1. Overview

This Recordkeeping Process is designed to be followed in conjunction with the Guidelines for Academic Integrity Officers and other staff https://www.adelaide.edu.au/learning/resources-for-educators/academic-integrity/guidelines-for-academic-integrity-investigations with recordkeeping steps and administrative actions occurring at every stage of the process parallel with other activities outlined in the Guidelines.

Recordkeeping is integral to managing all documentation and correspondence at each step of a suspected academic misconduct investigation, from the initial allegation, gathering of evidence, through to the inquiry process, and notifying the student of any outcome. All evidence, documents created and collected, must be captured in the University's recordkeeping system – HPE Content Manager (HPECM).

From the commencement of a suspected breach of policy, a new academic misconduct file must be created for capturing all evidence, correspondence and documentation.

2. Scope

This procedure covers the creation of an academic misconduct file and the capture of all evidence, associated documentation and final outcome records into HPECM. A new file will be requested for creation, at the time of the suspected breach of policy, by Professional Support Officer staff. The file will be created in HPECM by Records Services. All documentation created and received, as part of any academic integrity investigation, must be captured in the HPECM file. The types of documents created throughout the process may include:

- o *Emails (student and university staff e.g. meeting times and confirmation of student attendance etc.)*
- o *Suspected Academic Integrity Incident Form*
- o *Supporting documentation e.g. TurnItin report*
- o *Memorandums*
- o *Minutes of Meetings – e.g. with the AIO and/or AIRC Inquiry*
- o *Memo and Examination Reports*
- o *Outcome Notification Letters*
- o *Audio recordings*
- o *Evidence records/documentation*

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3.   Responsibilities

- **Academic Integrity Officer (AIO)** – ensure all documentation regarding an alleged academic integrity incident is provided to Professional Support staff.

- **Professional Support Officer** – complete new file request form for new HPECM file. Capture all documentation, evidence and outcome in relevant HPECM file; Assign file closure note and action.

  Update the Academic Integrity Register (AIR) with HPECM file number if breach is confirmed. If an allegation of academic misconduct results in a breach of policy, the academic integrity file HPECM reference number must be added to the appropriate field within the Academic Integrity Register (AIR).

- **Records Services** – create requested file in HPECM. Provide support for recordkeeping, HPECM assistance and guidance. Process file for closure when actioned. Update disposal schedule to reflect final outcome.

- **Manager Student Affairs** – manage membership of the HPE Content Manager security group applied to Academic Misconduct files.

4.   Procedure

The AIO receives notification about a *suspected breach of the policy – i.e. academic misconduct incident* and will provide these documents to the Professional Support Officer. A new academic misconduct file is to be requested for creation.

Register Check

Checking for existing entry – 'Central University Academic Dishonesty Register' for breaches of the former Policy

As part of the investigation of a suspected breach of the Academic Integrity Policy, the AIO with the administrative support of the PSO, **must check the *Central University Academic Dishonesty Register (Excel spreadsheet)* for any existing entry in the University's record management system.**

To access the *Central University Academic Dishonesty Register 2009 to 2020*, search **HPECM file - 2020/6653**

A Central Register of all confirmed breaches, from 2009 to the end of Semester 1, 2020, is saved in the HPECM file. This document has been finalised and is to be used as a reference only (it is not available for editing) for all confirmed breaches of the former *Academic Honesty Policy* from the years 2009 to 2020.

The Academic Integrity Register, using PeopleSoft, will also need to be checked to establish whether the student has a previous breach of the Academic Integrity Policy (since the end of Semester 1, 2020).

Whether the student has a previous breach (either recorded on the *Central Academic Dishonesty Register 2009 to 2020* or in the Academic Integrity Register) determines what happens next. Please refer to the Guidelines for Academic Integrity Officers and other staff https://www.adelaide.edu.au/learning/resources-for-educators/academic-integrity/guidelines-for-academic-integrity-investigations for more information

- If the student has no previous breach the investigation will be conducted by the AIO.
- If the student has a previous breach of the Academic Integrity Policy, the AIO will proceed directly to initiate an **Academic Integrity Review Committee (AIRC) Inquiry.**

File Creation

Professional Support Officer requests a new file by completing a new file request form:

https://www.adelaide.edu.au/library/library-services/records-services/forms-templates/file-creation-or-changes-form

