



DEPARTMENT OF THE NAVY  
NAVAL POSTGRADUATE SCHOOL  
1 UNIVERSITY CIR  
MONTEREY, CA 93943-5000

IN REPLY REFER TO:  
NPSINST 5370.4B  
010  
14 May 13

NPS INSTRUCTION 5370.4B

Subj: ACADEMIC HONOR CODE

Ref: (a) Faculty Handbook  
(b) Uniform Code of Military Justice

Encl: (1) Naval Postgraduate School Academic Honor Code  
(2) Honor Personnel and Procedures  
(3) Adjudication Flowchart  
(4) Honor Code Violation Report

1. Purpose. This instruction defines the academic honor code for students at the Naval Postgraduate School (NPS).

2. Cancellation. NPSINST 5370.4A.

3. Background. NPS is a community of students, faculty, staff, and administration, both civilian and military, who share a common goal: to provide the highest quality education in an atmosphere of integrity and with professional and collegial respect. Realizing that goal requires the joint efforts of each member of the community. Every member of the NPS team has a professional, vested interest in maintaining and upholding the academic integrity of the institution.

4. Discussion. The varied, often disparate, backgrounds of those who make up the Naval Postgraduate School community necessitate a common foundation upon which to build a reasonable, easily understood honor code for the conduct of daily academic life. Enclosure (1) is promulgated as the NPS Academic Honor Code. The procedures in enclosures (2), (3) and (4) outline the mechanisms by which the honor standards will be enforced.

5. Action

a. The Provost will inform the faculty of the contents of this instruction by referencing this instruction in reference (a).

b. The Dean of Students will ensure that all students are familiar with the contents of this instruction, especially with regard to individual responsibilities, and know where the electronic copy resides.

c. The Chief of Staff will ensure that all military faculty and staff are aware of this instruction and are briefed on its contents and their responsibilities.

d. Faculty will discuss the Honor Code with their students, as well as any specific class instructions and guidelines. This briefing should discuss expectations for all assignments and exams.

e. Each student will become familiar with the Honor Code as well as specific class/instructor guidelines and enforcement procedures. The student will develop an appreciation of the reasoning behind the Code and clearly understand both the student's responsibilities and the accountability implications associated with performance of the Code.

f. Each student will sign a statement that he/she has read and understands the Honor Code.

6. Compliance

a. Violations of the Honor Code may be resolved through punitive, disciplinary, or administrative action under military and/or civilian systems as described in enclosures (2), (3) and (4) or as authorized in reference (b). The full range of administrative and disciplinary action are available. The appropriate action(s) to resolve violations of the Honor Code will depend on the circumstances surrounding the incident.

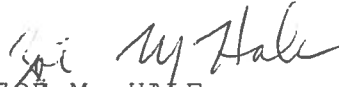
b. In the case of military students, actions taken to resolve violations may include informal or formal written counseling, comments in fitness reports/evaluations,

disenrollment, administrative separation, and punitive measures under the Uniform Code of Military Justice.

c. In the case of civilian students, actions taken to resolve violations may include informal counseling, formal written counseling, comments in performance evaluations, disenrollment, and disciplinary action.

d. This Code is applicable to both resident and distance learning students.

7. Scope. All faculty, staff, and students will be familiar with this instruction and ensure compliance.

  
ZOE M. HALE  
Chief of Staff

Distribution:

<http://intranet.nps.edu/Code00/Instructions/IndexNew.html>

NAVAL POSTGRADUATE SCHOOL ACADEMIC HONOR CODE

Academic integrity at the Naval Postgraduate School is based on a respect for individual intellectual achievement that lies at the heart of academic culture. Every faculty member and student belongs to a community of scholars where academic integrity is a fundamental commitment. Academic dishonesty is not tolerated.

Unless otherwise stated by the instructor or advisor, all work submitted in fulfillment of graduation requirements will be the student's own.

While no single list can hope to identify and define all types of academic honor code standards, the following are cited as examples of unacceptable behavior:

Cheating. Using unauthorized notes, study aids, or information on an examination or other graded event; looking at another student's paper during an examination; altering a graded work after it has been returned, then resubmitting it for re-grading unless permitted by the instructor; allowing another person to do one's work and submitting it under one's own name.

