6.0 Section VI: Student Academic Affairs

6.1.0 ACADEMIC RIGHTS OF STUDENTS

6.1.1 Information about Course Content
Students have the right to expect the course to correspond generally to the description in the official Bulletin of the University of Kentucky and the right to be informed in writing (in the course syllabus) at the first class meeting about the nature of the course content, the activities to be evaluated, and the grading practice to be followed. Whenever factors such as absences or late papers will be weighed in determining grades, a student shall be informed. All students must be informed in writing of the course content and other matters listed in this rule at no cost to the student. Syllabi may be posted electronically; this must be done by the first class meeting of the semester and the syllabus must remain available there for the entire semester. All students officially enrolled in a course shall, upon request, be provided a copy of the course syllabus free of charge. [US: 2/11/80; RC: 11/20/87]

6.1.2 Contrary Opinion
A student has the right to take reasoned exception to the data or views offered in the classroom without being penalized.

6.1.3 Academic Evaluation [US: 12/5/83]

A. All teachers must inform the undergraduate students in their courses of their current progress based on the criteria in the syllabus before the following dates: [US: 2/14/94; US 4/10/00; US: 2/27/08]
   1. the end of the ninth week for the fall or spring semester;
   2. the third day of the fifth week for the eight-week summer term;
   3. the second day of the third week for the four-week summer term.

B. Students have the right to receive grades based only upon fair and just evaluation of their performance in a course as measured by the standards announced by their instructor(s) in the written course syllabus at the first class meeting.

C. Students have the right to receive a fair and just academic evaluation of their performance in a program. In addition to the student's overall academic record, evaluation may include the assessment of such activities as research and/or laboratory performance, qualifying examinations, professional board examinations, studio work or performance activities, behavior in professional situations, or interviews to determine continuation in a program. The program faculty and/or relevant administrative officer must inform the student as to which activities will be included in the academic assessment no later than the beginning of the activity to be evaluated.

D. Evaluations determined by anything other than a good faith judgment based on explicit statements of the above standards are improper. Among irrelevant considerations are, as per GR I.D (06/20/05) sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, political belief, Vietnam-era veteran status or disabled veteran status, physical or mental disability in regard to any position for which the student is qualified, being a smoker or nonsmoker as long as the person
complies with any workplace policy concerning smoking, being an applicant for or in the service of the United States Uniformed Services or any activities outside the classroom that are unrelated to the course work or program requirements. [US: 2/11/85; US 10/12/98]

E. One form of sex discrimination is sexual harassment. It is defined as unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct or written communication of an intimidating, hostile, or offensive nature, when submission to such conduct is made either explicitly or implicitly a term or condition of the student’s status in a course, program, or activity, as a basis for academic or other decisions affecting such student, or substantially interferes with a student’s academic performance, or creates an intimidating, hostile, or offensive working or academic environment. [US: 4/11/83]

6.1.4 Academic Records
Students have the right to have their academic records kept separate and confidential unless they consent in writing to have them revealed. However, the Registrar or the Registrar’s designee may disclose a student’s academic record without that student’s consent if the information is required by authorized University personnel for official use, such as advising students, writing recommendations, or selecting candidates for honorary organizations.

6.1.5 Evaluation of Student Character and Ability
Students have the right to have their character and ability evaluated only by individuals with a personal knowledge of them, and upon request, to be informed that such evaluations have been or will be made. Records containing information about a student’s character and ability shall indicate when the information was provided, by whom, and the position of this individual.

6.1.6 Student Participation in Academic Affairs
Pursuant to GR VII.A.4(c), the faculty of each college within the University and the faculty of the Graduate School shall establish some form of Student Advisory Council (SAC) to represent student opinion to the college faculty and administration on educational policy matters pertinent to that college or school. [US: 4/10/00]

The form for each SAC, as well as the areas of responsibility, shall be determined by the faculty of the college or school (GR VII.A.4(c) and prescribed in its college Rules document (GR VII.A.4(b). Students themselves shall be responsible for the selection of SAC members by democratic process. Each Student Advisory Council shall keep records of its proceedings. The dean of each college or school shall forward the college faculty Rules on form and of areas of responsibility of the college’s SAC to the Provost. Pursuant to GR VII.A.4(b), these college Rules documents are filed with the Senate Council Office by the Provost when approved as being consistent with the University Senate Rules, which the Senate Council will confirm or otherwise be available to assist the Provost in making such determination.

Pursuant to GR VII.A.4(a), the faculty of each college or school may extend membership in the college faculty body, with or without voting privileges, to a student recommended by the college’s Student Advisory Council, who may also be extended the privilege to vote with the college’s faculty council or equivalent body on academic
affairs. On matters that reach the University Senate or Senate Council for its action, for which the University Senate Rules require prior voting action by a college faculty or faculty council, that prior college faculty voting exercise shall provide for the inclusion of the vote of the above student representative. [US: 4/10/00]

6.1.7 Attendance and Participation During Appeal
Students shall have the right to attend classes, to pursue their academic programs, and to participate in University functions during the consideration of any appeal. [US: 4/11/83]

Those students who have patient contact in clinical practicum courses will not be able to continue patient contact in the courses during an appeal, if the appeal relates to clinical competence in regard to performance. Insofar as practicable, such appeals shall be expedited. [US: 4/25/88; US: 4/10/00]

Attendance and participation may be limited

A. when outside agencies are used as part of the student’s educational experience. In this situation, precedence will be given to the terms of any agreement(s) which have been negotiated between the University and the agency.

B. when patient/client contact is involved in the student’s educational experience. In this situation, only patient/client contact will be limited or excluded at the discretion of program faculty. [US 4/10/00]

6.2.0 THE ACADEMIC OMBUD
The Academic Ombud is the officer of the university charged with consideration of student grievances in connection with academic affairs. [US: 4/10/00]

6.2.1 FUNCTIONS, JURISDICTION AND PROCEDURES OF THE OFFICE

6.2.1.1 Functions
The Office of the Ombud shall provide a mechanism for handling issues for which no established procedure exists or for which established procedures have not yielded a satisfactory solution. They are not intended to supplant the normal processes of problem resolution. In some cases where there is a clear need to achieve a solution more quickly than normal procedures provide, the Ombud may seek to expedite the normal processes of resolution.