Fields to select / complete on the form include:

Type of request: *New file request (electronic only)*

File Business Owner: *Office of Academic and Student Engagement*

Classification: *STUDENT ADMINISTRATION*

Classification level 2: *Student Misconduct*

Classification level 3: *Academic Integrity*

Suggested 'free text title': ***Student ID – First Name – LAST NAME – Year – Semester X – Course ID Code***

Example free text: **1234567 John SMITH – 2020 – Semester 2 – ACCTING 2500**

Related file(s): *If the student has previous case files, these files can be noted and related*

Note: *Records Services will relate the newly created file to the (red) student file. Only staff included in the Academic Misconduct Group will have access to both records and to view the related files.*

Security group/s restriction: *Select Yes*

Security group name/s: *Academic Integrity Group*

Complete contact details.

Records Services will receive the request for file creation via email and create the file in HPECM.

The file in HPECM (orange) file type will be assigned a new file number **2020/XXXX** and emailed as a file reference to the requestor.

Example file title: *STUDENT ADMINISTRATION - Student misconduct - Academic integrity - 1234567 John SMITH – 2020 – Semester 2 – ACCTING 2500*

Note: to assist in capturing documents to the file, it is helpful that once the new file number is received it is added as a HPECM **Favorite.** Once added, favourite files are easily accessed from the **Shortcuts**, **Favorites**, Records tray.
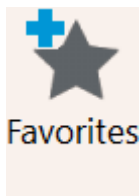
Capturing documents in HPECM

Records are created and received throughout the investigation. All records must be uploaded to HPE/CM by the Professional Support Officer.
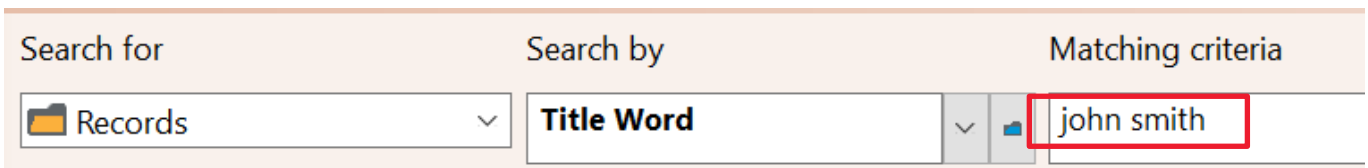
Documents can be saved in HPECM by either method:

- **Drag and Drop** – emails from Microsoft Outlook, including attachments, documents saved to shared drive folders and desktop can be dragged from the application directly in HPECM

- **Microsoft Office Integration** – direct integration from *Microsoft Word, Excel, Power point in* save directly from the application in HPECM.

Note: Documents that have been saved in Box to share and collaborate will need to be downloaded individually and dragged and dropped in HPECM from that location or dragged and dropped from Box Drive in HPECM.

Note: Investigation documents and emails cannot be saved as incidents to the CRM student record.
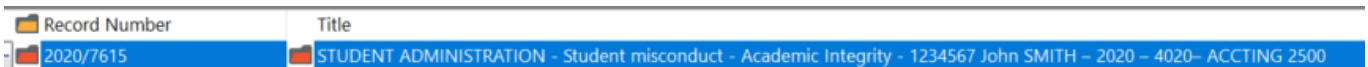

Drag and Drop

- Locate the HPECM file from **Favorite** records or by searching for the students ID or name as a **Title Word** search.

Results for the search will be displayed. Check for correct file title -

STUDENT ADMINISTRATION - Student misconduct - Academic integrity - 1234567 John SMITH – 2020 – Semester Code – ACCTING 2500

- Select the documents to Drag and Drop in HPECM.

- Minimise or reduce the size of HPECM and Office/Windows Explorer to view both screens.

- Click and hold down the left mouse button and drag the document on top of the HPECM file then drop.

- The **Document Registration** form will display to save the document and all mandatory fields (*) are required to be completed.

Naming conventions for titling of academic misconduct documents are:

Student ID First Name LAST NAME – Type of document - Date

Example: 1234567 John SMITH - Outcome Notification Letter - 24 February 2020

Note: as per HPECM document title naming conventions, punctuation and special characters should not be included. The use of dashes is acceptable.

The file number field will be populated.

- To select a **Document Mode** and **Document Category** select using the drop down menu 🗀 .

