
Future state

Student Misconduct and Academic Integrity

Process maps and Service design blueprint

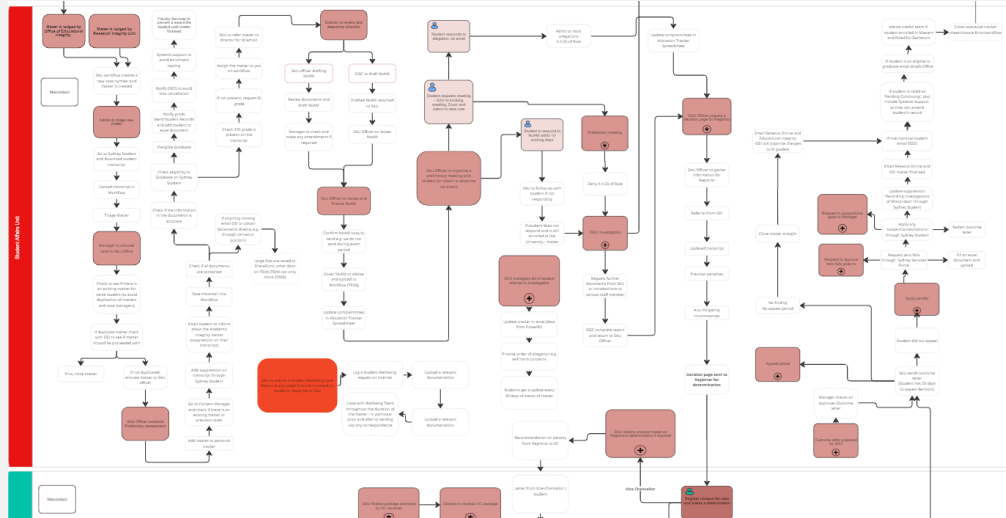
Future state: Review & Recommendations.

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SAU – Academic misconduct refer to Registrar process maps

Current state **Student Affairs Unit - Academic misconduct refer to Registrar** involves multiple sub steps, which can be optimized



Create a framework for investigations

With the increasing caseload and investigations taking up resource and time how can we improve the processes around investigations

This framework would encompass

- A) **Definition of investigation and roles that will be impacted**
- B) **Matters/circumstances in which do not require an investigation**
- C) **Other considerations to improve the investigations process**

A) Definition of investigation: Framework will provide key areas for an investigation

- **Discovery** – preliminary assessment by a case manager
- **Gathering of evidence** – Evidence gathered by a case manager
- **Testing of evidence (investigations)** – Investigation by and investigator

B) Matters/circumstances in which do not require an investigation

For certain matters, a penalty can be applied without an investigation for example:

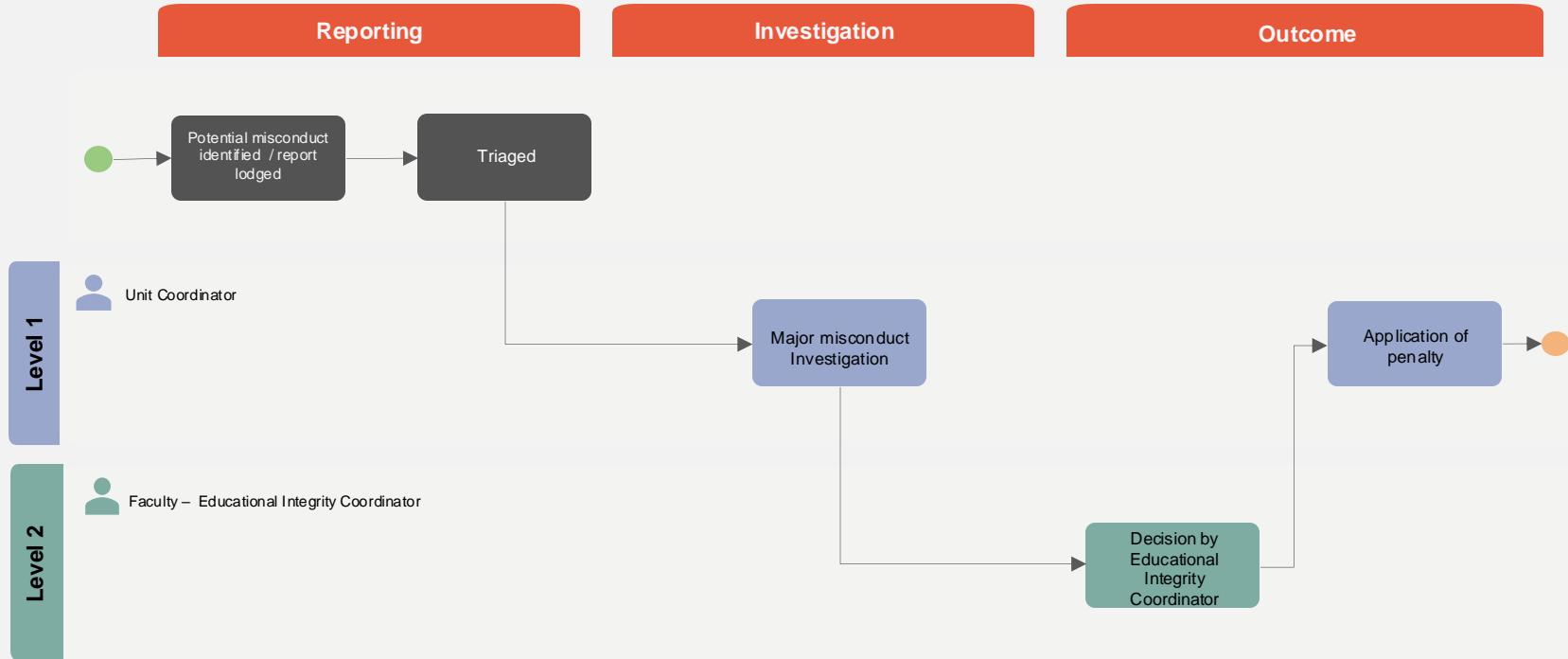
- Where there has been a violation of policy (e.g. student brings home into an assessment, fake medical documents, fake admissions documents)
- Where student has admitted to one/ majority of the allegation but not all allegations, move to penalty