6.2.1.2 Jurisdiction
The authority of the Academic Ombud is restricted to issues of an academic nature involving students on the one hand and faculty or administrative staff on the other, explicitly governed by Sections IV, V, VI, VII of the Rules of the University Senate. However, the Ombud may refer issues falling outside his/her jurisdiction to appropriate offices charged with the responsibility for dealing with them, such as the Vice President for Student Affairs, or the Associate Vice Provost for Institutional Equity. [RC: 11/20/87]

When a problem falls partly within the Ombud's jurisdiction and partly within the jurisdiction of some other office, the Ombud shall cooperate with the relevant other
office in seeking a solution. However, the Ombud's authority in effecting a solution shall extend only to those aspects of the issue falling within the jurisdiction of that office as defined in the University Senate Rules.

Jurisdictional disputes involving an Academic Ombud and other offices which cannot be resolved through negotiations shall be referred to the Provost.

6.2.1.3 Decision to Accept a Case
When an issue to be resolved is brought to the Academic Ombud, the Ombud shall first determine if the issue falls within his or her jurisdiction, as defined by the University Senate Rules. If it does not, the Ombud shall refer the person presenting the issue to the proper authority to deal with it. If the issue does fall within his or her jurisdiction, the Ombud shall determine if efforts have been made to adjudicate the issue through normal channels and procedures. Where such channels and procedures exist and have not been utilized, the Ombud shall recommend their use, unless there is compelling evidence that they will not effectively resolve the issue.

The Academic Ombud shall investigate each issue falling within his or her jurisdiction to determine:

A. whether it contains merit;

B. whether it is deserving of extended attention; and

C. the priority of attention which it should be accorded by the Ombud's office.

The Academic Ombud shall notify the student directly that an issue does not contain merit. The student then has the right to appeal within 30 days to the University Appeals Board. Upon receipt of the written appeal, the chair of the Appeals Board shall notify the Academic Ombud to forward all reports and evidence concerning the case. The Appeals Board may then by majority vote agree to hear the student's case or to allow the Academic Ombud's decision to be final.

6.2.1.4 Statute of Limitations
The Academic Ombud is empowered to hear only those grievances directed to their attention within 180 days subsequent to the conclusion of the academic term in which the problem occurred. However, the Ombud may agree to hear a grievance otherwise barred by the Statute of Limitations in those instances where (1) the Ombud believes that extreme hardship including but not limited to illness, injury, and serious financial or personal problems gave rise to the delay or (2) all parties to the dispute agree to proceed. [US: 2/11/80; US 4/10/00]

6.2.1.5 Procedures
When the Academic Ombud determines that an issue merits his or her attention, the Ombud shall contact the parties involved to determine the background of the issue and areas of disagreement. With this information in hand, the Ombud shall seek to determine alternative means of achieving an equitable resolution and propose to the conflicting parties those solutions which appear to offer the greatest promise of mutual satisfaction. Normally the investigatory and mediation activities shall be conducted informally and need not involve confrontation of the conflicting parties. However, the
more formal procedures and direct confrontation of the parties involved may be utilized if circumstances dictate that these will produce a more effective resolution.

If the mediation efforts are unsuccessful, the Academic Ombud shall refer the case to the University Appeals Board in writing if the complainant wishes to pursue the issue. At the request of the Appeals Board, the Ombud shall appear before it to offer testimony or shall prepare a written report of the case.

6.2.1.6 Liaison
The Academic Ombud shall maintain close liaison with the Vice President for Student Affairs, the Associate Vice Provost for Institutional Equity and other such officials who have responsibility and concern for the academic governance of students. However, the Ombud shall not violate the rights of students or other parties involved in cases brought to the Ombud through the disclosure of any information communicated in confidence.

6.2.1.7 Records and Reports (see 6.4.9 this Section)
The Academic Ombud shall retain a record of all cases which are accepted. In cases involving discrimination (including sexual harassment), a summary of the case shall be sent to the Associate Vice Provost for Institutional Equity. [US: 4/11/83] The Ombud shall review all files at the end of the term of office and should destroy any file of a case which has been resolved which is five years of age or older. If not destroyed, then all names should be removed. The decision not to destroy a file ought to be based on criteria such as resolution which might serve as a precedent for similar cases in the future. All unresolved cases which are more than one year old and which were never forwarded to the Appeals Board shall be destroyed. The Ombud shall present annually a report of activities to the University Senate, the Student Government Association and the Provost of the University and may offer recommendations for changes in rules, practices or procedures to the end of achieving more harmonious and effective governance of student academic affairs. [US: 2/14/94]

At the request of the Senate Council, the Ombud shall prepare reports or submit recommendations on specific matters.

The Ombud may report directly to the Senate Council or the Provost, Student Government Association, Deans, Department Chairs, or other appropriate persons on problems which the Ombud feel deserve their early attention.

6.2.2 Qualifications of the Academic Ombud
As established by the University Senate Rules, the Academic Ombud must be tenured members of the University Faculty or members of the emeriti faculty. [US: 4/9/90] Beyond this the qualifications should be those which will permit the Academic Ombud to perform the functions of the office with fairness, discretion and efficiency. It is important that the person be regarded by students as one who is genuinely interested in their welfare and sympathetic to their problems. It is equally important that the person be temperate in judgment, judicious in action, and persistent in seeking to achieve prompt and equitable solutions to the problems which are brought to him or her. Frequently the success of the Ombud depends upon his/her ability to utilize informal channels of communication and action; therefore, that person should be one able to develop and maintain cordial personal relations with a wide variety of students, faculty and members of the administrative staff. Above all, the person must be one of unquestionable integrity and resolute commitment to justice.
6.2.3 Selection Procedure

A. The Chair of the Senate Council, with the advice of the Senate Council members, shall appoint a Search Committee consisting of the following members: 1) two University Faculty members; 2) three students, two undergraduates and one a graduate or professional student, chosen by the Student Government Association; and 3) a member designated by the Provost who shall serve as Chair of the Search Committee. Committee members shall be broadly representative of the University community. [US: 4/10/00]

B. The Search Committee shall solicit nominations from students, faculty and administrators, and shall nominate no more than three to the Provost [US: 4/10/00]

C. Should the office of the Academic Ombud be vacated prior to the expiration of the normal term of office, a new appointment shall be made to fill the unexpired term using the same procedures as described above. [US: 4/10/00]

D. The Academic Ombud may be reappointed to a second term without reference to the above selection procedures if the affected Ombud, the Provost, and the Senate Council all concur. Reappointment to a third term shall go through the normal search process as outlined above. [US: 4/12/04]

6.2.4 Conditions of Employment

A. The term of office for the Academic Ombud shall be twelve months beginning July 1.

B. The regular academic duties shall be reduced during each Ombud's period in office, normally by one-half; but the exact proportion may be more or less, as agreed upon by each Ombud and his/her department chair.

