

# PEPPERDINE UNIVERSITY

## Graziadio School of Business and Management

### Code of Academic Ethics and Conduct for Students

Pepperdine University expects from all of its students and employees the highest standard of moral and ethical behavior in harmony with its Christian philosophy and purposes.

The Code of Academic Ethics and Conduct for Students at the George L. Graziadio School of Business and Management is an integral part of the educational process. It makes possible an atmosphere conducive to the development of the total person through learning experiences. Since a person is more than intellect, learning is more than academic achievement. It includes achievement in all the qualities of an individual - intellectual, spiritual, ethical, emotional, and physical.

The Code provides among students, faculty and administration a spirit of community where such development can take place. Furthermore, it creates a climate of mutual trust, respect and interpersonal concern where openness and integrity prevail.

The code will enrich the educational process at the Graziadio School and encourage the development of a Pepperdine spirit. This will lead to a pervasive sense of pride for and loyalty to Pepperdine University's high standards of academic ethics, personal honesty, and spiritual values

The Code emphasizes the dignity and development of each individual. The Code maintains free competition and independent intellectual effort, not tolerating dishonesty, cheating, or plagiarism. If acts of dishonorable conduct occur, the Code outlines the procedures as well as sanctions to censure such activity.

To be effective, the Code must be maintained by the Graziadio School community. This requires a genuine sense of maturity, responsibility and sensitivity on the part of every member. In particular, each member of the Graziadio School community is expected to pursue his or her academic work with honesty and integrity.

## 1.0 Policies

### 1.1 Scope

This document is limited to those areas of campus life that are directly related to academic ethics. Each faculty or staff member and each student, upon admission to the Graziadio School, will be expected to express support for the Code of Academic Ethics and Conduct.

Upon completing each assignment, every student is expected to have abided by the principles of the Code.

### 1.2 Violations

In the spirit of the ethical standard upon which Pepperdine University was founded, the following guidelines have been developed to stress the importance of the ethical and moral values which are essential in today's business environment and in one's personal life. Within the Graziadio School Code of Academic Ethics and Conduct, sanctions will be imposed upon those who participate in academic dishonesty. Participation includes acting dishonestly oneself, as well as tolerating dishonest acts by others.

Four basic categories of dishonorable behavior are noted below along with several examples of each category. These categories and examples are not to be interpreted as all-inclusive as to situations in which discipline will be invoked. They are illustrative, and the University reserves the right to take disciplinary action in appropriate circumstances not set out in this Code. It is understood that each student who enrolls at Pepperdine University will assume the responsibilities involved by adhering to the regulations of the University. Students are expected to respect order, morality, personal honor, and the rights and property of others at all times.

### **1.2.1. Misrepresentation of Academic Work:**

- a. Plagiarism, or the employment of another's statements or thoughts without giving that source appropriate credit;
- b. Unauthorized multiple submission of the same paper(s);
- c. Submitting for credit a purchased assignment or paper;
- d. Submission of an assignment prepared by another person (or persons) that is misrepresented as the student's independent work.
- e. Willfully not fully participating in a team project.

### **1.2.2 Interference with Fair Competition and with Independent Intellectual Pursuits:**

- a. Giving, receiving or using unauthorized aid on examinations or projects;
- b. Collusion with others when independent work is specified;
- c. Deliberately defacing or removing course materials and thereby making them unavailable to others.
- d. Taking unfair advantage of other students by, without justification or permission, continuing to work after authorized time for the assignment has ended.
- e. Being aware of dishonesty in an examination process or work assignment and not promptly reporting it to the instructor or the administration.
- f. False accusations, deliberately or recklessly, made regarding the integrity or competency of a faculty member or student.

### **1.2.3. Solicitation of Dishonorable Behavior:**

- a. Offering to buy or sell unauthorized aid on examinations, papers, projects, or grades;
- b. Offering or accepting bribes related to academic work.

### **1.2.4. Improper Conduct:**

- a. Dishonesty in any form, including illegal copying of software, and knowingly false information to the University;
- b. Forgery, alteration, or misuse of University documents, records, or identification;
- c. Failure to comply with written or verbal directives of duly authorized University officials who are acting in performance of assigned duties;
- d. Interference with the academic or administrative process of the University or any of its approved activities
- e. Inability to maintain standards of behavior and decorum reasonably expected of a graduate class and/or otherwise unprotected behavior that disrupts the classroom environment;
- f. Theft or damage to property;
- g. Violation of civil or criminal codes of local, state, or federal governments;
- h. Unauthorized use of or entry into University facilities
- i. Violation of any stated policies or regulations governing student relationships to the University.

