

An Examination of Institutional Structures, Policy, Narratives and Professorial and Other
Stakeholder Perceptions and Experiences vis-à-vis Academic Integrity

by

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Abstract

This study explores the academic integrity mandate¹ of a large multi-campus University in Ontario, Canada through the examination of faculty, staff, and administrator perceptions and experiences as well as the institution's structures, policies and narratives. The study analyzed findings from three discrete data sources: institutional documents and structures; key informant interviews; and a faculty survey.

The research questions and methodology drew from an emerging body of literature that has challenged researchers and practitioners to reframe their understanding of academic integrity from a "student" to an "institutional" (Bertram Gallant, 2016); "educational" (Bretag, 2016a; Fishman, 2016); and "academic literacy" (Howard, 2016) issue. Bolman and Deal's (2003) four-frame model was used to explore the University's approach to academic integrity through the structural, human resource, political, and symbolic "frames" as lenses for understanding organizational emphasis and leadership change vis-à-vis academic integrity.

Faculty members' experiences and perceptions were assessed, for the: prevalence of student dishonesty; salience of the underlying factors (individual student versus institutional/situational); and the impact of eroding integrity on core University functions, and the value of the four

¹ By academic integrity mandate the author means the University's stated desire, strategy and approaches to upholding and fostering academic integrity.

frames. The survey data were also analyzed for significant differences across the respondent characteristics of: academic discipline; primary campus of teaching; and length of teaching career.

The study found that the University's responses to academic integrity as well as the importance of approaches and considerations as assessed by faculty members were largely reflective of a structural lens. This was expected in that the structural frame (Bolman & Deal, 2003) includes the central components of organizations, including "roles, goals, policies, technology, and environment" (p. 16) that are foundational to the post-secondary sector's response to academic integrity concerns and/or opportunities.

Key recommendations include creating more fulsome opportunities for academic integrity dialogue especially with students; acknowledging and mitigating inherent power imbalances; and incorporating symbolic and values-based strategies. The study also recommends aligning academic integrity more closely with the University's quality assurance, research mandate, and institutional purpose; and fostering a commitment to continuous improvement of academic integrity policy, procedures, and governance.

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Dedication

This thesis is dedicated to the support and encouragement, in times of success and adversity, of my loving husband, Phil, our children R. and G., and my parents, Linda and Richard. Your unwavering belief in me has been a grounding force in both my life and career and will always matter more than you know.

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Acronyms

ADFG – (Office of) Academic Discipline and Faculty Grievances

AICO – Academic Integrity Consortium of Ontario

AI – Academic Integrity

AIM – Academic Integrity Matters (Workshops)

CTSI – Centre for Teaching Support and Innovation

ESL – English as a Second Language

ELL – English Language Learners

FAS – Faculty of Arts and Science

GC – Governing Council

ICAI – International Centre for Academic Integrity

OSAI – Office of Student Academic Integrity (Faculty of Arts & Science)

SCSU – Scarborough Campus Student Union

SG – St. George Campus

SGS – School of Graduate Studies

SOTL – Scholarship of Teaching and Learning

STEM – Science Technology Engineering and Math

REB – Research Ethics Board

RGASC – Robert Gillespie Academic Skills Centre

U of T – University of Toronto

UTM – University of Toronto Mississauga Campus

UTSC – University of Toronto Scarborough Campus

URL – Uniform Resource Locator

Chapter 1 Introduction

Research Problem

Academic integrity, or a lack thereof, has received considerable attention from post-secondary practitioners, leaders, and researchers alike. It has been estimated that anywhere between 40 to 70% of students admit to at least one, or multiple, incidence(s) of academic dishonesty (see McCabe, Treviño, & Butterfield, 2001). The author contends that the problematization of academic integrity and the normative approaches used to mitigate academic dishonesty have resulted in divisive and competing discourses within, and across, post-secondary institutions. Framing academic integrity as a concern chiefly of students, resulting from intentionally dishonest behaviour and/or academic deficits, polarizes students from the multiple institutional stakeholders (e.g., professors, staff, and administrators) who must all contribute equally to fostering a culture of integrity in academia.

The emergence of academic communities of practice, notably the International Centre for Academic Integrity (ICAI), and similar organizations within local, provincial, and state jurisdictions, has solidified academic integrity as an issue, and in some characterizations a threat, to the post-secondary system. It could be argued that the entrenchment of both institutional structures and common issue-oriented academic alliances will ensure that academic integrity and dishonesty remain problematized and contested concepts within higher education.

Given that the current research study is situated within the context of Canadian post-secondary, it is important to explicitly recognize the major contributions and differences resulting from the evolution, framing and findings related to academic integrity in Canada – as compared to the United States, the United Kingdom or Australia. Beginning from the first multi-university survey of academic integrity (Christensen Hughes & McCabe, 2006a) through to a comprehensive review of empirical literature and “call to action” for enhanced capacity, funding and dissemination of academic integrity research findings in Canada (Eaton & Endino, 2018) a differentiated understanding of, and approach to, academic integrity has emerged from Canadian practitioners and researcher alike.

Defining academic integrity, while essential, is not a straightforward endeavour given that conceptions and experiences related to academic integrity are highly dependent on the contextual and institutional landscape within which they are situated. As Bretag (2016c) notes, “Academic integrity is such a multifarious topic that authors around the globe report differing historical developments which have led to a variety of interpretations of it as a concept and a broad range of approaches to promulgating it in their own environments” (p. 3).

For the purpose of this study the definition proposed by Fishman (2016) is adopted in which academic integrity is defined as “acting in accordance with values and principles consistent with ethical teaching, learning, and scholarship” (p. 7). Further the International Center for Academic Integrity (2014) defines academic integrity as “a commitment, even in the face of adversity, to six fundamental values: honesty, trust, fairness, respect, responsibility, and courage”. The converse of academic integrity is academic dishonesty and/or misconduct, which according to Marsden (2016), include a range of behaviours that “breach the values of academic integrity” and are characterized by a “deliberate intent to deceive” (p. 183). According to Marsden, such behaviours include, but are not limited to, plagiarism, deliberate cheating, collusion, and contract cheating (i.e. third party paid services and peer to peer file sharing). While others argue that not all academic misconduct, and specifically the most common form of plagiarism, is necessarily intentional. From a teaching and learning perspective, Howard (1995) stresses that many students simply do not “understand academic citation conventions and therefore plagiarize inadvertently” (p. 788).

This study seeks to extend the analysis of academic integrity from the normative micro, or individual student-level, to a broader macro, or institutional/sectoral, level. The traditional definitions, and understanding, of academic integrity and dishonesty are almost entirely focused on student behaviour. Within an academic context, integrity can be measured not only by the degree of honesty and fairness on the part of students, but, also more broadly in relation to the inputs, outputs, interactions, structures, and processes within post-secondary institutions. Such a pan-institutional understanding of the underlying factors, targeted responses, and desired outcomes aligns with the organizational and institutional approach to academic integrity (see Bertram Gallant, 2016; Bertram Gallant & Drinan, 2008; Whitley & Keith-Spiegel, 2010).

Over the last decade, academic integrity researchers have begun to move past the traditional foci of establishing academic dishonesty as an “epidemic,” isolating the causes, and assessing the efficacy of punishments to one of critically considering the impact of teaching and learning environments on student integrity (see East, 2016; Fishman, 2016; Howard, 2016). Only a few studies and researchers have examined academic integrity through the lens of organizational theory (see Bertram Gallant & Drinan, 2008; Bertram Gallant, 2016; Whitley & Keith-Spiegel, 2010).

Bertram Gallant (2016) argues that the degree of overall “institutional integrity” ought to be the focus in place of the negative and deficit-based approaches historically taken to address academic integrity concerns. The author states, “academic integrity should be conceived of as integral to every goal in education from improving assessments and student performance to increasing retention, conducting research, diversifying, raising funds, becoming accredited, and competing in national and international rankings” (p. 979).

To respond to, and mitigate, students’ concerns with academic integrity, universities and colleges have established specialized infrastructure. These include, but are not limited to, academic integrity offices, policies and procedure, adjudication bodies, and dedicated faculty and student supports.

The transformation of the post-secondary educational sector over the last three decades within Ontario, as well as nationally and internationally, has been well documented in the higher education literature (Clark, Moran, Skolnik & Trick, 2009). While outside of the scope of this study, academic integrity concerns have been shaped by the pervasive and unprecedented changes across the post-secondary sector including, but not limited to the “massification” of post-secondary education (Trow, 2000). This has resulted in increased institutional capacity and enrollments; reductions in direct government funding; globalization and internationalization of learners (Altbach & Knight, 2007); commodification and neo-liberalization of post-secondary education (Tierney & Almeida, 2017); increased online learning (Bates, 2018); and widespread adoption of educational access mandates (see Chiao-Ling, Montjourides, & van der Pol, 2017; Murphy, & Fleming, 2003). To varying degrees, these broader trajectories in the higher educational sector are connected, through empirical research, to the complex issue of academic integrity.

The current study sought to shift the discourse by exploring how institutional actions, or inactions, can enhance or detract from academic integrity and from the quality of post-secondary education more generally. The study endeavoured to explore how universities and other post-secondary institutions might become more reflexive in their understanding of, and responses to, academic integrity by situating their approaches to change within the structural, human resource, political, and symbolic organizational frames (Bolman & Deal, 2003).

Increasingly, researchers are exploring student integrity through “institutional” and “educational” lenses, which has the potential not only to improve the quality proposition of post-secondary education but also, to fuel the adoption of an academic integrity culture. Academic integrity discourse and practices could be enhanced by explicit connections and integration with the inputs and outputs of post-secondary education. By focusing on the quality and authenticity of teaching and learning environments, credentials, student and graduate success and competencies, and institutional ethics the cultural ethos of academic integrity becomes strengthened.

Overview of the Academic Literature

The following overview will summarize the academic integrity literature and research as reflected in four discrete, but non-linear, areas of focus. Each area has attempted to answer question(s) in relation to academic integrity and/or dishonesty. For a comprehensive overview of the academic literature refer to Chapter 2. The voids within the academic integrity literature will also be briefly commented on in relation to how the current study’s methodology addresses and contributes to these identified deficiencies in the literature and/or future research directions.

As noted previously, it is also important to identify the relative paucity of empirical research within Canada on academic integrity. The literature review provides a synopsis of the major studies which have contributed to the unique understanding of academic integrity within Canada and the researchers, first Christensen Hughes (2006b) followed by Eaton and Endino (2018) who both made “calls for action” to further the depth of breadth of academic integrity research within the context of Canadian post-secondary.

The first discrete stage of academic integrity research sought to answer the question *what?* After Bowers’ (1964) multi-institution study, the framework was laid for other large meta-data analyses, (McCabe, 2016; McCabe, Treviño & Butterfield, 2001) that sought to quantify the

prevalence of academic dishonesty in post-secondary education. A plethora of empirical studies have assessed the types and frequency of academic integrity concerns in universities, colleges as well as in secondary schools. This literature is useful in that it illuminates the scope and patterns of academic (dis)honesty. However, the 50 or so years of focus on quantifying student integrity concerns has served to solidify academic dishonesty as a “problem”, “moral panic” (Clegg & Flint, 2006) and/or “epidemic” (Stephens & Wangaard, 2013) – something to be confronted, challenged, and cured.

The second stage of the literature sought to answer the question of *why* students behave dishonestly and to identify the associated factors. These studies empirically measured the salience of student characteristics, mostly demographic at the beginning, to determine if they were positively associated with student dishonesty. Some of the characteristics studied included age (Haines, Diekhoff, LaBeff & Clark, 1986; Jurdi, Hage & Chow, 2011; McCabe & Treviño, 1996;) later extended to “maturity level” (Bertram Gallant, Binkin & Donohue, 2015); gender (McCabe & Treviño, 1996; Whitley, 1998; Whitley, Nelson, & Jones, 1999); country of origin (Bretag et al., 2014; Brown et al., 2018); and academic preparedness (Lambert, Hogan, & Barton, 2003; Hensley, Kirkpatrick and Burgoon, 2013; Haines et al., 1986).

More contemporary studies have explored the impact of personal and professional ethics (Christensen Hughes & Bertram Gallant, 2016; East, 2010; Simola, 2017; VanDeGrift et al. 2017), motivation (Murdock & Anderman, 2006), and neutralization techniques derived from social control theory (Curasi, 2013) to explain students’ propensity toward academic (dis)honesty. Later the research shifted to focus on the salience of different institutional variables on student behaviour. These variables included testing types and environments (Berliner, 2011; Nichols & Berliner, 2007), online course delivery (Lanier, 2006; Batane, 2010; Ramorola, 2014), and the quality of the teaching and learning environments and relationships (Bretag, 2016a; East, 2016, Morris, 2016a).

During the same period that the correlate research was being done, the literature began to ask *how* different interventions or best practices might reduce dishonesty and/or enhance academic integrity. Researchers considered policy interventions (Bretag & Mahmud, 2016; Glendinning, 2016; Morris & Carroll, 2011); honour codes (McCabe, 2016; McCabe, Butterfield, & Treviño, 2003; Whitley & Keith-Spiegel, 2002); fostering academic integrity culture (Bertram Gallant

2007; McCabe & Drinan, 1999); and values and ethical strategies (Christensen Hughes & Bertram Gallant, 2016; East, 2010; Eisenberg, 2004; VanDeGrift et al. 2017). They also considered technology as both surveillance and education (Batane, 2010; Nilsson, 2016; Zaza & McKenzie, 2018) or a means to expand authorship, collaboration and/or “traditional notions of attribution” (Sutherland-Smith, 2015); and the role of educational support for students (Bretag, 2016a; East, 2016; Morris, 2016a); and faculty support and development (Behrendt, Bennett, & Boothby, 2010; Coren, 2011; Saddiqui, 2016).

The latest trajectory in the academic integrity literature, and the one most significant to this study, emerged over the last decade. Researchers and post-secondary practitioners began to critically ask *where* the emphasis and “problem” lie and *who* is fundamentally responsible. The growing body of organizational literature calls for a radical reconceptualization of academic integrity as a concern resulting, in part, from the quality of our institutional structures, ethos, and outcomes.

Only a handful of researchers have examined academic integrity through the perspective of organizational theory (see Bertram Gallant & Drinan, 2008; Bertram Gallant, 2016; Whitley & Keith-Spiegel, 2010). As Bertram Gallant (2016) argues, in place of the historically favoured “student deficit” approach, post-secondary institutions should be examining the degree of overall “institutional integrity” as the focus and impetus for change (p. 979).

Other studies have sought to re-frame academic integrity as an “educational” and/or “academic literacies” issue. This body of literature argues that plagiarism, the most frequent academic integrity transgression, often involves violations of academic conventions and norms, however, acknowledge that plagiarism can also involve wilful deceit and/or fraud (see Carroll, 2016; McGowan, 2016; Newton & Lang, 2016). An increasing number of scholars and practitioners (see East, 2016; Howard, 2016; Morris, 2016a) have argued that academic dishonesty could be greatly reduced if the core teaching and learning conditions are reconceptualised, if students are met with “authentic assessments” (Thomas & Scott, 2016) and additional support in writing and citing (Howard, 2016).

The literature has limitations that have informed the research questions and focus of the current study. The studies exploring academic integrity through organizational and/or institutional theory tend to be more theoretical and exploratory versus applied and empirical. No studies could be

located that applied a specific organizational model or theory to academic integrity as a subject matter.

A number of the policy analysis studies (see Bretag & Mahmud, 2016) propose models that can be used to enhance academic integrity policy frameworks and governance but do not address the full institutional conception of, and responses to, academic integrity. While Bertram Gallant and Drinan (2008) describe an organizational approach that could be used to model academic integrity assessment and change, however, the authors did not apply it to a particular post-secondary institution or data set. Few, if any, studies systemically studied the connection between academic integrity and core post-secondary functions such as quality assurance; research mandate; and institutional purpose. While a large body of literature has explored ethical practices and integrity in research and knowledge discovery (see Kalichman, 2016), it does not connect research practices directly to academic integrity per se.

Many studies examine academic integrity from the lens of students and/or faculty members representing specific disciplines. These have included, for example: Science Technology Engineering and Math (STEM) (see Bertram Gallant, Anderson, & Killoran, 2013; Gilmore, Maher, and Feldon, 2016; VanDeGrift et al. 2017); the humanities (Stenmark & Winn, 2016); a variety of professional disciplines including medical and nursing (Elzubeir & Rizk 2003; Pixley Tippitt et al., 2009); and law (James, 2016). While this literature provides unique understandings of the contexts, manifestations and responses to integrity concerns within specific academic disciplines, none of it compared faculty experiences and perspectives on these measures across unique disciplines.

