



**FOR INFORMATION**

**PUBLIC**

**OPEN SESSION**

**TO:** Academic Board

**SPONSOR:** Professor Sioban Nelson, Vice-Provost, Faculty and Academic Life

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**PRESENTER:** See Sponsor

**CONTACT INFO:**

**DATE:** November 12, 2015 for November 19, 2015

**AGENDA ITEM:** 6(c.)

**ITEM IDENTIFICATION:** Provost's Annual Report on Cases of Academic Discipline 2014-15

**JURISDICTIONAL INFORMATION:**

The *Code of Behaviour on Academic Matters, 1995* requires the Provost to report annually in statistical format on cases of academic discipline to Academic Board.

**GOVERNANCE PATH:**

1. Academic Board [for information] (November 19, 2015)

**PREVIOUS ACTION TAKEN:**

On April 23, 2015, the Academic Board received the Annual Report on Cases of Academic Discipline for 2013-14, which had been deferred to the spring of 2015 to allow for a review and update of the divisional and Tribunal statistics collection form, but is now returning to the normal fall reporting schedule.

**HIGHLIGHTS:** Please see the attached report with two appendices.

**FINANCIAL IMPLICATIONS:** There are no financial implications.

**RECOMMENDATION:** For information.

## **Provost's Annual Report on Cases of Academic Discipline 2014-15**

Every year divisions are asked to report on cases that they have addressed under Section C of the *Code of Behaviour on Academic Matters*. Information is also collected for the number of cases which come before the University Tribunal. Section C of the *Code* sets out "Procedures in Cases involving Students", and contains the following preamble:

At both the divisional level and the level of the University Tribunal, the procedures for handling charges of academic offences involving students reflect the gravity with which the University views such offences. At the same time, these procedures and those which ensure students the right of appeal represent the University's commitment to fairness and the cause of justice.

The data collected on both divisional and Tribunal cases are reported for information to Academic Board in the form of the Provost's Annual Report on Cases of Academic Discipline.

### The University's Proactive Approach towards Academic Integrity

The University continues to adopt a primarily proactive approach towards academic integrity. In 2011, the Provostial Advisory Group on Academic Integrity was established to consider broader academic integrity education and policy issues. The Group, which meets regularly throughout the academic year, is co-chaired by the Vice-Provost, Faculty and Academic Life, and the Vice-Provost, Students, and includes divisional senior academic administrators with responsibility for academic integrity issues.

Under the Advisory Group's direction, a new student-focused website on academic integrity was launched last fall at <academicintegrity.utoronto.ca>. This September, a link to this website was placed on every undergraduate and graduate student's Portal homepage, together with a message from the Provost regarding the importance of academic integrity. The Provost's message also provides links to summaries of University Tribunal cases.

Divisions have also initiated an array of education campaigns, which range from presentations to student and faculty groups by Dean's Designates for Academic Integrity at UTSC and the Office of Student Academic Integrity in Arts and Science, to an awareness-raising poster contest at UTM. Many divisions encourage the use of syllabus statements regarding academic integrity, as well as in-class discussion of the issue. The Centre for Teaching Support and Innovation also provides instructors with helpful suggestions on preventative strategies in designing assignments, and "scaffolding" techniques in assignment-design are now prevalent across the University. Writing Centres and libraries across the University work with students individually and in groups to emphasize the importance of academic integrity in preparing their assignments. And the use of <turnitin.com> is a further technique which leads to awareness and discourages violations of academic integrity in the submission of assignments.

Earlier this year, the Provostial Advisory Group also oversaw the completion of a new Appendix to the *Code of Behaviour*, entitled *Provost's Guidance on Sanctions*. The *Guidance* promotes

transparency and allows students to understand the range of sanctions the Provost will potentially seek if charges proceed to the Tribunal. It also aims to enhance consistency in sanctions across divisions while allowing for divisional discretion in appropriate cases. The *Guidance* was placed before Academic Board for information in March of this year, and came into effect on July 1, 2015.

### Methodology

After consultations with the Provostial Advisory Group on Academic Integrity and the Office of Appeals, Discipline and Faculty Grievances (ADFG), last year the statistics-collection form was updated to better reflect and understand trends, while ensuring consistency and robustness of the statistics. The updated form, used again this year, tracks new data such as timeliness based on date of alleged offence; data regarding all offences committed, as opposed to just the primary offence; and information regarding repeat offenders. It also provides greater visual clarity through the use of graphs and pie charts. All of this information provides for better analysis, consistency, clarity and reliability of the data reported.

For reporting purposes the reporting year continues to correspond to the academic year -- that is from July 1 to June 30. Resolution of a case refers to the event which concludes the proceedings under the *Code of Behaviour on Academic Matters* within the University. The data are collated based on the academic year in which a case is closed, and where it is closed – that is, either by the division or the Tribunal.

### Summary of Findings

The University is committed to transparency, procedural fairness and a high quality of decision-making throughout its academic integrity processes. The divisional academic integrity officers and Dean's Designates, with the support and advice of the Provost's Office and the ADFG Office, continue to make process improvements and develop protocols related to investigating, resolving, scheduling, tracking and issuing decisions. This helps ensure appropriate and timely resolution at all levels.

The report provides a summary of both divisional and University Tribunal Cases for the academic years from 2010-11 to 2014-15.

