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|  | Student Disciplinary **Investigation Record** |

The purpose of this form is for the investigating staff member(s) to document what actions were taken to investigate the allegation of misconduct and to track the progress of the investigation process from the beginning to completion.

When completed this record of process with relevant documents (including letters sent to the respondent/s and where relevant the complainant/s) must be sent to studentdiscipline@unitec.ac.nz

The information collected on this form will be managed in accordance with [Unitec’s Privacy Policy and Procedures](https://docushare.unitec.ac.nz/dsweb/Get/Document-172/).

This form should be read in conjunction with Unitec’s Student Disciplinary Statute.

### 1. Details of Allegation of Prohibited Behaviour

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| **Complainant (Staff member making allegation)** | Name/s (attach written allegation) | **Respondent** | Student ID Number |
| **HOD/Director/GM/ Executive Dean Academic authorised investigation** | Date (attach copy of email) | **Staff member responsible for Investigation** | Name and Position |
| **Date investigation began** | Date |
| **Respondent notified in writing of investigation and advised of support available** | Date (attach letter) | **Investigation Panel members and date of hearing/s** | Name/s and position/s  Date/s |
| ***Important: In determining who should investigate consider whether the allegation, if proven, is likely to be categorised as “Inappropriate conduct”; “Misconduct”; or “Serious Misconduct” (See Section 4.5)*** | | ***Important: Ensure any student against whom an allegation is made is aware of the support available through the Student Advocacy Service: http://advocates.unitec.ac.nz/***  ***Ensure student is aware of their right to bring a support person to the Hearing*** | |
| **Important: Ensure the processes undertaken reflect the principles of Te Noho Kotahitanga**   1. Rangatiratanga - Authority and Responsibility: Student Discipline is governed and managed through appropriate delegation of authority and responsibility. 2. Whakaritenga – Legitimacy: Student Disciplinary decision-making processes legitimise the contributions of all parties and ensure that ethics and integrity inform subsequent actions. 3. Kaitiakitanga – Guardianship: Academic Board delegates responsibility of guardianship over student disciplinary matters and maintenance of this statute to the Staff of Unitec 4. Mahi Kotahitanga - Co-operation: Student Disciplinary actions and processes are developed in co-operation with appropriate partners with the understanding that all such partners share accountability for executing these in a way that supports natural justice 5. Ngākau Mahaki – Respect: These operating principles are conducive to a high-trust environment, based on respect, transparency in decision-making and the safeguarding of Students’ and Staff Members’ individual freedoms and rights. | | | |
| **Nature of Allegation** | Conduct in breach of NZ Statute or Regulation  Conduct in breach of Unitec statute, policy or rule  Academic misconduct  Misuse of Information  Misuse of Unitec information technology systems  Other prohibited Behaviour  Note the relevant part/s of the statute breached from Appendix 1 of the SDS here**:**  **Brief outline of allegation of prohibited behaviour**  *Date and time*  *Place*  *Students/Staff Involved*  *Alleged prohibited behaviour/actions* | | |

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| **Investigation Process: Actions taken** | **By Whom** | **Date** |
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### 2. Outcome

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| **Decision re action to be taken** |  | | |
| **Respondent**  **advised in writing** | Date:  (attach letter) | **Complainant/s notified on:** | Date:  (attach letter) |
| **Record on student file as appropriate**  **(Do not keep on Student File if the outcome is a finding of not proven)** | Record to be kept of file for \_\_\_\_ year/s  Date record added to student file  Date record removed from student file | **Report sent to** [**studentdiscipline@unitec.ac.nz**](mailto:studentdiscipline@unitec.ac.nz) | Date filed in SDS Register  Date sent to DCE Academic |
| **Implications advised to DCE Academic** | Outline any implications and review processes that will be followed as an outcome of the investigation:  Note any suggestions/recommendations re the Student Disciplinary Statute arising from this investigation: | | |

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| **Sign-off by Investigator** | Signature | **Day** | **Month** | **Year** |
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| **HoS** | Signature |  |  |  |
| **Received by DCE Academic** | Signature |  |  |  |

### 3. Appeal (if relevant)

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| **Date request for appeal received** | Date:  (attach letter) | **Appeal request granted/denied** | Date  Reason |
| **Name of Chair of the Appeal Hearing** | Date:  (attach letter) | **Respondent notified of outcome of request** | Date  (Attach letters) |
| **Grounds for appeal** | Procedural  Decision unsustainable  Significant new evidence has become available  Penalty out of proportion to the nature of the Misconduct alleged and the full circumstances of the case. | **Names of Appeal Hearing participants** | Student Representative:  Staff Member/s  External expert/stakeholder |
| **Appeal Hearing Meeting Notes** (Or attach minutes or Zoom recording scipt) |  | | |
| **Appeal Hearing Decision and Rationale for this** (Or attach minutes) |  | **Written notification of appeal findings sent to Respondent** | Date  Attach letter |
| **Record on student file amended as appropriate** | Record to be kept of file for \_\_\_\_ year/s  Date record amended/removed from student file | **Report sent to** [**studentdiscipline@unitec.ac.nz**](mailto:studentdiscipline@unitec.ac.nz) | Date filed in SDS Register |
| **Implications advised to DCE Academic** | Outline any implications and review processes that will be followed as an outcome of the investigation:  Note any suggestions/recommendations re the Student Disciplinary Statute arising from this investigation**:** | | |