The published literature has no studies which explored, in any significant way, power imbalances inherent to academic integrity across a range of stakeholder groups (e.g., students, faculty and/or administration). Selected studies (see Coren, 2011; DeAngelis 2011) explored tensions between faculty and administration and, to a lesser extent, faculty and students, that impede the use of institutional academic integrity policy frameworks.

Significance, Impact and Reach

Building on the vast body of academic integrity research, as well as the institutional models and concepts used, this study sought to gauge the institutional alignment of the University of

Toronto's (hereafter the "University") academic integrity mandate. The current research contributes to the empirical academic integrity literature in a number of important ways.

Through the application of Bolman and Deal's (2003) four-frame model, traditionally used to guide the framing and positioning of organizational change by leadership, this study mapped the University's academic integrity approaches and practices systemically across the structural, human resource, symbolic and political frames. The study also measured faculty members' experiences and perceptions on the usefulness of multi-frame thinking for addressing the complex organizational issue of academic integrity.

The role of, or differences between, academic disciplines in faculty experiences and perceptions related to academic integrity have only recently begun to be explored in the academic literature. As detailed, most of the published academic integrity studies that explore academic disciplinary perspectives did so in the context of one discrete discipline. The current study enabled comparison of faculty members' experiences and perceptions related to academic integrity across the arts/humanities and applied/pure sciences. Faculty members are well positioned to foster academic integrity because they are the "architects" of teaching and learning environments, therefore, their collective experiences and perceptions on academic integrity can inform practice and policy change in this area.

Some studies have reported on variables such as campus size and composition as well as faculty teaching experience vis-à-vis their academic integrity experiences and perceptions. In the faculty survey this study collected and analyzed respondent characteristics including the composition of their primary campus of teaching (i.e. larger research/graduate SG vs. smaller teaching/undergraduate UTM and UTSC) as well as the length of teaching career (i.e. ≤ 15 years vs. $16 \geq$ years). The salient differences across the findings both contributed to the literature and informed this study's recommendations for practiced and areas of future research.

The study also explored the concepts of centralization, or the degree to which academic integrity processes and structures apply to the entire University versus only to a particular campus or department, and transparency, the degree to which organizational activity and information is made readily available, in relation to academic integrity policies, structures and narratives. Few, if any, published studies have explored these concepts in relation to academic integrity.

In addition to reviewing the primary academic integrity policy frameworks, namely the Code and related procedures, this study also assessed the University's broader strategic functions and directives, including its' research mandate, quality assurance framework, and institutional mission, to determine the degree, if any, of alignment between these institutional documents and academic integrity. To supplement this analysis, faculty members were also asked to consider the impact of eroding academic integrity on the University's research mandate, academic quality, and reputation and ranking. The academic integrity literature has only a few published studies connecting quality assurance and research practices to academic integrity therefore the findings herein will contribute to this limited knowledge.

The researcher believes that the study's findings will be important to a number of individual, yet connected, audiences. Academic integrity researchers would be able to draw from this research study's tertiary findings to design and implement studies that further extend Bolman and Deal's model to academic integrity audits or program reviews. As noted above, researchers might further explore the relationship between core higher education functions (i.e., research, quality assurance, institutional mission, reputation and ranking) as well the relative prominence of centralization and transparency in relation to academic integrity approaches.

A primary stakeholder audience is the University within which the research was conducted. It is hoped the University will consider the findings and recommendations of the current study as they continue to refine their academic integrity mandate. While the study was undertaken at a specific university in Ontario, Canada, the researcher believes that the findings and recommendations have broad relevance across the post-secondary sector institutions (i.e., universities, colleges) because of the common concerns and opportunities germane to academic integrity.

Other impacted audiences include key stakeholders to academic integrity including, faculty members, academic integrity practitioners, students and senior administration. The researcher hopes that the study's pan-institutional lens will highlight the importance of "mutual understanding" (Bertram Gallant & Drinan, 2008; Morris & Carroll, 2016) and action regarding academic integrity across diverse stakeholder groups.

Statement of Purpose

The purpose of this study was to explore the institutional alignment of the University's academic integrity mandate through the experiences and perspectives of faculty, staff, administrators and

the institution's structures, policies, and narratives. By academic integrity mandate the author means the University's stated desire, strategy and approaches to upholding and fostering academic integrity.

Through a convergent mixed methods research design, qualitative and quantitative data sources were collected, analyzed separately, and then integrated. The discussion, contextualization within the literature, and recommendations for practice and future research arose from the findings of all three data sources: the institutional analysis, interview findings and faculty survey.

The study sought to consider how post-secondary institutions might shift their level of analysis away from individual students to more critically reflect on the role of institutional structures and practices vis-à-vis enhancing academic integrity. Doing so could improve the quality of post-secondary inputs (e.g., teaching learning environments, ethical institutional practices, respectful dialogue and engagement) and outputs (e.g., student growth and success, exceptional teaching practices, community impact, research and knowledge discovery, ethical graduates and citizens).

It is recommended that if the University aligns their academic integrity mandate more closely with the inputs and outputs of the institution, both overall educational quality and integrity could be enhanced. Academic integrity might be improved in post-secondary institutions if universities and colleges fostered the conditions within which it could flourish, rather than focusing their academic integrity discourse, and interventions exclusively at the individual student-level. The researcher acknowledges that this proposition is somewhat provocative, nonetheless, believes that the way forward is not an "either or" one but will require a more balanced institutional and individual approaches to create the conditions that foster academic integrity.

Chapter 2 Literature Review

This chapter will synthesize the academic integrity literature from the first large-scale post-secondary study of student academic dishonesty (Bowers, 1964) through to the evolving literature which explores academic integrity as both educational and organizational concepts. The academic integrity literature is presented in four distinct, yet inter-related, areas of focus, which have influenced attitudes and practices toward academic integrity. While these research areas overlap chronologically, they emerged at discrete points in time and, often, in response to identified or perceived voids within the existing literature.

The first defined academic integrity studies sought to quantify the *what*, or prevalence, of academic dishonesty across the post-secondary educational sector. Soon afterward, researchers began to identify and empirically measure the *why* or correlated factors of student dishonesty. These studies examined the salience of individual-level student characteristics, including demographic, personality, and motivational factors. In addition, they explored the impact of institutional factors such as campus and/or class sizes; student and faculty interaction; quality of teaching and learning environments; impact of online delivery modes; and the increase in international and ELL (English Language Learners) student populations.

The next substantive area of literature attempted to answer the question *how* namely – what interventions and strategies institutions could leverage to lessen academic integrity concerns while simultaneously fostering and inculcating cultures of academic integrity. These studies, which could be called “best-practice” research began with deterrence measures for detecting and punishing dishonesty (Sutherland-Smith, 2010), including policy and adjudication frameworks, and progressed to include educational, pedagogical, and prevention-based approaches. Another major area of this research focused on the strategies, often ethical and moral, used to foster academic integrity culture (McCabe & Drinan, 1999). For example, while more prevalent in the United States than Canada (Christensen Hughes & McCabe, 2006b.) the effectiveness of honour codes has been well studied in the literature (see Bertram Gallant, 2007; McCabe, 2016; McCabe, Butterfield & Treviño, 2003).

Researchers then began to explore broader institutional and organizational understandings of academic integrity (Bertram Gallant & Drinan, 2008; Whitley & Keith-Spiegel, 2010). They shifted the focus from individual actors, including students and faculty, to consider the broader

organizational conditions such as teaching and learning environments, institutional ethics/motivations and provided a radically different perspective from which to understand and respond to academic integrity.

Organizationally focused approaches challenge post-secondary institutions to critically assess the institutional inputs and outputs in order to identify the challenges and opportunities inherent to academic integrity. Organizational approaches enabled post-secondary institutions, whether universities or colleges, to refocus on the quality of their core educational mandates and functions with the promise of simultaneously improving student integrity. As Bretag (2016c) observed, “There can be no debate that academic integrity is fundamental to teaching, learning, research, and the advance of knowledge. In fact, it is critical to every aspect of the educational process” (p. 3).

Another substantive area of research is found in the higher education literature, which examines the transformation of the sector over the last 30 years. These studies provide insights in understanding academic integrity and dishonesty concerns in “context”. The confluence of sectoral change assist in understanding the manifestation and complexity of academic integrity and dishonesty, including, but not limited to the neo-liberalization of post-secondary education; commodification of knowledge; expansion and globalization of post-secondary education; and the proliferation of technology.

Bolman and Deal’s (2003) four-frame model provides an ideal framework, encompassing the structural, human resource, political and symbolic frames, through which to examine academic integrity. Universities are large and complex organizations, therefore their structures and cultures are best understood with reference to different organizational theories and concepts on structure, culture and leadership.

The literature summarized herein was used, in part, by the researcher to develop the study’s research questions, hypotheses and data collection tools including the institutional analysis structure, interview questions, and faculty survey. Furthermore, the academic literature was referenced in the analysis of findings and in the integrated discussion, recommendations, identification of voids in the literature and suggestions for future research directions.

Quantification of Dishonesty: Establishing the “Epidemic”

Beginning in the 1960s, a substantial body of academic integrity research emerged, starting with the multi-institution study conducted by Bowers (1964) that sought to establish the prevalence of academic integrity concerns within post-secondary education. Bowers' study surveyed over 5,000 college students and student leaders on their perceptions and experiences related to academic misconduct. The study found more than 60% of students admitted to engaging in misconduct, with the most common types of dishonesty reported including cheating on tests/exams and essay plagiarism.

Subsequent studies, including a meta-analysis of academic integrity studies (McCabe, Treviño, & Butterfield, 2001), found similar rates of student misconduct in the range of 40 to 60%. McCabe et al. (1996) reported that 56% of graduate and 47% of undergraduate students reported cheating or engaging in some dishonest behaviour. It is notable to mention that McCabe was influenced greatly by Bowers' systemic research on academic dishonesty. The two authors later published together to compare self-reported male college student academic dishonesty data from 1963 to 1991, finding that institutions with honour codes had significantly lower instances of dishonesty, but, that overall rates of dishonesty had not increased significantly (McCabe & Bowers, 1994).

Christensen Hughes and McCabe's (2006a) multi-institutional study of academic dishonesty in Canadian universities (including one degree-granting college) surveyed close to 15,000 undergraduate/graduate students. First year undergraduate students were also asked to reflect on similar behaviours in the context of their high school experience. This was the first comprehensive academic integrity study in Canada and revealed self-reported rates for serious test cheating as 18% for undergraduate; 9% for graduate; and 58% for high school students. Much higher rates were reported for serious cheating in written work (e.g. plagiarism, improper citations, purchasing or otherwise obtaining papers/essays) notably 55% for undergraduate; 33% for graduate; and 75% for high school students.

These and other studies were useful in understanding the breadth of academic dishonesty amongst post-secondary students, however, they have also contributed to the creation of a dominant discourse of academic misconduct as an “epidemic” (see Haines et al., 1986; McCabe

& Stephens, 2006) or “problem” to be eradicated in order to protect the legitimacy of higher education.

Simultaneously, some researchers were asking more critical questions around deflection, questioning whether the alarmist focus on academic dishonesty was a “moral panic,” as originally proposed by Cohen in 1972. In this perspective, the ethical fabric of higher education was being threatened by student cheating, thereby, gaining widespread societal and institutional attention and the resources to mitigate the perceived threat. One essential element Cohen (2011) identified in moral panics is a discourse, or framing of an issue, through “general reflections on the ‘state-of-our-times’” (p. vii). Clegg and Flint (2006) questioned whether the focus on student behaviour and plagiarism distracted from the more important underlying issues of teaching and learning and assessment design. Other academic integrity researchers and practitioners pointed to society’s and the media’s sensationalizing of isolated high-profile incidences of academic fraud and dishonesty (Bretag, 2016a). These researchers argued that institutions’ focus, energy and resources would be better directed to fostering conditions conducive for academic integrity.

An important limitation in quantifying academic integrity by comparing rates of academic dishonesty across this vast body of literature is that each study used its own methodological parameters of definition, source, and measurement. While some studies extrapolated rates of academic dishonesty from official, registered sanctions, others relied on self-report surveys and/or interviews. Additionally, some studies have used different durations to assess academic dishonesty and frequency (i.e., over students’ university tenure or during the last academic year). The studies do not define “dishonest” behaviour the same way; some define it narrowly and others broadly. Furthermore, reported rates of academic dishonesty cannot be generalized across all post-secondary institutions, given that many of the studies used student populations derived from specific academic disciplines and/or institutions versus representative samples of undergraduate or graduate student populations.

Antecedents and Correlates to Academic Dishonesty

Soon after researchers began studying the prevalence of student dishonesty, they also started to identify the demographic, individual and/or situational factors correlated with academic dishonesty. Many studies explored the salience of individual-level factors, including student demographics (e.g., gender, age, maturity, program and year of study, country of origin) as well

as the impact of situational, institutional and societal conditions that may affect students' decisions to engage in academic dishonesty.

Individual-Level Student Characteristics

In exploring why students acted dishonestly, some researchers empirically measured the salience of student characteristics, mainly demographic. Student gender was explored for any correlation with academic integrity. Bowers (1964) found greater differences in rates of academic dishonesty based on gender, suggesting that male students were more likely to be dishonest than were female students. More recent studies (see Hensley, Kirkpatrick & Burgoon, 2013) have also reported statistically significant differences based on gender, showing that male students report higher levels of cheating than their female counterparts. Other studies, however, (McCabe & Treviño, 1996; Whitley, 1998; Whitley, Nelson, & Jones, 1999) found that gender was not positively correlated with cheating behaviour. Whitley et al. (1999) hypothesized that the broader societal trend toward converging "gender-role requirements" (p. 365) appears to have naturalized itself within academic settings, thereby rendering the sex/gender less pronounced in student behaviour.

Student age was also thought to be negatively correlated with academic dishonesty; therefore, the younger the student, the more likely they were to engage in academic dishonesty. A large study by Haines et al. (1986) identified age as the most significant individual factor, noting, "Age showed the most substantial correlation with cheating in that the younger students were more likely to report cheating" (p. 348). However, in subsequent studies this hypothesis has been discounted, suggesting that age does not reliably correlate with a student's propensity to engage in academic dishonesty (McCabe & Treviño, 1996; Jurdi, Hage, & Chow, 2011).

Chronological age and/or year and level of study (e.g. undergraduate versus graduate) was further refined by Bertram Gallant et al. (2015) to suggest that "maturity level" was more predictive of academic dishonesty finding that "self-reported cheating may be more related to maturity with less mature students ... likely to self-report cheating" (p. 218).

Academic under-preparedness has also been identified as an underlying factor in student dishonesty. Some studies have provided evidence that poor grades might lead students with lower academic abilities to engage in academic dishonesty (Lambert, Hogan, & Barton, 2003;

Hensley, et al., 2013; Haines et al., 1986). Measuring the correlation between academic weakness and academic dishonesty assumes that poor grades are always a result of academic weakness. There is a plethora of other factors such as cultural adjustment, learning abilities, program fit, poor time management, motivation and/or negative peer influences, which are also known to be associated with poor academic achievement.

However, students in higher levels of academic study (i.e. graduate and professional programs) and/or ability (i.e. strong grade point averages) may be as or more likely to engage in academic dishonesty to remain competitive and high performing (Bertram Gallant et al. 2013; McCabe & Drinan, 1999). This is especially true where learning cultures are competitive and individualistic.

Using varied psychological paradigms, including self-efficacy theory, goal theory, expectancy value and intrinsic motivation theory, Murdock and Anderman (2006) examined and classified individual-level factors that motivate students to engage in dishonest behaviour. The authors stress the salient difference between intrinsic and extrinsic motivation for learning, concluding that the latter is positively correlated with cheating behaviours, they state:

there is a distinction between students who approach classroom tasks with a genuine desire to understand (i.e., high intrinsic value, strong mastery or learning goals) versus those who are more interested in external indicators of accomplishment (i.e., performance goals, ego goals, extrinsic motivation). (p. 130)

A study by Curasi (2013) empirically examined the reasons cited for academic dishonesty by undergraduate business students, using Sykes and Matza's neutralization theory (1957). This seminal social deviance theory was used in the 1950s to explain young offenders' rationalizations for breaking laws. Curasi found that neutralizing behaviour and subcultural norms were both associated with academic dishonesty; however, neutralization techniques had a more salient association. This study found that students who admitted to academic dishonesty were likely to cite rationalizations for their behaviour, including, denial of responsibility, and denial of injury, denial of the victim. They also cited condemnation of the condemners, including professors and/or the institution, and/or respect for higher loyalties or peers. According to Curasi, the most correlated neutralization technique in this study was condemnation of the condemners, because the students deflected blame for their dishonesty onto their professors. Students explained why they cheat with claims such as "the instructor acts as if his class is the only one

they are taking, or the instructor acts as if he/she doesn't care if the students learn the course material.” (p. 172)

Curasi found that students often interpret some professors' actions, such as leaving the room during an exam, as communicating that it's all right to cheat. By rationalizing their behaviour, students are able to project their guilt onto the instructor and deflect guilt for their lack of integrity.