c) Other considerations for investigations process improvement

- **Reasonableness:** Will it be reasonable to proceed to an investigation
- **Complexity:** Will the investigation simple/light (SUV) or complex/full (Rolls Royce)
- **Adding value:** Will a longer investigation yield more results
- **Efficiency:** Where can we make improvements to the investigations timeline

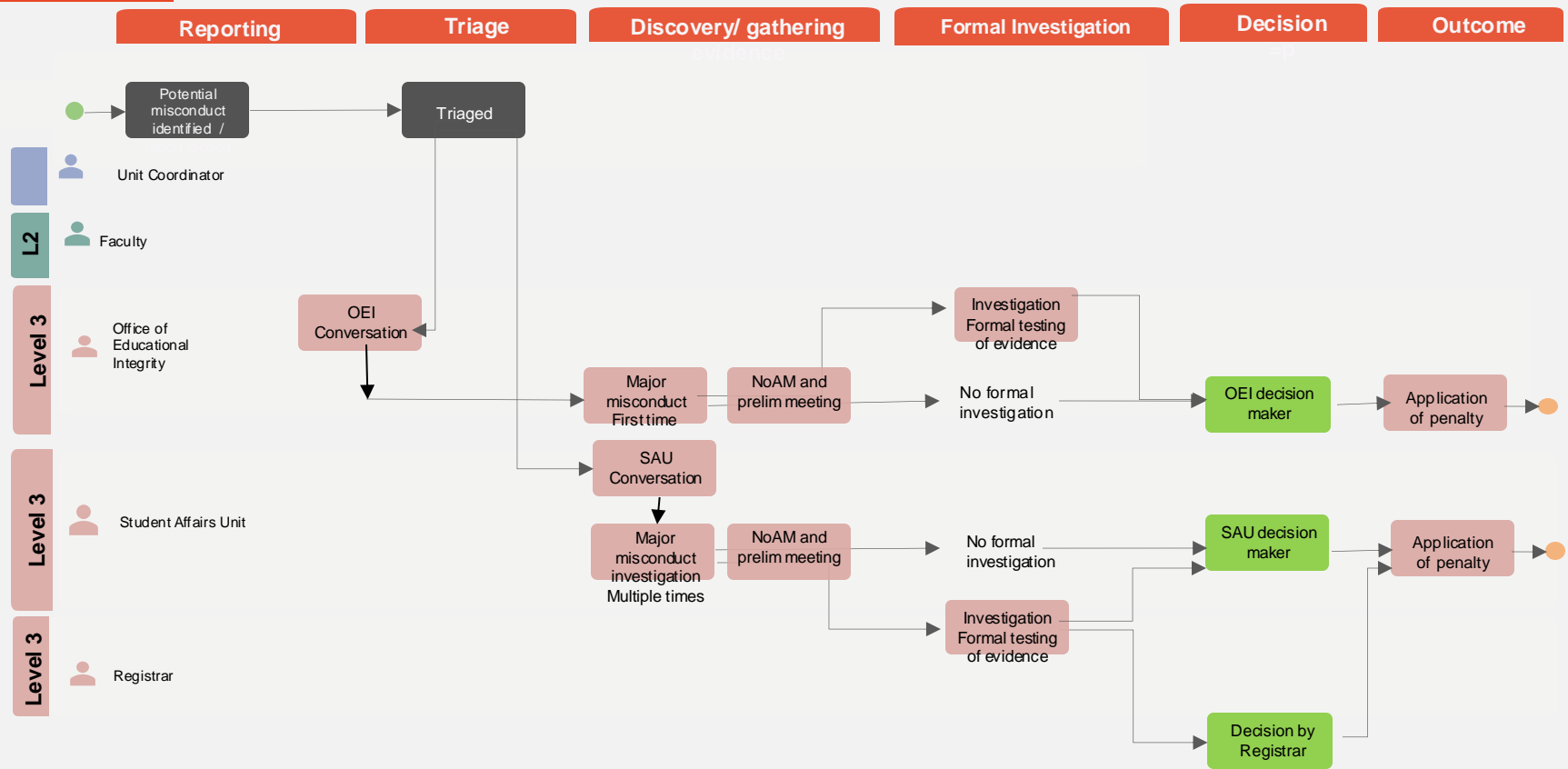
Academic Integrity Process (Major Academic Misconduct) – High Level

