

THE UAB SCHOOL OF OPTOMETRY ACADEMIC INTEGRITY CODE



The essence of the Academic Integrity Code and its Code of Ethics is that we will not engage in unethical behavior, nor will we tolerate it in others.

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This version of the policy supersedes all prior versions.

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University of Alabama at Birmingham School of Optometry

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Academic Integrity Code
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Definitions

- Academic Integrity Code – This document describes the Honor System and includes the Code of Ethics as well as the processes for handling alleged violations.
- Code of Ethics – The code contained within the Academic Integrity Code that delineates ethical behavior.
- Honor Pledge – A pledge affirming that the signee has read, understands and agrees to adhere to the Academic Integrity Code and its Code of Ethics.

Section I. Preamble

The UAB School of Optometry Academic Integrity Code is based on the principle that all members of the academic community maintain the highest ethical and professional standards. These principles apply to all student work, whether in-person or virtual, and work conducted in labs, internships/externships, or clinical assignments. Ethics and professional standards serve to maintain the integrity of the educational enterprise and of the profession and protect patients through ensuring conscientious patient care. The essence of the Academic Integrity Code is that we will not engage in unethical behavior, nor will we tolerate it in others.

Section II. Responsibilities of Students and Faculty

Articulating and maintaining high standards of ethical behavior is a task that is shared by students, faculty, and staff. The faculty and administration are responsible for the integrity of the educational program and shall support the Academic Integrity Code in order to foster the highest standards of professional behavior.

Each person signing the Honor Pledge is bound to abide by the Academic Integrity Code and to follow the policies and procedures outlined in this document. Students are expected to comply with the Academic Integrity Code in all academic and professional activities.

Students, faculty, residents, and staff are required to report breaches of the Code of Ethics when they are observed. Such responsibility is necessary to maintain the high standards of the School of Optometry. Examples of specific conduct either expected or prohibited are described below in the Code of Ethics but are not intended to limit the scope of what might be considered misconduct. The spirit of ethical behavior is the guiding principle. Failure to report misconduct is also a violation of the Code of Ethics.

Faculty members bear the responsibility for clearly expressing the rules governing assignments and examinations and for conducting examinations or other evaluative processes in a manner that discourages cheating. Faculty and designated exam proctors must be willing to participate in this process if this Code of Ethics is to be effective.

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Section III. Code of Ethics

While this Code of Ethics can in no way be exhaustive, it is intended as a guide to ethical behavior among students. The Academic Integrity Code requires students to act honorably while enrolled at the UAB School of Optometry and includes coursework that is offered in online, blended or web-enhanced environments or as a homework assignment. University students are expected to abide by the core values of honor and integrity set forth in UAB's creed, The Blazer Way which states "I hold myself accountable to represent our unique community with honor and integrity." All students are expected to be familiar with the Academic Integrity Code and abide by it. The Code of Ethics prohibits the following conduct, and any violation of the Code of Ethics is considered academic misconduct:

Conduct Related to Coursework

a. Cheating

Using or attempting to use unauthorized materials, including but not limited to materials, information, study aids, the work of others, or electronic device-related information, any of which have not been approved by the instructor, as well as unauthorized assistance from third parties including a commercial service or engaging another person (whether paid or unpaid); sharing answers for either a take-home or in-class exams unless specifically and explicitly allowed.

b. Facilitation

Assisting, knowingly helping, supporting, conspiring, or colluding with others to engage in any form of academic dishonesty, including but not limited to two or more students that work together to produce individually submitted work without permission of the appropriate faculty member.

c. Plagiarism

Claiming as your own ideas, words, data, computer programs, creative compositions, artwork, etc., done by someone or something else. Examples include improper citation of referenced works, the use of commercially available scholarly papers, the use of artificial intelligence, failure to cite sources, or copying another person's ideas.

d. Self-Plagiarism

Resubmitting your own previously submitted work without proper citation and permission from the current instructor to whom the original work was subsequently submitted.

e. Fabrication

Presenting as genuine any invented or falsified citation, data, or material.