Plagiarism. Submitting material that in part or whole is not one's own work without proper attribution. Plagiarism is further defined as the use, without giving reasonable and appropriate credit to or acknowledging the author or source, of another person's original work, whether such work is made up of code, formulas, ideas, language, research, strategies, writing or other form(s).

Fabrication. Falsifying or inventing information, data, or citation.

Obtaining an Unfair Advantage. Gaining access to examination materials prior to the time authorized by the instructor; unauthorized collaboration on an academic assignment; possessing, using, or circulating previously given examination materials where those materials clearly indicate they are to be returned to the instructor at the conclusion of the examination.

Aiding and Abetting Academic Dishonesty. Providing material, information or other assistance to another with knowledge such aid could be used in any of the unacceptable behaviors described above.

Double-submission. Submitting a single paper to satisfy the requirements of two separate courses without notifying the instructor(s) of the overlap.

Falsification of Records and Official Documents. Altering documents affecting academic records without authorization.

Failure To Address Observed Violations Of This Code. Upon witnessing a suspected Honor Code violation, an individual is honor bound to report it through the proper channels. Failure to do so is itself a violation of the Honor Code.

Finally, any act or attempt at retaliation against a student, staff member, or faculty member for raising an Honor Code issue, whether or not the report results in any formal action will not be tolerated.

HONOR PERSONNEL AND PROCEDURES

Key Honor Personnel, Organizations, Rights of accused

KEY PERSONNEL

1. Students

a. Students are expected to carry themselves with the utmost academic integrity. Every student's actions should be above reproach under even the closest of scrutiny.

b. Any student who observes a suspected dishonorable act is duty bound to report the offense to the instructor and other appropriate authority (Program Officer, Academic Associate) as soon as possible (ideally within 24 hours).

c. If accused of an Honor Code violation, present evidence and testimony to the Honor Code Board (HC Board) and Honor Code Review Board (HCR Board), if desired.

d. If found in violation by the HC Board, file an appeal in writing to the Dean of Students within five (5) work days, if desired.

e. If found in violation, acknowledge receipt of adjudication decision.

2. Professors/Instructors

a. Faculty will clearly state in each course (and/or assignment) how much consultation/cooperation among students is permissible, and must indicate what materials and information may be used in student preparation for, and performance of, all work, including participation.

b. Faculty who discover potential violations or receive reports of an alleged honor offense should perform an initial assessment to determine the merit and magnitude of the allegation. Minor or unintentional violations may be corrected on the spot and used as a training evolution. It is appropriate at this point to confer with the Academic Associate and Department Chair, as well as the student's Program Officer and Military Associate Dean. Documentation of counseling is required.

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c. If a determination is made that there is some credible evidence of a willful violation or if the faculty member personally observes or identifies a violation, the following should be done immediately (ideally within 48 hours):

(1) Notify the accused of intent to report the incident, specifying alleged violation and evidence.

(2) Advise the accused's Department Academic Associate, Program Officer and Chair via email of intent to report.

(3) Using enclosure (4), formally report the suspected violation directly to the Deputy Dean of Students via e-mail. In the interest of consistency and objectivity, the faculty member will not adjudicate the incident locally and military students will be afforded the opportunity to utilize Article 31(b) rights.

(4) Pending final adjudication, assign appropriate grade for all work encompassed by the violation.

(5) Present testimony and evidence to the HC Board as appropriate.

(6) In case of appeal, be prepared to present testimony and evidence to the HRC Board if summoned.

### 3. Deputy Dean of Students

a. Within ten (10) work days of receiving a violation report, convene and conduct an HC Board.

b. Serve as President of all student HC Boards.

c. Immediately forward a summary of the findings with recommendation for adjudication to the accused and the Dean of Students.

d. In case of appeal, immediately forward a summary of findings, with adjudication recommendations, to the Vice Provost for Academic Affairs.

e. Communicate to students, faculty and staff redacted results from Honor Code Boards as part of the institution's Honor Code outreach and education efforts. Communication methods include, but are not limited to, summaries of recently held Honor Code Boards posted on the student muster page and

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compilations of case studies based on actual Honor Code Boards posted on the NPS intranet.

f. Forward any waiver of timeline requirements in this instruction to the Dean of Students for approval.