Minor academic misconduct is recorded in the central registry (TRIM) by the Unit Coordinator.

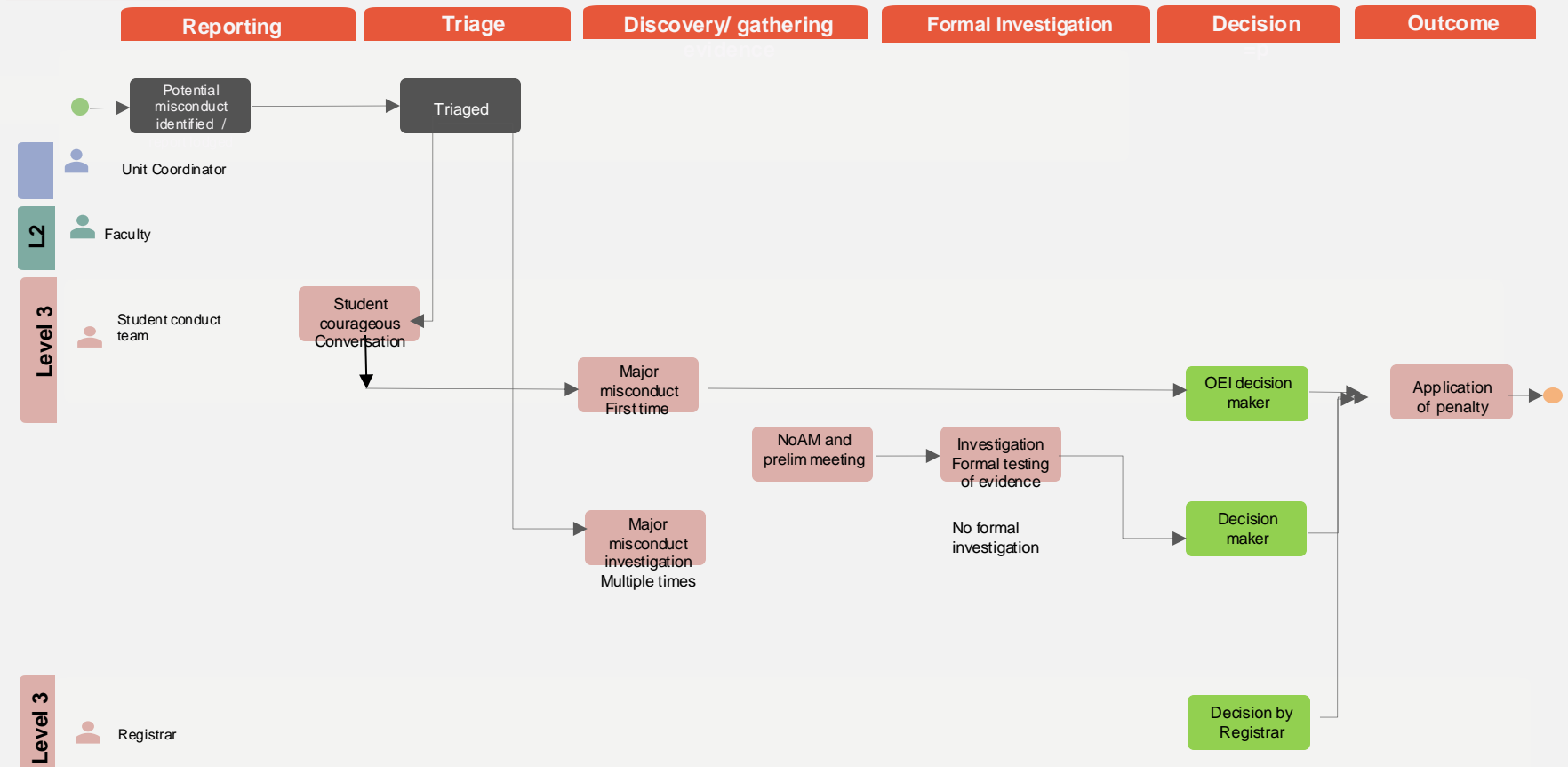


Major academic misconduct is recorded in the central registry (TRIM) by the Faculty.