**Appendix A** provides a summary of **Divisional Academic Discipline** cases that were addressed under Section C of the *Code*; these statistics indicate only those **cases where a sanction was imposed and where the case was closed by the division**. These statistics therefore do not include those cases that were forwarded to the Office of the Vice-Provost, Faculty & Academic Life for the possible laying of charges to be considered by the University Tribunal. We now track all offences committed by an offender, and not just the primary offence related to an allegation. This is why there is a relatively significant increase in the total number of offences year-over-year starting with the 2013-14 year as indicated in Table 3 (page 5), and why the total number of offences indicated in Table 3 (page 5) is greater than the total number of offenders found in Table 1 (page 4). Offences of plagiarism and use of an unauthorized aid continue to be the most frequent ones reported by the divisions, and can be seen reflected as a bar chart and line graph mapped over time, as well as in pie chart form for the 2014-15 year (pages 6-7).

**Appendix B** provides a summary of **University Tribunal** cases. At the Tribunal level, charges were laid in 39 new cases. Thirty-six cases sent to the Tribunal were resolved during the 2014-15 academic year. Eleven of these cases were sent back to the decanal level or resolved by minutes of settlement. It should be noted that even though the data show 40 cases as being carried forward to the next year, some of these have been resolved and will be reported in the 2015-16 reporting year, while others have been heard and are either awaiting a decision, a confirmation of expulsion or are in the process of being appealed. The most common offences at the Tribunal continue to be plagiarism and forgery, which is reflected in both pie chart form, and also in bar graph form mapped over time, and found at pages 13 and 14 in Appendix B.

Tracking of timeliness was first introduced in the 2010-11 yearly statistics report. Last year, we expanded our statistics-tracking on this issue, to include both 12 months and 15 months' time periods. Divisions were also asked to provide information about both the length of time between an allegation of an academic offence and either the date of resolution of the case or the date that the case was forwarded to the Provost's Office, as well as the length of time between the date of alleged offence to date of resolution or when forwarded to the Provost's Office. As can be seen in Table 4C of the **Summary of Divisional Academic Discipline Cases** (page 9, Appendix A), almost 96% of divisional cases are resolved within a 9 month time frame, when measured from date of offence. This number increases to 98.3% when measured by the date the Academic Integrity Office became aware of the allegations.

In relation to timeliness at the University Tribunal, the ADFG Office routinely monitors the time between the date of charges being laid to the date of a hearing and also the time to the issuance of the decision, and works with the Senior Chair to help move the process forward. Further, the Tribunal's *Rules of Practice and Procedure*, adopted in 2012, include a section regarding normal timelines for the release of written reasons, and the ADFG Office now includes a reference to that section of the *Rules* in the chairs' appointment letters.

It should be noted that in 2009-10, the ADFG Office set in place a process known as the signing of Orders, whereby the decision made at the time of a hearing and any sanctions to be applied, are conveyed to the student immediately following the hearing. This allows the appeal process to start from the time the Order is issued. Both of these timeframes (time to issue of Order and time to issue of written reasons) are presented in the **Summary of University Tribunal Cases** (Appendix B) at pages 15-16. The time between charges being laid and the issuance of an Order is an important measure of timeliness for the purposes of this report.

Although fewer cases at the Tribunal were resolved within the 15 month timeframe than last year, it is important to note these are very small numbers as they only include Tribunal hearings. An analysis was performed for each of these cases, and in all of them one or more of the following issues were present: an adjournment was sought by the Student; there were multiple sets of charges; there were multiple students involved in the same incident, so cases were heard together, thereby taking longer to schedule; or the hearing took multiple days to complete. When one factors in the adjournment requests alone, 80% of Tribunal cases were resolved within 15 months. (See Tables 6a and 6b: **Summary of University Tribunal Cases**, page 15-16 of Appendix B for more detailed breakdown.)

While in previous years there had been a general upward trend in the total number of cases of academic misconduct handled by the divisions and University Tribunal year over year, this past

academic year saw a slight drop in the total number of student offenders, and the number of new cases forwarded to the Tribunal. Divisional and Provostial efforts at education surrounding academic integrity, in other words the University's overall proactive approach towards the issue, may explain this reduction in numbers.

**Appendix A:** *Divisional Academic Discipline Cases*

**Appendix A:** **Summary of Divisional Academic Discipline Cases 2014-2015**

**Table 1: Total Number of Student Offenders by Division (only where sanction is imposed)**

<b>Division</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15*</b>
Applied Science & Engineering	178	135	206	189	<b>146 / 5,635 = 2.6%</b>
Architecture	n/a	n/a	n/a	3	<b>8 / 612 = 1.3%</b>
Arts & Science (St George)	386	380	394	645**	<b>509 / 25,885 = 2.0%</b>
Dentistry	2	1	1	0	<b>1 / 426 = 0.2%</b>
Graduate Studies**	21	13	22	18	<b>23 / 16,034 = 0.1%</b>
Law	1	2	0	2	<b>0 / 616 = 0%</b>
Medicine	4	1	2	0	<b>0 / 4,467 = 0%</b>
Music	3	2	4	4	<b>6 / 585 = 1.0%</b>
Nursing	4	4	0	2	<b>0 / 353 = 0%</b>
OISE	0	0	0	1	<b>1 / 1,079 = 0.1%</b>
Pharmacy	161	8	5	8	<b>50 / 1,062 = 4.7%</b>
Faculty of Kinesiology and Physical Education	12	12	3	18	<b>8 / 938 = 0.9%</b>
U of T Mississauga	331	387	303	347	<b>382 / 12,640 = 3.0%</b>
U of T Scarborough	130	155	205	160	<b>149 / 11,718 = 1.3%</b>
<b>Total</b>	<b>1,233</b>	<b>1,100</b>	<b>1,145</b>	<b>1,397</b>	<b>1,283 / 67,037 = 1.9% average across all divisions</b>