4. Dean of Students

a. Receive findings and recommendations from the HC and HRC Boards, and take appropriate actions to enforce the Honor Code and hold violators accountable.

b. Within two (2) work days of receiving a Board's summary, forward any recommendation for disenrollment to the NPS President.

c. Provide written notification of decisions to all involved.

d. In the case of a distance learning (DL) student, ensure appropriate communications with student's command.

e. Ensure all students are aware of their roles and responsibilities pursuant to the Honor Code.

f. Incorporate an Honor Code brief into annual training and new student orientation.

g. Approve/disapprove any waiver requests of timeline requirements in this instruction forwarded by the Deputy Dean of Students.

5. Vice Provost for Academic Affairs

a. Within ten (10) work days of being notified of the accused's intent to appeal the finding or recommendations of an HC Board, convene and conduct an HCR Board.

b. Serve as President of all student HCR Boards.

c. Forward summary of findings with optional recommendations for adjudication, to the accused and the Dean of Students (ideally within 24-48 hours).

d. Ensure that all faculty and staff members are aware of their roles and Honor Code responsibilities.

Enclosure (2)



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e. Ensure all Department and School Policies are consistent and aligned with this instruction.

6. School Deans, Military Associate Deans, Department Chairs, & Student Council Members. Be prepared to serve as voting members on any Honor Board or Honor Review Board when summoned.

7. Senior Service Representative and International Programs Officer. Attend HC and HCR Boards as a non-voting member when summoned.

#### ORGANIZATIONS

##### 1. Honor Code Board (HC Board)

a. The Deputy Dean of Students will convene an HC Board to determine if an honor violation has been committed, and in the case of guilt to make adjudication recommendations to the Dean of Students. No standing board is authorized; however, in the case of multiple related allegations, a single board can be utilized to hear all allegations.

b. The Deputy Dean of Students will appoint Board members and serve as its President. Care will be given to ensure impartiality of the Board.

c. Board will consist of the following voting members:

(1) Deputy Dean of Students (President)

(2) Faculty member

(3) Student peer

d. Board will consist of the following non-voting members:

(1) Recorder

(2) Senior Service Representative or Designee (for non-Navy students)

(3) IPO (for international students only)

e. The Board must meet to hear the case within five (5) work days of the initial faculty report.

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f. HC Board Procedures:

(1) The accused will report to the board in the uniform of the day and be read his/her rights (listed below). For Distance Learning/non-resident students, teleconference capabilities may be used.

(2) The board President will read the allegations and specifications to the accused.

(3) Testimony will be heard from the accuser, accused, and any witnesses. Evidence can be presented by anyone present.

(4) Voting and non-voting members will be given the opportunity to question the accuser, the accused, and any witnesses.

(5) Accused will be given opportunity to respond to evidence against him/her and question accuser and witnesses.

(6) The accuser, accused, and witnesses will be dismissed. The accused will be instructed to remain outside, or in the case of a DL/non-resident student, the communication line will be muted.

(7) The board will deliberate to determine if the accused is "in violation" or "not in violation". Professional judgment and preponderance of evidence is sufficient for a determination of "in violation"; admissions by the accused are not required. Voting members will be polled and their votes recorded.

(8) If the majority finds "in violation", the accused will be deemed by the board to have committed a violation of the honor code. The voting members will then discuss recommendations for disenrollment or other adjudicative actions with the Dean of Students.

(9) The accused will be called back into the room (or brought back online in the case of a DL/non-resident student) and briefed on the board outcome. If found "not in violation", the accused will be dismissed and the case closed after formal notification of results to involved parties. If found "in violation", the accused will be briefed about the Board's recommendations to the Dean of Students and asked if he/she would like to exercise the right to appeal to the Honor Code

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Review Board. The appeal must be submitted in writing to the Dean of Students within five (5) work days.

