academic Integrity Policy](#)
- [Trinity College Dublin Academic Integrity Policy](#)
- [Maynooth University Policy on Academic Misconduct and Academic Integrity](#)
- [University of Wollongong](#) (see description on recording of cases of poor academic practice and academic misconduct)

# GDPR & Data Protection

---

*Many of the examples of systems linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

3. The reporting and recording systems are consistent with GDPR requirements. A Data Protection Impact Assessments is conducted.
4. All recording policies and procedures are mindful of the GDPR implications of retaining data in relation to minor cases of academic misconduct. This is to ensure that data is captured to track serial misconduct without compromising a student's record unnecessarily.
5. The nature and form of records is driven by the purpose of the record; e.g., at school level, records are used to identify repeated misconduct and inform programme monitoring and review activity; at institutional level, records are used to inform wider enhancement activity, such as informing CPD activities for staff, strengthening assessment strategies etc. Consideration is given to whether information is most appropriately stored locally (school, department) or centrally.

## Considerations:

- ✓ What happens with interdisciplinary/inter-faculty/school programmes?

6. Only anonymised data is collated at institutional level. Access to these systems is limited to key identified personnel.

## Scope of Records

---

*Many of the examples of systems linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

7. Institutional records include all of those cases escalated to the full investigation stage, including where no case is ultimately brought forward for consideration. Where no case is brought forward, records are anonymised.
8. Record-keeping is aligned with the national reporting system.
9. Systems are implemented to ensure that reporting of academic misconduct is aligned with quality assurance and enhancement processes.

# Review and Use of Records

---

*Many of the examples of systems linked above have applicability for the checklist items below and are therefore not repeated unless particularly relevant.*

10. Records on academic misconduct are regularly reviewed to inform annual monitoring and review processes at department, school and institutional levels, and inform enhancements to academic practice and to measures designed to prevent and manage academic misconduct.

Considerations:	<ul style="list-style-type: none"><li>✓ Who/what role reviews academic misconduct records?</li><li>✓ How is it ensured that such reviews inform training/educative resources?</li></ul>
-----------------	---

11. Reports of academic misconduct records are presented to appropriate units of governance to inform strategic planning and decision making.

Considerations:	<ul style="list-style-type: none"><li>✓ What units of governance review academic misconduct reports (e.g., programme boards; Academic Council etc.)?</li><li>✓ Who produces these reports and how often?</li><li>✓ How are reports used?</li></ul>
-----------------	--

## Reporting and Recording - Gap Analysis Findings

The table below provides a structured gap analysis of institutional compliance with the Reporting and Recording Checklist. It enables the HEI to identify areas of alignment, highlight where enhancements or additional actions are required, and record the key roles responsible for leading on actions along with related completion deadlines.

Checklist Item	Element of Reporting & Recording System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
1.	There is a formal process for reporting and recording confirmed cases of academic misconduct, enabling designated staff to check previous misconduct by a student to inform the categorization of academic misconduct and the imposition of sanctions.						
2.	There is a central recording system for all cases of academic misconduct, in particular those brought to the full-investigation stage.						
3.	The reporting and recording systems are consistent with GDPR requirements. A Data Protection Impact Assessments is conducted.						



Checklist Item	Element of Reporting & Recording System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
4.	All recording policies and procedures are mindful of the GDPR implications of retaining data in relation to minor infringements.						
5.	The nature and form of records is driven by the purpose of the record (e.g., to inform programme enhancement or CPD for staff). Consideration is given as to whether information is most appropriately stored centrally or locally.						
6.	Only anonymised data is collated at institutional level. Access to systems is limited to key identified personnel.						
7.	Institutional records include all of those cases escalated to the full investigation stage, including where no case is brought forward for consideration. Where no case is brought forward, records are anonymised.						

Checklist Item	Element of Reporting & Recording System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
8.	Record-keeping is aligned with any national reporting system.						
9.	Reporting of academic misconduct is aligned with quality assurance and enhancement processes.						
10.	Academic misconduct records are regularly reviewed to inform annual monitoring and review processes at department, school and institutional levels, and to inform enhancements to academic practice and to measures designed to prevent and manage academic misconduct.						
11.	Reports of academic misconduct records are presented to appropriate units of governance to inform strategic planning and decision making.						

# **Section 5**

## **Training and Guidance for Staff and Students**

# Education & Awareness Raising

---

1. There is a robust system in place to ensure that all students and staff are aware of:

- institutional academic integrity policies, procedures and guidelines
- the kinds of poor practice that may constitute academic misconduct
- the related sanctions that apply.

## Considerations:

- ✓ Where and how are policies, procedures and guidelines made available to staff?
- ✓ How and when are staff made aware of changes to policies, procedures and guidelines?
- ✓ Where and how are policies, procedures and guidelines made available to students?
- ✓ Are policies, procedures and guidelines translated into student-friendly and accessible formats and illustrated with real life exemplars?
- ✓ Are students provided with examples of good and/or poor practice?
- ✓ When are policies, procedures and guidelines made available to students, e.g., at induction, at the start of each module/semester/year as appropriate?
- ✓ Are students regularly and routinely made aware of investigative and disciplinary processes and of the consequences/sanctions for misconduct?

2. There are induction processes for students which emphasise the importance of academic integrity and support the embedding of appropriate practices.

## Considerations:

- ✓ When and where are such processes made available?
- ✓ Are such processes mandatory for all students (e.g., undergraduate and postgraduate)?

3. There is a partnership approach with student representatives or champions to promote academic integrity throughout the year and throughout the programme.