\* Student numbers reflect Winter term 2015 student counts

\*\* There was a change in method of counting starting in 2013-14 in order to create consistency across divisions

\*\*\* All offences involving graduate students are processed through the School of Graduate Studies

**Table 2: Total Number of Repeat Student Offenders by Division (only where sanction is imposed)**

<b>Division</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>
Applied Science & Engineering	16	28	21	9	26
Architecture	n/a	n/a	n/a	0	0
Arts & Science	46	56	59	71	61
Dentistry	0	0	0	0	0
Graduate Studies	0	1	1	0	0
Law	0	0	0	0	0
Medicine	0	0	0	0	0
Music	0	0	0	2	1
Nursing	0	0	0	0	0
OISE	0	0	0	0	0
Pharmacy	0	1	0	0	0
Faculty of Kinesiology and Physical Education	0	1	0	1	0
U of T Mississauga	26	34	35	46	37
U of T Scarborough	15	17	11	15	29
<b>Total</b>	<b>103</b>	<b>138</b>	<b>127</b>	<b>144</b>	<b>154</b>

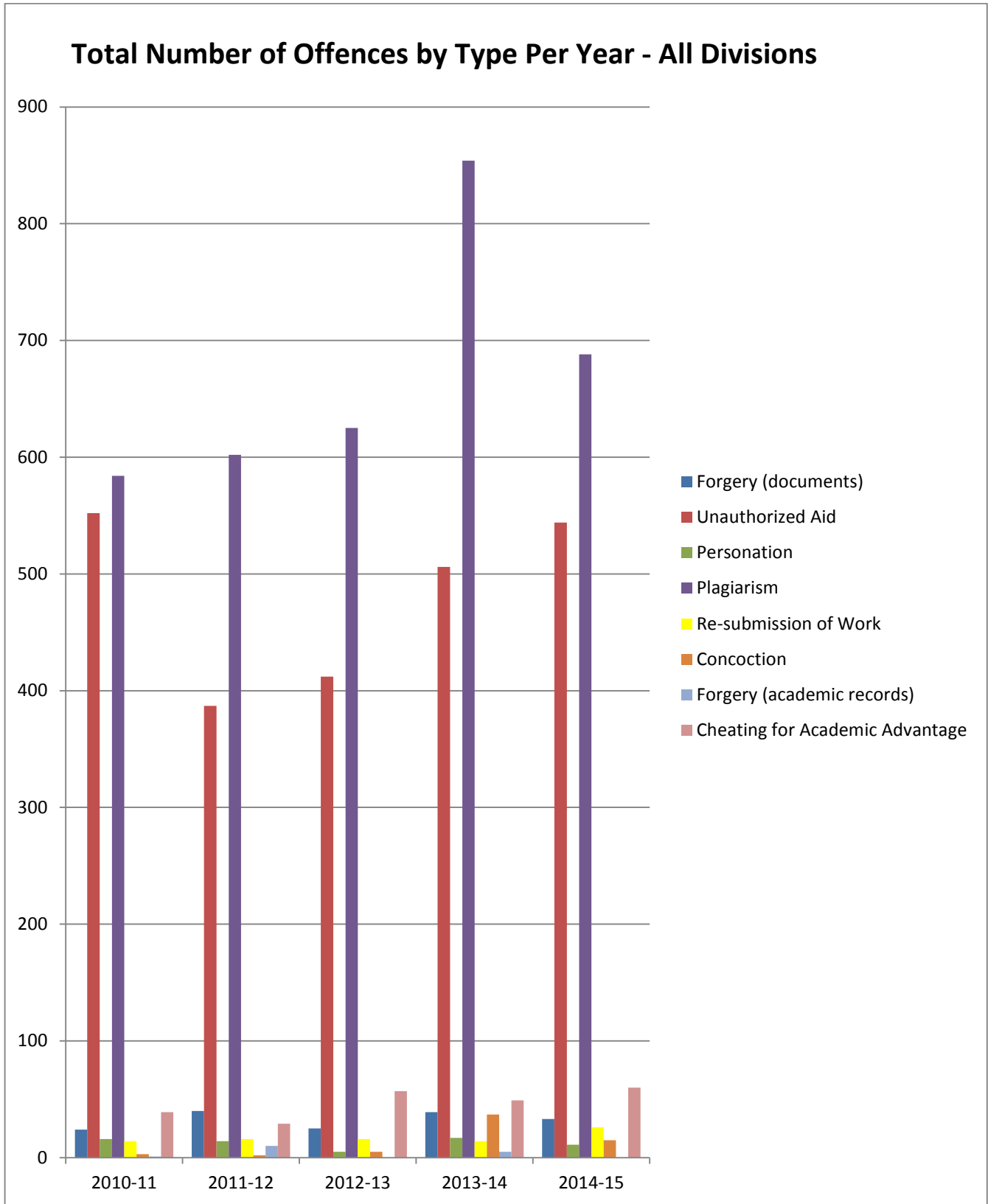
**Appendix A:** *Divisional Academic Discipline Cases*