Institutional and Contextual Factors

Other studies have focused on exploring the salience of situational and institutional factors, including exam administration, class size, and access to professors (Lang, 2013). Such studies highlight the shared responsibility for upholding the values and practice of academic integrity. Rather than viewing cheating as a moral or skills deficit of students, they view it as a shared and co-created reality between students and the myriad of institutional factors and players in post-secondary.

In McCabe's (2005) meta-analysis of hundreds academic misconduct studies, institutional size and large enrollments were both identified as precursors to a “breach culture.” McCabe observed, “This was a particular problem on large campuses and in courses with large enrollments— environments where, arguably, it is harder to establish a strong, positive community culture” (p. 6). The mode of delivery for courses may also play a role in the likelihood of academic integrity issues manifesting. Empirical evidence suggests that online or distance learners are more likely to cheat than are in-class learners (Lanier, 2006; Batane, 2010; Ramorola, 2014). The proliferation of distance education has emerged as a pragmatic response to the mandate of increased access for learners who may have families, be working full-time and/or living in remote geographical areas. Another, less frequently cited, reason is that increasing the relative proportion of distance education courses/programs reduces the institutional costs and infrastructure required to deliver curriculum and credentials (Lanier, 2006).

The internationalization of higher education has also affected post-secondary institutions' ability to maintain academic quality and integrity. Altbach and Knight (2007) define and identify the motives for internationalization as,

the policies and practices undertaken by academic systems and institutions—and even individuals— to cope with the global academic environment. The motivations for internationalization include commercial advantage, knowledge and language acquisition, enhancing the curriculum with international content, and many others. (p. 290)

Numerous academic integrity researchers and practitioners have examined the challenges experienced by international students studying under Western academic conventions. These challenges include conventions that might differ significantly from those of their country of origin and, for some, studying in a language different from their own (McGowan, 2005). A study by Bretag et al. (2014), conducted across six Australian universities and more than 15,000 students, found that compared to their domestic counterparts, international students had significantly less awareness of academic integrity in general and specifically of academic integrity policies at their institutions. In addition, the study found that international students felt less confident in their ability to avoid academic integrity breaches than did domestic students. In a separate Australian study of students from an applied health program, Brown et al. (2018) reported relatively low levels of cheating across both domestic and international students. However, they identified gaps in knowledge between domestic and international students vis-à-vis what behaviours constituted academic dishonesty. Many studies have found that faculty members identify international students as at higher risk for academic dishonesty (MacLeod & Eaton, 2020) and more in need of educational and academic support (Bretag et al. 2014).

Numerous researchers have observed when high-stakes assessment methods are used that cheating, or achieving success by any means, is more likely where the outcomes carry significant consequences or weight. Suen and Yu (2006) identified high levels of cheating in the Chinese civil service exams. A large body of research on standardized high-stakes testing in public schools throughout the United States (see Nichols & Berliner, 2007) and the United Kingdom (see Berliner, 2011) has identified both student cheating and teacher and institutional corruption as unintended consequences of such assessment modalities. Furthermore, in post-secondary education, many studies have found similar results between test formats and cheating.

Sectoral and Societal Factors

Factors impeding academic integrity have also been attributed to more ubiquitous forces or influences. Some researchers have argued that academic integrity, or a lack of, is confounded by the pervasive societal view of knowledge as a “commodity” versus an intrinsic good of its own.

It has been argued that knowledge, and the corresponding tangible outcome of academic credentials, is increasingly being viewed as necessary “good” for citizens so they can meaningfully participate in the 21st century economy and society (Florida, 2002). Longitudinal research studies from the Martin Prosperity Institute (2012), which analyzed census employment data, have demonstrated that “a strong financial incentive is associated with completing higher levels of education” (p. 2). Such studies, and the evolving economic conditions, have contributed to larger numbers of individuals engaging in post-secondary education— many of whom may not have seen the necessity or rewards two or three decades ago.

Some students view a post-secondary credential as a “means to an end,” a requirement for meaningfully participating and succeeding in the knowledge-based economy. A number of theorists have explored the impact of neo-liberalization of post-secondary education and its ramifications for academic identities (Harris, 2005). Others have explored the negative impact of business culture and imperatives on student and educational quality (Kleinman, 2016). Whereas Tierney and Almeida (2017) explored the implications of globalization and neo-liberalism on education as a private versus public good.

Kauppinen (2014) examined the diverse meanings of knowledge-commodification in higher education. She observes, “Education is no longer seen mainly as a way to pursue socially valuable knowledge, but as a process wherein value is determined by how much direct benefit it will bring to the student-consumer” (p. 2). Such an understanding suggests that, for many students, the motives for engaging in post-secondary has shifted to being fuelled by extrinsic consumerism versus the desire for active and intrinsic learning and knowledge.

Other scholars have linked theories of consumption more directly to academic integrity concerns. Saltmarsh (2004) applied a post-structuralist theory of consumption to analyze the degree to which plagiarism is “a tactic deployed by consumers in their attempts to negotiate the demands of an increasingly commodified tertiary education sector” (p. 446). The author proposes that the

“solutions” to academic integrity may have little to do with students but, rather, may require a radical re-examination of the foundations of our post-secondary educational systems. The author states:

Such a reconceptualization offers tertiary institutions an alternative position, one in which the focus is shifted from strategies of prevention, detection, deterrence and sanction with regard to students-as-consumers toward a renewed focus on the educative practices of institutions themselves, considering in particular the extent to which the drive to provide tertiary education according to market models functions to the detriment of educational aims. (p. 454)

The suggestion above reinforces the need for post-secondary institutions, and the sector more broadly, to focus on questions of academic quality and integrity and of teaching and learning as mechanisms through which to improve and foster academic integrity.

Academic Integrity Best Practices

The academic integrity literature and practice has been focused in two main areas of intervention namely – measure for punishment and deterrence and those intended to educate, build academic competencies, and enhance teaching and learning practices.

Punishment and Deterrence

Early institutional approaches to academic integrity focused predominantly on identifying and responding to integrity breaches through effective policies, procedures and the imposition of sanctions. As Saddiqui (2016) observed about a punitive approach to academic integrity, “Deterrence is the main goal of the punitive approach. It involves providing warnings to students regarding penalties, monitoring and policing, and applying penalties for proven cases” (p. 69). In many cases, post-secondary institutions’ policy frameworks were developed around these outcomes and goals (i.e. catch and punish).

Increasingly, however, policies have been amended to reflect broader educational goals and commitments to educate, remediate, and prevent integrity breaches. Academic integrity practitioners have recognized the need to balance reactive policy measures with strategies for prevention and educational skills development. In a review of Canadian policy frameworks

MacLeod and Eaton (2020) found that a vast majority of policies (13 of 17) analyzed reflected a blend of rule compliance and integrity orientations.

Educational, Academic Literacy and Pedagogical Approaches

Academic integrity researchers have suggested that when students are given meaningful and fair assessments, they are less likely to be dishonest (Lang, 2013). In a national survey of undergraduate college campuses, McCabe and Treviño (1999) found that avoiding the practice of “grading on a curve,” focusing on learning over grades, and not using pointless or boring assignments were strategies that students recommended most often for instructors to use to reduce cheating.

Many scholars have explored the relationship between academic integrity and the construction and delivery of formal assessments (Biggs, 2003). Biggs proposes the “constructive alignment” of academic integrity to the explicit learning and expectations of all formal assessments—irrespective of the discipline or the assessment focus. Other scholars (see East, 2016; Howard, 2016) have suggested that when designing formal assessments educators consider the relevance of assessments – namely whether the assessments reinforce course learning outcomes and/or are intrinsically motivating for students. Further, in the design, where appropriate, include self-reflection and ensure that the difficulty and length are suitable for the level/grade. Empirical studies have demonstrated that both assessment relevance and design can be leveraged to enhance academic integrity.

According to Barr and Tagg (1995), a paradigm shift has occurred wherein there is a move away from understanding the role of the student as passive vessels who are “taught” knowledge to one of them being a more intrinsically driven “learner” of knowledge. The authors state:

we are beginning to recognize that our dominant paradigm [knowledge paradigm] mistakes a means for an end. It takes the means or method called "instruction" or "teaching" and makes it the college's end or purpose. [...] We now see that our mission is not instruction but rather that of producing *learning* with every student by *whatever* means work best. (p. 13)

Framing post-secondary education through the lens of “learning” and “pedagogy” can foster conditions at the institutional and student levels that reduce the prevalence of academic

misconduct. Moving away from classrooms and learning environments being competitive and individualistic to those being co-operative and collaborative has the potential to enhance overall academic integrity.

The “educational integrity” movement has taken a decisively educational and pedagogical approach (Bretag, 2016a; Howard, 2016). This approach challenged the educational sector to re-frame academic integrity discourse as “educational integrity,” and thereby refocus on the important role of educational supports rather than on an assumption that dishonest behaviour requires policing and redress (Bretag, 2016a).

Educational integrity emerged within Australian higher education as the dominant strategy to address national concerns around academic quality and plagiarism, caused in part by government funding cuts and the rapidly internationalized study body (see Bretag, 2016a). The educational approach addresses academic integrity as a largely pedagogical and teaching and learning issue (Bretag, 2016a; Morris, 2016a). As Morris (2016a) notes, this approach focuses less on “conduct” concerns but more on “teaching and learning” opportunities (p. 1037).

Putting the onus on post-secondary institutions to create the supports and structure required for students’ academic success has been the dominant call arising from this body of literature. It is critical for these institutions to take steps to better educate students and to create a baseline of knowledge around academic-integrity-related expectations. As East (2016) reports, “Many universities in Australia and the UK have mandatory or recommended academic integrity modules (AIMs) to introduce commencing students to academic integrity, and there is some evidence that these make a difference and reduce plagiarism” (p. 487). As Griffiths (2013) found most academic integrity narratives in Ontario universities were decisively pedagogical versus punitive.

In a similar move, the recommended uses of and institutional policies on text-matching software have increasingly shifted to improving students’ academic writing rather than plagiarism detection. Increasingly the use of software tools such as Turnitin® have been reimagined as writing and citing supports for faculty and students (Zaza & McKensie, 2018).

Weber-Wulff (2016) identifies the false promises that such tools make because, in themselves, software tools cannot detect plagiarism like a simple “litmus test” (p. 625). Weber-Wulff argues

that only “humans,” namely faculty, instructors, and professors, can determine whether a text is plagiarized, by carefully reviewing the automated reports generated to exclude “false positives” and identify “false negatives” (p. 629). A recent Canadian study by Zaza and McKenzie (2018) found that a high percentage of instructors were “overall satisfied” with the Turnitin software, but used the tool predominantly for detecting plagiarism, rather than as a teaching and learning tool. The authors found, that while students were generally satisfied with the use of Turnitin, they still had concerns around the fairness and the application of this tool for plagiarism detection.

Fostering a Culture of Academic Integrity.

Over the last few decades, there has been a marked shift in the literature from examining how often and why students cheat to exploring the efficacy of cultural and value-based approaches to enhance integrity (McCabe & Drinan, 1999). The International Centre for Academic Integrity (ICAI) reaffirmed six fundamental values central to the embodiment of academic integrity: honesty, trust, fairness, respect, responsibility, and courage (Fishman, 2013). Many universities and colleges in United States and international and Canadian jurisdictions have endorsed the ICAI’s cultural values within their policy frameworks and academic integrity approaches. As Christensen Hughes and McCabe (2006b) observed, “academic integrity needs to be supported by the development of systems and a campus climate or culture that demands integrity by all members of the university community” (p. 51).

Eisenberg (2004) explored the role and effect of “moral perspectives,” whereas Granitz and Loewy (2007) applied different ethical theories to better understand student motives for plagiarism and cheating. Best practices used to cultivate deeper ethical decision-making include “character education” (Stephens & Wangaard, 2013) and scaffolding ethical thinking across the curriculum (Christensen Hughes & Bertram Gallant 2016; VanDeGrift et al. 2017). Davis, Drinan and Bertram Gallant (2009) argue that, given the normalization of cheating across all academic contexts, such behaviour needs to be radically reconceptualized from being viewed as “merely disagreeable methods that students use to be successful” to one of a “moral failing for both the individual and the educational institution” (p. 138).

Other researchers have used theories of behavioural ethics to understand how ethical standards and behaviour might shift, or be influenced by, contextual factors over space and time (Simola, 2017). The author observes:

Unlike philosophical ethics that focus on the role of conscious deliberation in *prescribing* normative standards for the actions in which individuals *ought* to engage in response to a particular ethical issue, the field of behavioral ethics focuses on *describing* what individuals *actually do* in response to ethical issues (p. 44).

According to Simola, behavioural ethical approaches to academic (dis)honesty assume a higher degree of ethical relativism and accept that behaviour is fluid and relative depending on the context—namely the “emotional, physical and/or social cues” (p. 49). This approach is more nuanced and suggests that ethics and moral aptitude can shift based on the context of the interaction.

Experiences with, and the efficacy of, institutional and/or student-lead honour codes have been widely studied. A multi-campus study by McCabe and Trevio (1996) found that students from institutions with honour codes had nearly half of the rates of cheating of those without one. Further, McCabe, Butterfield, and Treviño (2001) found that in institutions with honour codes, faculty might interpret academic integrity more as a responsibility they share with students. As a result, the faculty may engage more often in formal policy frameworks. Researchers have cautioned that institutions must be careful to not prematurely establishing honour codes, because faculty resistance and early institutional culture may impede success. Bertram Gallant and Drinan’s (2008) review of 25 Canadian institutions and found that few, if any, universities had student- or institutional-lead honour codes. Further, Christensen Hughes and McCabe (2006b) point out that the Canadian approach to fostering strong academic integrity cultures is by and large absent from explicit honour codes.

Institutional Approaches to Enhancing Integrity

Bertram Gallant and Drinan (2006) observe that the explanations for why students cheat and the efficacy of institutional strategies have been well documented in the literature. The authors argue that effective institutional approaches must be grounded within organizations, “by defining the

territory between notions of culture and diffusion of best practices, we can inspire and inform organizational change” (p. 843).

After synthesizing the literature on approaches and models for organizational change pertinent to academic integrity, Bertram Gallant and Drinan (2008) proposed a four-stage model of “academic integrity institutionalization.” Their intent was to “establish points of viability and resistance to change informed by our empirical research” (p. 29). In stage one, the model starts with the critical stage of “recognition and commitment” wherein all institutional stakeholders come to a mutual understanding of the problem or unifying concern as well as a recognition of the need for change. The authors drew from the work of Kotter in stressing the importance of a “sense of urgency” around the problem and need for change. Stages two and three are more pragmatic, involving “response generation” and “implementation.” The final stage of “institutionalization” requires measuring the degree of adherence, adoption, and systematization, including the degree to which culture was adopted, of the change effort (pp. 31–33). Despite the call for more organizationally informed approaches, few empirical studies have applied organizational theories to supporting, implementing, and evaluating academic integrity change efforts in higher education.

A separate, but institutionally derived, body of literature focuses on the need to democratize post-secondary classrooms by enhancing faculty-student interactions. Whitley and Keith-Spiegel (2012) summarize the literature that explores how student behaviours are affected by perceptions regarding three types of fairness in the teaching and learning process: “interactional fairness,” “procedural fairness,” and “outcome fairness” (p. 45).

Drawing from equity theory, the authors explain how “psychologists developed equity theory to address the question of how people decide whether an outcome is fair and the ways in which people attempt to rectify instances of perceived unfairness.” They also explain how this theory can help explain why students choose (dis)honesty. While all three types of fairness are important, empirical studies have found that interactional fairness is the most salient factors in enhancing academic dishonesty.

Critical to the institutional perspective on integrity is the development of strong academic integrity policy and governance frameworks. As Morris (2016b) asserts, “In the field of academic integrity, it is established that the design and implementation of academic integrity

policy is vital in affecting organizational change” (p. 409). Policies need to be drafted in a clear and intentional way to ensure the fair adjudication of academic behaviours deemed unacceptable by the institution.

In a review of Canadian institutional academic misconduct policies, Eaton (2017) found a “wide variation” of how plagiarism was defined and applied within institutional policies. With a view of policy clarity and “academic mobility” for students, Eaton calls for the development of a common national academic integrity framework which includes “clear and explicit definitions for plagiarism” (p. 271). Whereas in a large multi-institution Canadian study which reviewed policies and surveyed faculty on their experiences, MacLeod and Eaton (2020) found that while faculty viewed policy as essential and “sound in principle” most institutional policies “fail in application” (p.1). The authors report that significant challenges and barriers resulted in the “policy not enforced consistently” and that faculty often felt “not supported” by administration or the institution (p. 9).