## Considerations:

- ✓ How are student academic integrity champions selected and by whom?
- ✓ How are student academic integrity champions trained and by whom?
- ✓ How are student academic integrity champions supported in

cont...

their activities?

- ✓ When and how do student academic integrity champions interact with other student representatives, such as class reps and/or student union officers?
- ✓ Are appropriate contact persons (e.g. from the academic integrity office, office of the registrar, etc.) for students identified?

## Training & Skills Building

---

4. There is mandatory academic integrity training for students, including training related to examination conduct.

### Considerations:

- ✓ When and where are such processes and training made available?
- ✓ Are such processes mandatory for all students (e.g., undergraduate and postgraduate)?

5. There are opportunities for students to develop their academic writing, referencing, and other relevant skills.
6. There is support through library services or through teaching and learning centres for individuals who have particular needs or concerns.

### Considerations:

- ✓ Are opportunities to develop academic writing, referencing, and other relevant skills offered on a stand-alone basis or are they built into programme modules offered in Stage 1 of programmes?
- ✓ If stand-alone opportunities are available, how do students access them (e.g., are students directed to such services when problems arise, or may students seek out such opportunities themselves, or both)?
- ✓ How and when are opportunities and supports promoted to students?

7. Policy supports and encourages the design and delivery of curricula to include formative opportunities for students to develop their academic writing and other skills.

**Considerations:**

- ✓ Are faculty provided with training, guidance and support to modify and enhance curriculum design to include formative opportunities for students to develop their academic writing and other skills?
- ✓ How is such training, guidance and support made available to new, part-time and/or guest lecturing staff?
- ✓ How are staff enabled to engage with such training?
- ✓ Is such training mandatory?

8. Guidance is provided to staff that poor academic practice may result from a student's lack of understanding of what is expected in producing a piece of academic work.

**Considerations:**

- ✓ When and how is such guidance provided?

## Guidance & Training for Those Involved in Academic Misconduct Processes

---

9. Training and guidance are provided to all new members of disciplinary panels and committees on their role and that of the panel/committee.

**Considerations:**

- ✓ Who develops and delivers this training and guidance?
- ✓ Are permanent guidance materials developed and made available to panel and committee members?
- ✓ Are induction processes developed and in place?

10. Training and guidance are provided annually to student union officers engaged in academic misconduct management processes, for example as members of panels or committees or when acting as a support person to students undergoing investigative or disciplinary processes.

**Considerations:**

- ✓ Who develops and delivers this training and guidance?
- ✓ Are permanent guidance materials developed and made available to student union officers?
- ✓ Are induction processes developed and in place?

11. There is a process for appointing, training, monitoring and regular debriefing of academic integrity investigators.

# Training and Guidance for Staff and Students - Gap Analysis Findings

The table below provides a structured gap analysis of institutional compliance with the Training and Guidance for Staff and Students Checklist. It enables the HEI to identify areas of alignment, highlight where enhancements or additional actions are required, and record the key roles responsible for leading on actions along with related completion deadlines.

Checklist Item	Element of Training & Guidance System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
1.	There is a system to ensure that all students and staff are aware of: i. institutional academic integrity policies, procedures and guidelines ii. the kinds of poor practice that may constitute academic misconduct iii. the related sanctions that apply.						
2.	There are induction processes for students which emphasise the importance of academic integrity and support the embedding of appropriate practices.						
3.	There is a partnership approach with student representatives or champions to promote academic integrity throughout the year and throughout the programme.						

Checklist Item	Element of Training & Guidance System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
4.	There is mandatory academic integrity training for students, including training related to examination conduct.						
5.	There are opportunities for students to develop their academic writing, referencing, and other relevant skills.						
6.	There is support through library services or through teaching and learning centres for individuals who have particular needs or concerns.						
6.	There is support through library services or through teaching and learning centres for individuals who have particular needs or concerns.						
7.	The design and delivery of curricula to include formative opportunities for students to develop their academic writing and other skills is encouraged and supported.						



Checklist Item	Element of Training & Guidance System	Current status (e.g. Complete, In Progress, Not Started, Not Relevant)	Gap (Y/N) (Describe)	Action Required to Address Gap	Priority Level	Lead Responsible for Action	Date by which Action to be Completed
8.	Guidance is provided to staff that poor academic practice may result from a student's lack of understanding of what is expected in producing a piece of academic work.						
9.	Training and guidance are provided to all new members of disciplinary panels and committees on their role and that of the panel/committee.						
10.	Training and guidance are provided annually to student union officers engaged in academic misconduct management processes, for example as members of panels or committees or when acting as a support person to students undergoing investigative or disciplinary processes.						
11.	There is a process for appointing, training, monitoring and regular debriefing of academic integrity investigators.						

$n \rightarrow$  TU  
TORR

# Section 6

Next Steps

# Confirmation of Checklist Completion

---

- Name and Signature of Individual Responsible for Completing the Checklist:
- Date Completed:
- Summary of Outcomes:

- Proposed Next Steps:

## Additional Resources

---

NAIN (2021) Academic Integrity: National Principles and Lexicon of Common Terms. Accessible at: [academic-integrity-national-principles-and-lexicons-of-common-terms.pdf](#)

NAIN (2021) Academic Integrity Guidelines. Accessible at: [academic-integrity-guidelines.pdf](#)

NAIN (2023) Generative Artificial Intelligence: Guidelines for Educators. Accessible at: [NAIN Generative AI Guidelines for Educators 2023.pdf](#)

NAIN (2023) Framework for Academic Misconduct Investigation and Case Management. Accessible at: [NAIN Framework for Academic Misconduct Investigation and Case Management 2023.pdf](#)



# Transforming Learning