**Table 3: Total Number of Offences by Type – All Divisions**

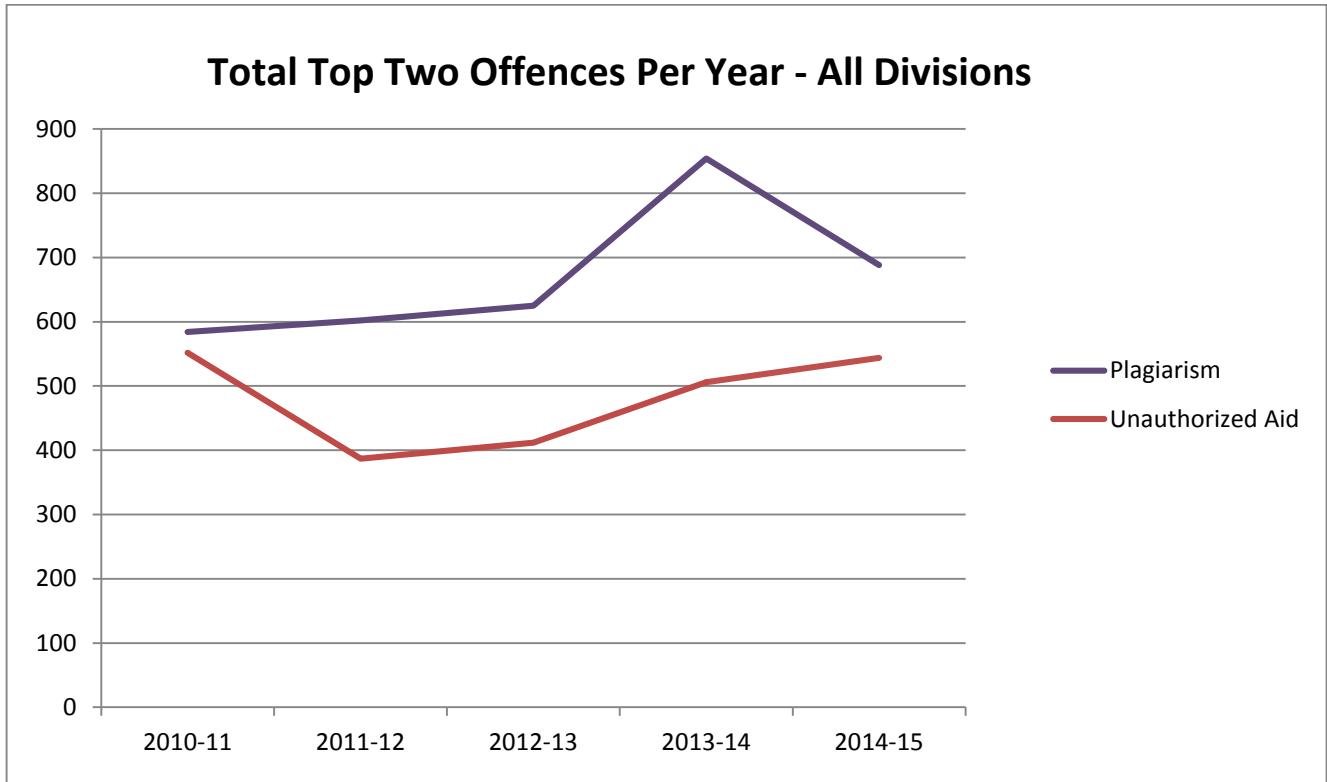
Charge Code	Charge Text	2010-11	2011-12	2012-13	2013-14	2014-15
B.i.1(a)	Forgery (documents, not transcripts)	24	40	25	39	33
B.i.1(b)	Unauthorized aid	552	387	412	506	544
B.i.1(c)	Personation	16	14	5	17	11
B.i.1(d)	Plagiarism	584	602	625	854	688
B.i.1(e)	Re-submission of work	14	16	16	14	26
B.i.1(f)	Concoction	3	2	5	37	15
B.i.3(a)	Forgery (academic records)	1	10	0	5	0
B.i.3(b)	Cheating for academic advantage	39	29	57	49	60
	<b>Total</b>	<b>1,233</b>	<b>1,100</b>	<b>1,145</b>	<b>1,521</b>	<b>1,377</b>