- The **Document Date** will be automatically populated if saving an email (email date) or include the date of the letter, in this field.

- To select an **Author** or **Addressee** select the blue kwik select folder to display HPECM locations. list. 🗀 . Internal staff members are 'Green locations' and 'Red locations' are external eg students are external.

- The '**Electronic Only'** and '**Enclosed?'** fields are defaulted.

- Select '**Declare as Final'** if the document is finalised e.g. this is the final version that will be sent to the student and no further changes are to be made.

Note: Emails are finalised on creation and cannot be revised.

- If a document needs to be 'unfinalised' at a later date, please contact Records Services to request this.

- Click **OK**.

- The document will be saved into HPECM and automatically allocated a DYEAR/Sequential Number, eg **D2020/178236.**

- The document is now saved to the HPECM file.

Example:

| Record Number	Title
2020/7615	STUDENT ADMINISTRATION - Student misconduct - Academic Integrity - 1234567 John SMITH – 2020 – Semester 2 – ACCTING 2500
D2020/178240	1234567 John SMITH - Confirmation of meeting date - 27 March 2020
D2020/178239	1234567 John SMITH - Examination Report - 24 March 2020
D2020/178238	1234567 John SMITH - Incident Report 2 March 2020
D2020/178237	1234567 John SMITH - Suspected Breach Incident Form 26 January 2020
D2020/178236	1234567 John SMITH - Outcome Notification Letter - 13 January 2020

Microsoft Office Integration

For instructions to enable Microsoft Office integration (Word, Excel, Outlook, Power Point) with HPECM - https://www.adelaide.edu.au/library/system/files/media/documents/2020-01/hpecm-integration-wordexcelpowerpoint.pdf

Once HPECM has been integrated with Word, Excel and PowerPoint, these applications will display a **HPE Content Manager** tab in the ribbon.
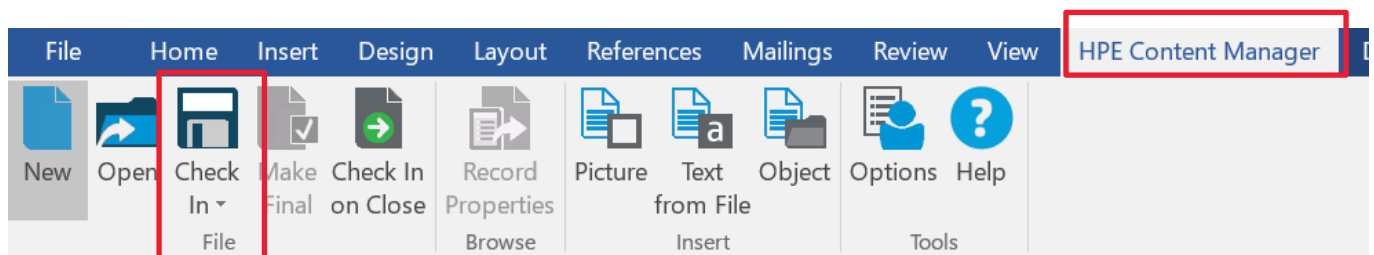
- Select the **HPE Content Manager tab** on the ribbon and click the **Check In** button. A **Select Record Type** window will display, highlight **Document** and click **OK.**

- The **Document Registration** form will display. Enter the document title, file number and other required details, mandatory fields*.

- Click **OK** to save the document directly to HPECM.

Once HPECM has been integrated with Outlook will display a **'HPE Content Manager'** tab in the ribbon.
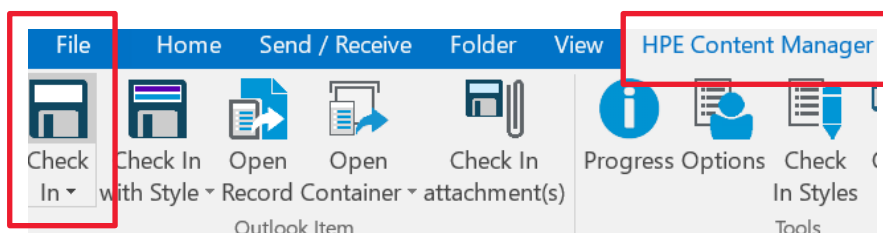
- Select the email in Outlook mail folder and on the **HPE Content Manager** tab on the Outlook ribbon, select **Check In, select record type Document.**

- The **Document Registration** form will display. Enter the document title, file number and other required details, mandatory fields*.