C. The portion of service devoted to the duties of Academic Ombud shall be separately evaluated from his/her other academic duties for purposes of merit evaluation by the Provost and shall be proportionately weighed in assigning an over-all merit rating.

D. The conditions of employment will be negotiated through the Office of the Provost or through other channels designated by the Provost.

6.3.0 ACADEMIC OFFENSES AND PROCEDURES

Students shall not plagiarize, cheat, or falsify or misuse academic records. [US: 3/7/88; 3/20/89]

If the academic offense involves research and/or extramural funding the administrative rule for handling the offense is outlined in Administrative Regulation II - 4.0.2. [US: 2/10/97]
6.3.1 Plagiarism

All academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording or anything else from another source without appropriate acknowledgment of the fact, the students are guilty of plagiarism.

Plagiarism includes reproducing someone else's work, whether it be published article, chapter of a book, a paper from a friend or some file, or whatever. Plagiarism also includes the practice of employing or allowing another person to alter or revise the work which a student submits as his/her own, whoever that other person may be. Students may discuss assignments among themselves or with an instructor or tutor, but when the actual work is done, it must be done by the student, and the student alone.

When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how he/she has employed them. If the words of someone else are used, the student must put quotation marks around the passage in question and add an appropriate indication of its origin. Making simple changes while leaving the organization, content and phraseology intact is plagiaristic. However, nothing in these Rules shall apply to those ideas which are so generally and freely circulated as to be a part of the public domain.

6.3.2 Cheating

Cheating is defined by its general usage. It includes, but is not limited to, the wrongfully giving, taking, or presenting any information or material by a student with the intent of aiding himself/herself or another on any academic work which is considered in any way in the determination of the final grade. The fact that a student could not have benefited from an action is not by itself proof that the action does not constitute cheating. Any question of definition shall be referred to the University Appeals Board. [US: 12/12/05]

6.3.3 Falsification or Misuse of Academic Records [US: 3/20/89; US 4/10/00]

Maintaining the integrity, accuracy, and appropriate privacy of student academic records is an essential administrative function of the University and a basic protection of all students. Accordingly, the actual or attempted falsification, theft, misrepresentation or other alteration or misuse of any official academic record of the University, specifically including knowingly having unauthorized access to such records or the unauthorized disclosure of information contained in such records, is a serious academic offense. As used in this context, "academic record" includes all paper and electronic versions of the partial or complete permanent academic record, all official and unofficial academic transcripts, application documents and admission credentials, and all academic record transaction documents. The minimum sanction for falsification, including the omission of information, or attempted falsification or other misuse of academic records as described in this section is suspension for one semester.
6.4 DISPOSITION OF CASES OF ACADEMIC OFFENSES [US: 3/10/86; US: 3/7/88; US 12/12/05]

These rules govern the prosecution of academic offenses defined in Section 6.3. The rules in this section 6.4 are binding upon all persons and groups mentioned in these rules. Instructors who impose penalties for academic offenses without following these rules are violating the due-process rights of students. Instructors, administrators, and the Appeals Board do not have the authority to impose penalties less than the minimum prescribed by these rules. Deadlines may be extended by mutual agreement of the involved parties.

6.4.0 Definitions

For purposes of this Section 6.4:

A. The terms "chair," "dean," and "Provost" include their designees.

B. "Chair" includes directors of programs and deans of colleges or schools without a departmental structure.

C. "XE" and "XF" are grades indicating failure due to an academic offense, as defined in Rule 5.1.1. The grades shall be so recorded on a student's transcript distinct from any other grade of E or F and shall not be changed to a W by retroactive withdrawal, pursuant to Rule 5.1.8.5, or removed from a student's GPA calculation by the Repeat Option otherwise provided in Rule 5.3.1.1.

D. "Notice" is given to a student:

1. in person, with a witness or a signed receipt by the student; or

2. in writing by regular mail to the student's address as it appears in the Registrar's records. The University is not responsible for a student's failure to maintain a current address in the Registrar's records.

Any notice of a finding or penalty shall include the name and ID number of the student, the college in which the student is enrolled, the course and section in which the offense occurred, the date and nature of the offense, the penalty that is being imposed or recommended, and any right that the student may have to appeal the finding or penalty.

E. "Suspension" means forced withdrawal from the University for a specified period of time, including exclusion from classes, termination of student status, and termination of all related privileges and activities.

F. "Dismissal" means termination of student status subject to the student's readmission as specified in paragraph 6.4.6(B).

G. "Expulsion" means permanent termination of student status. It is to be invoked only in unusual circumstances and when the offense committed is of such serious nature as to raise the question of the student's fitness to remain a member of the academic community.
H. "Days" refers to working days.
I. "Instructor" refers to the classroom instructor.

6.4.1 Jurisdiction

A. If an instructor is not a faculty employee (for example, the instructor is a teaching assistant), then the faculty employee who is ultimately responsible for signing the grade reports for the course shall normally assume the role of the instructor. However, with the agreement of the responsible faculty employee, the chair may decide either to allow the actual instructor to retain this role or to ask another employee who is directly involved with the course (for example, a course coordinator) to assume this role. In any case, the actual instructor should retain an important consultative role.

B. In general, the prefix of the course in which a student is enrolled determines which chair and dean are responsible for handling a case of an academic offense alleged to have been committed by that student in that course, even if the course is offered through a University Extension program. However:

1. If the chair is also the instructor, then the dean of the chair's college shall assign the chair's role to an associate dean.

2. If the responsible dean is also the instructor, then the dean shall assign his or her responsibility for the case to an associate dean.

3. If the Provost is also the instructor, then the Provost shall assign his or her responsibility for the case to an associate provost.