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f. Falsification/Misrepresentation

Falsifying, altering, or incorrectly defining the contents of documents or other materials related to academic matters, including work substantially done for one class as work done for another without receiving prior approval from the instructor, work pertaining to schedules, prerequisites, and transcripts, or misrepresenting facts about oneself for the purpose of obtaining an academic advantage or for the purpose of academically injuring another student.

- g. Students are responsible for maintaining possession of their audience response system “clicker.” If students are registered as present for a class by the audience response system, or other attendance monitoring system, but are in fact not in class, or have left class without permission, this is a violation of the Code of Ethics. Students should therefore keep their audience response clicker secure; these devices should not be given to other students. Possession of devices registered to other students is considered a violation of the Code of Ethics.

Conduct Affecting Property

- a. Every student shall refrain from taking, damaging, or destroying property belonging to the university or to faculty, staff, students, or visitors.
- b. Students will respect the supplies provided by the School and will prevent needless and reckless waste of resources.
- c. Students will make reasonable efforts to keep equipment and property in proper working order; students should report equipment problems appropriately.

Conduct Affecting Patients

- a. Students will act in a way that puts the well-being of patients as the highest priority and will refrain from irresponsible, willful or negligent behavior in the delivery of patient care.
- b. In accordance with CDC guidelines, students, faculty, and staff are expected to follow health recommendations in order to keep the UAB community safe. This may include wearing face masks while in patient care settings or reporting symptoms or testing status. Please visit the [UAB United website](#) for the most up to date information.
- c. It is also important stay current with Student Health guidelines for required immunizations and dashboard for vaccination status.
- d. Every student shall refrain from falsifying patient records and from willfully violating established clinic policy. Every student is expected to comply with all clinic policies and procedures, including applicable university, federal, and state laws and regulations at all times. Students involved in research projects are likewise expected to maintain scientific integrity and to comply with all university, federal, state, and school regulations, policies and laws.
- e. Students will respect the privacy of patients and will not discuss protected information unless it is medically appropriate. Students will be compliant with HIPAA regulations.

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- f. Students will treat patients with respect, compassion and understanding.
- g. Students will treat patients in a timely manner.
- h. Students will adhere to the clinical dress code and acceptable standards of personal care.
- i. Students will satisfy the requirements for infection control and protect the safety of patients in the clinic.
- j. Students will not use any substance that could impair their abilities while engaged in patient care.
- k. Students will not treat patients outside of School approved settings or without the supervision of faculty or an officially appointed, licensed practitioner. The practice of optometry is defined in [Title 34, Chapter 22](#) of the Code of Alabama. Students who see patients outside of School provisions may be guilty of a crime punishable by Alabama law.

Conduct Affecting the School or University

- a. Students will strive to uphold an atmosphere of academic purpose, including freedom of speech, the opportunity to explore ideas, and the chance to improve oneself through education.
- b. Students will be respectful to their classmates and faculty regarding attendance at lectures, timeliness, classroom demeanor, and being responsive to the requests of the lecturer.
- c. Students will participate in assigned activities and will attend all lectures and other assignments such as clinics and rotations as required by course syllabi. Students will adhere to all University policies and procedures. This includes appropriate use of the internet and Information Technology resources.

Section IV. The Professional Program Academic and Honor Council

The Professional Program Academic and Honor Council (PPAHC) is charged with monitoring the academic status of students enrolled in UABSO and enforcing UABSO's Academic Integrity Code. The PPAHC shall be composed of seven faculty members and two students. The Dean may appoint an *ad hoc* PPAHC faculty member or student to replace any representative who cannot serve for a given hearing. The PPAHC Chair acts as the Director of Academic Integrity. The Director of Student Affairs is appointed by the Dean as the Academic Integrity Coordinator and serves as a non-voting procedural advisor to the PPAHC Chair.

A quorum of the PPAHC will be 6 members, at least 3 of which must be faculty members including the Chair. If the alleged incident is clinical in nature, at least two of the faculty present must have clinical assignments.

The duties of the Chair include convening the PPAHC, presiding over hearings, and communicating with the administration of the School on behalf of the PPAHC.

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All persons participating in PPAHC proceedings in any capacity shall refrain from discussing information pertaining to a case with anyone not directly involved with the case, unless necessary for the investigation or if instructed by the Chair of the PPAHC.

