

# Student Misconduct and Academic Integrity Process maps and Service Design Blueprint

## *Review & Recommendations*

Linh Mcdermott DVC-E Portfolio Projects

Version 0.1 Draft  
7 Dec 2023



---

# Academic Misconduct

## THE FIVE PRINCIPLES OF SERVICE DESIGN

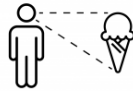
# THINKING



THE WISDOM OF  
@ MRSTICKDORN

### 1. USER CENTERED

Services should be experienced through the customer's eyes

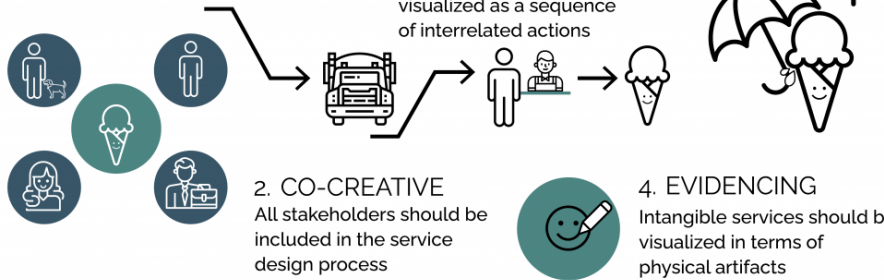


### 5. HOLISTIC

The Entire environment of a service should be considered

### 3. SEQUENCING

The service should be visualized as a sequence of interrelated actions



### 2. CO-CREATIVE

All stakeholders should be included in the service design process

### 4. EVIDENCING

Intangible services should be visualized in terms of physical artifacts

Help organizations develop an understanding of how behind-the-scenes processes interact with each other, optimize the interaction for all actors, including staff, as well as improve the experience for students

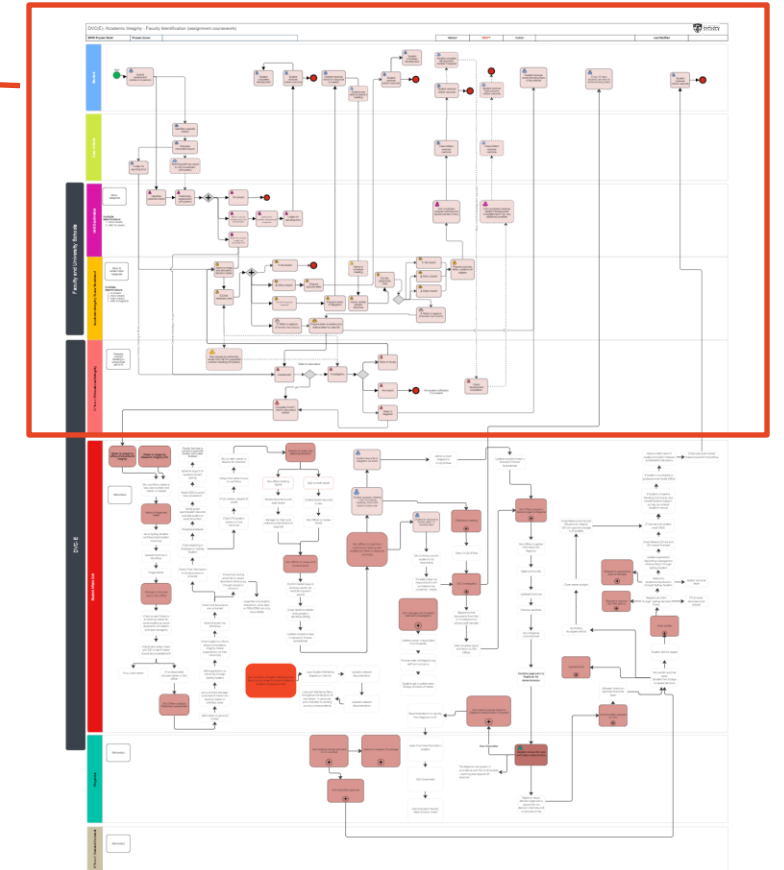
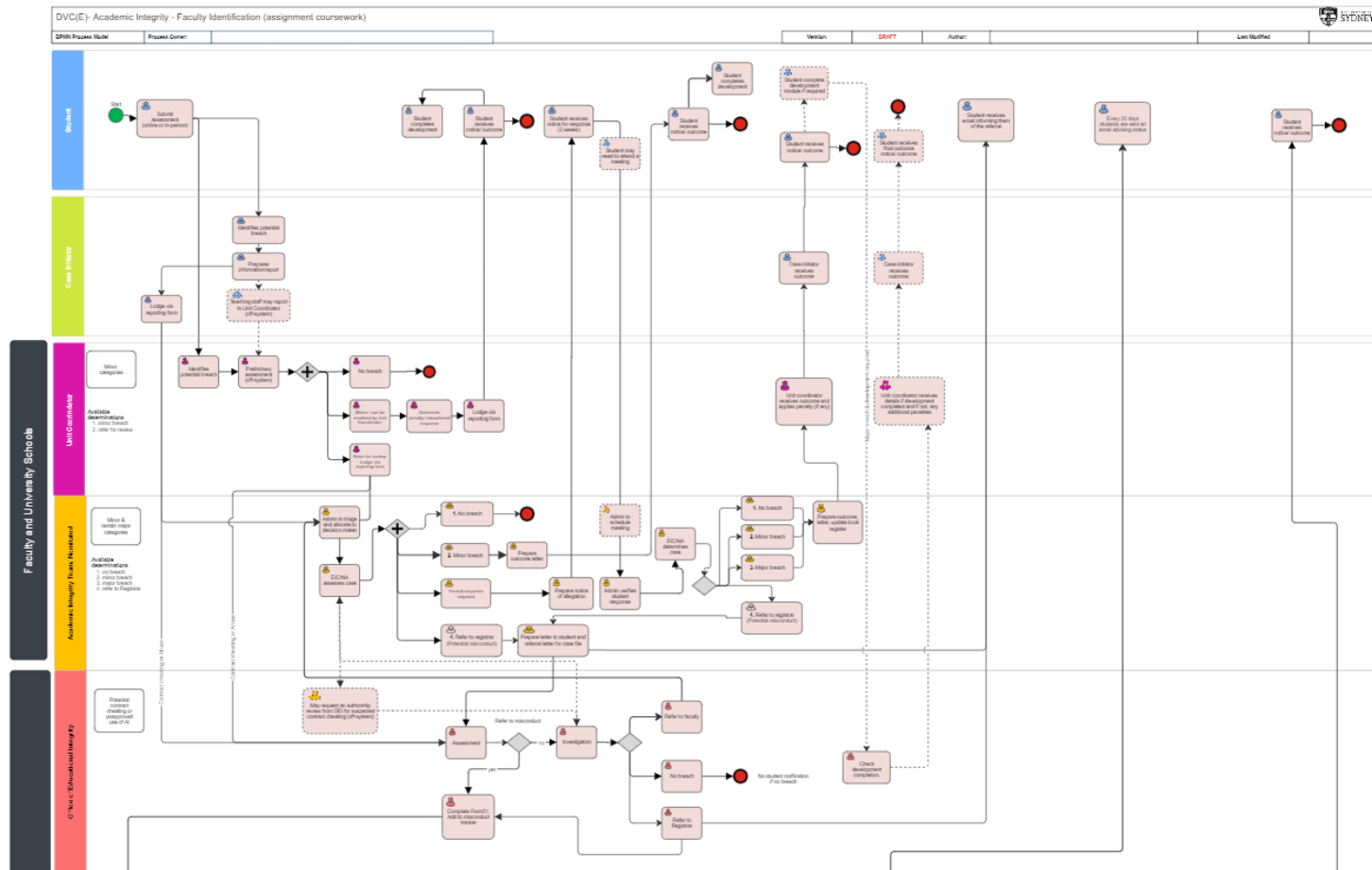
## Service design at USYD