4. If a student in postbaccalaureate status, a student enrolled in a program or curriculum of the Graduate School, or a postdoctoral scholar or fellow is suspected of committing an academic offense in a course, the responsible dean shall be the dean of the Graduate School.

5. When a student enrolled in a program that has instituted an honor code, pursuant to Section 6.6, is suspected of committing an offense in any course, the offense shall be prosecuted and the penalty shall be imposed according to the rules of the student's program's honor code. Conversely, a student who is not enrolled in a program that has instituted an honor code shall be prosecuted only under the rules in this Section 6.4. If a student is concurrently enrolled in a professional program governed by an honor code and a program of the Graduate School, the rules of the professional program shall take precedence.

C. If an academic offense is alleged to have occurred outside of a course in work that is related to fulfilling requirements of a program or curriculum of the Graduate School (for example, a master's examination, doctoral qualifying examination, master's thesis, doctoral dissertation, or formally submitted dissertation proposal), or if an academic offense is alleged to have been committed by a postdoctoral scholar or fellow
outside of a course, the offense shall be considered to have occurred in the Graduate School, and the rules of the Graduate School regarding academic offenses shall apply.

D. The Associate Provost for Undergraduate Education shall assume the role of the dean of the student's college in the cases of students who have not declared a major or are not matriculated at the University. Students in University Extension courses who are not matriculated at the University shall be entitled to the same rights regarding academic offenses as those who are matriculated at the University.

6.4.2 Initiating a Complaint

A. An instructor who suspects that a student has committed an academic offense in a course taught by that instructor shall consult with the chair as soon as practical after the instructor develops the suspicion. Prior to consultation with the chair, the instructor may take action to prove or detect an academic offense or preserve evidence of same. In taking such action, the instructor should minimize disruption and embarrassment to the student(s).

B. If any person other than the instructor suspects that a student has committed an academic offense in a course in which the student is enrolled, that person should turn the evidence over to the instructor, who shall proceed as outlined in Section 6.4.3.A.

C. If any person suspects that a student has committed an academic offense, either with respect to a course in which the student is not enrolled, or in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation, or a formally submitted thesis or dissertation proposal), that person should inform the dean of the student's college, who shall proceed as outlined in Section 6.4.3.B.1.c.

D. If any person suspects that a student has falsified, attempted to falsify, or otherwise misused academic records, that person should inform the Registrar, who shall proceed as outlined in Section 6.4.3.D.

6.4.3 Initial Determination

A. By the Instructor and Chair

1. **Allegation; Opportunity of Student to Respond.** The instructor and chair shall review the evidence of an academic offense, and the instructor shall decide whether the evidence warrants an allegation of an academic offense. If so, the student shall be notified of the allegation and invited to meet with the instructor and chair to discuss the allegation and to state his or her case. The instructor and chair shall set a deadline for the student to respond to the invitation to the meeting, but the deadline shall be no fewer than 7 days after the invitation is issued. The instructor and chair must make a reasonable effort to schedule a meeting with the student as soon as possible after the evidence is received.
2. **Finding.** The instructor shall consider the evidence and the student's response and shall decide whether the student committed an academic offense. Any such finding shall be made within 7 days after the meeting with the student, unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the instructor may make a finding immediately thereafter.

If the instructor finds the student did not commit an academic offense, the instructor shall so notify the student.

If, in the judgment of the instructor, an action that can be construed as an academic offense is so slight or inconsequential that it does not warrant even the minimum penalty of zero on the assignment, then the instructor should not treat the action as an academic offense, but simply as an ordinary error that may earn the student a lower grade on the assignment. The instructor shall notify the student of such a determination.

On the other hand, if the instructor finds the student committed an academic offense, the chair shall ask the Registrar whether there are any prior offenses or letters of warning in the student's record. The chair shall inform the instructor whether such is the case. The chair shall also ask the Registrar to place a hold on the student's enrollment in the course. If the student has already dropped or withdrawn from the course, the Registrar shall reinstate the student.

3. **Penalties.** If the student has previously received a penalty for an offense at least as severe as an E or F in a course, the chair shall inform the responsible dean, who shall determine an appropriate penalty pursuant to Section 6.4.3.B.1.b.

Otherwise, if the student has previously received a letter of warning, the instructor must assign a grade of E or F for the course. If the offense is particularly egregious, and if the chair approves, the instructor may also forward the case to the responsible dean with a recommendation for a penalty of XE or XF or a more severe penalty, pursuant to paragraph 6.4.3.B.1.a.

Otherwise, if there are no prior offenses or letters of warning in the student's record, the instructor must award a grade of zero for the assignment on which the offense occurred. The instructor may also choose to impose one of the following additional penalties after consulting with the chair:

- **(a)** require the student to perform extra academic work (failure to complete the extra work should result in a grade of E or F for the course);

- **(b)** reduce the final grade in the course by a specified number of levels;

- **(c)** assign a grade of E or F, as appropriate, for the course;
(d) if the offense is particularly egregious, and if the chair approves, forward the case to the responsible dean with a recommendation for a penalty of a grade of XE or XF in the course or a more severe penalty, pursuant to paragraph 6.4.3.B.1.a.

If the instructor chooses to impose a penalty less than an E or F in the course, then the offense shall be considered a "minor offense." Generally, an offense that required significant premeditation should not be treated as a minor offense.

4. Notice of Penalty. The instructor shall notify the student of the finding of an offense and the penalty as soon as possible after the penalty has been determined. The chair shall also inform the Academic Ombud of the finding and penalty.

5. Right of Appeal. A student has the right to appeal any finding of an academic offense or a penalty to the University Appeals Board through the office of the Academic Ombud, pursuant to Section 6.4.4 below.

6. Right to Drop or Withdraw From a Course. A student who has committed an academic offense in a course shall not be permitted to drop or withdraw from the course under any circumstances.

7. Warning Letter in Case of a Minor Offense. If the student fails to appeal the finding of a minor offense within the time limit specified in paragraph 6.4.4.B.2, or if the Appeals Board upholds the finding, the instructor shall write a letter of warning to be placed in the student's record. The letter shall state the circumstances surrounding the minor offense and shall warn the student that any offenses in the future will be penalized with at least an E or F in the course. The instructor shall send copies of the letter to the student and the Registrar, and the Registrar shall place the letter in the student's record, pursuant to paragraph 6.4.7.A.1.