If members of the PPAHC are witnesses to an event, or have brought charges against a student, they may not serve on the Council for that case. Council members should recuse themselves from any case if they feel there may be any conflicts of interest or lack of impartiality. An accused student may also petition the Director of Student Affairs to have a PPAHC member dismissed from the proceedings if a perceived conflict of interest exists.

Section V. General Procedures for Suspected Violations

Reporting Suspected Violations

Any student, faculty, or staff member suspecting a Code of Ethics violation shall report it in writing to the faculty member in charge of the course (course director) in which the suspected violation occurred or directly to the Academic Integrity coordinator (Director of Student Affairs) or through the online reporting system ([Maxient](#)) within five working days of the discovery of the alleged incident. A course director having allegations of a Code of Ethics violation reported to them must report such allegations through [Maxient](#) within five working days of learning of the incident. In an extended absence of the Integrity coordinator, the suspected violation shall be reported to the Associate Dean for Student Affairs or to the Associate Dean for Clinical Affairs for violations related to clinical care, who must report the incident through the [Maxient](#) System.

Individual faculty may attempt to informally resolve an incident that occurs in or related to their course; however, every alleged violation of the Code of Ethics must be reported to the Academic Integrity Coordinator. Instructors are encouraged to discuss the suspected violation with the student(s) involved. Doing so may correct errors or misunderstandings. If an instructor determines during this preliminary discussion that no violation of the Code of Ethics occurred, the matter will then be closed, and no disciplinary record created. If the instructor determines a violation of the Code of Ethics may have occurred, the instructor will file a charge of academic misconduct via [Maxient](#) and provide all related evidence. Upon receipt of an online misconduct report, the Academic Integrity Coordinator will determine if there is “reasonable basis” to believe that academic misconduct has occurred. If not, the matter is closed, no disciplinary record is created, and the instructor is notified. If yes, the Academic Integrity Coordinator will set up a meeting with the Associate Dean of Student Affairs, the instructor, and student. The meeting can be held virtually if the parties are not available for an in-person meeting.

Resolution Agreement

With the authorization of the Academic Integrity Coordinator, instructors may enter into a **Resolution Agreement** with a student (a) who has no prior record of academic misconduct at the University and (b) who acknowledges responsibility for academic misconduct.

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Instructors who wish to enter into a Resolution Agreement with the student shall send notice of the charge of violating the Academic Integrity Code and of a proposed meeting to the student's official University email address. If the student fails to respond to the instructor's email within five business days, or if the student fails to attend the meeting with the instructor, the instructor shall refer the case to the Academic Integrity Coordinator for disposition, noting the student's failure to respond.

A Resolution Agreement with the instructor acknowledges the academic misconduct, documents how the pending case should be resolved and contains the following elements:

- Date of Resolution Agreement
- Student name and Blazer ID
- Course name and section (if applicable)
- School or college where academic misconduct occurred
- Instructor name and Blazer ID
- Date of academic misconduct
- Description of the academic misconduct
- Agreed resolution and sanctions
- Statement of waiving right of further review or appeal.

The Academic Integrity Coordinator will file the signed Resolution Agreement with the student's record in Maxient. All cases resolved by a student's authorized Resolution Agreement with a referring instructor shall be final and conclusive and not subject to further review.

Sanctions in cases resolved between instructors and students may range from a written reprimand to a failing grade on an assignment or the course depending on the severity of misconduct (Section VII). Resolution Agreements, however, are not an option when the sanction is suspension or expulsion. Acceptance of responsibility by an accused student may be considered by an instructor as a mitigating factor in the sanctioning process. The student must sign the document to accept the Resolution Agreement, or it will be forwarded to the Academic Integrity Coordinator for resolution.

If the student has a prior record of academic misconduct, does not accept a *Resolution Agreement* or fails to participate in a Resolution Agreement in the allotted timeframe, the resolution of academic misconduct must be achieved through referral to the Academic Integrity Coordinator. A hold will be placed on the student's account indicating that the student cannot withdraw from the course in which the academic misconduct is alleged to have occurred until the misconduct resolution process is complete.