- Click **OK**. The email (and any attachments it has), will be saved to HPECM.

Zoom recordings and capture

When recording a Zoom meeting with a student, Zoom will save the video when the meeting ends. A meeting recording is a record of evidence. The saving of the Zoom recording will be available as 3 separate files. Highlight the meeting titled 'Zoom_0' using drag and drop method to drag the MP4 video file to HPECM to capture as a record. Title the record with standard naming conventions -

1234567 – John SMITH – ZOOM student meeting - 1 August 2020

Editing documents in HPECM

Double clicking on a document in HPECM will open it as a 'Read Only' version. To edit a saved HPECM record, for example, to update the 'Suspected Academic Integrity Incident Form' select the '**Edit'** button. Updates can be made to the document and then saved. A new revision will be made and the same document number and document title will remain. All previous revisions are kept for the document.

For further information on editing documents in HPECM - https://www.adelaide.edu.au/library/system/files/media/documents/2020-01/hpecm-editing.pdf

Closure of the file

Professional Support Officer staff are responsible for notifying Records Services when an academic integrity file can be closed. A file should be closed once an outcome has been determined or an *appeal period has lapsed. All academic misconduct files should be reviewed for closure at the end of a Semester.

Please check with a Student Grievance and Conduct Advisor in Student Affairs https://www.adelaide.edu.au/student/grievance/contact-us to check whether a student has submitted a Stage 3: Internal University Appeal before closing a file.

To ensure the appropriate disposal schedule item is assigned Professional Support staff are to add a 'note' in HPECM to reflect the outcome.

Notes can be added by selecting the **Notes** button on the **Home** ribbon.
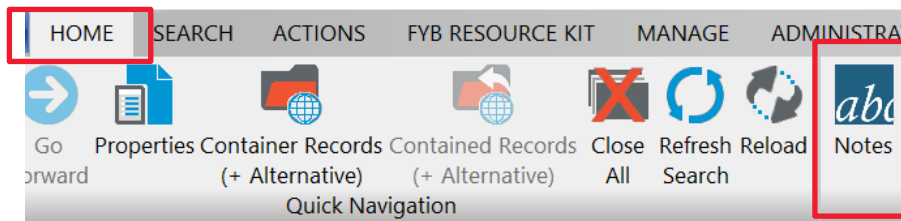
To add the Note:

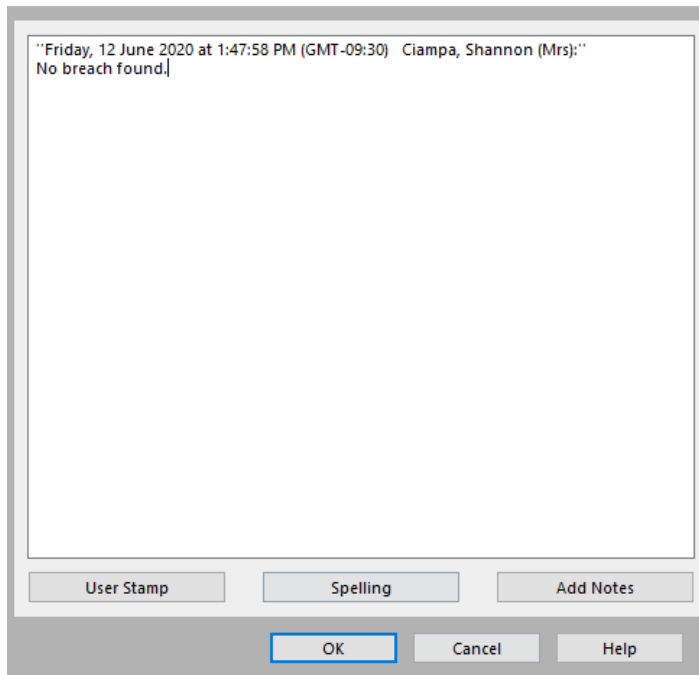- Select **Add Notes** and include the user stamp.

For a determined breach

Add text: A breach of the Academic Integrity Policy has been registered.