Lastly, institutional and organizational approaches to academic integrity stress the importance of dialogue around policy development and implementation. As Morris and Carroll (2016) observe, differences in understanding lead to differences in responses. The authors state:

The varied understanding of academic integrity issues among staff expected to have a role to play in implementing policy. This varied understanding can be accompanied by differences in staff preferences and willingness to get involved in managing such issues. It can also mean variations in how staff deal with breaches of academic regulations. (p. 451)

Increasing understanding and dialogue across, and within, all stakeholder groups is essential for the effective institutionalization of academic integrity policy and practice. This is equally applicable at the classroom level; Baetz et al. (2011) stress the importance of creating academic integrity dialogue in the classroom. Their study tested the efficacy of an interactive presentation on academic integrity that was developed around student comments or experiences to bridge faculty-student dialogue.

Understanding and Defining Organizations

Historically, organizational effectiveness has been understood and studied through the structural apparatus of organizations— physical space, technology, processes and personnel assess the relative importance of different considerations and approaches across the frames.

Parsons (1956), a structural functionalist sociologist, believed that any change, whether observed or desired, could be explained through an organization's structural fabric. Most academic integrity strategies implemented by post-secondary institutions, and by extension evaluated in the empirical research, are structural in nature.

However, contemporary researchers studying organizational behaviour point to informal elements such as “culture” as also driving change and enhancing effectiveness within institutions. Increasing emphasis was placed on culture (King, 1990), as mindsets around organizational behaviour slowly began to shift in the late 1960s. Pettigrew (1979) defined organizational culture as an “amalgam of beliefs, ideology, language, ritual and myth” (p. 572). He contended that individuals were the conduits for the transmission of organizational culture, pointing to the immense power that “culture” can wield over both individual and collective behaviours.

Cameron and Quinn (2011) provided the concept of organizational culture more depth and scientific rigour within the context of service-oriented organizations such as hospitals, financial institutions, and higher education. They articulated a more fulsome definition of organizational culture, to mean:

the taken-for-granted values, the underlying assumptions, expectations, collective memories, and definitions present in the organization. It represents how things are around here. It reflects the prevailing ideology that people carry inside their heads. It conveys a sense of identity, provides unspoken guidelines for how to get along and enhances the stability of the social system to which they belong. (p. 134)

In discussing the dominant methodologies used in organizational culture research, Masland (1985) notes, “The difficulty in studying culture arises because it is implicit. And we are all imbedded in our own cultures” (p. 160). Masland points to the benefits of qualitative approaches, such as interviews, direct observation and narrative document analysis, to identify and decode

the “cultural” facets of higher education institutions. More contemporary researchers (see Cameron & Quinn 2011; Obendhain & Johnson, 2004; and Zhu, 2015) have used behavioural and perception-based survey methodologies, which have resulted in larger and more persuasive findings.

Many of the aspects and critiques inherent to the concept of organizational culture can be traced back to major sociological thinkers including Durkheim, Marx, and Foucault. Consensus-based sociologist Emile Durkheim’s strong rejection of individualism in favour of social collectivism is closely connected the notion of organizational culture. Durkheim (1972) argued that “social norms” were created through individuals’ interactions with others and were shared as normative by the majority of society’s members. The idea of a “common” and “discrete” organizational culture likens itself to Durkheim’s concept of the “social contract”—wherein people act within the bounds of values and norms created and endorsed by the broader society. By extension, society could be understood as a macro, and all pervasive, master organizational culture. Durkheim also viewed education as an important “social institution;” thus, it could be argued that the dominant culture within traditional educational institutions reflects the values and norms of the broader dominant society. In his seminal work *Moral Education*, Durkheim (1886) argued that the primary goals of the institution of education was to instill moral “normative values” and a “spirit of discipline”.

In stark opposition, conflict-based sociologists, such as Marx, would argue that the notion of shared societal values/norms were tantamount to a propagandist tool used by the “elite” to maintain power and control. According to Marx educational institutions or any other formal organizations, whether business or government, were simply a means by which the elite or “bourgeoisie” controlled the masses or “proletariat” (Marx & Engels, 2012). Analyzing organizational culture through a neo-Marxist lens would suggest that such cultural discourses or narratives are set from the top and applied to all as a mechanism of social control. This less democratic view of organizational culture as a subversive mechanism of power and control was further extended by post-modernist Foucault who viewed culture s an inherently “hierarchical” compilation of values, which presumed to be “accessible” to all but, in reality, were mechanisms of “exclusion” and “selection” (Foucault, 2001).

Organizational Culture in the Context of Higher Education

Researchers (see Cameron & Quinn, 2011; King 1990) argued that the questions and concepts central to the organizational culture literature are highly relevant to higher education. Masland (1985) identified Clark (1980) as the first educational scholar to provide substantive comments on the organizational cultures of higher education. Clark identified four distinct cultural spheres: (a) the cultures of specific academic disciplines; (b) the culture of the academic profession; (c) institutional culture; and (d) the culture of the national system of higher education. He also recognized a number of factors as contributing to or detracting from the strength and persuasiveness of universities' culture. These include, but are not limited to, the institution's size, level of connectedness, age of incorporation and founding influences (Masland, 1985, pp. 158—159). Clark's observations and categories illuminate the complexity of defining and measuring "academic culture."

The democratic aspects of conventional academic culture, such as shared decision-making and collegiality, are prominent within higher education institutions. These qualities, according to Masland (1985), are forms of "participatory management which strengthen organizational culture and happen to be commonplace in American universities and colleges" (p. 158). Despite being a positive cultural attribute, in practice distributed and shared governance, may hinder difficult decision-making within universities. Individual professors typically align their influence (through Senates or other formal decision-making bodies) to their own interests, versus those of the university more generally (Eckel, 2000). This can stifle innovation and progress around institutional strategy and direction including as it pertains to academic integrity culture and change. There has also been increased recognition of the problems associated with "precarious employment" within the academic sector, and the broader labour force. With increased enrollments and sector-wide funding reductions, more contract teaching positions have been entrenched, which invariably affects culture within academic institutions.

A study by Deem, DeLotell, and Kelly (2015) sought to "investigate the relationship between employment status (i.e., full-time versus part-time), organizational culture and institutional effectiveness in higher education." (p. 564). Curiously, the study found no appreciable impact between employment status and cultural adoption but did reveal differences between individual institutions and their level(s) of "cultural adoption" (p. 577). This suggests that certain higher

education institutions are able to engage their adjunct faculty in meaningful ways to enable non-full-time academic staff to participate in the cultural narratives and institutional life.

Bolman and Deal's Four Frames

In their seminal four-frame model, Bolman and Deal (2003) stress the importance of thinking beyond any one frame or facet of an organization when conceiving of, and implementing, significant change. The authors state, "Multiframe thinking requires elastic movement beyond narrow and mechanical approaches for understanding organizations" (p. 16). Bolman and Deal contend that leaders must think holistically moving past the structural and human resource frames by considering the more nuanced political and symbolic frame assumptions and perspectives within their organizations. The study herein applies this model to better understand academic integrity change by examining institutional responses and considerations across the four frames; as well as seeking to better understand professorial support for multi-frame thinking and change management vis-à-vis academic integrity.

Bolman and Deal's model provides an ideal framework for understanding academic integrity change because it, academic integrity, is a complex organizational problem whose analysis benefits from considering the assumptions and dimensions inherent across the structural, human resource, symbolic, and political frames. As noted previously, the strategies and interventions commonly used by leadership in post-secondary to foster academic integrity are primarily structural in nature. The degree to which academic integrity is conceived of, or "framed", through the human, symbolic or political frames is less evident.

Bolman and Deal identify the core concepts and foci of the human resource frames as inclusive of understanding peoples' "needs, skills and relationships" and "strengths, foibles, reason and emotion" (pp. 16-18). Notably there are human resource considerations inherent to academic integrity change including the need for faculty training on related policies and procedures, time and support to carry out expected duties, and building trustful and supportive relationships. Whereas the core concepts of foci of the symbolic frame include "culture, meaning, metaphor, ritual, ceremony, stories" (p. 16). Some of the symbolic considerations central to realizing academic integrity change include, identifying and conveying meaning for why professors and other university staff should value academic integrity, addressing the culture, personal and professional ethics, and individual student, professor or institutional stories which frame

academic integrity. Lastly, the core concepts and foci of the political frame include “power, conflict, competition, and organizational politics” as well as “scarce resources and competing resources” (p. 16-18). Some of the political considerations central to academic integrity change include naming and addressing the power dynamics between students, their peer, professors and administration.

Bolman and Deal (2003) argue that for authentic organizational change to be operationalized leaders and managers must approach change through a mindset that is expressive, flexible, and creative (p. 16). Simply implementing a new or revised academic integrity policy or procedure or other structural response may have limited impact in the following conditions. These include key stakeholders not being made aware of the new policy or being supported and trained on the expectations and roles (human resources), the institution not engaging the appropriate stakeholders in consultation, and a failure to consider/mitigate perceived or actual power imbalances inherent within the institution (political). The impact will also be limited if the institutional values and organizational culture are not aligned with academic integrity (symbolic).

Additionally, political forces within universities and across stakeholder groups, including power imbalances or tensions between students, professors, and administration, need to be considered in relation to academic integrity strategy and culture. Lastly, the study was interested in examining the professoriate’s understanding and endorsement of considerations within the symbolic frame—including the relative value of building a shared academic integrity culture and the entrenchment of related values across the institution.

Bolman & Deal (2003) note that there is little agreement as to whether organizational culture is a product (i.e., outcome) or a process (i.e., change or movement). They state, “Culture is both a product and a process. As a product, it embodies accumulated wisdom from those who came before us. As a process, it is constantly renewed and re-created” (pp. 244–245). Understood from this vantage point, organizational culture is both adaptable and non-static and, therefore, by its very nature has the potential to enable change versus simply imposing a master narrative on organizational members.

The use of Bolman and Deal’s model in this study enables a view into the importance of assumptions and factors across the four frames as post-secondary institutions grapple with the need to implement comprehensive and resonate academic integrity change on their campuses. As

mentioned before, while this model has been used to inform leadership and change management efforts, in the current study the four distinct, but interconnected, frames were also used to better understand the distribution of efforts and approaches vis-à-vis academic integrity at the University.

Conclusion

In summary, when the academic integrity literature emerged, the studies attempted to assess the prevalence of student misconduct. The literature expanded to explore the antecedents and correlates of academic dishonesty and, lastly, to examine the effectiveness of diverse interventions ranging from deterrence through to ethical and cultural approaches. A brief review of the theories and literature on organizational culture and change was also provided to contextualize the approach used in this study.

Chapter 3 Methods

This chapter summarizes the research study's philosophical foundations, methodological approach, and design. The study's overarching research questions are stated. The site selection rationale is positioned within the study's adoption of a case study methodology. The design and methodological parameters for the research phases are summarized, including participant selection criteria, consent, provisions for confidentiality, data collection tools and analysis techniques. The study's methodological assumptions, limitations, and delimitations are also discussed. The ethical and administrative approvals are summarized. Lastly, the researcher's background and experience are discussed because they informed the study's research questions and the overarching approaches.

Methodological Foundation

The research problem(s) germane to the study were grounded in post-secondary practice, conventions, and culture and, as such, are well aligned with a pragmatic philosophy. As Creswell (2014) suggests "pragmatism as a worldview arises out of actions, situations, and consequences rather than antecedent conditions. There is a concern with applications— what works— and solutions to problems" (p. 10). The current study explored faculty, staff, and administrators' experiences and perceptions vis-à-vis academic integrity. The observations and considerations that followed are relevant not only to the research site, but, more broadly, to the post-secondary educational sector.

Another relevant quality of pragmatism is its methodological flexibility. As Creswell (2014) explains, social science researchers use "pluralistic approaches to derive knowledge about the problem" (p. 11). The current study's mixed-methods approach aligns well with the pragmatic worldview in that it combines qualitative approaches with quantitative approaches to gain as much insight as possible regarding the complex institutional issue of academic integrity. Additionally, exploring academic integrity through diverse multi-stakeholder lenses resulted in a rich understanding of the complexity inherent to the challenges and opportunities in furthering academic integrity.

Furthermore, as Creswell (2014) observes, "Pragmatists agree that research always occurs in social, historical, political and other contexts" (p. 11). The current study adopted a

contextualized view of academic integrity as existing within a fluid and evolving setting, which is affected by internal and external demographic, social, and political factors. Bolman and Deal's four-frame model, which informed the study's inquiry, is well aligned with the pragmatic view. This model encompasses not only measurable structural and human resource inputs but also stresses the importance of the organizational actions and considerations in the political and symbolic (or cultural) realms, which are inherently dynamic, complex, and context dependent.

The researcher posits that academic integrity is shaped by factors within the university, for example, the interactions between key stakeholder groups including students, faculty and staff/administrators; institutional strategies and policy; and institutional responses used to enhance academic integrity. Equally impactful to the state of and responses to academic integrity are the factors and trends experienced across the broader post-secondary sector and in society. These include changes in student diversity (e.g., academic readiness and educational systems of origin); technological changes; expansion of post-secondary; and the commodification of higher education. The trends affecting the post-secondary sector at a macro-level render the findings of the current study relevant to the sector in general as well as to the research site. Many of the factors and trends related to academic integrity have been incorporated in the survey and interview questions. The adherence to a pragmatic philosophy enabled the study's flexible mixed-methods approach and emphasis on real-world problems and solution-focused results, thereby facilitating a contextual understanding of academic integrity.

Methodological Approach

The research used a mixed-methods approach to examine academic integrity within the University. The study's focus was primarily concerned with the University's mandate and understanding of, and responses, to student academic integrity as well as different aspects and dimensions of institutional integrity.

The case study approach was used to explore institutional responses to academic integrity in what Bassey (2012) describes as a "localized boundary." The current study's boundary is the Faculty of Arts and Science as well as some of the central offices and functions related to academic integrity within University of Toronto (hereafter the "University"). Adopting a case study methodology requires researchers to "collect sufficient data to allow them to explore features, create interpretations and test trustworthiness" (Bassey, p. 4). This study collected and

analyzed three different data sources: official documents, key informant interviews, and faculty survey responses. The case study methodology also intended to “inform the judgements and decisions of practitioners or policy makers” (p. 4). While drawing from different paradigms and the academic literature, the study is foremost concerned with informing academic integrity decision-making and practice and institutional framing.

Research Phases

In phase one of the study, a wide range of institutional data were systematically retrieved, coded, and analyzed. The data sources reviewed included academic integrity structures, documents, policies, and web-based narratives. The rationale for analyzing the University’s key structures, documents and policy frameworks was foremost to better understand the institutional landscape, framing and approaches pertaining to academic integrity.

In phase two in-depth interviews were conducted with key informants which included faculty members, staff, and administrators whose roles supported academic integrity at the University. The rationale for conducting these interviews was to collect first-hand insights and experiences to supplement the analysis of institutional structures and secondary documents in phase one. Through the key informant interviewees, selected because of their direct or indirect involvement in the University’s academic integrity strategy and/or support to faculty and students, important challenges and opportunities were illuminated that would not have been evident from secondary academic integrity sources (i.e. The Code, supports for students, faculty) analyzed in phase one.

In phase three, a comprehensive faculty survey was distributed to select academic departments in the Faculty of Arts and Science (FAS) across the University’s three campuses. Faculty members were surveyed because they are at the intersection of teaching and learning and directly engaged with student academic integrity concerns.

The research phases were sequential with the findings from the institutional document analysis directly informing the approach and questions used in the key informant interviews and faculty survey. Specifically, the titles and nomenclature used in key policies, structures and strategic narratives, which were retrieved in phase one, were reflected in the interviews and survey tool. The survey was also informed by the empirical academic integrity literature and the theoretical framework of Bolman and Deal’s four-frame model. For example, Questions 7 and 8, which

gauge faculty members' views on the salience of student and institutional-level factors and the prevalence of academic misconduct were drawn largely from the reported research as summarized in Chapter 2. The questions in the third part of the survey were extrapolated from the four-frame model and applied to academic integrity responses and considerations.

A structured qualitative method, namely Guest, MacQueen, and Namey's (2014) used thematic analysis to guide the collection and analysis of the institutional data. The study's concepts were pre-coded, and the data were analyzed and reported through the thematic codes. The interview data collection was more structured due to the specificity of the questions, which allowed the narrative responses to be transcribed, read, and qualitatively summarized.