Service design is about optimizing organizations resources(people process and technology) to improve the experience internally for employees as well as improve the service for customers

- Analyze the service proposition of the organization or company
- Understand the needs of all the customers and service providers (actors) in a service.
- Visualize the eco system of the service using a **blueprint, service map or user journey**  
Engage with stakeholders to create a more customer centric service

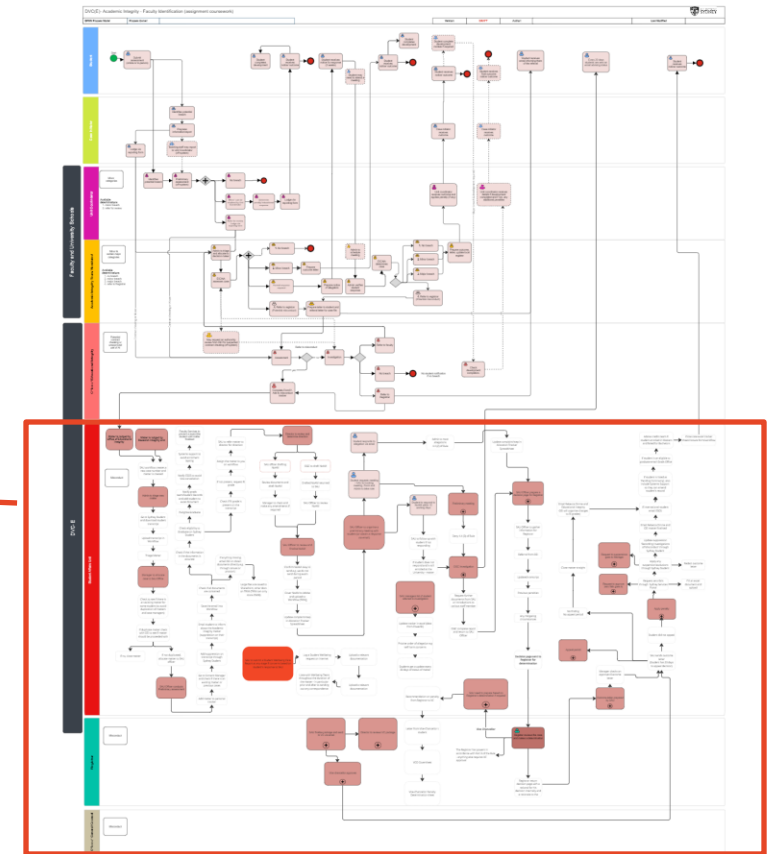
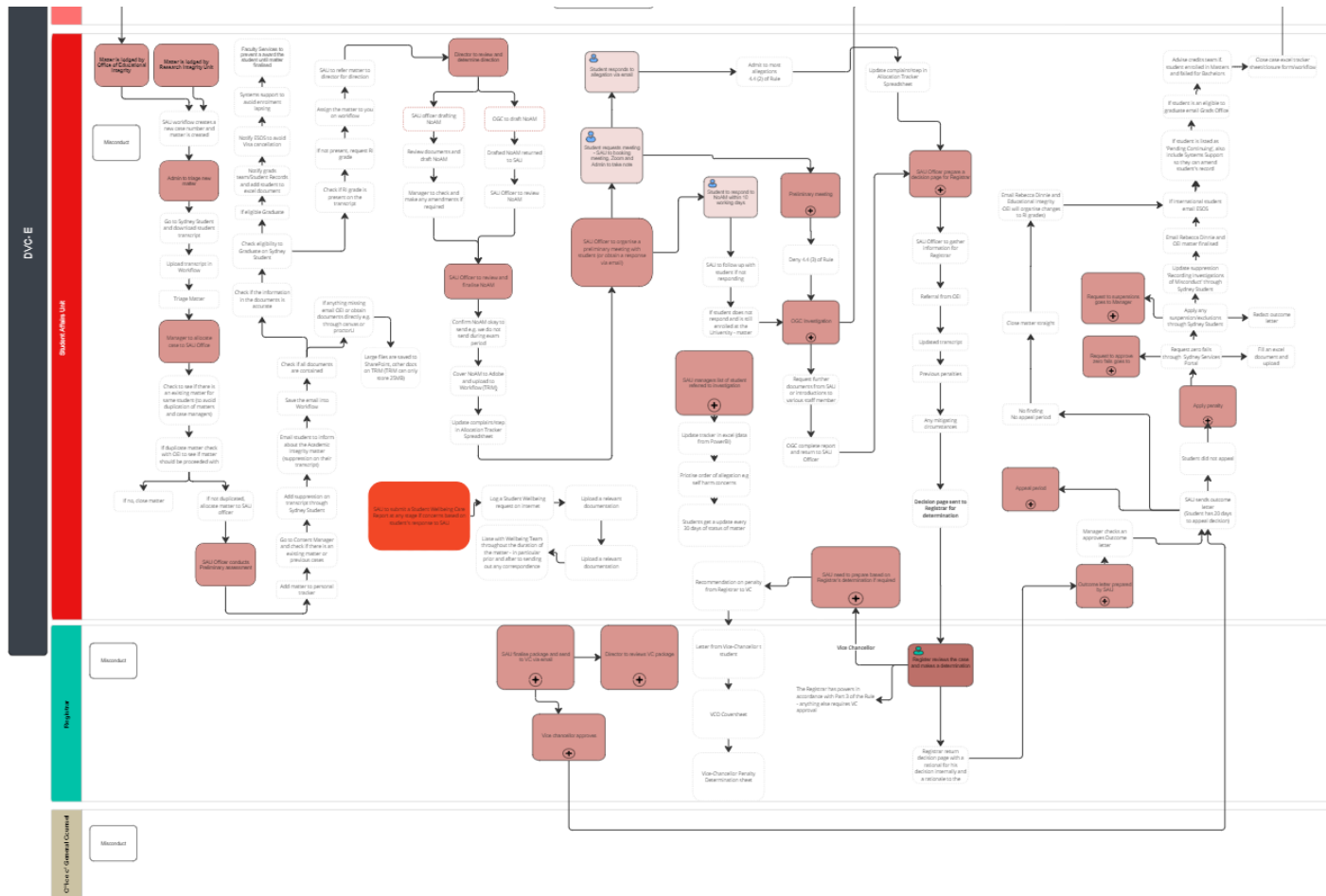
# OEI Academic Misconduct Process Maps