Major Academic Misconduct – proposed changes



Major Academic Misconduct – proposed changes



Centralised or specialist approach to the team structure

Centralized team with separate investigations team

The areas will consist of two main areas, administration and internal investigations. The administration team will be knowledgeable about all complaint/misconduct matters so they can handle all cases. This enables work to be distributed more evenly.

Advantages

- **More even distribution of work and flexibility:** A which will result in shorter case lengths
- **Quality investigations by investigators who** have more commercial experience in investigative techniques to be able to interpret policy, have legal knowledge, be able find evidence, or have integration techniques than university staff have
- **Investigators may more impartial** and less bias being separated from the admin team
- Experience and staff to learn new skills – growth
- **A centralised team of investigators** (rather than per team) will reduce the duplication of work related to various touch points, and ensure that investigations are standardized

Hybrid Role - some case management and some investigation for matters that don't require a testing of evidence / full investigation (mobile in an assessment, fraudulent medical certs and fake admission docs)

Disadvantages

- **Team members will need to upskill** to be knowledgeable about all areas of complaints/misconduct

Specialist teams with an investigator per team

Team members are responsible for one area of complaints for example behavioral misconduct or academic misconduct) similar to current state. Each team is assigned an investigator.

Advantages:

- Team members and investigators will have experience and knowledge of a specific process as well as understand the policy
- Integration of investigators rather than division of investigators into a different teams,

Disadvantages:

- **Team members are blocked** from taking on other teams work, this is problematic where there are more cases of complex cases that take more time or where there are staff shortages such as when team members take holiday or resign.
- Lack of collaboration within the teams as there will be separation of teams in one area
- **Inability to distribute the work evenly** and efficiently and reduce time in cases take longer due to staff shortages. Uneven distribution of work means some teams will have more cases or longer more complex ones, whereas other teams might have shorter cases or less of them. Team members as well as **investigators** won't be able to take on work of any other teams

Create a penalty matrix

Enable fair transparent and efficient penalty decision matrix

Policy change to enable a delegate to make decisions on behalf of the Decision Maker as well as create a penalty decision matrix to provide consistency in decisions, as well as ensure that penalties are consistent and fair.

- Create a penalty matrix for the Case Manager and Decision Maker
- Case manager will provide a summary of the matter, recommendations on penalty based in the penalty matrix Register
- Streamline the response from the Decision maker by creating a process form where the decision maker can select a option of either 1) agree with the recommendations 2) not agree with the recommendations and/or penalty, and have drop down of other penalties, or 3) request further information

Penalty rationale: Decision maker to rationale for the penalty: provide a template of rationale that can be tailored to suits the circumstance.

Decision maker policy changes

Have more than one decision maker, each decision makers will evaluate a case to avoid duplication of effort and reduce touch points.

Mitigate the risk should the register be unavailable to make decisions

Penalty Guidelines

Academic Honesty - Misconduct

Allegation	First offence Or Prior or multiple offences	Mitigating circumstance (e.g. honest, truthful, cooperative, external factors)	Stage of degree or cps completed	Penalty + Reprimand + Suspended suspension + Suspension + Exclusion from course + Exclusion from University + Expulsion + Rescission	Comments
Use of an electronic device to access material from the regular Canvas site using login and password during a closed book assessment or final Exam	First offence	Yes			
		No			
	Prior or multiple	Yes			
		No			
Co-operating/colluding with other students to complete as assessment or exam	First offence	Yes			
		No			
	Prior or multiple	Yes			
		No			
Providing a third party or entity with unauthorised access to the University	First offence	Yes			
		No			

Penalty	Conduct	Comments
Reduction of the student's achieved mark in an assessment item	First instance of major academic misconduct as follows: Plagiarism, Self-Plagiarism, Collusion - Minimal amount (eg. up to 10% of the assessment item). The penalty of a reduction of 1 grade should be applied after the assessment has been graded according to the assessment criteria, taking into consideration material that has been substantiated as misconduct. Failure to comply with instructions relating to the conduct of examinations , for example starting work during period time or failing to stop work at the end of examination time when instructed.	Write 10% of plagiarism in an assessment item may be determined as a minor case, it should be determined as a major case if the student had a previous minor case recorded.
Reduction of 2 grades (and/or equivalent in marks or percentages)	Plagiarism, Self-Plagiarism, Collusion - Moderate amount (eg. 10% to 20% of the assessment item). The penalty of a reduction of 2 grades should be applied after the assessment has been graded according to the assessment criteria, taking into consideration material that has been substantiated as misconduct.	
Reduction of 3 grades (and/or equivalent in marks or percentages)	Plagiarism, Self-Plagiarism, Collusion - Large amount (eg. 20% to 50% of the assessment item). The penalty of a reduction of 3 grades should be applied after the assessment has been graded according to the assessment criteria, taking into consideration material that has been substantiated as misconduct.	
Allocation of a grade of 1 (2N)	Plagiarism, Self-Plagiarism, Collusion - Significant amount (eg. Over 50% of the assessment item) Cheating in an examination	
Allocation of a failing grade to a unit or units.	Subsequent instances of major academic misconduct as follows: Second instance of major academic misconduct (other than contract cheating - refer to exclusion from enrolment below). All units in which the student is enrolled in that semester/teaching period.	Refer to Register for imposition of penalty
Exclusion from enrolment for a specified period and/or subject to specified conditions.	First and subsequent instances of major academic misconduct as follows: Contract cheating - First instance Contract cheating - Second instance Fourth instance of major academic misconduct Contract cheating - Third instance Any subsequent instance of any major academic misconduct beyond those stipulated in the matrix above.	Refer to Register for imposition of penalty Student required to apply for readmission to university. Student required to apply for readmission to university.