## 2.0 Recommended Sanctions

### 2.1. First Honor Offense:

- a. Failing grade for the test and/or assignment
- b. Or failing grade for the course and probation. Probation - status of the student indicating that the relationship with the University is tenuous and that the student's records will be reviewed periodically to determine suitability to remain enrolled. Specific limitations to and restrictions of the student's privileges may accompany probation;
- c. Or immediate suspension from the University (duration to be determined) for a minimum of one semester;
- d. Or immediate and permanent dismissal from the University.

### 2.2. Second Honor Offense: Immediate and permanent dismissal from the Graziadio School.

Any sanction given to a student will be on permanent file with the Program Director's Office in the Graziadio School and, if the student is dismissed, with the Office of Student Information and Services (Registrar's Office). To assist in future deliberations of the Academic Ethics Committee (AEC), a summary of prior cases without name identification but including their general facts and recommendations, shall be maintained in the Program Director's Office and made available to the AEC.

## 3.0 Committee Hearing Purposes

The hearing procedures are designed with the following purposes in mind:

- a. To provide a positive direction in cultivating academic ethics; and
- b. To ensure thorough and fair investigation of pertinent evidence;

Such purposes are to be attained through the efforts of the AEC.

## 4.0 Guidelines for Conducting the Hearings

It is to be understood by all parties dealing with the AEC that it is not a court. The AEC is an educational committee which deals with students and members of the University community only as their status pertains to the educational aspect of the Graziadio School. Its proceedings are concerned with fundamental fairness and are not to be construed as being subject to formal courtroom procedures.

## 5.0 Reporting

If a violation of ethics cannot be fairly resolved between the professor and student involved, the professor will report the alleged violation to the chairperson of the AEC. The accused student shall be granted up to five business days to prepare his or her case as determined by agreement with the AEC chairperson. The accused has the right to consult with an advisor from within the Graziadio School community.

## 6.0 Composition of Committee

6.1 The AEC will consist of not less than three students and two faculty representatives. One faculty representative shall be a member of the Faculty Council and the other a member of the appropriate Program Committee.

### 6.2 Tenure & Vacancies

The student representatives will be selected by the Program Director, and will serve a one-year term

beginning in September. In the event of a student or faculty vacancy, the chairperson of the AEC will notify the appropriate Program Director who will select a replacement from within the specified program.

### 6.3 Chairperson

A non-voting chairperson (except in the case of a tie vote) shall be elected by the AEC from among the Committee's faculty members.

### 6.4 Officers

A secretary shall be elected by the AEC. This election by ballot will be conducted by the chairperson without nomination. In the absence of the chairperson, the secretary serves as chair.

### 6.5 Quorum

A quorum consists of not less than three of the AEC members, with at least three of the minimum number present being voting members. The Committee can, in its discretion, consist of as many as seven, but a majority of those members must be students.

The Committee retains the right to redirect matters it deems outside its scope to the Program Director or other administrative body.

## 7.0 Functions of the Committee

7.1. The AEC will provide a forum in which students and faculty can bring individuals who have allegedly breached the Code of Academic Ethics and Conduct for Students. Records of such hearings will be kept in a secured file in the Office of Associate Dean for Programs at the Graziadio School.

7.2. The AEC will decide whether or not there is a factual basis for the allegation. In cases where findings are made against the student, the AEC will recommend an appropriate sanction to the appropriate Program Director.

7.3. In certain cases, the AEC will function as a clearinghouse for complaints submitted in writing to it and the penalty accorded for the incident would be under Recommended Sanctions, 2.1.a. or 2.1.b.:

- a. Cases where the student has admitted guilt; and
- b. Cases where the faculty member confronts the student based on visual evidence.

In such cases, the faculty member, after discussion with the student, will file a formal charge with the AEC, and this charge will be kept on permanent record. (See "Procedures for a Hearing") Any student having a charge filed against him or her in this manner has the right to appeal the faculty member's decision to the appropriate Program Director. Any faculty member assigning a sanction [(2.1.a.) or (2.1.b.)] to a student will advise him or her of the right to appeal it to the appropriate Program Director. If the AEC receives any other written allegations against the same student at any time during the student's career at the Graziadio School, a hearing will be called and the student will be considered for recommended dismissal from school (under the Sanctions, second offense).

7.4. The AEC will confer with individuals, found by the Committee to have violated this Code, of their opportunity to appeal the decision of the appropriate Program Director to the Associate Dean for Academic Programs at the Graziadio School. The Program Director will notify the AEC of any decisions made on cases submitted to his or her office.