We conducted several stakeholder interviews to map the end to end processes for OEI academic misconduct (continued the next page for SAU)



## Continued the SAU academic misconduct process maps

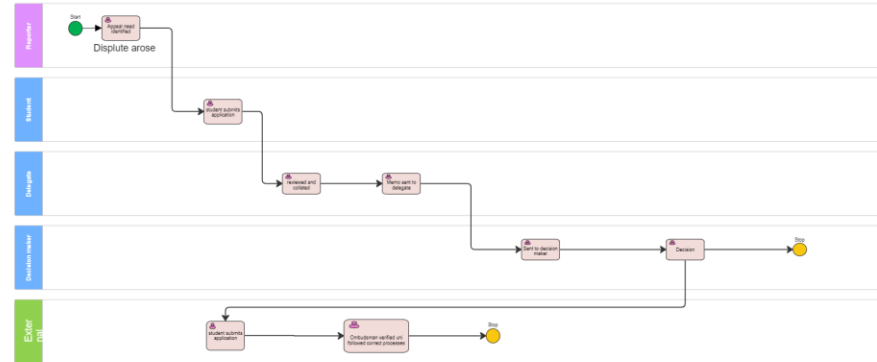
The process map for SAU is continued



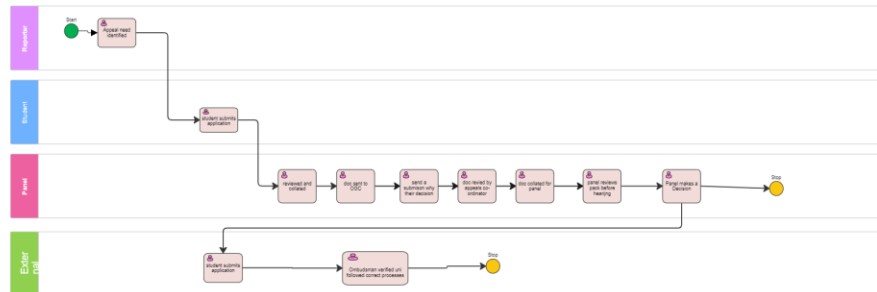
# Appeals Process Maps

Process maps for Release appeals and complaints appeals as well as Academic related appeals process