B. By the Dean

1. Cases Requiring Action by a Dean. A dean may be required to take action in a case of an academic offense in the following circumstances:

   (a) An instructor of a course offered by the dean's college recommends a penalty of a grade of XE or XF or a more severe penalty, pursuant to paragraph 6.4.3.A.3, for an offense committed by a student who has not committed any previous offense or who has received only a letter of warning. In this case, the dean has two options.

   i. The dean may return the case to the instructor and require the instructor to impose a penalty no more severe than a grade of E or F in the course. In this case, the instructor shall notify the student and the chair shall notify the Academic Ombud of the new penalty, pursuant to paragraph 6.4.3.A.4.
ii. The dean may impose a penalty of XE or XF in the course and may forward the case to the Provost, recommending a penalty of suspension, dismissal, expulsion, or revocation of a degree. In this case, the student has the right to appeal the penalty, pursuant to Section 6.4.4 below.

(b) A student is found to have committed an offense in a course offered by the dean's college, the student has previously received a penalty for an offense at least as severe as an E or F in a course, and the matter has been referred to the dean pursuant to paragraph 6.4.3.A.3 above. The dean shall impose a grade of XE or XF in the course and forward the case to the Provost, recommending either the minimum penalty of suspension or a harsher penalty of dismissal, expulsion, or revocation of a degree. The student has the right to appeal a recommended penalty of dismissal, expulsion, or revocation of a degree, pursuant to Section 6.4.4 below.

(c) A student enrolled in the dean's college is accused of an offense, either with respect to a course in which the student is not enrolled, or in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation, or a formally submitted thesis or dissertation proposal). In this case, the procedure outlined in paragraphs 6.4.3.A.1, 6.4.3.A.2, and 6.4.3.A.4 above shall be followed, except that the dean assumes the roles of both instructor and chair. If the dean finds the student committed the offense, the dean shall either decline to impose a penalty or shall forward the case to the Provost recommending a penalty of suspension, dismissal, expulsion, or revocation of a degree. The student has the right to appeal any finding, even if no penalty is imposed, and any recommended penalty, pursuant to Section 6.4.4 below.

(d) The Registrar notifies the dean that an inquiry was made about prior offenses of a student in the dean's college after a chronologically prior offense by that student had occurred but before the prior offense had been noted in the student's permanent record, pursuant to paragraph 6.4.7.C. If the inquiry was made with regard to an offense that the student was later found not to have committed, the dean shall take no action. Otherwise, if the chronologically subsequent offense occurred in a course, the dean shall impose a grade of E or F or XE or XF in that course. If the student has already been permitted to drop or withdraw from that course, the Registrar shall reenroll the student in it. The dean may also forward the case to the Provost, recommending a penalty of suspension, dismissal, expulsion, or revocation of a degree. If the chronologically prior offense received a penalty of at least an E or F in the course, the dean shall impose a grade of XE or XF in the course and must forward the case to the Provost, recommending a penalty at least as severe as suspension. In that case, the student has the right to appeal a recommended penalty of dismissal, expulsion, or revocation of a degree, pursuant to Section 6.4.4 below. Otherwise, the student
may appeal a recommended penalty of XE or XF or a more severe penalty.

2. Notice. Notice of any finding of an offense (even if no penalty is imposed) or intended action shall immediately be sent by the dean of the college to the student, with copies to the instructor and chair (if the offense was related to a course) and the Academic Ombud. If a penalty of suspension, dismissal, expulsion, or revocation of a degree is imposed or recommended, the Provost shall also be notified.

3. In Case of Appeal. After the student is notified of a finding or action and advised of any right of appeal, the dean shall wait until the time specified in paragraph 6.4.4.B.2 has expired before taking any action. If the student exercises the right of appeal, the dean shall take no action until the University Appeals Board makes a determination on the case.

4. Right to Drop or Withdraw From a Course. A student who has committed an academic offense in a course shall not be permitted to drop or withdraw from the course under any circumstances.

5. Conditions for Readmittance After Dismissal. If a dean recommends a penalty of dismissal, the dean may suggest conditions under which the University Appeals Board and the Provost should consider approving a student's petition to be readmitted. The dean shall notify the student of any such conditions.

C. By the Dean of Students

When a violation of the Code of Student Conduct, Article II, Section 8, and a violation of Part II, Selected Rules of the University Senate Governing Academic Relationships, Section on Academic Offenses and Procedures, has allegedly been committed in the same set of circumstances or facts, the Dean of Students shall first consult with the dean of the college where the offense occurred. They shall determine whether the Dean of Students, the dean of the college where the offense occurred, the dean of the Graduate School, or all three will investigate and pursue the case in accordance with appropriate procedures and authorities as set forth in Part I or Part II of Student Rights and Responsibilities.

D. By the Registrar

1. Allegation; Opportunity of Student to Respond. If evidence of possible falsification or misuse of academic records comes to the attention of the Registrar, the Registrar shall review the evidence and shall decide whether it warrants an allegation. If so, the student shall be invited to meet with the Registrar to discuss the allegation and to state his or her case. The Registrar shall set a deadline for the student to respond to the invitation to the meeting, but the deadline shall be no fewer than 7 days after the invitation is issued. The Registrar shall make a reasonable effort to schedule a meeting with the student as soon as possible after the evidence is received.
2. **Finding.** The Registrar shall consider the evidence and the student's response and shall decide whether the student committed the alleged offense. Any such finding shall be made within 7 days after the meeting with the student, unless the student consents in writing to an extension of this time. However, if the student fails to respond to the invitation to meet within the deadline or fails to attend a meeting that was agreed upon by all parties, the Registrar may make a finding immediately thereafter.

3. **Penalty and Right of Appeal.** If the Registrar finds the student committed the alleged offense, the Registrar shall decide either to impose no penalty or to recommend a specific penalty of suspension, dismissal, expulsion, or revocation of a degree to the Provost. The student has the right to appeal a finding that an offense has occurred and any recommended penalty, pursuant to Section 6.4.4 below.

4. **Notice.** If the Registrar finds the student did not commit the offense, the Registrar shall so notify the student. If the Registrar finds the student committed the offense, the Registrar shall notify the student and the Academic Ombud of the finding and any recommended penalty (even if none). If a penalty of suspension, dismissal, expulsion, or revocation of a degree is recommended, the Provost shall also be notified.