The third phase of the research study was largely quantitative and based on a mainly close-ended survey tool. The analysis of faculty responses ($n = 158$) was completed using descriptive statistics and, where appropriate, inferential statistics. The survey design allowed for comparison of results based on respondent characteristics, including academic discipline; length of teaching career; and primary campus of teaching.

The analysis of the study's three discrete sources of data was enhanced by the adoption of common theoretical models and concepts. Notably, both the institutional analysis and faculty survey drew extensively from Bolman and Deal's four-frame model. Whereas the institutional analysis and key informant interviews each used concepts from the academic integrity and organizational theory bodies of literatures. Refer to Table 1 for an overview of the study's data sources in relation to the primary concepts analyzed. Refer to Appendix F: Institutional Analysis Coding Chart for a more fulsome definitions of centralized, decentralized, educational/pedagogical, and enforcement/sanction oriented.

Research Scope and Question(s)

This study seeks to extend the analysis of academic integrity from the normative micro (individual) level to a broader macro (institutional/sectoral) level of inquiry. Through an examination of the University's structures, approaches, key stakeholder and faculty experiences

Table 1

Study Concepts Mapped Against Data Sources

Concept, Model	Institutional Analysis	Interviews	Faculty Survey
Bolman & Deal's four-frame model (structural, human resource, political, and symbolic)	X	n/a	x
Academic integrity approach educational/pedagogical versus enforcement/sanction	X	X	x
Degree of centralization The degree to which power and authority is distributed centrally (University wide) versus de- centrally (to specific campuses/departments).	X	X	n/a
Degree of transparency The degree to which “internal aspects of organizational activity” are made “externally available” (Neyland, 2007, p. 500).	X	X	n/a

and perceptions, the study critically examine where the emphasis on academic integrity is placed – specifically at the individual (i.e. student) and/or institutional (i.e. University) level(s). In an academic context, integrity can be measured by the degree of honesty and fairness in students’ academic work as well as in relation to all the inputs, outputs, interactions, structures, and processes within post-secondary institutions. Over the last decade, some researchers have begun to focus on the teaching and learning and institutional environments in which student dishonesty occurs. However, the dominant academic integrity discourse has not centered on these institutional foci. Rather emphasis has been placed on identifying and remediating “dishonest” student behaviour as the dominant academic integrity discourse, literature and practice.

The study’s recommendations seek to explore the institutional landscape within which academic integrity is situated and to identify the challenges and opportunities for enhancing academic integrity decision-making and culture within the University. Applying selected theoretical paradigms and concepts, the study examined academic integrity through the lens of multiple

stakeholder groups, including faculty, staff and administrators, as well as through the analysis of institutional structures and documents. The study's overarching research questions were:

1. How do key institutional stakeholders at a large multi-campus university, experience and perceive the complex issue of academic integrity?
2. To what degree are the University's academic integrity structures, documents, policies, and web-based narratives centralized versus decentralized, accessible or inaccessible, and educational/pedagogical versus enforcement/sanction focused?
3. How can the University's approach to, and framing of, academic integrity be analyzed and understood through Bolman and Deal's four organizational frames?
4. To what degree, are the University's guiding frameworks related to mission, research, and quality assurance, aligned or connected to its' academic integrity mandate?

Site Selection

This study collected and analyzed data from across the University's three campuses: St. George (SG) a larger and more graduate/research intensive campus; the University of Toronto Mississauga (UTM); and University of Toronto Scarborough (UTSC), both smaller and more undergraduate focused campuses.² Refer to Table 2 for a summary of University enrollments by campus (undergraduate/graduate). Situating the research study within this multi-level organizational context allowed for individual campus differences to be compared, and contrasted, to each other and those of the University as a whole.

The University of Toronto was selected because it is a large and well-established post-secondary institution with a centralized and decentralized governance structure. The University's multi-campus composition, as formally articulated in both the *University of Toronto Act* (1971) and the *Tri-Campus Framework* (2002), provided an ideal setting to carry out this research. The University's governance structure is well suited to the study's research questions because the multi-campus site allowed for the analysis of differences and similarities in how academic integrity is approached. Where possible, academic integrity structures, documents and

2. The researcher acknowledges that the University's Tri-Campus aspiration is to expand the breadth of research capacity and graduate studies across UTM and UTSC. However, the current student composition (undergraduate versus graduate), research intensiveness and overall size of the campuses do differ substantially.

approaches, and key stakeholder experiences and perceptions were examined both centrally and across the unique campuses. The existence of three semi-autonomous, yet inter-connected, campuses presented a unique setting within which to apply a case study methodology. Both the differences, and similarities, between campuses could thus be identified and illuminated on in the findings.

One of the demographic variables asked in the faculty survey was respondents' primary campus of teaching. This enabled the exploration of whether faculty experiences and perceptions differed in any significant way based on their primary campus of teaching. To ensure samples sufficient for statistical comparison, the survey responses from the two smaller and predominantly undergraduate campuses (i.e., UTSC, UTM) were collapsed into one group and compared against responses from the SG campus. For a breakdown of undergraduate and graduate student enrollments by campus, refer to Table 2.

Table 2

Student Enrollment by University of Toronto Campus (Undergraduate/Graduate)

Campus	Total Enrollment	Undergraduate Student Enrollment ^a	Graduate Student Enrollment (%) ^b
St. George Campus	61,339	43,820	17,519 (28.5%)
Mississauga Campus	14,885	14,186	699 (4.6%)
Scarborough Campus	13,853	13,517	336 (2.4%)
Total	90,077	71,523	18,554 (20.5%)

^a Enrollment data retrieved from <https://www.utoronto.ca/about-u-of-t>

^b percent of total number of students enrolled

Research Ethics and Institutional Approvals

An application for this study was submitted to the Research Ethics Board (REB) through the University's RAISE platform in May of 2018. The protocol application required the following information: the scholarly rationale; methodological approach including copies of the data collection tools; participant/data descriptions; recruitment processes; protocol for ensuring informed consent of participants; confidentiality provisions; and data security protections.

The REB protocol also included an assessment of "group vulnerability" and "research risk" related to participant involvement. In response to the *Tri-Agency Framework: Responsible Conduct of Research* (Government of Canada, 2016) criteria and guidelines for research involving human subjects, the researcher maintained that (a) the study was minimal risk, in terms of the potential risks resulting from the participation of research subjects and (b) the research participants, including University faculty and staff, were not representative of a vulnerable population per se. The research protocol (RIS #36181) was formally approved by the Office of the Vice-President Research and Innovation on July 2018 (Appendix A).

After the REB approval was secured, two additional applications were submitted to the University of Toronto's Provost's Office in accordance with the *Guidelines and Procedures Regarding Access to University of Toronto Faculty, Students, and Staff for Research Purposes* (2007). One application was for accessing staff and the other for accessing faculty. Following the signing of a Confidentiality Agreement (Appendix B), between the University and the principal investigator, approval to access faculty was granted by the Vice-Provost Faculty and Academic Life (Appendix C). Shortly thereafter, approval to access University staff was granted by the Office of Vice-President Human Resources and Equity (Appendix D).

Phase One: Institutional Analysis

In phase one, a wide range of institutional data were systematically retrieved, coded and analyzed. The primary sources included, but were not limited to, the Code of Behaviour on Academic Matters³ (hereafter "the Code"), the Tribunal structures and processes (for academic

³ Shortly after this phase of the research study was completed in 2018/19, the Code of Behaviour on Academic Matters was updated at the end of 2019. The citations and references in this document are from the 2016 version, although, the findings and recommendations to practice do not differ significantly based on the 2019 changes.

offences only), the Office of Student Academic Integrity (OSAI) for the Faculty of Arts and Science at SG, the divisional Academic Integrity Offices at UTM and UTSC, and the School of Graduate Studies. Also included were a range of student and faculty services and supports related to academic integrity. In alignment with the study's pan-organizational focus, a number of indirectly related University policies and strategic documents were also reviewed to determine the extent to which academic integrity, or related concepts, were reflected in the institution's strategic and policy frameworks.

As Creswell (2014) notes, there are many advantages to using publicly available documents as primary, or supplemental, data sources in qualitative research. Analyzing public documents allows researchers to: assess the "context-specific" language used; is a convenient and easily accessed source of data; and provides data that has been thoughtfully developed by the institution (pp. 191–192). However, official institutional documents and narratives are likely ideal approximations of how the University understands and/or approaches the complex issue of academic integrity. The findings from the key informant interviews and survey supplemented the institutional analysis and provided perspectives on everyday practices, challenges, and opportunities inherent to addressing academic integrity and misconduct. Approaching the data analysis in an integrated way will enable the identification of discrepancies, or gaps, between official documents and current practices, for example, how a policy is intended to be applied and how it is actually applied.

The data were, therefore, purposely curated, which according to Creswell (2014) is the preferred approach in qualitative research to ensure the inclusion of "participants or sites (or documents or visual materials) that will best help the researcher understand the problem and research question" (p. 189).

The institutional data were retrieved from the public domain, accessed directly through University website(s). Given that the information retrieved was openly available to all members of the University, as well as to interested external parties, no administrative or ethical approvals were required to access this data.

Institutional Analysis Inquiry

The institutional analysis component of the study was designed to contribute to the study's overarching research questions (#s 2, 3, 4) as articulated in the previous section. The specific questions guiding this phase of the study are stated below.

1. How does the University's overall approach to academic integrity align with Bolman and Deal's four-frame model, specifically regarding the inputs and considerations across the structural; human resource; political; and symbolic frames?
2. Is the University's approach to academic integrity/misconduct either, or both:
 - a. educationally and pedagogically oriented and/or enforcement and sanction oriented;
 - b. centralized and/or decentralized;
 - c. transparent and accessible and/or non-transparent and inaccessible?
3. How, or do, the University's research, mission and quality assurance frameworks connect to academic integrity?

While presented dichotomously, the concepts in Question 2 were not intended to be mutually exclusive. In the collection and analysis of the institutional data and the key informant interview findings, elements from both sides of these continuums were identified and reported.

Institutional Analysis Hypotheses

It was hypothesized that the University's overall approach to academic integrity (Q. 1) would be largely situated in the structural frame followed, in order of emphasis, by the human resource, symbolic, and political frames. A structural focus was hypothesized, given that the types of information and narratives generally presented in the public domain would most likely be a part of the University's structural apparatus such as key offices, policies and services. Additionally, many of the institutional sources analyzed articulated the roles and responsibilities relative to academic integrity for students, staff and faculty, and thus were reflective of the human resource frame. It was expected that the nuanced aspects of the symbolic frame (e.g., values, organizational culture) and political frame (e.g., power imbalances, unequal resource allocation, stakeholder conflict) would be less overtly reflected in the institutional data sources analyzed.

The researcher hypothesized that the University's approach to academic integrity, for example, academic integrity websites, writing and citation supports and teaching and learning supports, would be largely educational and pedagogical in nature. The researcher also hypothesized that the academic integrity policy framework (i.e., the Code), procedures, and adjudication processes would be largely enforcement and sanction oriented (Q. 2a).

It was hypothesized that University's academic integrity narratives and documents would include both centralized and decentralized approaches (Q. 2b). It was expected that the Code and Tribunal procedures would be more centralized, whereas student/faculty support and resources would be largely decentralized and apply to specific campuses or academic departments. Despite the highly centralized mandate of the Code, the researcher expected that most processes and services would be fragmented and decentralized. Lastly, it was expected that the University's academic integrity documents and processes would be largely transparent and accessible (Q. 2c). Such a finding would be consistent with the overall trend toward increased transparency and information exchange in publicly funded organizations, and in higher education in particular (Neyland, 2007).

While the research was unsure whether the Universities research, mission and quality assurance frameworks explicitly addressed or incorporated academic integrity (Q. 3).

Data Collection Tools

The institutional analysis was organized within six broad data categories: (1) academic integrity policy and strategy; (2) tribunal oversight: academic discipline; (3) divisional oversight: academic discipline; (4) student supports: academic skills development; (5) student supports: advising and advocacy; and (6) faculty/staff academic integrity supports. For a complete list of the institutional data sources retrieved, including URLs, refer to Appendix E. In addition, University policies and strategic documents deemed to be indirectly related to academic integrity were reviewed to determine the extent to which they explicitly referenced academic integrity and/or related concepts.

In total, more than 30 discrete sources of data were analyzed in the institutional analysis. All data sources were identified as belonging to one of the following institutional levels:

- University wide (UW) – centralized apply across the University (i.e., the Code, the Tribunal, School of Graduate Studies, Institutional Mission, Policies);
- St. George (SG) – decentralized campus specific (i.e., student and faculty supports/services and OSAI for Faculty of Arts and Science);
- University of Toronto Mississauga (UTM) – decentralized campus specific (i.e., student and faculty supports/services and UTM divisional Academic Integrity Office); or
- University of Toronto Scarborough (UTSC) – decentralized campus specific (i.e., student and faculty supports/services and UTSC divisional Academic Integrity Office).

Data Analysis Approach

A slightly modified version of Guest et al. (2014) applied thematic analysis was used for the institutional analysis. This structured qualitative method was used to analyze the large dataset as follows: articulation of key themes based on research questions; delineation of codes; data retrieval; data segmentation and categorization; and data coding; and thematic reporting. Refer to Figure 1 for an overview of the analysis approach used.

Guest et al. (2014) define a theme as “A unit of meaning that is observed (noticed) in the data by a reader of the text” (p. 3). The themes used in the institutional analysis phase of the study were Bolman and Deal’s four-frame model, the concepts of educational/pedagogical and enforcement/sanction-oriented responses, and the degrees of centralization and transparency. Each theme was assigned a unique code, which Guest et al. (2014) define as “A textual description of the semantic boundaries of a theme or a component of a theme” (p. 3). For a copy of the codes used in the institutional analysis, including operational definitions, refer to Appendix F.

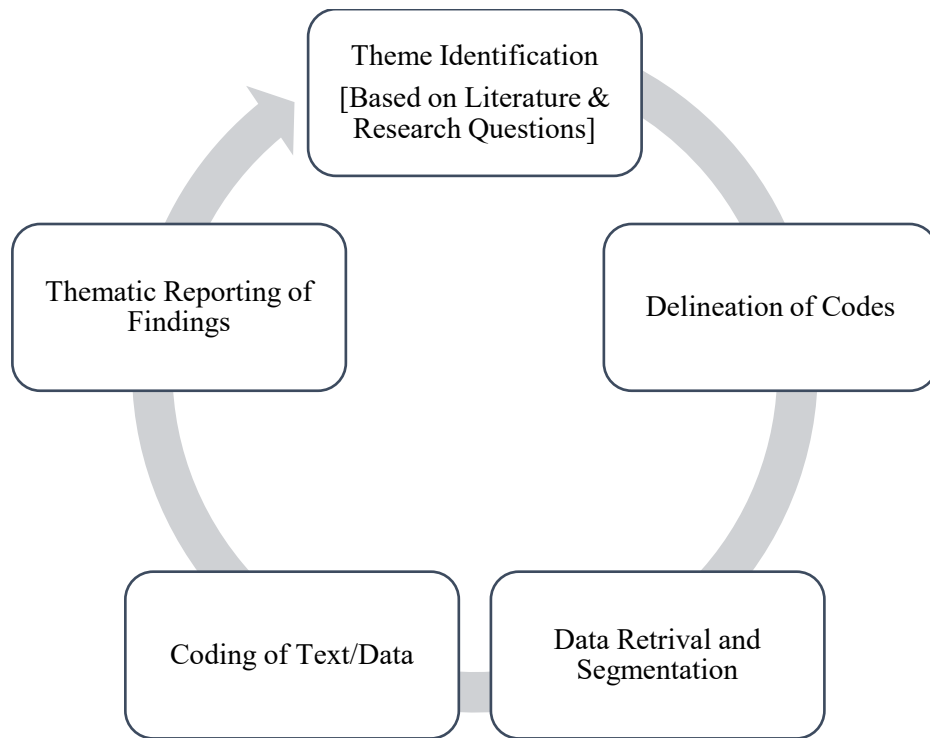


Figure 1. Model of institutional analysis in qualitative thematic approach.

After the institutional data were retrieved, the sources were coded. The data were then systemically reported through the coding framework across each category. The approach to segmentation was to analyze each data source and comment, in general, on its attributes within the broader data category. Using coding logs, the data sources were read and the text was tagged with the study's predetermined codes. The coding was supported by the inclusion of brief comments and, in some cases, direct quotes and/or a unique nomenclature were extracted.

Rather than use a qualitative software analysis tool, the researcher manually read and coded the textual data. A manual approach was used to avoid losing the important context of the narratives and documents, a possibility if software had been used. Where appropriate, especially for the indirectly related institutional documents, Word® and Acrobat® text search tools were used in the initial scan of the documents. Website content was cut and pasted into Word documents to allow for detailed review and accurate coding. Given that the data collection, coding, and analysis were completed by a single researcher, there is a high degree of consistency with the prescribed method for the coding and reporting of data.