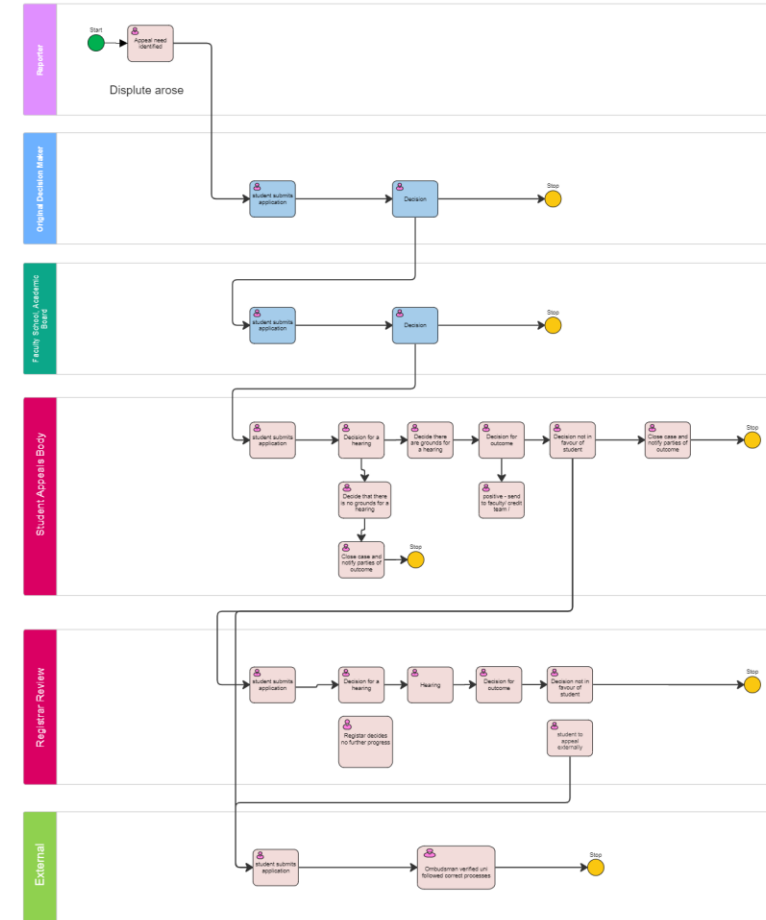
Release appeals and complaints appeals



misconduct



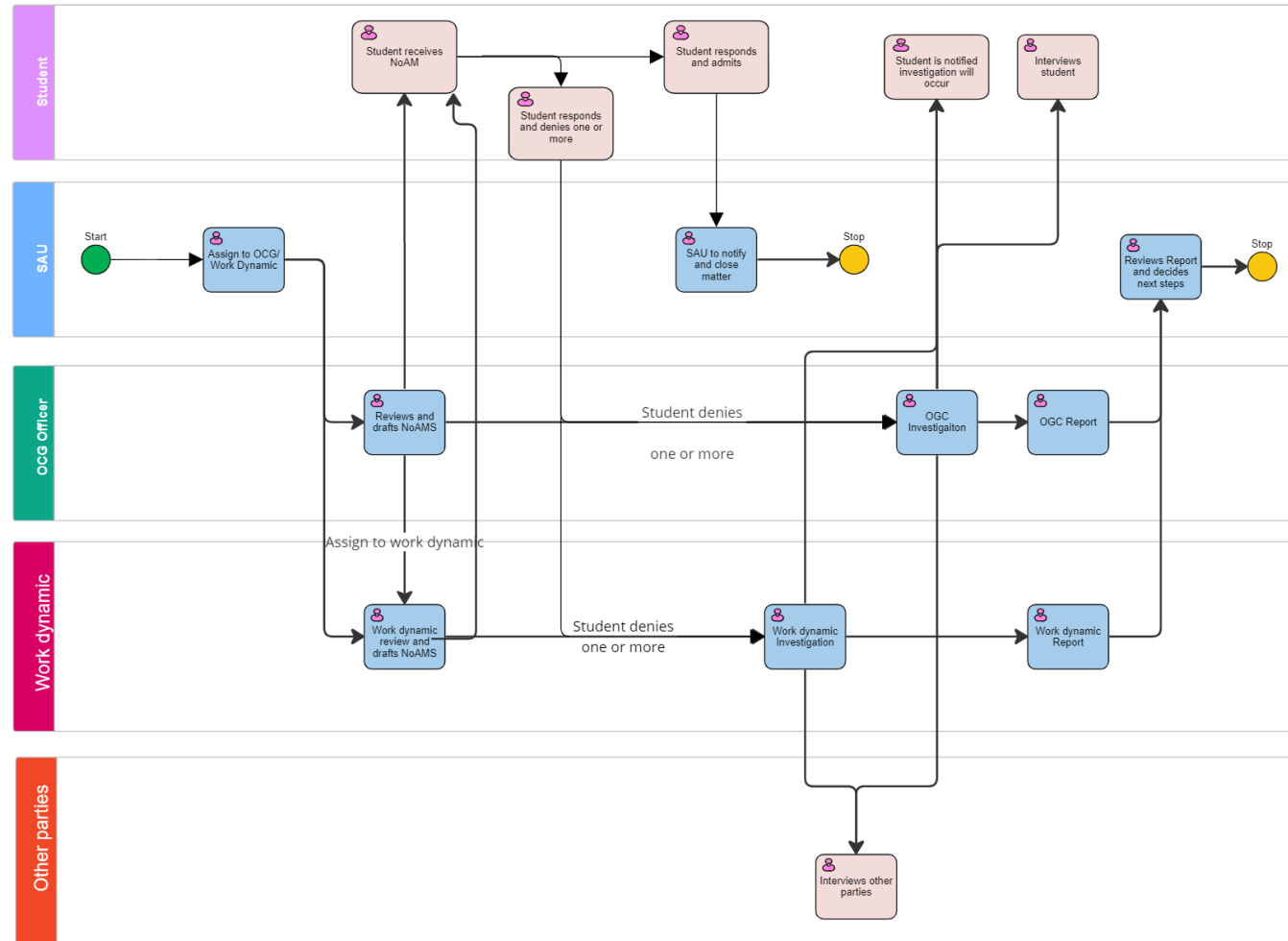
Academic related appeals process  
(inc integrity) mark disputes outcome to exclusions not related