E. **Conditions for Readmittance After Dismissal**
If the Registrar recommends a penalty of dismissal, the Registrar may suggest conditions under which the University Appeals Board and the Provost should consider approving a student's petition to be readmitted. The Registrar shall notify the student of any such conditions.

6.4.4 **Appeals to the University Appeals Board**

A. **Preliminary consideration by the Academic Ombud**

1. **Informal Resolution.** If a student wishes to contest the finding of an offense or a penalty, the student must approach the Academic Ombud within ten days after being officially notified of them, pursuant to Section 6.4.3.A.4, 6.4.3.B.2, or 6.4.3.D.4. The Academic Ombud shall attempt to resolve the case to the satisfaction of all involved parties within 20 days of receiving the student's written request.

2. **Merit of Appeal of Penalty for Minor Offense.** If the student does not dispute the finding of a minor offense [as defined in paragraph 6.4.3.A.3.d], but the student desires to appeal the penalty on the basis that it is unduly harsh, the Academic Ombud shall decide whether the appeal has merit. In making such a decision, the Academic Ombud should proceed with deference to the instructor’s traditional autonomy and authority over the course.

3. **Notice.** If the Academic Ombud fails to resolve the case to the satisfaction of all involved parties, or if the Academic Ombud makes a decision on the merit of an appeal of a minor penalty, the parties shall be so notified.
B. To the Appeals Board

1. **Jurisdiction.** The student shall be given the opportunity to appeal any finding of an academic offense to the University Appeals Board. A student may also appeal the severity of a penalty to the Board only if:

   (a) the offense is the student's first; or

   (b) the offense occurred in a course, the penalty is at least as severe as XE or XF, and the student has previously received only a letter of warning; or

   (c) the offense occurred outside of a course, and the penalty is at least as severe as suspension; or

   (d) the penalty is dismissal, expulsion, or revocation of a degree for any offense.

2. **Time for Filing Appeal.** The appeal must be filed in writing with the Appeals Board within ten days after the date that the Academic Ombud notifies the student that the case cannot be resolved without recourse to the Appeals Board. The student shall have the right of class participation and attendance during the consideration of any appeal. The student shall have the rights set out in Section 2.3 of the code of Student Conduct. (Student Rights and Responsibilities, Part I)

3. **Hearing; Notice.** The hearing officer of the University Appeals Board shall schedule a hearing in any case arising under this Rule 6.4, to begin within twenty days of the receipt of the appeal from the student, unless the student consents to an extension of time for the hearing. The hearing officer shall notify the student, the complainant, and the Academic Ombud of the time and date of the hearing. The student may withdraw the appeal at any time. If the student desires only to appeal a penalty received for a minor offense [as defined in 6.4.3.A.3.d], and the Ombud has found that the appeal has insufficient merit, the Appeals Board may refuse to hear the appeal by majority vote.

4. **Scope of review**

   (a) **Violation.** The Appeals Board shall sit as a fact-finding body and determine whether or not the student cheated, plagiarized, or falsified or misused academic records from such evidence as is brought before the Board (including testimony under oath, written statements, exhibits, and a view of the classroom where the cheating occurred if this be an issue). The Board may call witnesses on its own initiative and may continue the hearing for this purpose. The Board shall find the student did not commit the offense unless a majority of members present decides otherwise, based on the evidence provided.

   (b) **Penalty.** If the student is permitted to appeal the penalty that is being imposed for the offense, the Appeals Board shall also judge
whether the penalty is inappropriately harsh. The Board may reduce the penalty, subject to the following limitations:

i. If the offense occurred in a course in which the student was not enrolled, or if the offense was with regard to falsification or misuse of academic records, or the offense occurred in academic work outside of a course (for example, an honors project or dissertation, a graduate examination, a thesis or dissertation, or a formally submitted thesis or dissertation proposal), the Board may choose either to void the recommended penalty or to reduce it to one no less severe than suspension.

ii. If the offense is the student's first, the Board may reduce the penalty to any one mentioned in this Section 6.4.

iii. If the offense is the student's second, and the first offense was a minor one [as defined in paragraph 6.4.3(A)(3)(a)], then the Board may reduce the penalty for the second offense to one no less severe than a grade of E or F in the course in which the offense occurred.

iv. If none of the conditions in (i-iii) are met, the Board may reduce the penalty to one no less severe than suspension.

5. **Determination and Notice.** The Appeals Board shall seek to render a decision as soon as is reasonably possible so that the student may plan his or her further academic work. The hearing officer of the Board shall notify the student, the complainants (instructor and chair, responsible dean, or Registrar), and the Academic Ombud of the Board's decision within five days. If a penalty at least as severe as suspension was originally recommended for the offense, even if it has been reduced by the Board, the hearing officer shall also notify the Provost. In addition:

(a) If the Board finds that a student committed the academic offense of which he or she was accused, then the hearing officer shall also notify the instructor and chair (if the offense was related to a course), the responsible dean, and the dean of the student's college. In addition, if the Board is supporting or recommending a penalty less severe than suspension, or such a penalty has not been appealed, the hearing officer shall also notify the Registrar; in the case of international students, the Director of International Student Affairs; and, if the offense also involves a violation of the Code of Student Conduct, the Dean of Students.

(b) If the Board finds that a student did not commit the academic offense of which he or she was accused, and a penalty at least as severe as XE or XF was to be imposed for the alleged offense, the hearing officer shall also notify the responsible dean. If the alleged offense occurred in a course in which the student was registered, and if the allegation was lodged on or before the last day of regularly scheduled classes, then the student shall be permitted to withdraw from
the course at any time until and including the last day of regularly scheduled classes for that semester, or up to five days after the Appeals Board has made its decision, whichever is later. If the allegation was lodged before the deadline for dropping courses had passed, the student shall be permitted to drop the course within the same time limitations.

(c) If the Appeals Board finds a student did not commit an offense or reduces a recommended penalty, the Chair of the Appeals Board shall provide a rationale of the Appeals Board’s decision to the complainant (instructor, dean, or Registrar) in a timely fashion if the complainant so requests. The rationale may be provided verbally or in writing, at the discretion of the Chair of the Appeals Board.