(10) The Board summary and recommendations (for "in violation") will be forwarded to the Dean of Students immediately after Board closure, and retained per applicable regulations.

(11) In case of Appeal, the HC Board summary and recommendations will also be forwarded to the Vice Provost for Academic Affairs immediately after Board closure.

(12) The Dean of Students will consider the findings and recommendations from the Honor Code Board (and findings of the Honor Code Review Board in the case of Appeal), and make an adjudication decision within two (2) work days. The Dean of Students may dismiss the case, use administrative or disciplinary action, and/or submit a recommendation for disenrollment to the NPS President.

(13) In the case of a DL/non-resident students ensure appropriate communications with student's command.

## 2. Honor Code Review Board (HCR Board)

a. In case of an appeal by the accused, the Vice Provost for Academic Affairs will convene the Student Honor Code Review Board. Care will be taken to ensure the impartiality of the Board.

b. The HCR Board will consist of the following voting members:

(1) Vice Provost for Academic Affairs (President)

(2) A Dean

(3) A Military Associate Dean

c. The HCR Board will conduct a full review of the case. This review should include at a minimum the following; the Board's decision, grounds for appeal, existing and possible new evidence, and any procedural inconsistencies.

d. The Board may summon relevant personnel to appear. At the Board's discretion, evidence may also be reviewed and the accused will be given the opportunity to present any new evidence.

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e. In order to overturn the findings of the HC Board, the Honor Code Review Board must come to a consensus concerning the findings.

f. If the board finds "not in violation", the case will be closed and formal notification of decision sent to parties involved.

g. If the Board finds "in violation", the Dean of Students will be notified by the HCRB President that the HC Board's findings were upheld. The Honor Review Board may make separate recommendations for adjudication, but such recommendations are not mandatory.

h. If found in violation of the Honor Code, at any point, a student may be disenrolled, denied a degree or have degree rescinded even if a thesis or project was accepted and all other requirements have been met. This includes violations discovered after graduation.

i. Dean of Students will ensure proper notifications and final actions.

#### RIGHTS OF THE ACCUSED

##### 1. Student Rights

a. Seek consultation. Since the Board process(es) is/are administrative in nature, legal representation is not authorized. Advisor(s) will not be allowed to be present during the Honor Boards.

b. To be provided copies of all evidence. This shall occur at least two (2) work days prior to reporting to appear before the HC Board.

c. To be read these rights prior at the beginning of the HC Board.

d. To be present during the hearing of the case by the HC Board.

e. To confront or question the accuser and witnesses at the HC Board.

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f. To challenge voting HC Board members for cause; that is, for a reason that would prevent the member from being impartial. These challenges will be adjudicated by Dean of Students.

g. To call relevant witnesses who are reasonably available.

h. To present evidence on his/her behalf.

i. To remain silent. No adverse inference shall be drawn from the decision to remain silent. However, if the accused chooses to make a written statement (see below), this right will be assumed waived.

j. To make either a written or oral statement concerning the alleged act(s).

k. To appeal the findings or recommendations of the Honor Code Board.

l. To be briefed on the findings and recommendations of the HC Board and HCR Board.

m. To be notified of recommendation for disenrollment by the Dean of Students.

n. To appeal directly to the NPS President should the process result in a recommendation for disenrollment from the Dean of Students.