7.5 At least three AEC members shall be present for a vote to be called. Specific sanction(s) will be decided by a concurring vote of not less than, if five or six members are present, three, and if seven are present not less than five concurring. Vote is by secret ballot and is counted by the chairperson and the secretary. The results (and the ballots) will be presented to the Associate Dean for Academic Programs.

7.6. **Changes in the Code of Academic Ethics and Conduct for Students:** Any alterations in the Code must be initiated by the AEC or a Program Director and must carry by unanimous vote of the AEC.

## **8.0 Procedure for Bringing an Allegation of a Violation of the Code of Academic Ethics and Conduct for Students**

8.1. A student or faculty member suspecting a violation of this Code should, at his or her discretion, make an attempt to meet with the accused student and discuss the basis of the allegation and evidence to see if there is some acceptable explanation.

8.2. If the student is unavailable for a meeting or if the complaining student or the complaining faculty member deems the student's explanation unsatisfactory, the complaining student or the complaining faculty member should hand-deliver or send the written allegation to the student by certified U.S. Mail with a return receipt requested or other reasonable delivery method. The return receipt or other evidence of delivery of the written allegation and a copy of the written allegation should be promptly sent to the chairperson of the AEC. The letter should include: a) What the alleged violation is; b) Whether the accused student was spoken to about the evidence and what explanation, if any, was provided; c) Copies of all relevant information, including, unless contrary in the judgment of the appropriate Program Director or faculty member to the best interests of a student, the names and signed statements of any witnesses to the incident; d) Phone numbers and offices where the student can reach the appropriate Program Director or the faculty member making the allegation and the chairperson of the AEC; and e) A statement warning the student to respond promptly when contacted by the chairperson of the AEC regarding the allegation so that a hearing can be arranged. Example: "Failure to respond to this notification will be considered a waiver on your part and may jeopardize your status at Pepperdine University."

8.3. Once a copy of the allegation has been received by the chairperson of the AEC, he or she will contact, within ten business days of receipt, the student by phone or certified mail, return receipt requested, to schedule a hearing. The hearing should be scheduled within fifteen business days after notice has been given by phone or sent by certified mail but not sooner than the time agreed for the accused student to prepare his or her case per the Reporting section of the Code. All telephone conversations shall be followed by written confirmation. During the initial conversation or, if necessary, by certified mail, the chairperson will inform the student of the following: a) The allegation for which the hearing is being called; b) The possible sanction(s) specified in the Code; c) The procedures that will be followed during the hearing (a copy of the Code and procedures shall be supplied to the student at this time, if requested); d) The student's right to bring an advisor from within the Graziadio School community (faculty, staff, or student) to the meeting; and e) The student's right to bring witnesses to the meeting.

8.4. If, for a substantial reason, the accused student cannot attend the hearing at the arranged time, the student should contact the chairperson as soon as possible. If the student cancels or postpones a second meeting, the Committee may rule that the failure to appear may be considered a waiver by the student of presence at the hearing, and the Committee may hold the hearing without the student present.

8.5. If the student has admitted responsibility and if the infraction justifies Sanction 2.1.a. or 2.1.b. (see Code of Academic Ethics and Conduct for Students), the complaining faculty member will file with the Committee the form titled "Violation of the Code of Academic Ethics and Conduct," and assign the appropriate Sanction. The student will also sign the form. A hearing will not be necessary unless, after receiving the completed form, the Committee determines that this infraction is the student's second offense.

8.6. If the student does not contest the accusation or appeal the Sanction (2.1.a., 2.1.b.), and if the Committee determines that this is the student's first offense, then no hearing will be held.

## **9.0 Procedure for the Hearing Before the Academic Ethics Committee (AEC)**

9.1. The hearing will be called to order at the time specified in the notification provided to the involved faculty member and the accused student. The hearing cannot begin without a minimum of three

Committee members (two must be students) and/or alternates (see 9.2 below), the accused student and the accusing faculty in attendance. No member of the Committee, who is otherwise interested in the particular case brought before it, whether it is the bringing of accusation against the student or developing or presenting the case against the student, shall sit in judgment. This Committee member will be replaced as stipulated in section 9.2 of the procedures.

9.2. If the requisite number of Committee members for a quorum is not available, an alternate Committee member, from the same program as the excused Committee member, will be selected by the appropriate Program Director to participate in the hearing.

9.3. If he or she so desires, the student appearing before the Committee shall have the right to be assisted at the hearing by an advisor of his or her choice who is willing to participate. The advisor, however, shall be from the Pepperdine University community, either faculty, staff or student. The student shall notify the Committee chairperson of the name of the advisor and the relationship to him or her at least twenty-four hours prior to the hearing. The Committee may request that the advisor make a brief statement on the student's behalf. Otherwise, the advisor will limit himself or herself to consultation with the student.