6. **Implementation of Penalty.** If the Appeals Board recommends a penalty no more severe than a grade of E or F in the course in which the offense occurred, the instructor shall implement such a penalty. If the Appeals Board recommends a penalty of XE or XF, the responsible dean shall implement that penalty. If the Appeals Board recommends a penalty of suspension, dismissal, expulsion, or revocation of a degree, the case shall be forwarded to the Provost, who shall take further action pursuant to Section 6.4.5

7. **Conditions for Readmittance After Dismissal.** If the Appeals Board recommends or supports a penalty of dismissal, the Board may specify conditions under which it would consider approving a student’s petition to be readmitted. The hearing officer shall notify the student of any such conditions.

**C. Failure to Appeal**

If a student fails to approach the Ombud within the time specified in Section 6.4.4.A.1, or if an appeal is not filed within the time specified in Section 6.4.4.B.2, the Academic Ombud shall so notify the student, the instructor and chair (if the offense was related to a course), the responsible dean, and the dean of the student’s college of the finding, penalty, and failure to appeal. If a penalty less severe than suspension was recommended, the Academic Ombud shall also notify the Registrar; in the case of international students, the Director of International Student Affairs; and, if the offense also involves a violation of the Code of Student Conduct, the Dean of Students. On the other hand, if a dean or the Registrar recommended a penalty at least as severe as suspension, the Academic Ombud shall notify the Provost.

**6.4.5 Action by the Provost**

**A. Upon Receipt of Recommendation**

If the Provost receives a recommendation from a dean or the Registrar to suspend, dismiss, expel, or revoke a degree of a student, then the Provost shall wait until receiving notice from the Academic Ombud or the hearing officer of the University Appeals Board that the finding of an offense stands and that a penalty at least as severe as suspension is being recommended or supported by the Board.

**B. Imposition of Penalty**

The Provost may implement the recommended penalty or a less severe one, subject to the following limitations:
1.  If the offense occurred in a course in which the student was not enrolled, or if the offense was with regard to falsification or misuse of academic records, the Provost may implement either no penalty or a penalty at least as severe as suspension.

2.  If the offense was the student's first or second, and it occurred in a course in which the student was enrolled, the Provost shall implement a penalty at least as severe as a grade of XE or XF in the course in which the offense occurred.

3.  Otherwise, the Provost shall implement a penalty at least as severe as suspension.

C.  Conditions for Readmittance After Dismissal
If the Provost decides to dismiss the student, the Provost may specify conditions under which the Provost would consider approving a student's petition to be readmitted. The Provost shall notify the student of any such conditions.

D.  Notice
Notice of action taken by the Provost (even if no penalty is imposed) shall be provided to the student, with copies to the instructor and chair (if the offense was related to a course), the responsible dean, the dean of the student's college, the Registrar, and the Academic Ombud. If a penalty was recommended by the University Appeals Board, a copy shall be sent to the chair of the University Appeals Board. In the case of international students, a copy shall be sent to the Director of International Student Affairs. If the student is suspended, dismissed, or expelled, or the student's degree is revoked, a copy shall be sent to the Dean of Students.

6.4.6  Further Procedures in Cases of Suspension, Dismissal or Expulsion

A.  Suspension
If a student while on suspension violates any of the terms set forth in the nature of suspension, he or she shall be subject to further discipline in the form of dismissal. The penalty of suspension shall normally apply to semesters (or other academic terms as appropriate) following imposition of the penalty by the Provost. With the consent of the student and the dean of the college that offers the course in which the offense occurred, the Provost may fix an earlier date for suspension. In any case in which the suspension is imposed by the last day to drop a course, it shall apply to that semester, and the student shall be afforded a full refund of tuition. In case of any student who is graduating, the suspension shall apply to the final semester before scheduled graduation.

B.  Dismissal
A student may be readmitted to the University only with the specified approval of the University Appeal Board and the Provost. They must be satisfied that the student has met any conditions that were specified by the University Appeals Board at the time of dismissal, pursuant to section 6.4.4.B.7. Before making their decision, they should also consider whether the student has met conditions that were specified by the dean, the Registrar, or the Provost, pursuant to sections 6.4.3.B.5, 6.4.3.D.5, or 6.4.5.C.
C. Expulsion
Expelled students shall not be readmitted except upon proving to the University
Appeals Board that the findings of fact which formed the basis of the action were clearly
erroneous.

6.4.7 Recordkeeping and Reporting

A. Recordkeeping

1. In Case of Minor Offense. When the Registrar receives a copy of a
letter of warning from an instructor to a student, pursuant to paragraph
6.4.3.A.7, the Registrar shall place the instructor's letter of warning in the
student's record. When the student graduates, if the student has committed no
offenses subsequently, the letter shall be destroyed.

2. In Case of Other Offenses. The Registrar shall record the following
information in the student's permanent academic record after notification from
the Academic Ombud or the Appeals Board that a student is not appealing a
finding of an offense or has lost an appeal of such a finding: 1) name of student;
2) student identification number; 3) student's college; 4) course name and
number and section number, if applicable; 5) approximate date of offense; 6)
brief description of offense; 7) penalty imposed; and 8) date of imposition of
penalty.

B. Right to Drop or Withdraw
If the Appeals Board finds a student did not commit an offense in a course, the student
shall be permitted to withdraw from the course within five days after being notified of the
finding. The student shall be permitted to drop the course if the initial allegation was
made before the deadline for dropping a course had passed.

The Registrar shall not permit a student who has been found to have committed an
academic offense in a course to drop or withdraw from it.

C. Concurrent Offenses
There may be a lag between when an offense is committed and when it is recorded by
the Registrar or when a letter of warning is received. If another offense by the same
student is committed during this time, the existence of the first offense or letter of
warning may not be considered when the penalty for the second offense is determined.
As a result, when recording an offense or placing a letter of warning in a student's
record, the Registrar shall determine whether any inquiries about prior offenses or
letters of warning have been made subsequent to the date of the offense now being
recorded or the date of the incident that provoked the letter of warning. If such is the
case, the Registrar shall notify the dean of the student's college, who shall proceed as
described in paragraph 6.4.3.B.1.d.