Phase Two: Key Informant Interviews

The key informant interviews were initially envisioned as being a supplemental data source to the institutional analysis. However, the scope and findings were substantial enough to be analyzed and treated as a stand-alone source of data. In total, 10 interviews were conducted over a two-month period: seven at the SG campus, two at the UTM campus, and one at the UTSC campus. There were no methodological concerns regarding the small sample size, given that individual responses were not compared or contrasted in any systemic manner. The interview results are reported in Chapter 5 and are integrated, where relevant, with the broader institutional analysis and survey data in the final discussion chapter.

The interview participants were selected because their roles related to academic integrity at the University. As Creswell (2014) notes in qualitative research the purposeful selection of participants and documents “will best help the researcher understand the problem and research question” (p. 189). Reviewing official institutional documents, such as policies and procedures, provides one institutional lens that is best augmented by actual stakeholder experiences and perceptions. In part, the interviews, along with the faculty survey responses, provided additional insights, which could not be inferred from documents and structures alone.

It has been well documented in the academic integrity literature that there is often a significant disconnect between institutional policy frameworks and the means through which academic integrity concerns are addressed in practice. Bretag (2016a) identifies one of the important outcomes of Australia’s *Academic Integrity Standards Project: Aligning Policy and Practice in Australian Universities* (2010–2012) as the need to “develop a shared understanding across the Australian higher education sector of academic integrity standards with the aim of improving the alignment of academic integrity policies and their implementation” (p. 28). The interview findings shed light on some of the shortcomings and potential areas for improvement between the University’s formal policy framework and procedures and their actual implementation.

Key Informant Interview Inquiry

The interview component of the study was designed to contribute to the study’s overarching research questions (#s 1, 2) as articulated in the previous section. The interview questions included a combination of structured and open-ended questions. This format allowed interview

participants to share additional information and perspectives not explicitly asked. The first question probed interviewees on how their current position and duties were connected to academic integrity and/or misconduct at the University. Responses to this question were not reported in the findings to protect the confidentiality of the participants, but, nonetheless, were extremely valuable because they provided “context” for probing and understanding participants’ perspectives, and experiences.

Below the questions that guided the inquiry for the study’s key informant interviews. As indicated above this data source was intended to supplement the institutional analysis. For a complete copy of the interview script, refer to Appendix G.

The second question asked for the participants’ views on the current state of academic integrity at the University and to comment on the current state of academic integrity any historical changes observed over the last five to ten years. Other questions solicited feedback on key stakeholder groups (Q. 3) as well as the strengths and limitations of the University’s *Code of Behaviour on Academic Matters* including supporting processes at the divisional and Tribunal levels (Q. 5).

Question 4, which asked participants to identify the key structures, documents, and services supporting the University’s approach to academic integrity, were summarized. Responses to this question were also used to ensure the completeness of the data sources analyzed in the study’s institutional analysis.

The questions in the second part of the interview were framed around the study’s broader concepts from the academic integrity literature – namely the degrees to which the University’s overall approach to academic integrity is pedagogical/educational or punitive/enforcement oriented; centralized or decentralized; transparent/non-transparent; and accessible/inaccessible. While these questions were presented dichotomously, the respondents invariably provided examples and approaches that reflected a broad range on the continuums provided.

Selected direct quotations from interview respondents were included in the results summary for emphasis and were attributed to participants’ pseudonyms. Additionally, unique nomenclature and phrasing used by individual and/or multiple participants was included in quotation marks but

not attributed to specific participant(s). The inclusion of interview participants' direct quotations and specific phrasing ensured that the voices of participants remained prominent in the analysis.

Key Informant Interview Hypotheses

The researcher hypothesized that respondents would view academic integrity and misconduct as a pressing concern that has worsened over the last decade (Q. 1), perhaps due to students' increased access to technology, the larger size of classes, or other changes in the student population. It was expected that respondents would identify the two primary academic integrity stakeholder groups as students and faculty members (Q. 2). It was further hypothesized that respondents would identify examples of the University's approach to academic integrity, which is an educational and pedagogical blend and is enforcement and sanction oriented (Q.4a). The researcher expected that respondents would identify institutional approaches as both centralized and decentralized, specifically, more centralized for policy frameworks and more decentralized for student and faculty academic integrity supports and resources (Q. 4b). It was expected that overall, the interviewees would view the academic integrity approaches of the University to be largely transparent and accessible, with some areas, notably policy and procedure, in need of enhancement (Q. 4c).

Participant Selection and Recruitment

The interviewee pool included faculty members, staff, and administrators whose roles and/or offices supported the University's academic integrity mandate. In total, 17 prospective participants, who were identified during the institutional analysis phase, were contacted by email in early fall 2018; 10 agreed to be interviewed. All communications were sent through the University's email server. For a copy of the invitation to participate in the study interviews, refer to Appendix L, and for supplemental information provided to the participants, see Appendix H. The recruitment message and supporting documentation reinforced the confidentiality protections for the interview participants. Suggested dates for interviews were provided from the last week of September to mid-October 2018; however, later interview dates were accommodated. The option for an in-person or a telephone interview was provided. Once the interviews were confirmed, the researcher sent the participant the consent statement Appendix I: as well as a copy of the questions Appendix G: to review in advance.

Interview Procedure

A consistent approach to the administration of interviews was followed irrespective of whether the interview was conducted in person or over the telephone. The researcher began by providing interviewees with a brief description of the study's purpose and methodology. Thereafter, the researcher confirmed that the participant had received a copy of the "Interview Participant Information and Consent Letter" (Appendix H). The researcher then reviewed the "Interview Consent Statement & Form" (Appendix I), which includes the participant's right to withdraw consent, in full or part, at any point before, during or after the interview.

The researcher secured consent either verbally (over the telephone) or written (in person) for participation and then witnessed the consent form. A second, and optional, consent was secured to audiotape the interviews. The audio recordings assisted the researcher in ensuring the full and accurate transcription of interview responses. All 10 interviewees consented to participate in the study and to have their interviews audiotaped. The interviews ranged from 45 minutes to one hour in length.

Informed Consent and Confidentiality

Ensuring the informed consent and confidentiality of the study's interview participants was critical. Before beginning the interviews, the researcher read the study's consent statement verbatim and asked participants whether they had any questions or required clarification. For the in-person interviews participant signed, and the researcher witnessed, consent forms. For the telephone interviews, the researcher signed on behalf of the participant after being given verbal consent and then witnessed the consent forms. The participants' right to withdraw consent at any time before was reinforced. A secondary consent was secured for permission to audio record interviews to assist in transcription. All audio recordings were deleted from the recording device directly after the interview was transcribed, typically within one day of the interview. The signed interview consent forms were securely maintained by the researcher in a locked file cabinet.

Full confidentiality was assured to create a climate of trust and candor. Beyond a general description of interview participants being connected to the University's academic integrity mandate, no other identifying information, such as specific roles, titles or offices, was reported. All interview participants were assigned a pseudonym (#s I01 to I10), which were used for the

transcriptions, analysis and reporting of results. The researcher created a master list to reconcile interview participants' names and pseudonyms, which is securely stored in a locked file cabinet and on a password-protected computer. Selected interview quotations, attributed to pseudonyms only, were included in the interview results chapter. As reflected in the research ethics application and approval for this study, the confidential interview participant information (i.e., participant names, pseudonyms and transcripts) will be kept only for the duration required under the Research Office procedures, for compliance and audit purposes, after the study's protocol is closed.

Data Collection Tools

The data collection tool was a semi-structured interview that was divided into two sections. The first section asked participants general questions related to the University's approach to academic integrity. The second section included more specific questions pertaining to the study's theoretical concepts. Ten questions, some multi-part, covered interview participants' experiences and perceptions regarding academic integrity at the University.

The issues investigated in the first section of the interview included participants' reflections on the current state of academic integrity, historical changes if any, key stakeholder groups, academic integrity structures and documents, and strengths and limitations of the Code and of institutional approaches to multi-stakeholder communication. The second asked participants to reflect on the University's approaches to academic integrity in relation to their educational and pedagogical orientation versus enforcement and sanction orientation and degree of centralization; and degree of transparency. In Questions 7–9, each conceptual framework was supported by a five-point Likert scale intended to measure the degree to which respondents felt that the University's overall approach to academic integrity is either/or balanced between an educational/pedagogical orientation versus enforcement/sanction orientation, centralized versus decentralized, and transparent versus non-transparent.

Data Analysis Approach

A qualitative approach was used to analyze the interview data. Given the strong conceptual structure built into the interview questions, a straightforward qualitative analysis approach was used. Responses to each question were merged, with pseudonyms attached, then read and

thematically summarized. Additionally, open feedback captured at the end of the interview was summarized and presented thematically to capture participants' other reflections or thoughts.

A descriptive summary of the responses for each question has been provided and, where appropriate, the interview findings were organized around emergent themes. Due to the relatively small number of interviews conducted, individual responses were not compared in any systematic way but, rather, were descriptively summarized and reported. The interview analysis was completed manually because of the manageable number of interviews ($n = 10$) and because the principal researcher conducted and transcribed all of the interviews.

Phase Three: Faculty Survey

For the final phase of the study, a survey instrument was developed and sent to faculty members from select academic departments in the Faculty of Arts and Science (FAS). FAS was selected because as a Faculty it is proportionally spread across the three campuses and includes departments that align to both arts/humanities and pure/applied sciences disciplines controlled for in this study. Using a survey, rather than only interviews, allowed for the collection of a larger number of responses ($n = 158$) representative of the faculty stakeholder group.

Faculty Survey Inquiry

The survey component of the study was designed to contribute to the study's overarching research questions (#s 1, 3, and 4) as articulated in the previous section. For a complete copy of the survey instrument refer to Appendix M Academic Integrity Faculty Survey. The following specific questions guided the faculty survey to assess the experiences and perceptions of this important stakeholder group:

1. What are faculty members' experiences and perceptions regarding academic integrity and misconduct, specifically, regarding:
 - a. concerns encountered in their undergraduate courses, graduate courses and supervised student research; and
 - b. perceived concerns in the general contexts of respondents' programs/departments, across the University and post-secondary sector?
2. What is the importance of individual student factors as compared to institutional/situational factors in student integrity and misconduct?

3. What is the impact of eroding academic integrity on the institutional outcomes of quality assurance; research mandate; and university reputation/ranking?
4. Where does the locus of responsibility rest, on a continuum of students – university, for developing and fostering a culture of academic integrity?
5. How do faculty members assess the relative importance of academic integrity approaches and/or considerations across the four-frame model (Bolman & Deal, 1997)?
 - a. To what degree do faculty members value the adoption of multi-frame thinking and decision-making vis-à-vis universities' response to academic integrity?

Faculty Survey Hypotheses

The researcher hypothesized (Q. 1a) that academic integrity concerns would be reported as being more frequent in undergraduate courses than in graduate courses or in supervised student research. This finding would be consistent with student self-report studies, reported in Chapter 2, which consistently report higher rates of academic misconduct amongst undergraduate students as compared to graduate students. The researcher also hypothesized (Q. 1a/b) that faculty would perceive the academic integrity concerns they experienced to be less frequent/common than those experienced within the generalized contexts of respondents' programs/departments, the University and broader post-secondary sector.

Given the published literature and institutional narratives' predominant focus on student causes of academic misconduct, the researcher hypothesized (Q. 2) that faculty would assess individual-level student factors as being overall more important than institutional-level factors in contributing to academic dishonesty. Regarding the institutional impact (Q. 3), the researcher hypothesized that faculty would view academic quality to be the most negatively affected, followed in order of importance by the research mandate and the University's reputation/ranking. For the question (Q. 4) on faculty members' assessment of the locus of responsibility for fostering a "culture of academic integrity" it was hypothesized that respondents would view this as a responsibility shared between students and the University.

Question 5, pertaining to organizational responses to academic integrity, has not been empirically studied and, further, there are no published academic integrity studies that have used Bolman and Deal's four-frame model. The researcher expected that faculty would exhibit a preference for structural approaches (e.g., University policies, procedures, offices, and services)

relative to the other institutional frames. The researcher further hypothesized that faculty respondents would assess human resource factors to be important in terms of training and knowledge to uphold the University's academic integrity policies and expectations. Faculty perceptions of the political and symbolic frames were less certain. Finally, the researcher hypothesized (Q. 5a.) that, overall, faculty would assess multi-frame decision-making to be very important vis-à-vis institutional responses to academic integrity.

Participant Selection and Recruitment

The survey was sent to 1,020 ($N = 1,020$) faculty members. One hundred and fifty-eight ($n = 158$) completed the survey, resulting in a response rate of just over 15%. The study defined the scope of "faculty members" to include not only full professors but also other teaching staff including sessional, lecturers and instructors. Teaching assistants, while important stakeholders, were not included because of the difficulty in obtaining their contact information and because they would have significantly less experience with integrity issues. Visiting professors were also excluded because they may not have had sufficient familiarity with the University's academic integrity approaches and culture. Lastly, emeritus professors were also excluded because it could not readily be determined whether they were actively teaching or conducting research.

Some academic departments in the Faculty of Arts and Science were omitted because they did not fit in the focus in arts/humanities and pure/applied sciences. The departments omitted included a number of social science and interdisciplinary departments, for example Sociology, Political Science, Economics, and Psychology. For a complete list of the academic departments and the corresponding number of participants, refer to Appendix J.

Participant email addresses were manually retrieved from the departmental websites. Only faculty members with University email addresses listed were included in the survey distribution. All communications, refer to Appendix K, were sent through the University of Toronto email server. Prospective survey participants were sent an email invitation to participate in the anonymous online academic integrity survey. For a copy of the invitation, see Appendix L. The email invitation included an embedded link to the Survey Gizmo® platform where faculty members could access and complete the anonymous survey electronically.

Participant Consent and Confidentiality

A consent statement was included at the beginning of the online survey and on the survey submission screen. All information collected was de-identified to ensure the complete anonymity of respondents. Furthermore, the survey was launched in the Survey Gizmo platform, which enabled the researcher to suppress respondents' IP (Internet Protocol) addresses—a further protection of anonymity. The survey responses were stored in a password-protected account on Survey Gizmo's Canadian server. Shortly after the survey closed, the survey data were exported into Excel® and then SPSS® to conduct the statistical analyses. The Survey Gizmo account was closed and, after two weeks, the principal investigator received confirmation that the data had been erased from the third-party server.

Data Export, Cleaning and Missing Values

The survey responses were collected through the Canadian server of Survey Gizmo®. The raw data were exported from Survey Gizmo into Excel®. The data cleaning of the Excel (*.csv) file mainly involved changing narrative responses into numerical inputs and renaming variables and inputting missing values. The Excel file was then imported into an SPSS® file (*.sav), where additional information was input to the variable labels, values, missing values and measurement scales.

Three discrete missing values were input into SPSS. The response option of “I do not know” was assigned a missing/null value of 75 and “not applicable” was assigned a missing/null value of 99. Where the question was not answered and left blank, a missing/null value of 50 was assigned. In the descriptive and inferential statistics, all three missing values were excluded from the calculations and analysis.

Data Collection Tool

A draft survey instrument was piloted in late summer 2018 with six professors from different Ontario post-secondary institutions. As a result of the pilot, a number of significant changes were made to the survey tool including, removing and altering the wording of some questions and adding additional options for response to some questions. Two of the pilot reviewers recommended adding supplemental responses, either “not applicable” or “I don't know,” to some questions to ensure that respondents always had a viable option.

A comprehensive survey instrument (Appendix M) was developed; the survey questions drew extensively from the academic integrity literature. There are few (see McLeod & Eaton, 2020; Lau, Haug, & Wright, 2012; Coren, 2011) academic integrity surveys that explicitly explored faculty perceptions regarding organizational impacts, responses and, more broadly, decision-making. The McCabe survey, which was administered across different post-secondary institutions, included some questions regarding institutional responses. However, this widely used survey mainly focused on faculty members' experiences with student academic integrity. Consequently, the survey tool used in this study, was developed by the researcher drawing from the available empirical literature as well as Bolman and Deal's four-frame model.

The first part included four demographic questions, hereafter "respondent characteristics," that asked about category of employment (i.e., professor; professor with administrative appointments; or "other" faculty member); years of post-secondary teaching (i.e., 5 or fewer; 6-15; or 16 or more years); primary campus of teaching (i.e., SG; UTM; and/or UTSC); and broad academic discipline (i.e., arts/humanities; pure/applied sciences; or other). Including these questions allowed the survey results in parts two and three to be analyzed across the respondent characteristics.