**Appendix A:** *Divisional Academic Discipline Cases*

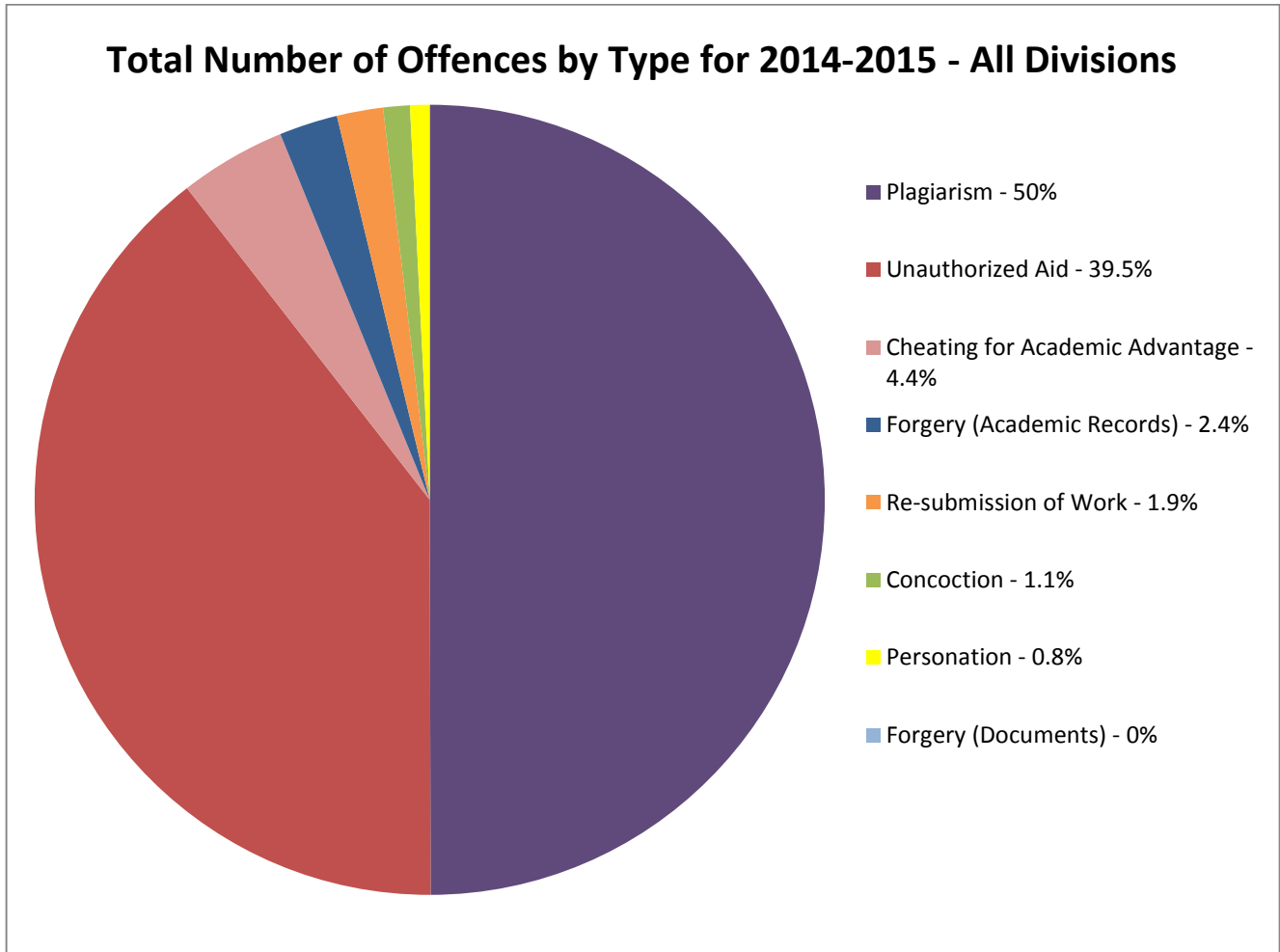




**Appendix A:** *Divisional Academic Discipline Cases*



**Appendix A:** *Divisional Academic Discipline Cases*



**TIMELINESS**

**Table 4A: Timeliness between Date of Offence and Case Resolved**

Year July 1-June 30	Time between Date of <u>Offence</u> and Case Resolved				
	Within 6 months	Within 9 months	Within 12 months	Within 15 months	Total
2013-14	87.2%	8%	2.6%	1.8%	99.6%
2014-15	90.7%	5.0%	2.4%	1.8%	99.9%*

\*This is because of rounding, but in terms of numbers it is 100%.

**Appendix A:** *Divisional Academic Discipline Cases*

**Table 4B: Timeliness between Date Academic Integrity Office Became Aware and Case Resolved**

Year July 1-June 30	Time between Date Academic Integrity Office Became Aware and Case Resolved				
	Within 6 months	Within 9 months	Within 12 months	Within 15 months	Total
2010-11	98%	2%	n/a*	n/a*	100%
2011-12	97%	1.9%	n/a	n/a	98.9%
2012-13	95%	3.4%	n/a	n/a	98.4%
2013-14	93.8%	3.7%	1.4%	0.6%	99.5%
2014-15	95.8%	2.5%	1.2%	0.5%	100%

\*12 and 15 month timeframes were not counted prior to 2013-14.

**Table 4C: Timeliness between date of Offence and Case Resolved, 2014-2015**

	2014-15				
Division	Time between Date of <u>Offence</u> and Case Resolved				
	6 months	9 months	12 months	15 months	Total
Applied Science & Engineering	100%	0%	0%	0.5%	100%
Architecture	100%	0%	0%	0%	100%
Arts & Science	97.6%	1.1%	1.1%	0.2%	100%
Dentistry	100%	0%	0%	0%	100%
Graduate Studies	100%	0%	0%	4%	100%
Law	N/A	N/A	N/A	N/A	N/A
Medicine	N/A	N/A	N/A	N/A	N/A
Music	100%	0%	0%	0%	100%
Nursing	N/A	N/A	N/A	N/A	N/A
OISE	100%	0%	0%	0%	100%
Pharmacy	100%	0%	0%	0%	100%
Kinesiology & Physical Education	100%	0%	0%	0%	100%
U of T Mississauga	74.0%	14.0%	6.0%	6.0%	100%
U of T Scarborough	93.5%	5.3%	1.2%	0%	100%
<b>Total</b>	90.7%	5.0%	2.4%	1.8%	99.9%*

\* This is because of rounding, but in terms of numbers it is 100%.