Conferences

The Academic Integrity Coordinator may resolve the academic misconduct accusation in a conference with the student or refer any case to the PPAHC due to complexity, a contested case, or conflicts of interest. The Academic Integrity Coordinator must refer cases to the PPAHC if the student has been subject to a prior finding of academic misconduct or if the potential sanctions are suspension or expulsion. In any circumstance listed above, the student must be notified of charges, possible sanctions and provided a link to the Academic Integrity Code in a *Notice of Conference or Hearing* (Maxient). This

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notice should be provided to the student through the student's official University email address five days prior to a Conference or PPAHC hearing.

A conference is a meeting between the Coordinator and the accused student. It can be held virtually if the student or the Coordinator is not available for an in-person meeting. The Coordinator may invite the referring instructor to participate in the conference. Students, teaching assistants, and support staff who can offer information relevant to the case may be invited as participants in the conference. Findings and sanctions in a conference, if any, will be determined by the Coordinator. The standard of proof in conferences is "**preponderance of the evidence**".

If the Coordinator determines:

- A student is not responsible for academic misconduct, the matter is closed, and no disciplinary record created.
- A student is responsible for academic misconduct, sanctions are determined in accordance with Section VIII of this Code.

If a suspected violation is not resolved through conference, the case is referred to the PPAHC for a hearing.

Investigative Team

If a suspected violation is referred to the PPAHC by the Coordinator, the PPAHC Chair will appoint an *ad hoc* Investigative Team consisting of one student and one faculty member. Neither member of the Investigative Team shall simultaneously be a member of the PPAHC. The investigative team will conduct interviews as required and review materials pertinent to the allegation. Such materials generally include a statement from the accuser, supporting evidence, and statements from witnesses and the accused. The investigative team, once convened, has **ten** working days to conduct its investigation. If more time is needed, the team may request an extension from the Chair of the PPAHC.

The written report of the investigative team shall include: **(1)** a statement of the allegation(s) against the accused student; **(2)** a description of the evidence and supporting documents (if available); and **(3)** the names of witnesses interviewed, including the accused, and a summary of their respective statements. The investigative team shall conduct its investigation impartially, in confidence, and shall be available to assist the PPAHC throughout any subsequent hearing. The written report shall be hand-delivered or e-mailed, in confidence, to the Chair of the PPAHC or his/her designee.

Charges by the PPAHC

Upon receipt of the investigative report, the PPAHC shall convene to formalize a statement of the charge or to issue a statement dismissing the allegation(s) if insufficient substantiating evidence exists. The PPAHC shall provide notice of the specific charge or of the dismissal of the alleged violation to the accused student through the Maxient reporting system (official UAB e-mail) or by certified mail and to the Director of Student Affairs. The statement of the charge shall include a brief summary of the alleged violation and the evidence presented in support of the charge in sufficient detail to allow the accused the opportunity to rebut the charge and to provide notification to the accused student of their right to a hearing.

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The accused student must respond to the charge in writing within **five working days**, unless granted an extension by the Chair of the PPAHC. In this written response to the PPAHC, the accused student must either: **(1)** admit the charge and formally request their right to a hearing before the PPAHC; **(2)** admit the charge and waive their right to a hearing; **(3)** deny the charge and formally request their right to a hearing before the PPAHC or **(4)** deny the charge but waive their right to a hearing.

Once notice of the specific charge has been provided to the accused student and to the Associate Dean for Student Affairs, the PPAHC shall set a date for the hearing, any preliminary deadline(s) for the submission of supporting documents and the names of proposed witnesses, and a statement describing briefly the subject of each witness' testimony. Rescheduling the hearing at the request of the accused or the School is within the discretion of the PPAHC and shall not be unreasonably denied. The Council shall review documentary evidence in advance of the hearing.

Section VI. Hearings

The PPAHC must review cases of students with any prior findings of academic misconduct, all cases that may result in suspension or expulsion, or any case the Integrity Coordinator may refer due to complexity, a contested case, or conflicts of interest. The Coordinator shall be present as a non-voting procedural advisor to the chair of the hearing panel.