The responses to the employment category were not used in the analysis because the majority of respondents ($n = 128$ or 81%) were professors, thus making a comparison of the sub-groups statistically unfeasible. For the years of teaching, the first two options of 5 or fewer and 6-15 years were merged into one group (i.e., 15 or fewer years) and compared against respondents who had taught for 16 years or longer. These groups were consolidated to ensure sample sizes that were sufficient for statistical comparisons. For the primary campus category, the UTM and UTSC responses were merged into a single group and compared against the SG responses. Again this was done to ensure sufficient sample sizes for analysis and because the smaller UTM and UTSC campuses had similar student demographics and campus size.

The second section of the survey included questions on the prevalence of academic integrity concerns and their perceptions of the frequency of such concerns across their programs/departments, the University, and post-secondary sector generally. Other questions in this section measured views on individual-level student and institutional factors and their impact on student academic misconduct. Another series of questions measured the relative impact of academic

dishonesty and misconduct on core University functions/outcomes including academic quality, research mandate, and institutional reputation and ranking. Lastly, respondents were asked to identify the locus of responsibility for fostering a culture of academic integrity, on a continuum between students and universities.

The third section included questions about the importance of academic integrity approaches and considerations across the structural, human resource, symbolic, and political frames. The final question asked respondents how important they believed it was for universities to take into account considerations from across all four frames when making decisions and implementing significant changes to their institution's academic integrity approach.

The survey questions used a combination of nominal and ordinal measurement scales. The demographic questions, with the exception of the question about years of teaching, used nominal scales of measurement with mutually exclusive categories. The rest of the questions were ordinal in nature and used Likert scales to assess respondents' perceptions and/or experiences on a range of matters related to academic integrity.

Data Analysis Approach

In addition to the overall descriptive statistical summary of the survey results, the data were also analyzed to determine whether there were any significant differences in the responses across the study's respondent characteristics. Selected inferential statistics were calculated to compare responses between and within specific questions. Neither correlations nor observed relationships between variables can be conflated with causation. This limitation is particularly salient in research that uses a non-experimental design in which there are no control groups. Furthermore, because of the complex and fluid research setting of this study, it is impossible to identify and control for all possible factors. Therefore, in the current study statically significant findings were reported as observed differences instead of as causal relationships.

The analysis was largely quantitative. The SPSS® software was used to calculate descriptive statistics, including frequencies, means, averages, and standard deviations. Selected inferential statistical analyses, including Pearson *r* correlation coefficients and *t*-tests of the significance of differences between independent means, were also calculated. Independent sample *t*-tests were run to determine whether differences in the findings across the respondent characteristics were

statistically significant. A significance threshold, or p value, of .05 was used and only statistically significant differences are reported.

A qualitative narrative analysis approach was used to summarize and report common themes from the optional open-ended question that was part of Question 7. It asked respondents whether, based on their own experiences and perceptions, whether academic dishonesty concerns have become worse over the last decade.

Methodological Limitations, Assumptions, and Delimitations

It is impossible to rule out response bias in the survey results because the participants choose whether to complete the survey based on their views and experiences. The researcher is confident, however, that the respondents ($n = 158$) are sufficiently diverse, based on the characteristics of years of teaching, discipline of origin, and primary campus of teaching.

The study's key informant interview population was non-randomized, with participants selected largely by virtue of the offices and roles they held in connection with the academic integrity mandate.

Because post-secondary institutions are dynamic environments, not all factors, internal or external, can be fully controlled for. The study is not experimental because there were no control groups and, therefore, any correlations identified in the survey data cannot be attributed to a cause and effect relationship. They were reported as statistically significant differences.

Another methodological limitation relates to the generalizability of the findings. As the survey population, key informants, and institutional structures and documents are from a single University, the findings and conclusions cannot be generalized across the broader post-secondary sector. However, given the similar sector and institutional factors affecting academic integrity, the study's recommendations and calls for future research may well be relevant to other post-secondary institutions.

An additional limitation, or de-limitation, is that the experiences and views of students, as a primary academic integrity stakeholder group, are not reflected in the methodology or data collected. Given the paucity of empirical research examining the experiences and perceptions of faculty members and other institutional actors, the researcher chose to focus on these

stakeholders. In addition, the researcher posits that students are less directly involved in institutional change than are faculty, although they should still be consulted.

As with any research study, the methodology selected underscore certain key assumptions. A major assumption in this study is that public-facing documents accurately reflect the values, intentions, and practices of a given institution. For example, a university's framing of academic integrity may be decisively educational and/or pedagogical, while the actual approach to academic misconduct might be more punitive or vice versa. It is conceivable that official publicly facing narratives may differ from institutional practices. Supplementing the institutional document analysis with the interview and survey findings will mitigate the risk of official bias.

This study has delimitations in that some questions, data and interpretations will not be addressed. This study does not intend to empirically collect or analyze rates of academic misconduct at the University. Furthermore, the study does empirically assess the efficacy of the University's academic integrity structures, policy framework or strategy, but, rather, analyzes these institutional inputs through the study's pan-institutional lens.

The study's research questions and methods do not explicitly include the experiences and perceptions of students. Their views or experiences are nonetheless well reflected in the broader academic integrity literature and empirical data. Certain aspects of the student experience vis-à-vis academic integrity have been measured through the faculty survey (i.e., importance of individual-level student factors and/or student focused institutional responses) as well as in select interview questions. This study is chiefly concerned with the institutional structures, interventions as well as the overall levels of academic integrity within the University. Framing the analysis in this way challenges post-secondary institutions to shift their focus away from what students are, or are not, doing to questions of how best to foster the institutional conditions for academic integrity to thrive.

Another delimitation is that the results reflect the experiences and perceptions of the respondents from the institution included in the study. Consequently, the findings cannot be generalized to the post-secondary sector in Ontario, Canada, or elsewhere. Notwithstanding this limitation, in drawing from established themes in the empirical literature, the researcher does make some general inferences in terms of broader sector impacts and policy considerations pertaining to academic integrity.

Role of the Researcher

Researchers approach their subject matter with personal and professional experiences and biases. Over the last 15 years of my career in post-secondary, specifically within Ontario's college sector, I have encountered the complex issue of academic integrity as a faculty member and an administrator. Most of my professional involvement with academic integrity has been as an academic administrator and as a chair of two policy review committees. Therefore, I have had significant experiences interacting with students, faculty members, and other staff in responding to academic integrity concerns. In my associate dean role, I have chaired the Academic Integrity Policy Review Committee in 2012 and in 2016. I have also contributed to Sheridan's broader strategic academic integrity approach to education and prevention.

I have also been fortunate to be a part of active communities of AI professionals through my membership in, and engagement with, the Academic Integrity Consortium of Ontario (AICO) and the International Centre for Academic Integrity (ICAI). I have presented at regional and international academic integrity conferences on the efficacy of policy instruments, approaches to stakeholder engagement, and exploring academic integrity through organizational theory.

These professional experiences have reinforced my understanding of the complexity of academic integrity. They have also reinforced my understanding of the diversity of experiences, and lenses, across different stakeholder groups including students, faculty/professors, administrators, library and student affairs staff and student government. My engagement with these institutional stakeholders and like-minded colleagues has stimulated a passion and desire to learn more about and contribute toward an enhanced understanding of the challenges and opportunities related to academic integrity.

Organization of Analyses and Findings

The study's three data sources were reported on individually in Chapters 4, 5 and 6. Additionally, the results have been summarized and holistically integrated in Chapter 7 and where possible contextualized in the existing academic literature. Chapter 8 presents some overarching themes and presents both recommendations for practice and further research.

The study is foremost concerned with increasing understanding of the institutional positioning and approaches to academic integrity from different stakeholder vantage points. Using ideas and

concepts derived from the academic integrity literature as well as the organizational theory and higher education literature, the study seeks to expand institutional knowledge and approaches to academic integrity.

Chapter 4 Institutional Analysis Results

This chapter summarizes the results from the study's institutional analysis in which data on the University's academic integrity structures, documents, policies, and web-based narratives was retrieved and analyzed. These data were selected for review because they are foundational to the University's academic integrity mandate.

As reported in Chapter 3, the institutional data sources were organized in six broad categories that were analyzed and reported through the study's theoretical and conceptual framework. For the retrieval information for each data source, including ULRs, refer to Appendix E. Refer to Table 3 for a summary of the institutional data sources reviewed. For a list of the codes, including operational definitions, used in the institutional analysis, refer to Appendix F. Lastly, for a coding summary of each individual data source, refer to Appendix N. The primary policy document reviewed was the Code of Behaviour on Academic Matters (see Appendix O).

Table 3

Summary of Institutional Data Sources Reviewed

Category	Data Source
Academic Integrity Policy and Strategy	Academic Integrity at the University of Toronto Website
	Academic Offences Process Chart - Tribunal
	Code of Behaviour on Academic Matters
	Vice-Provost Students - Student Rights and Responsibilities Academic Integrity
	University of Toronto's Institutional Mission Statement – indirect
	Statement of Institutional Purpose (Governing Council) – indirect
	Ethics in Research Policy – indirect
	Allegations in Research Misconduct (Procedure) – indirect
	University of Toronto Quality Assurance Policy – indirect
Tribunal Oversight: Academic Discipline	Office of Academic Discipline and Faculty Grievances (ADGF)
	ADFG operates under authority of the Governing Council
	Tribunal Process Overview

Table 3 continued

Category	Data Source
Divisional Oversight: Academic Discipline	Faculty of Arts & Science - Academic Integrity (SG)
	Faculty of Arts and Science - Office of Student Academic Integrity (SG)
	Vice Principal Academic & Dean - Office of Academic Integrity (UTSC)
	Academic Integrity for Faculty (UTSC)
	Academic Integrity @ UTM
	Associate Dean: Academic Integrity (UTM)
	Academic Integrity at UTM: A Handbook for Instructors 2018
	School of Graduate Studies – Academic Integrity
	Guidance and academic misconduct process for all graduate students (SGS)
	Procedure – Violations of the <i>Code</i> (SGS)
Student Supports: Academic Skills Development Student Life (SG)	Student Campus Life (UTM)
	Student Affairs Life (UTSC)
	Centre for International Experience
	English Language Learning (SG)
	English Language Development (UTSC)
	University of Toronto Libraries (+ UTM, UTSC)
	U of T Writing Website
	Preventing Plagiarism (Students)
	Deterring Plagiarism (Faculty)
	Writing Centre (FAS College Affiliated Writing Support)
Student Supports: Advising/Advocacy	Robert Gillespie Academic Skills Centre – Writing Support
	Academic Advising and Career Centre – Academic Integrity (UTSC)
	Office of the Registrar (SG)

College Registrar Contacts (SG)

Office of the Registrar (UTM)

Office of the Registrar (UTSC)

Ombudsperson Office Website: Annual Ombudsperson Reports

Student Unions (UTSC and SG/UTM)

Faculty/Staff Academic
Integrity Supports

Centre for Teaching Support & Innovation (CTSI): Relevant Academic
Integrity Resources

Teaching and Learning Collaboration (UTM)

Centre for Teaching and Learning (UTSC)

Institutional Analysis Results

In total, more than 30 institutional data sources were retrieved and analyzed. The majority of structures, documents and narratives examined in this research phase related directly to academic integrity and/or misconduct. Whereas other sources reviewed were only indirectly related to academic integrity. These policies and narratives were examined to determine how, or if, academic integrity and/or related concepts were reflected in the University's mission, research and quality assurance frameworks.

Where appropriate, the researcher also comments on the intended audience or stakeholder group for each data source and/or category. The degree to which post-secondary institutions successfully blend information and resources for multiple audiences (i.e., students, faculty and staff) has been identified as a best-practice, which enhances understanding among and between academic integrity stakeholder groups.

Academic Integrity Policy and Strategy

This section summarizes the University's foundational sources on academic integrity, include, the Code of Behaviour on Academic Matter (hereafter the "Code") and the Academic Integrity at the University of Toronto website (hereafter "Academic Integrity website"). The Code's supporting structures and documents will be analyzed in the following sections on Tribunal

Oversight: Academic Discipline and Divisional Oversight: Academic Discipline, whereas this section will focus on the Code as the primary policy document.

The University's Academic Integrity website is a multi-stakeholder, web-based resource, which includes information and resources for students, faculty, teaching assistants, and staff. The content is intentionally blended for the multiple audiences. The "Smart Strategies" section explicitly states the importance of mutual understanding regarding academic integrity: "The section intentionally combines information intended for students and instructors (rather than offering separate sites) to signal that this important issue requires the attention and effort of all members of the academic community."

Degree of Centralization and Transparency

The Code is the principal policy framework, which guides the institution's redress of student and faculty academic offences. For a copy of the Code, refer to Appendix P. The Code is a highly centralized document and endorsed by the University's Governing Council; as such it applies uniformly across the University's campuses, divisions, faculties, and departments. Notwithstanding the Code's centralized mandate, the framework does delegate local, or "divisional," powers and duties for the redress of student academic offences. With notable exceptions, before a case can be referred to the Tribunal level through the Provost's Office, it must be processed at the divisional level. The Code is transparent as it clearly articulates the behaviours deemed to be academic "offences" (Section B) as well as the "procedures" and authorized "sanctions" at both the divisional and Tribunal levels (Section C). The Code's Appendix A: Interpretations includes definitions and contextual explanations for some of the key terms and authorities. The Code's Appendix "C": Provost's Guidance on Sanctions, an addition in the last revision, which was completed in 2015, further enhances transparency by suggesting a range of appropriate sanctions for both the divisional and Tribunal levels. Lastly, the Code is posted on the highly visible and accessible Governing Council (GC) policy website. Many of the University's websites related to academic integrity or offices also link directly to the Code on the GC's website.

Notwithstanding the transparency and accessibility of the Code, its legalistic structure and nomenclature may limit students' and other stakeholders' full understanding of the procedures for academic offences. This observation is reinforced by the fact that a number of supplemental

resources have been developed in more accessible and plain language to explain the Code. Examples include, but are not limited to, the “Academic Integrity at the University of Toronto Website”; the Vice-Provost, Students, document “Student Rights and Responsibilities Academic Integrity Compendium to Code”; and other divisional documents, for example, the UTSC Academic Integrity Office’s “Code In Brief.”

The Academic Integrity website, which is highly centralized, provides a consistent and unified academic integrity narrative for all members of the University community. In terms of accessibility and transparency, users can easily use the main University website to find this website using internet searches terms such as “academic integrity,” “academic misconduct,” and “academic offences.” The websites of other key academic integrity offices link to this site; these sites include, but are not limited to, the Vice-Provost, Students, and the Faculty of Arts and Science. Last, the language used on the Academic Integrity website, as compared to the Code, was generally more accessible. For example, instead of using the term “sanctions,” the site refers to “consequences” and in place of “offences” the nomenclature of “perils and pitfalls” was used. There was also an abridged summary of “what to do if you suspect an offence,” which, while not replacing the Code’s procedures, did identify the key steps for faculty members.

Educational and Pedagogical Versus Enforcement and Sanction Oriented

As would be expected, the Code’s principal concern is with the detection, processing, and punishment of academic offences and, therefore, is largely enforcement and sanction oriented. The need to respond to behaviours that threaten the integrity of the educational process is clearly articulated in the Code’s preamble (Section A). It states, in part, that “the University has a responsibility to ensure that academic achievement is not obscured or undermined by cheating or misrepresentation ... and that malevolent or even mischievous disruption is not allowed to threaten the educational process” (p. 2). Sections B through E focus largely on enforcement and sanctions. Section B of the Code sets out the range of offences for students, faculty, and jointly for students and faculty. The reference to “knowingly” committing a specific offence is further clarified as being a situation in which a person “ought reasonably to have known” (p. 2). This would prevent a student or faculty member from claiming they did not know their behaviour constituted an offence under the Code. Section C sets out the procedures and sanctions for cases involving students at both the divisional and Tribunal levels. The Code states “the procedures for handling charges of academic offences involving students reflect the gravity with which the

University views such offences” (p. 4). Section D sets out the procedures and sanctions for cases involving faculty members at the divisional and Tribunal levels. Lastly, Section E addresses the right to appeal and states that “Appeals from decisions at trial (sic Tribunal) shall be heard by a panel drawn from the Discipline Appeals Board” (p. 14).

As reported in the literature, an element of the enforcement-oriented approach to academic integrity is the use of overly legalistic terminology and processes in policies and procedures. The Code contains much legalese including, but not limited to, the terms “offences,” “parties to an offence,” “guilt(y),” “charge(d),” “conviction,” “sanctions,” “prosecution,” “trial,” and “appeal.” Students and other stakeholders may find it difficult to understand the Code’s language and to situate the redress of academic offences in a quasi-judicial, as opposed to an educational or teaching and learning, framework.