Focus efforts on educating international students and early intervention

Certain faculties with the university have a higher proportion of students who cheat. This tends to be international business school students. First year students may know that cheating is wrong, however, may not be aware how severe the repercussions are or realize the lengthy process will impact to the well being.

The potential mental impact and length of an investigation and how that can impact their lives

Focus on messaging at the right time

- Faculty to communicate the severity of penalties, suspension or expulsion from the university, that process can be long (up to 200 days), a suspension will affect their ability to graduate, their careers will be put on halt, they will incur additional living expenses.
- Ideally these communications will be **timely** to act as a deterrent before any cheating occurs
- Communication should be and **relevant**, perhaps alongside assessment, reminding the students then can face expulsion
- Communication should be **consistent** for the first year

Offer help early on

- That if they are feeling the peer pressure of parental pressure or are overwhelmed from the demands of the unit of study then there are options.

Have meaningful conversations for first time students who have breached the integrity act

- Having a conversation may encourage student to admit to misconduct: Students may be more ready to admit to misconduct if they are felt, heard and understood, which can be better articulated through a conversation
- Give reasons for amnesty/ leniency by communicating that we all make mistakes etc ... that we understand students are under a lot of family pressure .. or influenced by peers to misbehave.

Students discipline for contract cheating: Academic Policy vs Disciplinary ruling

Under the Academic Integrity Policy, as a major misconduct matter, contract cheating is referred to Registrar. With the 900 estimated number of new matters waiting to be allocated, we want to find ways to help manage the workload for both the SAU team and for the Registrar

It was discussed in the consultation with both OEI and SAU, ideally, we need to prevent matters going through a formal lengthy investigation and that avenue should be a last resort.

Furthermore, the penalties for students who are disciplined under each policy are different. One of the concerns flagged by SRC and SUPRA is that a case could have a different outcome based on where it gets reported. In addition to this, the disciplinary process is long, requiring a formal investigation and harsher penalties

For matters where it is a students' first-time breach for one unit, it is not clear what the guidelines and distinctions are:

- Can this reviewed under the Academic Integrity policy which will be faster and a lesser penalty applied.
- This should be as lengthy process as subsequent breaches
- Can penalty be applied by a delegate rather than the registrar

Rationale for reviewing all matters at OEI first before referral to SAU

If matters were reviewed by OEI initially, if they are referred back to OEI from SAU, then students don't have to go through another process and wait longer, after a long wait for SAU to process the matter. For ProctorU matters, if the students who have been referred to the SAU have already waited a year in processing time. When it is referred back to the faculty to be reviewed again under the Academic Misconduct policy, it adds longer wait times.

Rationale for centralisation of contract cheating

SAU currently undertake almost all of the contract cheating matters, whether it is a first time breach, for one single unit or subsequent breaches. This is due to recent decision to centralise the processing of contracting cheating rather than enabling faculty to do this

Faculty are often transient workers who may not be fully equipped to handle matters that require aspects of legal processes that would be required

Students may have units of study across several different faculties, therefore, OEI believe a centralized approach would result in higher standards

Early detection to mitigate further breaches

To have better detection of breaches (using AI or other detection means) on where the student is flagged and notified in order to limit further student misconduct activity until initial conversations with the student have been conducted. Through early detection and notification that this acts as a deterrent.

In current state, matters often take months from reporting the issue to the matter being resolved, and in the interim, the student may engage in further misconduct, which is something that can potentially be prevented.

Have earlier intervention courageous conversations

Currently, students are notified formally of the allegations through a NoAM which is formal and legal. This may compel students to seek external assistance such as legal aids etc.

Having an initial softer approach, a courageous conversation with staff may be less traumatic and more effective. Initially, documents would be less legal (vs NoAM) and the tone will be more conversational.

The other advantages of this method are:

- Communicating the severity of the breach (for contract cheating it is illegal) and be a deterrent
- Be less legalistic in tone
- Be a safer environment for students to be heard and ultimately for them to admit
- To provide a plausible explanation for what happened
- To help identify cases that don't need to proceed down a formal route

Triage cases that may not need to be referred to Registrar

Major misconduct cases which are referred to the Registrar tend to be lengthy and resource intensive. Penalties imposed when the matter is escalated are harsher than for minor misconduct matters.
The majority of matters that are currently referred to SAU may not need to be.