**Appendix A:** *Divisional Academic Discipline Cases*

**Table 4D: Timeliness between date Academic Integrity Office became aware and Case Resolved, 2014-2015**

	<b>2014-15</b>				
<b>Division</b>	<b>Time between Date Academic Integrity Office <u>Became Aware</u> and Case Resolved</b>				
	<b>6 months</b>	<b>9 months</b>	<b>12 months</b>	<b>15 months</b>	<b>Total</b>
Applied Science & Engineering	100%	0%	0%	0%	100%
Architecture	100%	0%	0%	0%	100%
Arts & Science	99.1%	0.4%	0.5%	0%	100%
Dentistry	100%	0%	0%	0%	100%
Graduate Studies	100%	0%	0%	0%	100%
Law	N/A	N/A	N/A	N/A	N/A
Medicine	N/A	N/A	N/A	N/A	N/A
Music	100%	0%	0%	0%	100%
Nursing	N/A	N/A	N/A	N/A	N/A
OISE	100%	0%	0%	0%	100%
Pharmacy	100%	0%	0%	0%	100%
Kinesiology & Physical Education	100%	0%	0%	0%	100%
U of T Mississauga	89.0%	6.0%	3.0%	2.0%	100%
U of T Scarborough	95.3%	4.1%	0.6%	0%	100%
<b>Total</b>	<b>95.8%</b>	<b>2.5%</b>	<b>1.2%</b>	<b>0.5%</b>	<b>100%</b>

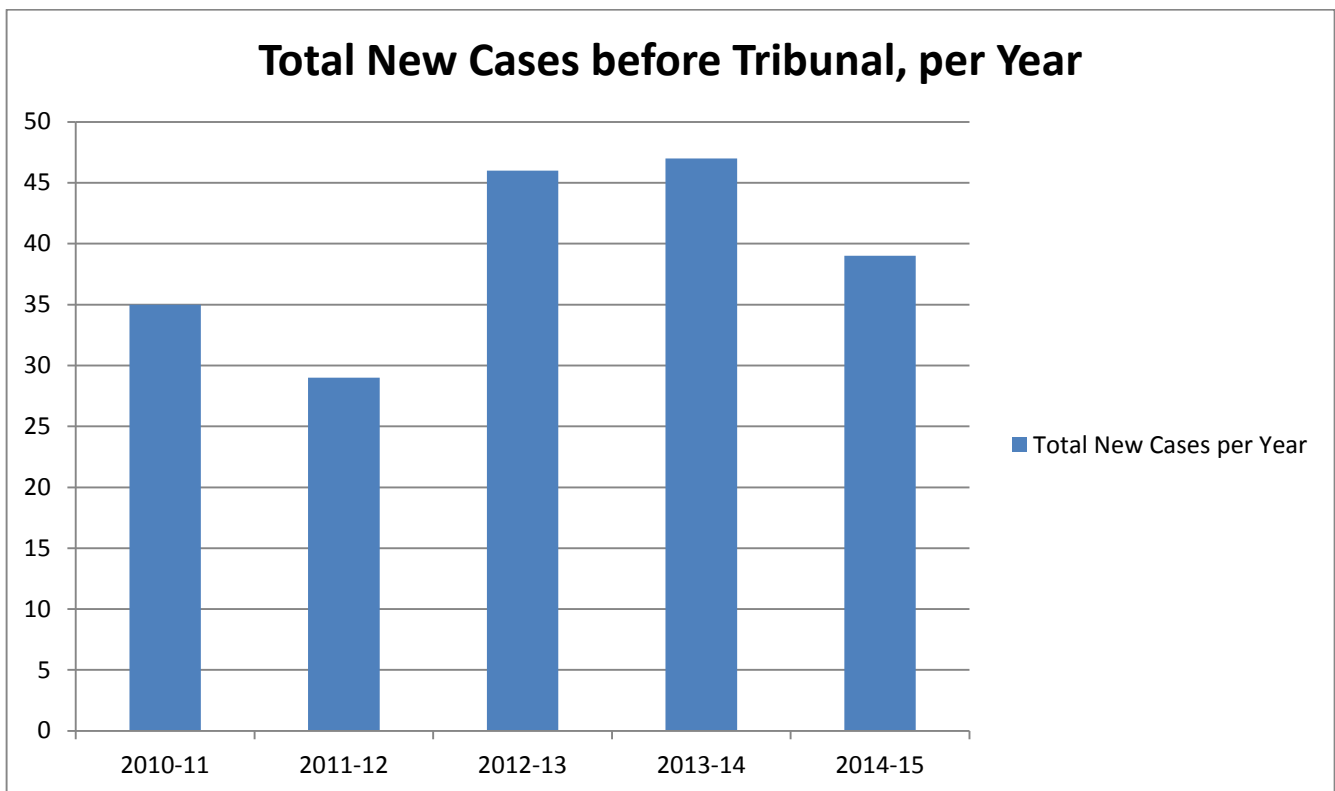
**Appendix B: Summary of University Tribunal Cases 2014-2015**

**Table 1: Overview of Open Cases at Tribunal**

<b>Year</b> July 1-June 30	<b>Cases Carried Forward</b> charges laid before July 1	<b>New Cases</b> charges laid	<b>Total Open</b> <b>Cases</b>	<b>Cases</b> <b>Resolved</b>	<b>Cases Carried Forward</b>
2010-11	26	35	61	33	28
2011-12	28	29	57	29	28
2012-13	28	46	74	39	35
2013-14	35	47	82	45*	37**
2014-15	37	39	76	36*	40**

\*These include cases that were returned to the decanal level/settled.

\*\* The cases carried forward are not all active as some were closed after June 30<sup>th</sup>.