A hearing is intended to resolve the charge(s) and determine sanctions, if any. The Chair of the PPAHC will conduct the hearing. Both accused students and the University can present evidence, supporting witnesses, and other information pertinent to the matter under investigation. Accused students may be accompanied by one advisor of their choice at the hearing. The student must notify the PPAHC chair at least **two business days** in advance of their intent to be accompanied by an advisor and if the advisor is an attorney.

Procedures

Although the specific procedure may vary, the hearing process shall generally include the following: (1) call to order by the Chair; (2) introduction of those present; (3) statement of the charge and possible penalties if the charge is proven; (4) presentation of the evidence and testimony in support of the charge, and questioning of witnesses; (5) presentation of evidence and testimony in opposition to the charge (rebuttal), and questioning of witnesses; (6) closing statement(s). All questioning of witnesses shall be by the PPAHC Chair unless the Council decides otherwise. The accused may question witnesses through written questions submitted to the Chair of the PPAHC who may edit or screen them for appropriateness.

Questions of relevance, the role and availability of witnesses, the use of written statements, and the timely conduct of proceedings will be determined by the PPAHC Chair. The accused student shall be afforded a reasonable opportunity to be heard, to question

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witnesses through questions submitted to the PPAHC Chair, to rebut adverse evidence, and to make a brief closing statement. Members of the PPAHC may ask any questions at any time during the hearing and may elect to disallow or curtail testimony that is deemed to be unnecessarily redundant or not relevant to the issue(s) being heard. Except for the accused and, if invited by the accused, an advisor, all other witnesses shall be excluded from the hearing room, except when testifying. No more than one witness shall be called to testify at a time. The School or the PPAHC may request that UAB security be present at a hearing or conference. Throughout the hearing, all persons present shall conduct themselves in an orderly manner. The Chair shall be responsible for maintaining order during the hearing.

As soon as possible following the conclusion of the hearing, the PPAHC shall meet in private session to consider all of the evidence presented and shall decide on one of two outcomes. The possible outcomes are that the charge is either (1) proven by a preponderance of the evidence or (2) not proven by a preponderance of the evidence. A majority vote of a quorum of the members of the PPAHC shall be required for either outcome. The Chair of the PPAHC will generally not vote, unless the vote of the other Council members results in a tie. Following the vote, the Chair shall record the results and provide a brief narrative statement explaining the rationale for the Council's finding(s).

After notice of charges is sent through Maxient, if a student fails to attend a scheduled hearing, the PPAHC Chair will document that the student did not accept responsibility for the charge(s). All relevant evidence will then be considered by the PPAHC to resolve the case without the student. The student(s) will be notified of the case outcome and any determination of sanctions.

Cases Involving Multiple Students

Cases involving multiple students will normally be heard together if more than one student is alleged to have jointly engaged in one or more acts of academic misconduct. These cases will only be combined with the written consent of the students. At the discretion of the Council, more than one accused student may be present when witnesses are called to testify if multiple accused are involved with a single incident. Students who seek a separate hearing must provide a written justification for their request to the PPAHC Chair at least **five business days** before the scheduled proceeding. If related cases are not heard jointly, the PPAHC Chair may consider all relevant statements, materials and other evidence presented at an earlier proceeding or subsequent proceeding related to the same case.

Outcome

If the PPAHC determines:

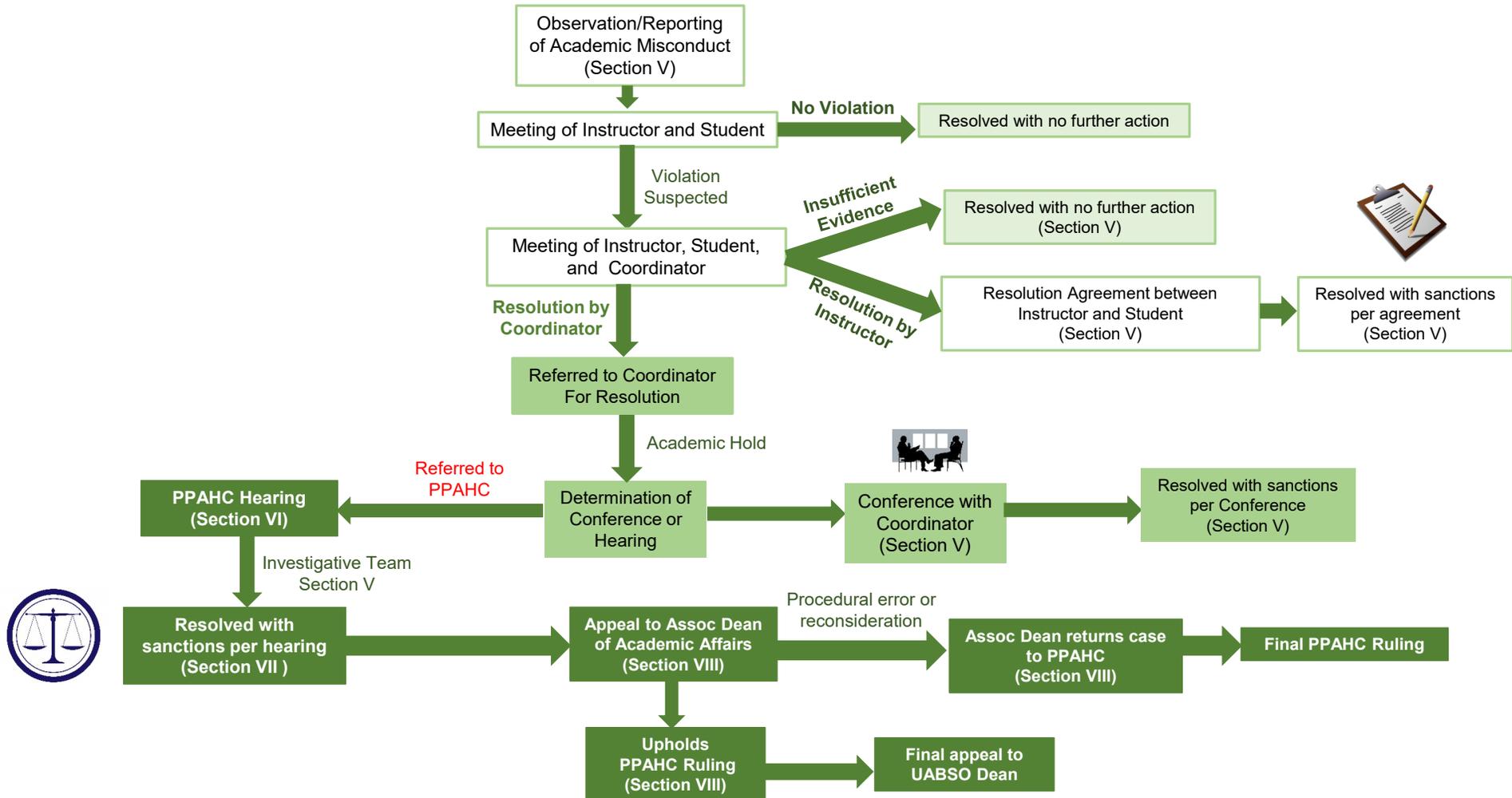
- A student is not responsible for academic misconduct, the matter is closed, and no disciplinary record created.
- A student is responsible for academic misconduct, sanctions are determined in accordance with Section VIII of this Code.

After a hearing, the accused student(s) will be provided with a letter containing a statement of the findings and any sanctions imposed within five (5) business days through the Maxient reporting system.

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Academic Misconduct Flow Chart



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Section VII. Sanctions for Violations of the Academic Integrity Code

Level One

Generally, violations resolved at this level are those that are less severe and with correspondingly less severe penalties.