In the future state, to clearly define what matters/ activities are classified as Minor misconduct, major misconduct and which ones need to be referred
what is a minor misconduct and a major misconduct

To identify matters that are borderline and that a manager within the Student Conduct and Compliance team can decide if it needs to be referred to Registrar

Reduce numerous touch points result in duplication of work

Multiple touch points in the process is both time-consuming and results in duplication of effort. Within all team structures, process and people improvements can be made by optimising the process and where **duplication of effort can be reduced**.

Team members spend reviewing documentation and familiarize themselves with details of the matter to make an decide on the next step.

Team structure will be in important part of where and how duplication of work will be reduce. Once the team structure is decided then the workflow for investigations can be optimized

Example: Recommendation

NoAMs One of the improvements that will provide the biggest quick win is to reduce the number of touch points, team members having to familiarizes themselves with the case matter so that one team member to makes the preliminary assessment creates the NoAM, rather than the investigator. For coms matters this occurs however for others matters, another team will draft the

NoAMs

Upskill existing team members for any knowledge gaps in drafting NoAMs

Systems improvements and better integration with legacy USYD systems to reduce manual processes

Integration of systems and sharing of data across the university will help significantly reduce manual processes

Lack of integration with USYD results in extra manual steps for staff such as retrieving student transcripts and assessment details, notifying other teams, such as graduations or ESOS as well as in closing the case, a just as much a part of the problem as TRIM is.

A new CRM across all the departments is the ideal future state. Once a new CRM is implemented, it will require integration with USYD/ICT. Lack of integrations with USYD student system, which is primarily a USYD/ICT technology issue, can be addressed and takes less time/effort than a new CRM.

A new CRM/workflow that can be accessed by SAU/ OEI and appeals increase productivity. ICT will still have to make urgent improvements to USYD to reduce the amount of manual effort required to compensate for lack of data from USYD/ inability to integrate with other systems

- A lot of the manual processes would be addressed with simple changes

Key areas for improvement/change



Processes

Process improvement to reduce touch points and duplication of work

e.g. single case manager who is familiar with the case will draft NoAMS, the investigator on the case will draft the decision and provided a penalty recommendation which

- Processes are long due to legal nature and governed by policy. Documents requires legal knowledge NoAMS require accuracy
- Policy to change to allow for more decision makers
- Policy restrictions: Certain wording of policies restrict solutions. A different interpretation of policy may help improve efficiencies or the wording of the policy may need to change.
- Processes are lengthy with a tendency to err on the side of caution, be risk adverse, detailed and cautious to prevent undesirable outcomes.
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People

- **Structure teams to support collaboration, reduce siloing and increase efficiency**
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- Team structure will change to enable a primary case manager to perform tasks (such as drafting of NoAMS)
- Specialist teams vs one General team Lack of experience with matters which may block Admin Officers from working on matters which they do not have experience in or are not allowed to deal with. If staff are away or leave or there are too many cases in this area, then cases are delayed. In with this model, staff are not able to
- Lack of clarity over who will be conducting the investigation
- Currently there is a lack of investigative resources with the relevant background or experience, however the shortage will be resolved with freeing of capacity



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 and for faculty to learn
- SAU OEI and Appeals have their own instance of TRIM
- Within USYD ecosystem, the systems not linking to each other – inability to 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.
- Lack of up to date technology results in of manual work arounds. SAU advise other departments manually by updating a spreadsheet, adding a lot of extra steps to their processes. For SAU when cases are closed, the information is stored in a spreadsheet, as TRIM doesn't support this well.

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	Recommendation	Benefit
Departments instance of TRIM are different and disconnected	<ul style="list-style-type: none">Each department, OEI, SAU and appeals has their own version of TRIM, and each have copies of the documents. Faculty appeals – through Sydney studentSome of the department's interfaces have been enhanced whilst others have not beenLack 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 errorsRelated matters for students, for example if they had any previous misconduct can't be accessedFor 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.The same is true for academic appeals. If a student engages in the faculty review process, this is done through the workflow.	<ul style="list-style-type: none">When SAU and OEI are merged then there are 3 possibilitiesMove to one single instance of CM/ TRIMIf option 1 cannot be done, new team have access to both systemsOur recommendation is to use a common instance of TRIM, however if one instance of CM / TRIM cannot be done in the interim, to work how in the interim how to link systemsLonger term, review date/architecture and provide a recommendation for seamless integration of dataExtend OEI dashboard for students of contract cheating, and allow student to track progress of their applicationIf a student lodges an appeal, all the documentation from the previous workflow should already be in the appeals workflow.If the student lodges an appeal to the SAB (Student Appeals Body) or subsequently to the Registrar, then all workflows should link documents from the previous one, but don't.	<ul style="list-style-type: none">Be able to track cases more efficientlyOEI and SAU can check for duplicates or if students have any other mattersStudents have greater visibility of the status of their matter, all relevant documents can be automatically sent to all areas (OGC, SAU/OEI team as well as AppealsIntegration throughout USYD systems, allow access from third parties such as Student Appeals body, Well being team, Student admin services

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

Technology issues cont..