For no determined breach
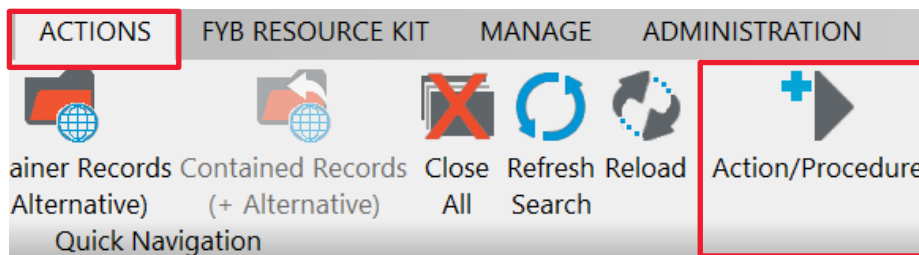
Add text: No breach found.

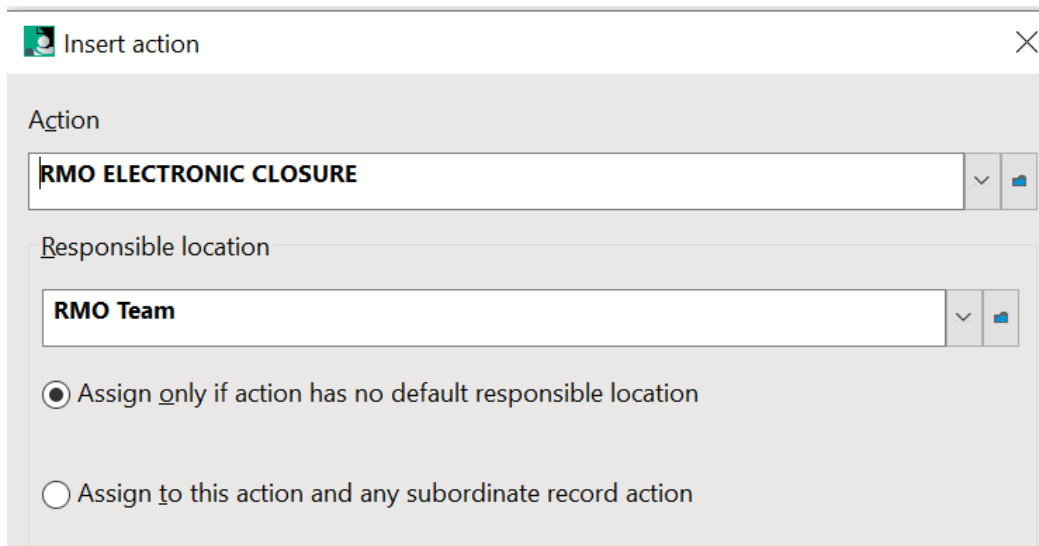*Insert notes text:*

Select **OK**.

To notify Records Services files are due for closure a HPECM **Action** needs to be applied.

- Locate the file for closure with note included and select **ACTIONS** tab from the ribbon in HPECM.

- Select **Action/Procedure**.

- Select **Action/Procedure.** An **Insert Action** form will display.

- The Action name is **RMO ELECTRONIC CLOSURE.** Either start typing this in the **Action field** or select the blue kwikselect button on the right of this field. The action name – ''**RMO Electronic Closure''** will display.

- Select **OK** to populate the action.

- The **Responsible Location** field will be populated automatically with the **RMO TEAM.**

- Click **OK**.

The Records Services team will receive this action, review the note to ensure the appropriate disposal schedule is assigned and proceed to close the file.

NOTE: No further documentation will be able to be saved to the file but all documents can be opened and viewed. If further documents are required to be added contact Records Services to request the file to be re-opened.

5.   References

Related documents include:

- Academic Integrity Policy
  https://www.adelaide.edu.au/policies/230?dsn=policy.document;field=data;id=239;m=view
- University Records Policy
  https://www.adelaide.edu.au/policies/606/?dsn=policy.document;field=data;id=877;m=view
- Records Services - How To Guide – *Register Documents Using the Drag and Drop Method* -
  https://www.adelaide.edu.au/library/system/files/media/documents/2020-01/hpecm-draganddrop.pdf
- Records Services - How To Guide – *Business Rules and Naming Conventions* -
  https://www.adelaide.edu.au/library/system/files/media/documents/2020-01/hpecm-businessrules.pdf