## Appendix B: University Tribunal Cases

**Table 2: Total Number of Tribunal Cases by Final Outcome**

Outcome	2010-11	2011-12	2012-13	2013-14	2014-15
Acquittal*	0	1	1	0	0*
Degree Recall	0	1	0	0	1
Expulsion from University	10	7	6	7	6
Suspension	14	13	13	19	18
Returned to Decanal Level / Minutes of Settlement/Charges Withdrawn	9	7	19	19	11

\* Please note that some students were found not guilty of some of the charges against them, but it is not reflected here as this column refers to acquittals of all charges.

**Table 3: Total Number of Tribunal Cases Appealed\***

	2010-11	2011-12	2012-13	2013-14*	2014-15
Total	1	1	2	1	1

\* Some other cases were appealed during this period but they will be recorded in the year the decision is issued.

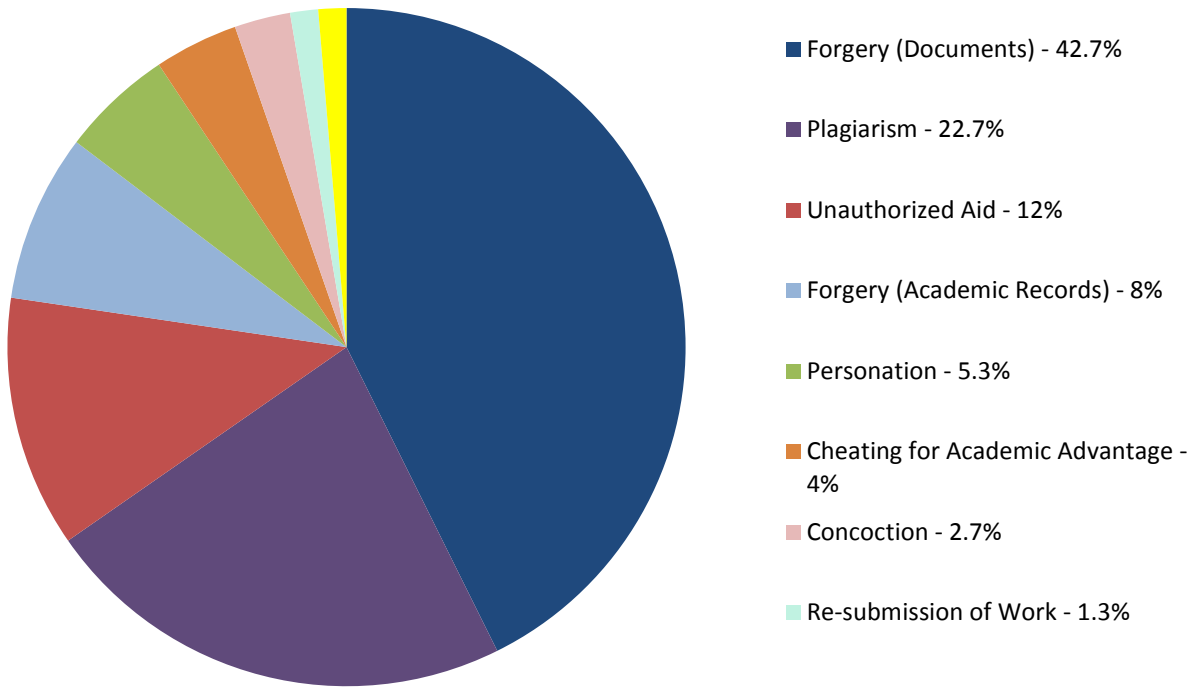
**Table 4: Total Number of Offences before Tribunal, by Type\***

Charge Code	Charge Text	2010-11	2011-12	2012-13	2013-14	2014-15
B.i.1(a)	Forgery (documents, not transcripts)	29	35	52	34	32
B.i.1(b)	Unauthorized aid or receiving assistance	13	16	12	20	9
B.i.1(c)	Personation	7	7	1	10	4
B.i.1(d)	Plagiarism	19	15	29	33	17
B.i.1(e)	Re-submission of work	0	0	1	1	1
B.i.1(f)	Concoction	6	2	7	4	2
B.i.3(a)	Forgery (academic records)	21	13	5	13	6
B.i.3(b)	Cheating for academic advantage	7	0	12	2	3
B.ii.1(a).ii	Aiding or assisting another	0	0	2	1	1
B.ii.1(a).iv	Conspiring in offence	0	0	0	1	0
B.ii.2	Intent to commit offence	0	0	1	2	0