D. Access to Information
Information regarding the academic offense other than the fact and term of any
mandatory restriction on the student's eligibility for continued enrollment may be
released only with the written consent of the student, or in response to an inquiry from a
chair of a department at the University of Kentucky, a dean of the University of
Kentucky, the Provost, or the Academic Ombud of the University of Kentucky, consistent with the University’s Family Educational Rights and Privacy Act policy. A record shall be maintained by the Registrar of every instance in which information is released under this provision.

E. Transcript Notation
The fact that suspension, dismissal, or expulsion occurred because of an academic offense shall be indicated on all transcripts permanently.

6.5.0 UNIVERSITY APPEALS BOARD

6.5.1 FUNCTIONS OF THE UNIVERSITY APPEALS BOARD

6.5.1.1 Cases of Academic Offenses [see Section 6.4.4, above; US: 3/10/86; US: 12/12/05]

6.5.1.2 Cases of Student Academic Rights [US: 12/8/86]
After hearing a case involving a violation of student academic rights as set forth herein, the Appeals Board may select from the following remedies:

A. The Appeals Board may direct that a student be informed about the content, grading standards, and procedures of a course when a violation of the pertinent rules has been proved.

B. When an academic evaluation based upon anything other than a good-faith judgment of a student has been proved, the Board may direct that a student’s grade in a course be changed to a W (Withdrawal) or a P (Passing, credit toward graduation but not toward grade point standing), or, if such determination can be made, to an appropriate letter grade. (See Section 5.1.3) If the Appeals Board awards a student a P in the course, it shall appear on his or her record regardless of the fact that the student’s college or academic unit does not normally recognize P grades. The academic unit must accept that course just as if the student had passed the course in the normal manner, except that the P grade is not used in calculating the student’s GPA. [RC: 11/20/87]

C. The Appeals Board may take any other reasonable action calculated to guarantee the rights stated herein.

6.5.2 COMPOSITION OF THE UNIVERSITY APPEALS BOARD
The University Appeals Board shall be composed of a membership of faculty and students as prescribed by GR XI.C. All members of the Appeals Board shall be expected to meet within 48 hours after notice from the chair. [US: 4/10/00]

6.5.2.1 The Hearing Officer
The Hearing Officer shall be the chair of the Appeals Board (GR XI). He/she shall be a person with training in the law appointed by the President of the University for a one-
year term, beginning September 1 and ending on August 31. He/she shall convene and preside at all meetings of the Appeals Board.

When the Appeals Board is exercising original jurisdiction, all questions of law, either substantive or procedural, and all procedural questions shall be addressed to and ruled upon by the Hearing Officer. If the Hearing Officer is not present for any case, the President shall appoint a temporary substitute, as per GR XI.C. The Hearing Officer does not participate in the Board's deliberations and has no power to cast a tie breaking vote.

6.5.2.2 The Student Membership
The student membership shall consist of four graduate or professional students, four male undergraduate students and four female undergraduate students. The undergraduate students must be sophomores, juniors or seniors in good academic standing and the graduate or professional students must have been in residence at least one year and be in good standing in their respective colleges. They shall be appointed to one-year terms, subject to reappointment. Their terms shall begin September 1 and end August 31. Members shall be broadly representative of the University community, including the Medical Center, Lexington Community College, and the Lexington Campus, and shall be chosen by the President of the University from the recommendations of the legislative branch of the Student Government Association. [US: 4/10/00]

6.5.2.3 The Faculty Membership
The faculty members shall be broadly representative of the University community and shall be appointed to staggered, three-year terms by the President of the University upon the recommendation of the University Senate Council. All terms shall begin on September 1 and end on August 31. [US: 4/10/00]

6.5.2.4 Other Procedural Rules
Normally nine members, exclusive of the Hearing Officer, shall sit to decide a case. A quorum for the conduct of business will be eight members including the Hearing Officer, not less than five of whom, exclusive of the Hearing Officer, shall be faculty members. The Appeals Board shall establish such procedural rules, not inconsistent with the provisions of the Rules of the University Senate. A decision of the Appeals Board is null and void when the Board is constituted in violation of this Rule and when the improper constitution is likely to have affected the case's outcome, in the opinion of the University Appeals Board. When a student claims a violation of his/her rights, a tie vote sustains the action being appealed. [US: 4/10/00]

6.6.0 HONOR CODE
Any school, college, or program may establish, with the approval of the Senate, an honor code or comparable system governed by the students with approval by and/or appeal to the faculty of such a college. When such an honor code or comparable system has been established by a college, the code shall apply, and the procedures for disposition of cases of academic offenses described in Section 6.4 shall not apply, only to suspected offenses by students enrolled in that school, college, or program, regardless of whether the offenses are committed in courses offered by the same or a different college.
An honor code that applies to students enrolled in a program or curriculum of the Graduate School must be approved by the Graduate Faculty and the dean of the Graduate School.

A student found guilty of committing an offense subject to an Honor Code may appeal that finding through the Academic Ombud to the Appeals Board. The Appeals Board, however, shall not normally sit as a de novo fact finding body, but shall limit its review to ensuring that the college’s academic honors board or committee adequately followed its own written procedures in determining guilt or innocence and that the finding of guilt is supported by the preponderance of evidence. If the honor code is not student governed, as determined by the Senate during the approval process of the honor code, the affected student reserves the right to appeal the case to the Appeals Board and be heard de novo. [US: 2/13/95, US: 2/10/03]

However, if the Board, by the majority of those present, believes the student’s rights under the University Senate Rules and the applicable rules of the academic unit governing academic relationships have been substantially violated, the Board may conduct a de novo hearing on the issue of guilt. [US: 2/13/95]

If the Board, by majority of those present, believes the findings or determination of the Honors Council are not supported by the preponderance of the evidence, the Board may reverse the finding of guilt and there shall be no further proceedings in the case. [US: 2/13/95]

College academic honor councils or committees shall maintain a verbatim record of their proceedings to ensure that the Appeals Board is able to perform this function. [US: 2/13/95]

The punishment meted out to a student governed by such a system shall be as designated thereby except that actual suspension, dismissal or expulsion shall be imposed only with the recommendation of the dean of the college and upon approval by the President of the University. [US: 2/13/95]

Note: The Dentistry, Law, Medicine, and Pharmacy colleges have adopted honor codes. Copies are available in the deans’ offices of these colleges.

Note: The Senate recognizes that the College of Law Honor Code is not student governed. [US: 2/10/03]