Theme	Finding	Recommendation	Benefit
<p>Manually searching and entering student information, such as credit points and adding this in from another spreadsheet</p>	<p>It's 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.</p>	<ul style="list-style-type: none"> Link USYD student information so that it automatically pulls in information that the officer can view 	<ul style="list-style-type: none"> Reduce the time and errors in having a the information on spreadsheet as well as having to enter the data into CM/ TRIM
<p>CM/TRIM is not linked to the rest of university USYD student info, or assessment TurnItIn</p> <p>Lack of centralized view of the student</p>	<ul style="list-style-type: none"> USYD is just as much a part of the problem as TRIM is Non-integration with other legacy systems results in a manual work around, USYD online student system is very old and difficult/time consuming to link student info/data to TRIM. USYD 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 	<ul style="list-style-type: none"> Ideally, once SAU placed a suppression on the transcript Automatic notifications sent to the relevant Faculty and graduations team if relevant ESOS would automatically renew Visa Student's would not be able to enroll in further degree e.g. Bachelor to Masters 	<ul style="list-style-type: none"> Student would NOT be able to graduate. Every department at USYD would know there is a current matter Reduction in the spreadsheets used to communicate to faculty, graduations and ESOS etc misconduct matters Up to date information is stored against the student record Information is available to all of the university in one centralized location
<p>Due to the inability to upgrade USYD system easily, SAU have extra manual processes</p>			
<p>A very clunky, slow, not user-friendly platform that contributes to confusion and inefficiencies (Appeals)</p>	<ul style="list-style-type: none"> Workflow (WF) - is the platform tasks are worked through with the various stakeholders and escalated to others. A Dashboard is being introduced to replace WF, currently only the Registrar's Review uses the dashboard. 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. The instance of TRIM was developed in 2017, it is based on outdated technology TRIM is not a case management tool, it's a records management tool System is slow and the lag in system means that using the system and inputting data is slow 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. 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 	<ul style="list-style-type: none"> To have User experience/interface designer review the interfaces and provide a heuristic review, make recommendations for minor changes until significant investment in technology is approved 	<ul style="list-style-type: none"> Provide cost-effective, quick wins that will help improve efficiency or usability issues that can improve processes in interim.

Technology issues cont..

Theme	Finding	Recommendation	Benefit
TRIM's data is unreliable,	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Third party developers to review data and provide answers for any integrity issues to ensure its integrity so it can be reported accurately 	<ul style="list-style-type: none"> Ensure that the data that is accurate reliable
Reports from the platform have too much data. Multiple steps required to extra meaningful data for essential periodic reporting	<ul style="list-style-type: none"> 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 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. A student may submit duplicate applications. 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 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. 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 Appeals need to create new spreadsheets to interrogate the data^[1]_{SEP} There appears to be deficiencies in the data collating data for weekly 	<ul style="list-style-type: none"> Interim internal CRM solutions: Determine alternative workflow tools such as ServiceNow will be suitable in the interim. To invest in new UI for TRIM for SAU, or integrate this to OEI At this stage, PointAndClick appears to be a booking tool not a robust CRM long term: Create a list of requirements for new platform, review other suitable CRM Simplicity (expensive) and Salesforce (expensive) Link a dataset (or spreadsheet) to reporting, which automatically combines additional data with the main database so that it is complete and can be reported on 	<ul style="list-style-type: none"> Automate the process, improve efficiencies, store data accurately and allow departments to case info/ files Speed up reporting times and increase the accuracy of reporting
Appeals have to rely on one own tracking excel spreadsheet. (Appeals)			

Technology issues cont..

Theme	Finding	Recommendation	Benefit
Inefficient document management Documents take a long time to upload as well as needs to be downloaded to view.	<ul style="list-style-type: none">• 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.• Documents cannot be worked on/edited within the system. They must be downloaded, edited and re-uploaded.	<ul style="list-style-type: none">• As per above	

People/process issues



Departmental interaction inefficiencies



Duplication of work



Documents are inordinate named making it difficult to

Theme	Finding	Recommendation	Benefit
Interdepartmental and vendor interaction is inefficient	<ul style="list-style-type: none"> Frequent interaction between departments – lots of back and forth interaction between dependent 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. 	<ul style="list-style-type: none"> The merging of OEI and SAU should reduce some of this effort. Change the work flow so that NOM/NOAMs are drafted by the same officer If student denies the allegations, matter sent to investigations 	<ul style="list-style-type: none"> Reduce the amount of people who need to familiarize themselves with the case by reading all the documents
Duplication of work	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> For major misconduct matters, the officer that reviews preliminary should be drafting the NOAMS OCG provide up the recommendations and send this directly to either the student VC/ Registrar This may require additional training for OCG as well as access to new OEI/SAU TRIM systems so that it is captured in workflow 	<ul style="list-style-type: none"> As above, speed up the process by reducing inefficiencies