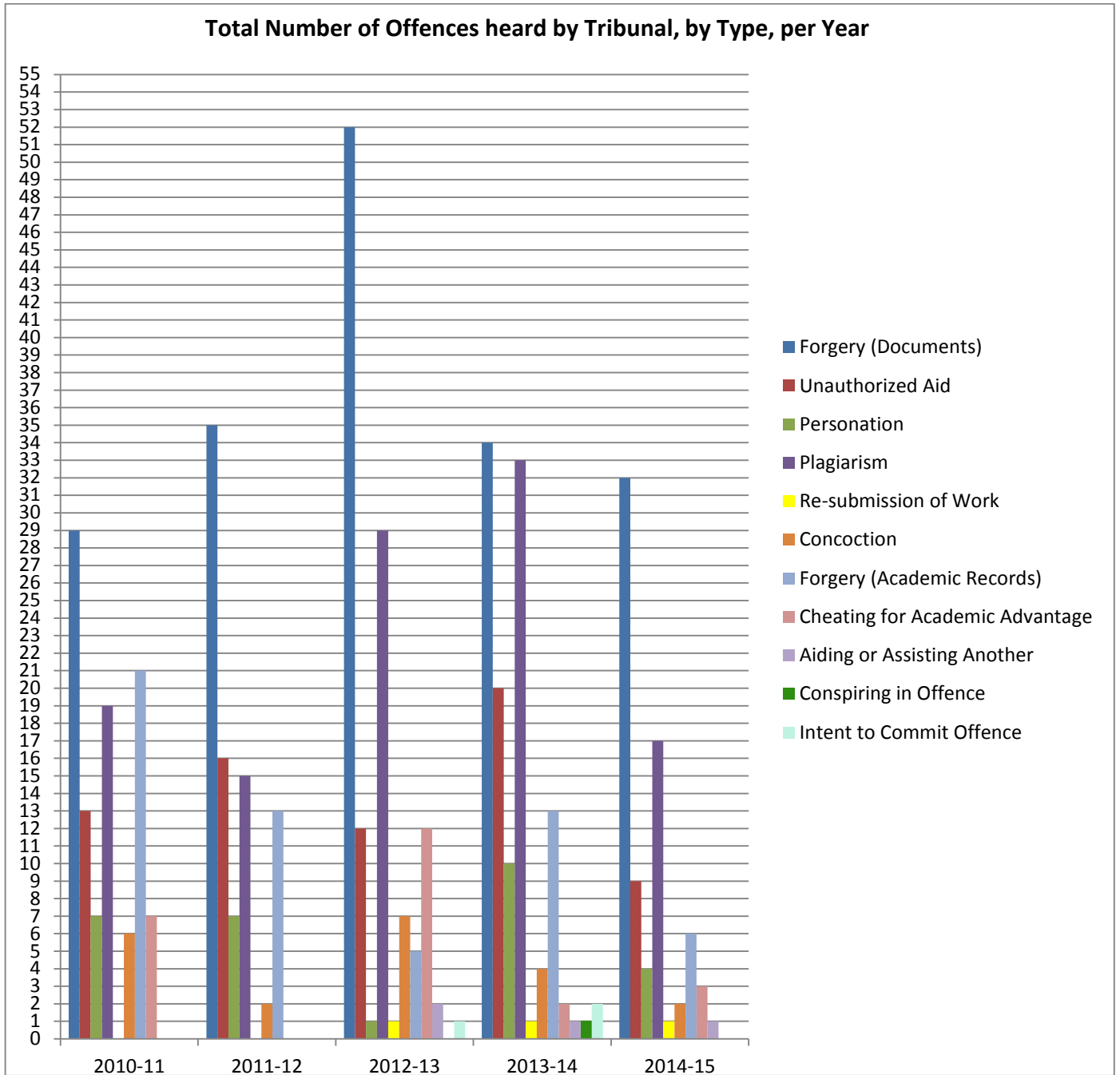
\*These include offences that went back to the decanal level. For the Tribunal level we do not choose the primary offence, but rather, count all offences for which the Tribunal found an individual guilty.

**Appendix B:** *University Tribunal Cases*

**Total Number of Offences heard by Tribunal, by Type, 2014-2015**



**Appendix B:** *University Tribunal Cases*





**Appendix B:** University Tribunal Cases

**Table 5: Total Number of Offenders with cases before the Tribunal, by Division**

Division	2010-11	2011-12	2012-13	2013-14*	2014-15
Applied Science & Engineering	2	3	3	3	2
Arts & Science	14	12	11	12	6
Dentistry	0	0	0	0	0
Graduate Studies	2	3	3	1	4
Law	0	0	0	1	0
Medicine	0	0	0	0	0
Music	0	0	0	0	0
Nursing	0	0	0	0	0
OISE / UT	0	0	0	0	0
Pharmacy	0	0	0	0	0
Kinesiology & Physical Education	0	0	0	0	0
U of T Mississauga	11	2	10	18	13
U of T Scarborough	4	9	12	10	11

\* These include offenders whose cases went back to decanal level for resolution/settled.

**Table 6a: Timeliness between Charges Laid and Order Issued by Tribunal**

Year July 1-June 30	Time between Charges Laid and Order Issued*				
	Within 6 months	Within 9 months	Within 12 months	Within 15 months	Total
2010-11	77%	9%	n/a	n/a	n/a
2011-12	56%	13%	n/a	n/a	n/a
2012-13	62%	28%	n/a	n/a	n/a
2013-14	59%	23%	4.5%	9%	95.5%
2014-15	24%	16%	28%	0%	68%**

\* This does not include offenders whose cases went back to decanal level for resolution or were settled but does include decisions that were appealed.

**Table 6b: Timeliness between Charges Laid and Written Reasons by Tribunal**

Year July 1-June 30	Time between Charges Laid and Written Reasons*				
	Within 6 months	Within 9 months	Within 12 months	Within 15 months	Total
2010-11	45%	32%	n/a	n/a	n/a
2011-12	18%	50%	n/a	n/a	n/a
2012-13	30%	40%	n/a	n/a	n/a

**Appendix B:** *University Tribunal Cases*

2013-14	31%	23%	19%	12%	85%
2014-15	16%	4%	8%	24%	52%**

\* This does not include offenders whose cases went back to decanal level for resolution or were settled but does include decisions that were appealed.

\*\* **NOTE:** An in-depth analysis was done of all of the cases that took longer than 15 months, and found at least one of the following factors was at play in every case: the student requested an adjournment; the hearing involved multiple accused students appearing at the same time as they dealt with the same alleged incident(s); the hearing lasted multiple days (including one that comprised 6 days); and/or there were multiple sets of charges against the same student.