If students has not resolved internally then ombudsman will ask them to go back to step 1 and 2  
Believe the Appeals process works well  
(support for appeals has been resolved)

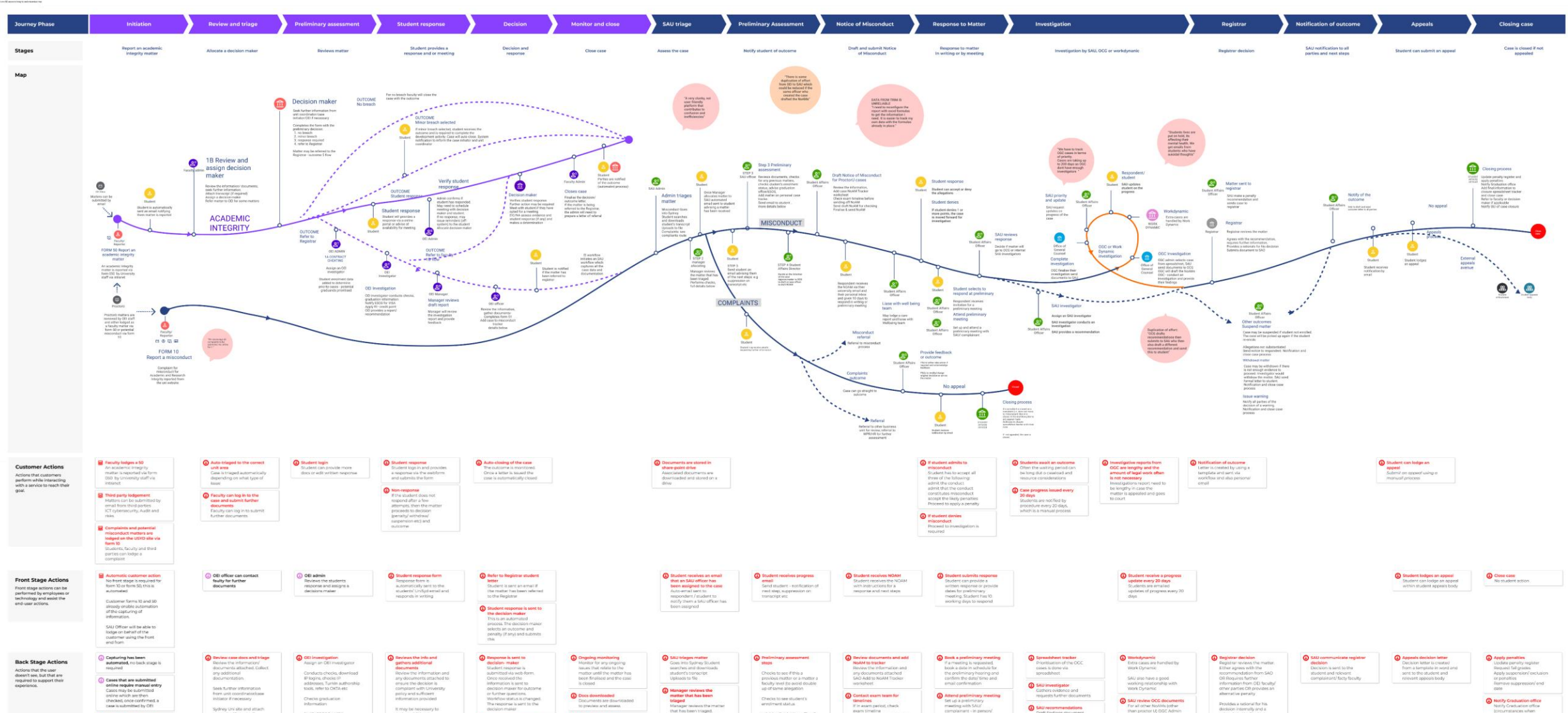
# Office of General Counsel process maps

## Process maps for the Office of General Counsel



# Academic Integrity, Misconduct and Complaints service blueprint

This map covers the end to end current state journey for Academic Integrity and SAU misconduct matters involving an investigation or referred to Registrar and Appeals. [A PDF version is available to download](#) >





---

# Key areas for improvement/change

## Technology



- Inefficient slow legacy systems
- Inability to add certain features to the interfaces in TRIM (priority cases etc)
- TRIM is difficult for faculty to use
- Systems not linking to each other – obtain student transcripts from USYD and Flag for misconduct in USYD to communicate to teams student status
- Lack of centralized view of the student – Faculty, ESOS and Grad team do not know student has misconduct matter, SAU advise other departments manually by updating a spreadsheet, adding a lot of extra steps to their processes
- Lack of up to date technology results in of manual work arounds (spreadsheets) to manage cases
- 

## People



- Too few staff (investigators) vs too many staff (duplication tasks )
- Multiple legal docs are read by each staff member who reviews the case
- OEI > SAU > OGC > Workdynamic > Appeals
- Inefficient task allocation: The drafting NoAMS are not done by the SME who understand the background to the case.
- Lack of decision making – made by Registrar

## Processes



- Processes are lengthy
- Processes are complex in nature
- Documents requires a lot of accuracy – requiring peer or checks with managers
- Processes are governed by policy

---

# Technology issues

*“A very clunky, not user-friendly platform that contributes to confusion and inefficiencies”*

## Key highlights



Lack of system integration between OEI, SAU and OGC



TRIM's data is unreliable



TRIM is unintuitive, slow and not very user-friendly. Staff must wait to get access