9.4. Failure to respond to the notice or appear before the Committee will be construed as a waiver of the right to be present, and a student's status may be jeopardized by such a failure to appear.

9.5. Except in special circumstances found to exist by unanimous vote of the Committee hearing the case, the student and the accusing faculty member will be present at all times during the testimony phase of the hearing. However, they will not be allowed to interrupt or interject any comments while testimony is being given by the student, the accuser, or witnesses for either side. The witness, who testified, will then be asked to leave the room and the faculty member shall be questioned by members of the Committee on any points of evidence upon which the Committee members are unclear.

9.6. The student and the accusing faculty member shall notify the chairperson of the Committee, at least twenty-four hours prior to the hearing, of the written witness statements desired to be presented or the names of the witnesses they choose to have testify, and they shall assume responsibility for the presence of the evidence or witnesses at the hearing. If the offered evidence is cumulative, the Committee, by majority vote, may limit the number of witnesses or evidence.

9.7. All hearings will be closed and limited to members of the Committee, the accused student, advisors involved in the hearing and the faculty members involved in the case. Authorized witnesses will be present to testify one at a time and will leave the hearing as soon as their testimony is completed.

9.8. The hearing will begin with a statement read by the chairperson summarizing the procedures to be followed.

9.9. At all times the student will be presumed innocent with the burden of proof placed on the person(s) making the allegation to establish, by clear and convincing evidence, the truth of the allegation. All relevant evidence, as determined by the chairperson, is admissible. However, should a member voice objection to the admissibility or exclusion of evidence, then the majority vote of the members shall determine if the particular evidence will be admitted or excluded. Questions seeking clarification or amplification may be directed by the Committee to the student, the accusing party or a witness.

9.10. The chairperson will read the allegations aloud to those present. The faculty member or accusing student will present to the Committee any relevant evidence he or she wishes to have considered. At this time, the faculty member or student may bring in witnesses if deemed relevant to the case. All witnesses will be given an oath to tell the truth. At the conclusion of the witness' presentation by the party calling the witness, the Committee may question the witness on any points of evidence about which the Committee members are unclear. The witness will then be asked to leave the room and the faculty member or accusing student shall be questioned by members of the Committee on any points of evidence about which the Committee members are unclear.

9.11. The accused student will be given an opportunity to defend him or herself, including giving evidence and providing witnesses so long as such evidence is relevant to the case. At the close of the

student's presentation, Committee members shall be given the opportunity to question the student on any relevant points of evidence which to a Committee member is unclear. The student may decline to answer a question. The Committee may consider such a declination in its deliberations and ultimate decision.

9.12. At the close of the witness's testimony, members of the Committee shall be given the opportunity to question the witness on any relevant points of evidence which to the Committee members is unclear. The witness will then be asked to leave the room.

9.13. After all evidence has been presented the accused student and the accusing faculty member will be asked to leave the room while the Committee deliberates. At this time, the Committee will review and discuss all the evidence presented. All matters upon which the decision may be based must be introduced into evidence during the hearing before the Committee. Formal rules of evidence shall not be applicable in proceedings conducted pursuant to this Code. Only relevant evidence shall be admitted, which is evidence reasonable persons would accept as having probative value on the issues that are before the Committee. When deliberations have been completed, a secret ballot will be taken to decide on the validity of the allegation against the student. The ballots will be counted by the secretary and given to the chairperson who will verify the vote and report the result to the Committee members.

9.14. The Committee decisions will be made at the conclusion of the hearing unless otherwise continued at the discretion of the Committee.

9.15. The allegation against the student will be sustained based upon a total of not less than four concurring votes if the members present do not exceed six and five concurring votes if the number of members present is seven. The Committee will then vote on an authorized sanction (as described in the Code) to be recommended to the appropriate Program Director. The recommended sanction must have a majority vote of the members present who voted on the underlying allegation.

9.16. To maintain a record of the hearing, the secretary will prepare a summary of the evidence presented at the hearing. The summary shall consist of a statement covering the chronological sequence of the proceedings, the evidence presented, and the conclusions reached by the Committee. The summary shall be reviewed and signed by the secretary and the chairperson. Any member may append the report with his or her dissent or non-concurrence with the decision.

9.17. Formal written notice of the decision will be sent to the student, the accusing faculty member and the appropriate Program Director.

9.18. All notes and recordings of the hearings shall be given to the Associate Dean for Academic Programs to be kept as specified in the Code.