Examples of possible level one sanctions are included below:

1. Requirement to write and deliver an apology letter.
2. Attend an Academic Integrity workshop.
3. Requirement to attend educational or counseling programs.
4. Requirement to complete a variety of behavioral modification programs including formal courses and/or informal assignments, such as an anger management course, etc.
5. Reprimand - The student will be reprimanded in writing by the Associate Dean for Student Affairs, with a copy for the student's file, of the nature of the Code of Ethics violation and warned that repetition of the wrongful conduct may cause more severe action.
6. Reduced grade on an assignment or course.
7. Failing grade – A failing grade may be given for the course, assignment, exam or evaluative process. A notation on the student's permanent academic record may also be made to indicate that a reduced or failing grade was assigned because of a Code of Ethics violation, on the judgment of the Associate Dean for Student Affairs. The student may enroll to repeat a course in which an "F" has been earned, but the original course grade remains on the student's academic record. The Grade Forgiveness Policy prohibits replacement of an "F" resulting from academic misconduct.
8. Opportunity to revise/repeat – specific to the assignment in which the academic misconduct occurred.
9. Restitution – Restitution for lost, damaged, or destroyed property may be required.
10. Additional course work - Papers, additional work, counseling, etc. may be required.

Level Two

These violations are considered more severe with concomitantly more severe penalties. In the interest of protecting patients, serious clinical infractions will be dealt with in an immediate and definitive manner. The Associate Dean for Clinical Affairs may immediately suspend all clinic privileges in suspected cases until the matter is resolved. Favorable letters of recommendation will not knowingly be furnished while sanctions are in effect. No student may graduate from the UAB School of Optometry or participate in the Externship Program until pending allegations of a Code of Ethics violation have been resolved and any recommended sanctions fulfilled.

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Examples of possible level two sanctions are included below:

1. Removal from official School positions – Students may be removed from official School positions, such as class president, or may not have the privilege to represent the School in an official capacity.
2. Academic Conduct Probation – students determined to be guilty of an academic misconduct offense and not in good academic standing for a specified period of time.
3. Probation with restrictions - A student on probation may also have certain privileges removed, such as clinic privileges in a specialty clinic, or the privilege of attending a specific class or attendance at a professional meeting. Probation with restrictions typically extends the enrollment period required to satisfy School, graduation and accreditation requirements.
4. Academic Suspension – The student will be excluded from classes and other privileges of the School and University for a specified period of time. May or may not include suspension from non-academic student activities (see conduct suspension in the Student Conduct Code which supersedes academic suspension).
5. Academic Expulsion – The student will be permanently expelled from the School of Optometry and the University (see Student Conduct Code). Official written notice will be provided to the student with a copy for the student's file. No student expelled from the School because of a Code of Ethics violation shall be eligible for readmission.
6. Suspension of clinic privileges – Privileges may be suspended in whole or in part which may result in extended enrollment at the School.
7. Enrollment extension - A student may be required to extend their education at the School past the traditional four-year curriculum. This allows the faculty additional time to help the student develop personal ethical and professional standards. Extensions may be for a period of months or years.

A second violation of the Code of Ethics, as determined by a PPAHC hearing, shall result in expulsion from the School of Optometry. Suspensions or expulsions for academic misconduct apply throughout the University and are not limited to the school or college where an incident may have occurred or where the student is enrolled. Suspensions and expulsions are recorded on the student transcript. A student suspended from a UAB school or college for academic misconduct will have a hold placed and will not be permitted to enroll in another UAB school without that school's permission.

Admission of guilt does not remove the student's right to a formal hearing or conference if sanctions recommended in the resolution agreement are not acceptable to the student or if they include suspension or expulsion.

Criminal or Civil Penalties

Actions may occur which carry additional civil and criminal penalties in addition to the ones outlined in this document. Such actions may be violations of other University policies or

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local and federal laws. The commencement of civil or criminal action shall not prevent the School from pursuing actions as outlined in this document.

Section VIII. Appeals

All cases resolved by a Conference with the Coordinator shall be final and conclusive and not subject to further review. Findings from the PPAHC of academic misconduct may be appealed to the Associate Dean of Academic Affairs within **five business days** upon receipt of the notification of the findings. The appeal review will be limited to consideration of findings of fact, recommended sanctions, or any written response from the accused student citing prejudice or procedural error. The Associate Dean may uphold the panel's findings and sanctions or may return to the PPAHC for reconsideration if determined that a significant procedural error or prejudice against the charged student by any panel member may have influenced the outcome.