Theme	Finding
Departments instance of TRIM are different and disconnected	<ul style="list-style-type: none"><li>• Each department, OEI, SAU and appeals has their own version of TRIM, and each have copies of the documents. Faculty appeals – through Sydney student</li><li>• Some of the department's interfaces have been enhanced whilst others have not been</li><li>• Lack of integration between each department means that each department is having to. This means that data needs to be entered in again. This increases the processing time and the likelihood of errors</li><li>• Related matters for students, for example if they had any previous misconduct can't be accessed</li><li>• For example, there will be a workflow for a misconduct matter. If the student chooses to appeal, a new workflow is created for the appeal. Between the student or the appeal coordinator, most of the documentation that is in the first misconduct workflow will need to be re-uploaded into the new workflow.</li><li>• The same is true for academic appeals. If a student engages in the faculty review process, this is done through the workflow.</li></ul>

---

# Technology issues cont..

Theme	Finding
<b>Manually searching and entering student information, such as credit points and adding this in from another spreadsheet</b>	<ul style="list-style-type: none"><li>• Its time consuming to locate student information such as assessments and assessment instructions, if this was automated, then student information could be added to the matter.</li></ul>
<b>CM/TRIM is not linked to the rest of university USYD student info, or assessment TurnItIn</b> <b>Lack of centralized view of the student</b>	<ul style="list-style-type: none"><li>• USYD is just as much a part of the problem as TRIM is</li><li>• Non-integration with other legacy systems results in a manual work around,</li><li>• USYD online student system is very old and difficult/time consuming to link student info/data to TRIM. UYSD student system currently do not have a code or way to indicate misconduct matters, therefore faculty, graduation team, student well being, ESOS, OEI, or anyone else at the university knows that the student has a misconduct matter or a suppression is on their transcript</li></ul>
<b>Due to the inability to upgrade USYD system easily, SAU have extra manual processes</b>	
<b>A very clunky, slow, not user-friendly platform that contributes to confusion and inefficiencies</b> <b>(Appeals)</b>	<ul style="list-style-type: none"><li>• Workflow (WF) - is the platform tasks are worked through with the various stakeholders and escalated to others.</li><li>• A Dashboard is being introduced to replace WF, currently only the Registrar's Review uses the dashboard.</li><li>• Content Manager (CM), is the "back-end" of the WF/Dashboard, and previously called TRIM. This is the platform where all documents are stored and searched for. Records Online is the website version of CM.</li><li>• The instance of TRIM was developed in 2017, it is based on outdated technology</li><li>• TRIM is not a case manage tool, it's a records management tool</li><li>• System is slow and the lag in system means that using the system and inputting data in slow</li><li>• Whilst faculty can access TRIM, they face a steep learning curve. There are no manuals for new staff to learn from, they learn from a set of screenshots on slides and live demos.</li><li>• Additionally, working in CM, like to add a document to a closed Workflow, is often extremely not intuitive that it greatly decreases productivity. A bit more intuition with CM or similarities between WF and CM would gain efficiencies.</li><li>• 3-4 ways to upload documents upload documents, may be a 2-minute wait to check the documents have been successfully uploaded.</li></ul>

---

# Technology issues cont..

Theme	Finding
<b>TRIM's data is unreliable.</b>	<ul style="list-style-type: none"><li>• A lot of data comes out of TRIM which need to be removed to surface relevant data. This “messy” process</li><li>• There is a general mistrust of TRIM's data due to the inability to determine how the figures were derived</li></ul>
<b>Reports from the platform have too much data that might be inaccurate and have to rely on one own tracking excel spreadsheet. (Appeals)</b>	<ul style="list-style-type: none"><li>• A lot of data comes out of TRIM which need to be removed to surface relevant data. This “messy” process. There is a general mistrust of TRIM's data due to the inability to determine how the figures were derived</li><li>• For example, the Appeals team/staff may need to record timeframes in business days, but the trim report will provide overall days a matter took, so then they need to reconfigure the report with excel formulas to get the information they need. It is easier to track my own data with the formulas already in place.</li><li>• <b>A student may submit duplicate applications.</b> It is challenging in the report to figure out which cases are genuine duplicates and which are subsequent appeals. As such, it is easier to track in one own's excel spreadsheet with a “duplicate” category</li></ul>
<b>Multiple steps required to extra meaningful data for essential periodic reporting</b>	<ul style="list-style-type: none"><li>• Managers are spending considerable time filtering data from the TRIM dataset to surface information required for various reports. However, the team are willing to make changes requested and believe it can be done.</li><li>• For quarterly reports, the data requires a lot of work before it can be used. Sometimes SAU need assistance from a data expert to verify that the data is accurate, help with interpret the data or applying formulas to the data</li><li>• For appeals, need to creating new spreadsheets to interrogate the data<sup>[1]</sup><sub>[SEP]</sub></li><li>• There appears to deficiencies in the data collating data for weekly</li></ul>
<b>TRIM is basic, lacks important features, and is unable to prioritise cases.</b>	<ul style="list-style-type: none"><li>• Trim is not a comprehensive tool. TRIM is unable to prioritise cases. This must be done separately in an excel tracker. TRIM does not align with user enrolment data and cannot see how many units/credit points a student has.</li><li>• The investigator/faculty admin cannot contact the case initiator through the system.</li></ul>
<b>Inefficient document management Documents take a long time to upload as well as needs to be downloaded to view.</b>	<ul style="list-style-type: none"><li>• For tasks such as sending emails, viewing documents the users need to open other application on their computer. It would save time if everything was built into 1 platform. Documents need to be downloaded to be viewed.</li><li>• Documents cannot be worked on/edited within the system. They must be downloaded, edited and re-uploaded.</li></ul>