People processes continued

Theme	Finding	Recommendation	Benefit
Decision making	<ul style="list-style-type: none"> Increasing caseload puts pressure on the registrar and this has impact on how long decisions are made. There is currently a reliance on key people to make decisions. Should anything happen and they were unable to do their assigned job, there is no one else that can make registrar decision. Director of SAU director should be to delegate step 4 in her absence. 	<ul style="list-style-type: none"> To reword the policy to allow for registrar to delegate Create a matrix for registrar decisions for common/minor matters To change the process which allows the director to delegate step 4 in the process 	<ul style="list-style-type: none"> Reduce the workload of the registrar Speed up decision making and ensure it was consistent Reduce the likelihood of a single point of failure if the registrar is unavailable
Processes are lengthy and complex in nature	<ul style="list-style-type: none"> 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 Combined with in some misconduct matters go through multiple departments and staff, adding to the processing times 		
Process is rigorous and needs to be accurate	<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> It may be necessary to 	
Large and increasing caseload volume	<ul style="list-style-type: none"> 400 new cases still need to be investigated In the past an offer would have around 30-35 cases, and due to the volume, some now have 70-80 cases 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. Students are mentally affected by the delay, they are impacted by the process which can result in uncertainty, anxiety, depression and suicidal thoughts 	<ul style="list-style-type: none"> Merging of the SAU and OEI teams is being proposed to help improve people processes Distribute workload or optimize staff skillset across the teams so that most of the team can handle all different types of matters, rather than specialist matters Improve collaboration between the teams- regular weekly meetings – discuss ways of working, delays, efficiencies, Initiate retrospective sessions – what we could have done better 	<ul style="list-style-type: none"> Increases in staff satisfaction and retention

People processes continued

Theme	Finding	Recommendation	Benefit
Lack of consistency in how documents are named Lack of document summary, date , meta data Some case files have unorganised documents	<ul style="list-style-type: none"> 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. 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 Because of the lack of information related to the document, the document is opened and scanned for the information. TRIM is ineffective in searching for content within a document content, which makes it difficult to find and collate related documents 	<ul style="list-style-type: none"> OEI have recently started using a standard naming convention across all documents. Staff are still getting used to it. Consider sharing this with SAU, OGC, Appeals and Work Dynamic teams as well. Ability to preview documents, to be able to easily see the content. H Ability to assign preset tags to documents, and add new tag Ability to categorize the document into type, appeal letter to decision letter Documents will automatically be tagged with case references number, names, date etc. Be able to search within documents for key words Documents to be organized in date of the document 	<ul style="list-style-type: none"> Standardization of documents means that everyone is clear what type of document it is, other teams such as appeals and OGC reduce time opening the document to check
Lack of trained panel members for hearings at Appeals stage	<ul style="list-style-type: none"> 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. 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. 	<ul style="list-style-type: none"> As per the Appeals Portfolio Manager, this can be remedied by slightly increasing the number of trained panel members. It would be better if Appeals team could engage with the panel via the workflow. This can still be done via email, but it would be helpful to be able to send the emails from the workflow rather than opening a separate application. 	<ul style="list-style-type: none"> Reduce the time taken of to select panel members to be able to schedule more efficiently

Policy Issues (Appeals)

Theme	Finding	Recommendation	Benefit
<p>Processes are governed by policy</p> <p>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.</p>	<ul style="list-style-type: none"> Policy drives some of the processes, and can add to time and steps involved in the process Section 5.5.1 of the University of Sydney (Student Academic Appeals) Rule 2021 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. 	<ul style="list-style-type: none"> Regularly review policy to cut back processing time This should increase the number to 55 members. If it would increase any higher it would be challenging to keep the hearings consistent, as you might have too many panel members that never get called to sit on a hearing. 	<ul style="list-style-type: none"> Cost effective way to improve service delivery times To allow for more flexibility when scheduling.
<p>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.</p>	<ul style="list-style-type: none"> Section 5.4 of the University of Sydney (Student Discipline) Rule 2016 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) a djourn 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 a djourned 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 a djourned; (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. 	<ul style="list-style-type: none"> Review scheduling systems for a solution that allows multi-times and auto-notifies everyone which can be linked to workflow/CM/ TRIM 	<ul style="list-style-type: none"> Automation saves time by not having to email multiple parties
<p>Support for the Appeals Coordinator</p>	<ul style="list-style-type: none"> There was no process in place for when the Appeals Coordinator was sick on the day of a hearing. 	<ul style="list-style-type: none"> A process has now been implemented as a remedy. The appeals assistant attends all hearings with the coordinator and has been trained to take sufficient notes in case of an absence. 	<ul style="list-style-type: none"> This process has been implemented