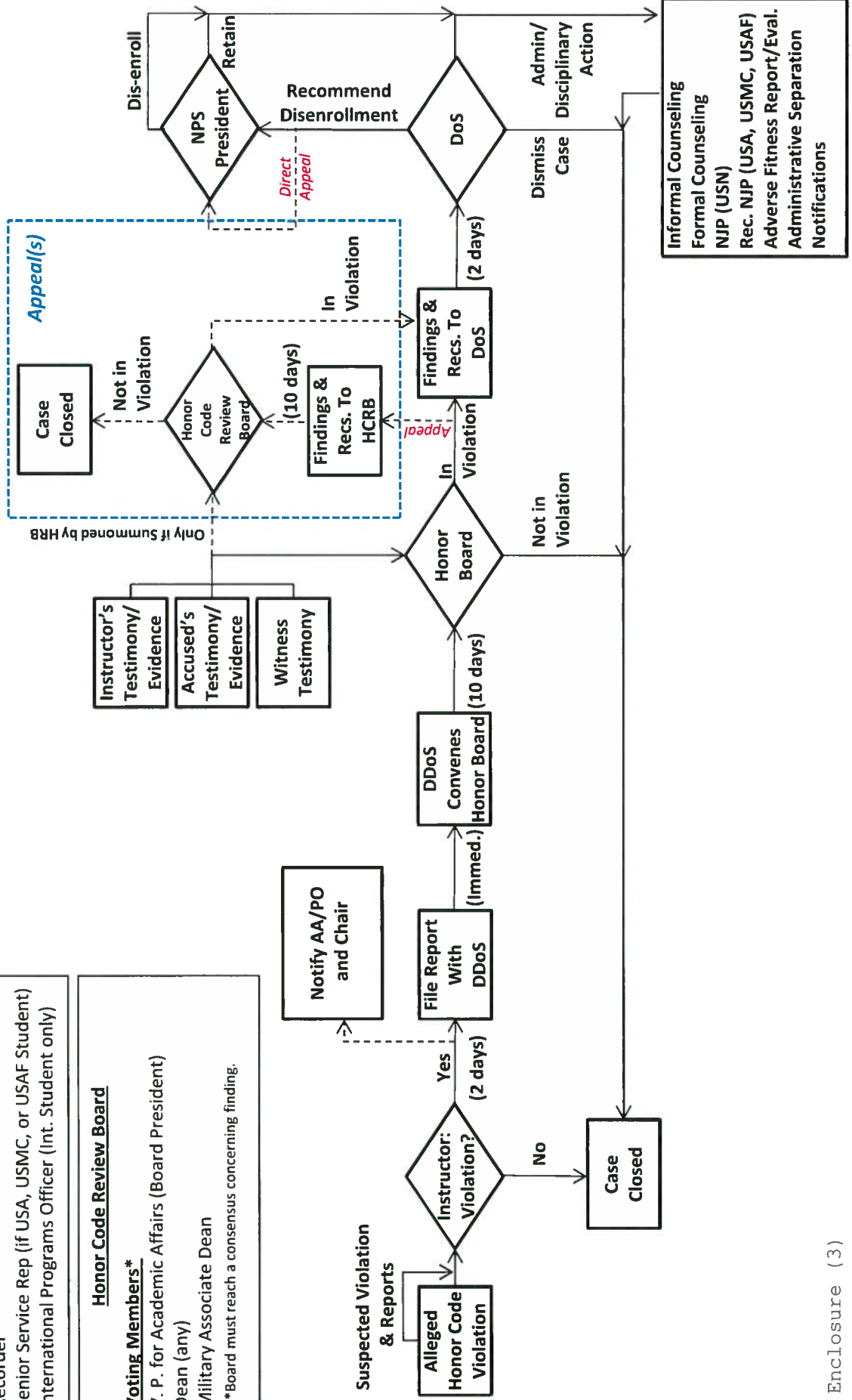
**Honor Code Board**

**Voting Members\***  
Deputy Dean of Students (Board President)  
Faculty Member  
Student Peer  
\*2/3 majority required for "in violation" finding.

**Non-Voting Members**  
Recorder  
Senior Service Rep (if USA, USMC, or USAF Student)  
International Programs Officer (Int. Student only)

**Honor Code Review Board**

**Voting Members\***  
V. P. for Academic Affairs (Board President)  
Dean (any)  
Military Associate Dean  
\*Board must reach a consensus concerning finding.



Honor Code Violation Report\*

Date of Alleged Violation: \_\_\_\_\_

Accuser Name: \_\_\_\_\_

Faculty Member/Department: \_\_\_\_\_

Accused Name: \_\_\_\_\_  
(Rank, First, Last, Service)

Student Department: \_\_\_\_\_

List of Witnesses: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Brief Summary of Incident: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

List of Physical Evidence\*\* (if any): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\* Submit this completed form to the Deputy Dean of Students via e-mail.

\*\*Submit copies of evidence with this report; retain originals.

Enclosure (4)