# People/process issues

## Key highlights



Departmental interaction inefficiencies



Duplication of work



Documents are incondite named making it difficult to

Theme	Finding
Interdepartmental and vendor interaction is inefficient	<ul style="list-style-type: none"><li>Frequent interaction between departments – lots of back and forth interaction between dependent</li><li>Each time it gets sent to another dept, case officer need to review information again to familiarize themselves with the case, potentially with a need to request further information.</li></ul>
Duplication of work	<ul style="list-style-type: none"><li>Complex matters are reviewed multiple departments Faculty, OEI to SAU and Appeals, OCG, Registrar or Vice Chancellor. For example, OEI review the preliminary details then SAU also conduct the same process in order to draft a NOAM. OCG are drafting up findings/recommendation and then emails this to SAU. SAU take the documents and then also drafting up a recommendation based on findings then send this to VC/ Student, which is inefficient</li></ul>

---

# People processes continued

Theme	Finding
<b>Slow decision making</b>	<ul style="list-style-type: none"><li>• Increasing caseload puts pressure on the registrar and this has impact on how long decisions are made.</li><li>• Reliance on key people to. Should anything happen and they were unable to do their assigned job, there is no one else that can make registrar decision.</li><li>• Director of SAU director should be to delegate step 4 in her absence.</li></ul>
<b>Processes are lengthy and complex in nature</b>	<ul style="list-style-type: none"><li>• The processes are long and complex, for example; the process manual for SAU is about 200 pages, and involves multiple steps and different steps per outcome</li><li>• Combined with in some misconduct matters go through multiple departments and staff, adding to the processing times</li></ul>
<b>Documents need to be accurate</b>	<ul style="list-style-type: none"><li>• Documents requires a lot of accuracy, which means that it is checked and reviewed either by peers or by the managers. People who revise the document may also familiarise themselves with the case and need to read the documents This ensures a high standard, however adds to the steps involved.</li></ul>
<b>Large and increasing caseload volume</b>	<ul style="list-style-type: none"><li>• 300 cases still need to be investigated</li><li>• In the past an offer would have around 30-35 cases, and due to the volume, some now have 70-80 cases</li><li>• This level of workload is unsustainable and will likely result in job dissatisfaction, stress, staff burnout, churn, resulting in the need to rehire and train.</li><li>• Students are mentally affected by the delay, they are complaining of issues such as anxiety, depression and suicidal thoughts</li></ul>

---

# People processes continued

Theme	Finding
<b>Lack of consistency in how documents are named</b> <b>Lack of document summary, date , meta data</b> <b>Some case files have unorganised documents</b>	<ul style="list-style-type: none"><li>• This is a common theme across SAU, OEI and Appeals. All documents are named as per the choice of the individual staff member/investigator. From the appeals department: The naming of documents in the misconduct workflow, a challenge for collating documents as every staff member has different styles of naming documents. This results in the appeals coordinator opening many documents in the workflow to find which one is needed or learning individual styles of staff.</li><li>• Documents naming may be inconsistent in terms of date, name, case number, name of the document, documents from the students, videos in sequences, etc. This information extra information make it easier to scan and understand the documents instead of having to open all the documents</li><li>• Because of the lack of information related to the document, the document is opened and scanned for the information.</li><li>• TRIM is ineffective in searching for content within a document content, which makes it difficult to find and collate related documents</li></ul>
<b>Lack of trained panel members for hearings at Appeals stage</b>	<ul style="list-style-type: none"><li>• Only 48 panel members receive training on hearings (as per policy), any 3 will attend the hearing. They cannot be from the same faculty as the student. The panel members do this outside of working hours, and are hard to schedule. They are also choosy for what type of hearing they attend. Hard to find students to attend, they may cancel for any reason. 48 includes students. There is also a trained reserve list of students.</li><li>• At present the appeals team engage through with the panel members via email, which the panel members are happy to continue with emails. These mails have to be sent from outside the workflow which slows down the process.</li></ul>

---

---

# Policy Issues (Appeals)

Theme	Finding
Processes are governed by policy	<ul style="list-style-type: none"><li>Policy drives some of the processes, and can add to time and steps involved in the process</li></ul>
Challenges of scheduling hearings, as sometimes there are not enough panel members from different faculties (to avoid conflict of interest, panel members may not be from the same faculty as a student) available to sit on a hearing.	<ul style="list-style-type: none"><li>Section 5.5.1 of the <a href="#">University of Sydney (Student Academic Appeals) Rule 2021</a> states: 5.5(1) (1) The Student Appeals Panel will comprise no less than 12 and no more than 48 members, appointed by the Registrar.</li></ul>
For student disciplinary matters, if a student does not show up to a hearing, it always needs to be rescheduled. This is very time consuming, and the panel should have the ability to decide the matter in the absence of the student.	<ul style="list-style-type: none"><li>Section 5.4 of the <a href="#">University of Sydney (Student Discipline) Rule 2016</a> states: 5.4 Failure by a student to attend an appeal hearing (1) If a student or former student fails to attend an appeal hearing, the Committee may: (a) adjourn the hearing; or (b) if notice has been given to the student or former student in accordance with section 5.4(2), decide the matter in the absence of the student or former student. (2) If an appeal hearing is adjourned in accordance with section 5.4(1), the Chair of the Committee will cause the student or former student to be given written notice: (a) that the hearing is adjourned; (b) of the new date, time and location of the adjourned hearing; and (c) that the adjourned hearing will proceed on that date, notwithstanding any further absence of the student or former student.</li></ul>
Support for the Appeals Coordinator	<ul style="list-style-type: none"><li>There was no process in place for when the Appeals Coordinator was sick on the day of a hearing.</li></ul>



---

# Lack of holistic view of students with misconduct matters

**USYD do not have a holistic centralised view of the student matters ranging from well being to misconduct. When a student has a misconduct matter, SAU are unable to flag it in the student online system due to the difficulty in integrating this with Content Manager/ TRIM. If a misconduct matter was registered in student online, then all departments including faculty, EOI, ESOS and graduations team would be notified there is a misconduct matter.**

Because student status such as misconduct matters cannot be accessed by all USYD, SAU have extra manual steps which are done manually often using excel spreadsheets to notify teams such as Graduations, Faculty and ESOS.