The Associate Dean will provide a statement supporting or denying the appeal request to the Coordinator. If the Associate Dean elects to vacate the decision of the PPAHC, the Associate Dean shall provide a concise written statement to the accused and the PPAHC explaining the basis for such action. If the Associate Dean affirms the decision of the PPAHC, or affirms the decision with a reduced penalty, the decision shall be transmitted to the Dean, the Associate Dean for Student Affairs, and the PPAHC and notice to the appellant shall be provided by certified mail, hand delivery or official UAB e-mail. The student can make a final appeal of the decision to the Dean of the School of Optometry. The decision of the Dean will be communicated to the student as described above and will be final.

- After conferences or hearings, a brief written statement of the findings and sanctions imposed will be documented in a *Notice of Outcome* (Maxient). After an appeal to the Associate Dean of Academic Affairs or Dean of the School, the appeal decision will be documented in a *Response to Appeal* (Maxient).
- The PPAHC chair will provide the *Notice of Outcome* or *Notice of Appeal* to:
 - student's official University email address within five business days.
 - the student's home school or college (including the Honors College and the Graduate School).
 - the Dean and/or appropriate Department Chair of the student's home school or college
 - the instructor of the course

Section IX. Residents, Graduate and Post-Doctoral Students

Policies involving post-doctoral students are more complex due to the variety of positions and appointments which exist within the UAB School of Optometry. The in-house residents are employees of UAB and are covered under [UAB employee guidelines](#). Students who register for a Graduate degree are enrolled in the Graduate School, and Graduate School policies will apply to them. The Graduate School shall be notified of any suspected violations of this Academic Integrity Code to allow response through its internal processes that may lead

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up to expulsion. For dual degree graduate students whose academic misconduct occurs in one of their two schools, the procedures of the school in which the infraction occurred should be used. If neither situation exists, then students are covered by this Academic Integrity Code and Code of Ethics, but an *ad hoc* Hearing Committee will be appointed by the Dean, consisting of two post-doctoral peers and two post-doctoral faculty members. When such allegations occur, the Dean will inform students which policy applies to them based on their specific status.

Section X. Documentation and Activity Report

Records documenting investigations and/or disciplinary actions taken against students charged with academic misconduct shall be entered into the Maxient system and will also be maintained in the Office of Student Affairs for a period of 5 years or until the student leaves the University, whichever is longer. These files are considered confidential and are not publicly accessible.

The Chair of the PPAHC will keep a written record of its activity each academic year. The activity report will include the number of allegations reported, allegations dismissed, cases plead guilty, and hearings conducted.

The Director of Student Affairs shall keep a record of all alleged violations of the Code of Ethics and a summary of the disposition of the charge.

During the school year, the Chair of the PPAHC will provide an annual report to faculty and students detailing the Code of Ethics actions of the previous year. The report will include the number and nature of alleged violations, the number of violations referred to the PPAHC for hearing, and a statement of the range of penalties imposed, without reference to personally identifiable information. This reporting function is to support an institutional culture that promotes the use of the Academic Integrity Code.

Section XI. Implementation

The Academic Integrity Code shall be presented to each entering class during orientation. Revisions to the Academic Integrity Code may occur frequently. The official version is available from the Office of Student Affairs and is maintained on the School web site. Infractions that occur will be governed by the official version of the Code of Ethics that is in effect at the time the infraction is reported. Each student will be responsible for reading the current Academic Integrity Code document and signing the Honor Pledge. Each student will be given an opportunity to ask questions before signing the Honor Pledge. The signed pledge becomes part of the student's permanent file.

Section XII. Other Resources

Students, including post-graduate and professional, are referred to official University documents (<http://www.uab.edu/policies/Pages/default.aspx>) for additional information on topics of process and ethics.

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The UAB School of Optometry Honor Pledge

As a University of Alabama at Birmingham student, I am expected to abide by the core values of honor and integrity set forth in UAB's creed, [The Blazer Way](#) which states "*I hold myself accountable to represent our unique community with honor and integrity.*"

By my signature on this Pledge, I profess my intention to maintain high standards of academic, clinical, and personal conduct, commensurate with my standing as a student and future member of the noble profession of optometry.

I have read, understand and agree to be bound by the University of Alabama at Birmingham School of Optometry Academic Integrity Code and will conduct myself at all times according to its standards and Code of Ethics.

Signature

Date