SAU have attempted to place a misconduct flag inside Student Online, however were advised by the technology team that update student online systems that it would be difficult to place a flag for students who have misconduct matter.

The lack of holistic view means that faculty may not be aware of misconduct matters unless advised by SAU/ EOI.

# Technology - inefficient legacy systems

**"A very clunky, not user-friendly platform that contributes to confusion and inefficiencies"**

## Long processing due to old and slow system

Records online is slow and the lag in system means that using the system and viewing/retrieving data is slow, resulting in every day inefficiencies.

Slow processing times to upload documents, can take up to 2 minutes, after large files it needs to be checked it has been successful

Documents don't have a "view" status, so to view information, PDF are downloaded, resulting in privacy/security issues

Lack of a good workflow/CMS between OCG means that cases are prioritized using excel spreadsheets

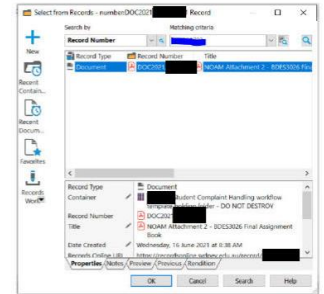
**DATA FROM TRIM IS UNRELIABLE**  
"I need to reconfigure the report with excel formulas to get the information I need. It is easier to track my own data with the formulas already in place."

The large file record will appear in search box at the bottom of the 'Search for Records' dialogue box

Select 'OK'

9. A 'Select from Records' dialogue box will open displaying the large file record

Select 'OK'



10. The 'Student Complaints Handling' dialogue box will re-open

Select 'OK'

11. Wait 2 minutes and open/refresh the case in the online Workflow to check that the large file has uploaded

# Caseload time has increased due to a sharp increase in student misconduct cases

## Figures for student misconduct


“In 2022, 600 student misconduct cases completed in 2022 were received: more than twice the number received in all but one (2018) of the previous five years.”

Caseload has increased significantly in the last year; in some instance, up to 80 cases per officer

The time taken to resolve cases has also increased with some cases taking 200 days or longer.

AB ASPC 04/2023  
16 May 2023

5.2 Annual Report of Student Misconduct 2022  
Page 1 of 6

THE UNIVERSITY OF SYDNEY

BRIEFING PAPER	
Submission To	Academic Standards and Policy Committee
Date	16 May 2023
Item No	5.2

Non-Confidential

Proposal Title	Annual Report of Student Misconduct, 2022
Recommendation	That the Academic Standards and Policy Committee note and recommend that Academic Board note the Annual Report of Student Misconduct 2021 for submission to Senate as fulfillment of the annual reporting requirement of clause 8.4 of the <i>University of Sydney (Student Discipline) Rule 2016</i> .
Proposal Presenter	Associate Professor Peter McCallum, Registrar and Academic Director (Education)
Consultation Pipeline	<div><div>Academic Standards and Policy Committee</div> → <div>Academic Board</div> → <div>Senate</div></div>

Executive Summary

This report details misconduct matters for the calendar year 2022, in accordance with requirements of the *University of Sydney (Student Discipline) Rule 2016* ('the Rule'). It contains two sets of data – misconduct cases *received* by the SAU; and misconduct cases *completed* in 2022. As at the end of 31 December 2022, 317 cases received in 2022 remained open. Additionally, 85 cases completed in 2022 were received prior to 2022.

Over the five-year period 2017 to 2021, the average number of annual cases received by the Student Affairs Unit (SAU) was 271. In 2022, 600 student misconduct cases were received; more than twice the number received in all but one (2018) of the previous five years.

The most significant growth in cases received was in academic misconduct. Since this category was added in mid-2019, a mean of 112 cases per year was received in 2020 and 2021. In 2022, that number was 346. The two main areas of growth in academic misconduct were contract cheating, continuing to escalate, and exam cheating detected via ProctorU during the provisions for remote study as a consequence of COVID-19 study conditions. Exam cheating was the highest single type of misconduct issue.

The greatest increase in other case types received was bullying with 56 allegations received: 17 more than the previous highest from 2018. Regarding cases completed, the most common allegation, academic misconduct was 168, compared to the previous highest of 122 in 2020. Bullying was the highest on record at 49;7 more than the previous highest in 2019.

Background / Context

All allegations of student misconduct received were investigated in accordance with the *University of Sydney (Student Discipline) Rule 2016* ('the Rule'). In accordance with the Rule, in cases where students admitted to allegations put to them, the matter went straight to a penalty determination without further investigation. Some allegations of misconduct related to persons who were not enrolled students, and this is more clearly outlined in Table 2.

# Length of cases as high as 200+ days impact student's mental health

SAU team leaks with vulnerable with the welfare of students having suicidal thoughts, students emailing constantly, some are emailing daily) to get updates, students not being able to graduate, or get jobs,

Most the students have some form of mental health impact affects due to the time delays and uncertainty of the outcome and any immediate and long-term repercussions on their future

*"Students lives have been put in hold"*

OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	124	89
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	124	89
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	130	93
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	149	106
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	150	107
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	150	107
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	150	107
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	167	120
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	172	123
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	173	124
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	178	127
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	178	127
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	179	128
OGC - Office General Counsel	8CD ACTION REQ 23/ SC A F All All	206	147
Registrar	9D Registrar to nc 22/ SC A F All All	13	10
Registrar	9D Registrar to nc 23/ SC A F All All	20	15
Registrar	9D Registrar to nc 23/ SC A F All All	34	25

---

# Appendices