There are, however, a few educational and pedagogical references, with most in the Code’s Preamble (Section A). From a pedagogical perspective, the Code states that the evaluative process must meet “the highest standards of fairness and honesty” (p. 2). From an educational perspective, the Code’s Preamble identifies the need to protect the fundamental “integrity of the teaching and learning relationship” (p. 2). Overall, the teaching and learning and educational references are included largely to support the rationale of the University’s approach to academic misconduct.

It is worth noting that with the exception of the divisional and Tribunal sanction (Sections Ci(b) and Cii(b) of the Code respectively) of “resubmission of academic work for evaluation,” the remaining sanctions are punitive in nature (i.e., grade deductions, course failures, program and University suspensions and expulsions). As reflected in the literature review, many post-secondary institutions’ policy frameworks include definitive educational and remedial sanctions to deter future academic offences. The purpose is to support the development of students’ academic skills (e.g., research and citation, time management) and/or ethical and academic integrity education (e.g., mandated workshops and training). A number of the study’s interview participants identified the lack of educational or remedial sanctions within the Code as a major limitation (see Chapter 5).

The University’s Academic Integrity website includes a significant amount of educational and pedagogical content and advice. Beginning in the introduction, academic integrity is directly

linked to the educational mandate of the University, “The University of Toronto is committed to the values of independent inquiry and to the free and open exchange of ideas. Academic integrity underpins these values and is thus a core part of the University’s commitment to intellectual life.” Other educational references position academic integrity as pivotal to “the quality of teaching and scholarly inquiry” at the University, thereby aligning academic integrity with the University’s core educative and research mandate.

The site’s primary pedagogical and educational content is located in the “Smart Strategies” section, which, according to the preamble, was “designed to provide students and instructors with information, tips, and resources to help them promote and maintain academic integrity.” Each topic included a brief description and supplemental links to other University resources for students, instructors, and teaching assistants.

- Classroom strategies – talking about academic integrity: This section emphasized the importance of engaging students in open and transparent academic integrity dialogue. Resources were provided from the Centre for Teaching Support and Innovation (CTSI) as well as from the library (e.g., tip sheets, key contacts) to assist instructors and teaching assistants in engaging students in discussions around academic integrity.
- Course and assignment design: This section includes pedagogical strategies that instructors and teaching assistants can use to minimize academic misconduct in their courses. Assignment strategies suggested include changing assignments/essay topics, using smaller formative assessments, scaffolding assignments, and integrating reflective components. There are also some practical test/exam invigilation suggestions. Resources were provided from CTSI and the Writing at University of Toronto website.
- Time management: This section includes resources for students with practical tips for managing multiple deadlines and links to academic advising support.
- Academic skills development: A number of sections provide tips for students to enhance their academic skills and readiness, including information literacy and academic integrity; citations, quotations and paraphrasing; and “adding your own voice to a research assignment.”

The Academic Integrity website also includes content that focuses on enforcement and sanctions – given that the site aims, in part, to summarize and/or contextualize the Code. For example, the Perils & Pitfalls page provides examples of common student academic misconduct offences. At the bottom of this section is a link “Want to see what can happen?” that brings users to the Key Consequences page, where the range of possible sanctions under the Code are listed. Students might experience the link’s wording as passive aggressive and/or intimidating. They might have a similar reaction to the question “How does the punishment fit the crime?” a heading on the “Key Consequences” page. The language used in both of these phrases is negative in tone and may undermine the website’s pro-active and educative approach to academic integrity and misconduct.

Bolman and Deal’s Four-Frame Model

The Code falls clearly within Bolman and Deal’s structural frame, which they define as inclusive of an institution’s written policies and procedures. The Code defines the key roles and responsibilities of institutional offices and structures (academic programs, divisions, the Provost and Tribunal) as well as the parties involved, including students, faculty, chairs, and deans vis-à-vis academic offences. The Code is also concerned with the interaction between different groups of people within the University and is, therefore, reflective to some degree of the human resource frame.

The Code does not overtly address, or acknowledge, the existence of power dynamics or imbalances between key stakeholders, an aspect of the political frame. However, the Code does place an emphasis on the due process rights of students (and faculty) charged with academic offences, to ensure that the policy is not applied in an arbitrary or unfair manner. Under the student academic offence procedures in Section C, the Code states, “these procedures and those which ensure students the right of appeal represent the University’s commitment to fairness and the cause of justice” (p. 5).

Lastly, Code’s preamble stresses the importance of the organizational or university culture, values, and morals, which are all elements of the symbolic frame. In regard to values, the Code states, “Honesty and fairness must inform this relationship (sic teaching and learning), whose

basis remains one of mutual respect for the aims of education and for those ethical principles which must characterize the pursuit and transmission of knowledge in the University” (p. 2). In relation to the importance of mutual respect in the teaching and learning relationship, the Code states, “Such co-operation is threatened when teacher or student forsakes respect for the other--and for others involved in learning--in favour of self-interest” (p. 2).

The Academic Integrity website encompasses the structural frame in that it summarizes the institution’s policy and procedures for addressing academic offences under the Code. The site includes an Academic Offences Process Chart (See Appendix P), which breaks down the academic offence processes at the instructor, department, divisional, and Tribunal levels. From the perspective of the human resource frame, the roles and responsibilities of multiple stakeholders (i.e., students, instructors, Chairs, Deans, the Provost and Tribunal staff) are described in the Process and Procedures section of the website. Lastly, an emphasis on open communication and cooperation between key academic integrity stakeholders also reflects an important aspect of the human resource frame.

Elements from the symbolic frame are also present in the website’s content. The introduction contains a word graphic, which depicts the five academic integrity values including fairness, honesty, responsibility, trust and respect, which the International Centre for Academic Integrity (ICAI). The recently added sixth ICAI value of “courage” is not depicted. The introductory narrative states that academic integrity is “connected to values and the culture of academe” and more broadly that “Honesty and fairness are fundamental values shared by students, staff and faculty in the University of Toronto community.” The website’s content does not overtly address actual, or perceived, power imbalances or potential conflict between stakeholders, as reflected in the political frame. However, the narrative does strive to foster an open and transparent dialogue between diverse University stakeholders, which could be viewed as a strategy to mitigate concerns of power and conflict.

Tribunal Oversight: Academic Discipline

A number of institutional structures, websites, flowcharts, and reports were reviewed in the Tribunal oversight category. As noted, the Code sets out the powers and procedures at both the divisional and Tribunal levels vis-à-vis academic offence cases. The Provost is required to lay academic misconduct charges in order for them to proceed to the Tribunal; the Office of

Academic Discipline and Faculty Grievances (ADGF) oversees Tribunal and appeal matters. Most of the documents and resources reviewed in this category were retrieved from the websites of the ADGF and the Office of the Provost.

Degree of Centralization and Transparency

The University of Toronto has a unicameral governance structure with a single governing body, the University Council. Three boards have been delegated authority from the Governing Council, one of which is the Academic Board, roughly the equivalent of an academic senate. The Tribunal reports to the University's Academic Board in relation to "policy and procedures in respect of the *Code of Behaviour on Academic Matters*" and "recommends to the Governing Council that certain sanctions be imposed against students found guilty of academic misconduct." Therefore, the Provost's, ADFG's, and Tribunal's mandates and functions are all highly centralized, given that they apply across all divisions and campuses.

Overall, the documents related to academic offence related on the ADFG website demonstrated a high degree of transparency and were well organized and accessible. The ADFG website's inclusion of flow charts, student-oriented "questions and answers" and key advising and support contacts enhanced the overall effectiveness of these resources. Additionally, the availability of a searchable database of case summaries of past Tribunal decisions as well as annual academic offence aggregated statistics demonstrated a high degree of transparency. The Provost's Annual Report on Cases of Academic Discipline 2014-15 reinforced the importance of information collection and dissemination; it states in part "The University is committed to transparency, procedural fairness and a high quality of decision-making throughout its academic integrity processes" (p. 1).

Notably absent, although included in the scope of the Code, is any information related to faculty academic offence reporting (i.e., redacted cases and aggregated data). While likely far less frequent, having no formal mechanisms to publicly report faculty academic misconduct cases and changes to improve the processing of such cases may be perceived by some stakeholders as lacking transparency. This omission might also imply, notwithstanding the Code's jurisdiction over student and faculty academic offences, that the University's emphasis and resources have been placed on student offences only.

Educational and Pedagogical Versus Enforcement and Sanction Oriented

While it has few educational or pedagogical references to academic integrity, the ADFG's website did emphasize the importance of addressing academic offences to protect educational quality and the institution's reputation. Under the sub-heading Importance of Academic Integrity, the website has a number of statements and excerpts from the Code, including "The University of Toronto's outstanding international reputation for academic excellence rests upon our ability to uphold the highest standards of academic conduct."

Materials and resources on the ADFG's page might also be considered educational in nature in that they are intended to inform and educate students, and other impacted stakeholders, on the processes and supports for Tribunal level academic offence cases. The site also includes referrals including for the Downtown Legal Services, Law Society Referral Services, and Legal Aid Ontario for students to access legal advice or support. Additionally, a comprehensive list of University advising and advocacy supports is provided, including, but not limited to, the Office of the University Ombudsperson, the Office of Vice-Provost Students as well as divisional and student affairs contacts.

The focus of the Tribunal structures, documents, and resources is largely oriented to enforcement and sanctions. Many of the documents summarize the process and procedures for student academic offence cases, notably the "Academic Discipline Process Flowchart: At the Decanal/Faculty Level," (Appendix P) which includes the full divisional, Tribunal and appeal steps. As noted, the ADFG site includes summaries of past cases and aggregated student academic misconduct data, which note the sanctions imposed. On balance, as expected, the materials reviewed in this section were largely oriented toward enforcement and sanction, given that the intent is to support students and other stakeholders engaged in Tribunal level matters.

The "Provost's Annual Report on Cases of Academic Discipline 2014–15" reiterates the requirement for aggregate reporting of divisional and Tribunal academic offences under Section C of the Code (student offences only). The report also summarized the University's "proactive approach toward academic integrity" and some of the important changes that resulted from the work of the Provostial Advisory Group on Academic Integrity. It "was established to consider broader academic integrity education and policy issues" (p. 1).

Bolman and Deal's Four-Frame Model

The data analyzed in the Tribunal oversight category were largely situated in the structural frame in that it encompassed diverse University offices and appointed bodies (ADFG, Tribunal, Provost's Office, Academic Board and Governing Council) and their associated structures and processes. The prominence of organizational charts and articulated procedures is also consistent with the structural approach. To a lesser degree, the human resource frame was reflected in the interplay, and interdependence, between the different University offices and appointed bodies involved in the processing of student academic offence cases at the Tribunal and Appellate levels.

Neither the symbolic frame nor the political frame was evident in the materials analyzed. Unlike the other University academic integrity resources (i.e., Academic Integrity and divisional websites, the Code) there were no explicit references to institutional values or culture. While the "high-stakes" nature of Tribunal academic offence matters was inferred, there was no overt recognition of power imbalances or conflict between students and the University per se. However, the references to "impartiality," "procedural justice," and the provision of legal resources infer that students are afforded both due process and legal advice when engaged at the Tribunal level. Under "Resources," the ADGF site provides important legal referrals for students, including the Downtown Legal Services, Law Society Referral Service, and Legal Aid, thereby demonstrating the need for students to be duly represented to, in part, avoid an imbalance of power in Tribunal hearings.

Divisional Oversight: Academic Discipline

A number of institutional structures, websites, and materials were reviewed in the divisional oversight category. As noted, the Code sets out the powers and procedures for the divisional oversight of academic offence cases. In addition, academic divisions have an academic mandate to foster academic integrity and ensure the academic quality of their courses and programs.

The divisional oversight sources reviewed included academic integrity documents and narratives from the Faculty of Arts and Science (FAS) Office of Student Academic Integrity (OSAI). It oversees all misconduct cases on the St. George campus for FAS undergraduate students. As was

reported, it is important to note that other academic divisions, which have academic integrity oversight across the St. George campus, were not included in the scope or mandate of this study.

The divisional academic integrity and offence authority at the UTM, resides with its Office of the Dean – Academic Integrity Office. At the UTSC, it resides with its Vice Principal Academic & Dean - Office of Academic Integrity. Lastly, the SGS’s academic integrity materials and resources were also reviewed under this category because SGS is the de facto divisional oversight for academic offences involving graduate students.

Degree of Centralization and Transparency

Overall, the divisional oversight sources analyzed, with the exception as noted of that of SGS, were largely decentralized at either the faculty/department or campus levels. The study defines “decentralized” as any procedure or service which is not University wide (i.e., centralized). However, from a procedural perspective, a high degree of centralization exists, given that the divisional procedures to be followed are specified within the Code (Sections C and D). The academic integrity prevention and educational materials and supports did vary significantly across the divisional authorities. The benefit of such local autonomy and flexibility is that the resources and supports can be tailored to meet the unique needs and foci of the academic divisions and/or campuses they are intended to support. The SGS materials were inherently more centralized in nature, given that the mandate of SGS is multi-campus and centralized.

Overall, the materials were highly transparent and accessible for students and other affected stakeholder groups. As divisional offices are generally the first point of contact for students accused of an academic offence under the Code, it is important that these materials and processes are accessible in regard to the language used and the framing of academic integrity. The divisional offices, websites, and materials were geared toward multiple stakeholders, including students, instructors, and staff. They were fully accessible—the researcher did not encounter any materials hidden behind user access.

The SGS materials were more centralized than those of the divisional academic integrity offices because of SGS’s University-wide mandate. In the overview of academic misconduct procedures for graduate students noted under Jurisdiction, the SGS website clarifies that, “In all cases of alleged academic misconduct by graduate students: The relevant Dean is the Dean of the School

of Graduate Studies.” The SGS website further clarifies that “References to Chairs and Departments in the Code of Behaviour on Academic Matters (the *Code*) and these guidelines refer also to Graduate Chairs/Directors ... and to Graduate Units, respectively.”

Educational and Pedagogical Versus Enforcement and Sanction Oriented

On balance, the structures, documents, and website content on the OSAI’s, UTM’s and UTSC’s academic integrity offices sites and the School of Graduate Studies site were decisively educational and pedagogical in nature. The academic integrity offices all shared dual mandates of processing academic offence cases at the divisional level and conducting prevention and education vis-à-vis academic integrity across diverse stakeholder groups. For example, the OSAI

is designated by the Dean of the Faculty of Arts and Science (FAS) to promote academic integrity (AI), to handle allegations of academic misconduct at the divisional level for FAS, and to advise instructors, staff and students on matters related to academic integrity, academic misconduct. (<http://www.artsci.utoronto.ca/osai>)

The OSAI “Information for Instructors & Staff” page includes practical suggestions for pedagogical assessment design and tips for discussing the importance of academic integrity, and related expectations, in the classroom. The UTSC site includes a comprehensive section of faculty academic integrity information and resources. These resources include, for example, an Academic Handbook for faculty, New Instructor Orientation (including academic integrity advice) and library guides. In the UTSC’s New Instructor Kit was an addendum, Supporting Academic Integrity Through Writing and Research Assignments, which provided teaching and learning and pedagogical advice for instructors. The UTSC faculty-oriented academic integrity materials demonstrated a high level of collaboration with the Centre for Teaching and Learning, suggesting the campus partners are working in well-coordinated and holistic manner to build academic integrity capacity.

The UTM Academic Integrity site also includes broad materials and resources for students and faculty on preventing and responding to academic offences. Among other advice, the site encourages faculty to clarify what constitutes “common knowledge” in their courses (or discipline), best practices for test and exam invigilation regarding electronic devices and

educational supports to refer students to resources such as the Robert Gillespie Academic Skills Centre and Office of the Registrar.

The OSAI's "Academic Integrity Resources" section includes a number of documents and print/video resources to educate students on their roles and responsibilities related to academic integrity. The site also describes and links to University academic support services that students can access to strengthen their academic skills. The UTM's site includes student-oriented videos on common academic misconduct dilemmas as well as posters that can be used to educate the broader University community on common issues and myths about academic integrity.

The UTSC Academic Integrity site also provides a wide range of resources and supports for students to enhance and uphold academic integrity. Of particular note are the AIM (Academic Integrity Matters) workshops, which are offered by the UTSC Academic Integrity Office in collaboration with key campus partners, including: the Centre for Teaching and Learning, English Language Development Centre, The Writing Centre, Academic Advising and Career Centre, and the International Student Centre. There is also an informative printed resource "AIM Tip Sheet" (refer to Appendix Q), which discusses the importance and definition of academic integrity, an overview of the Code, practical tips on avoiding academic misconduct, and advice on optimizing time management and motivation.

Given the "enforcement" duties of OSAI, UTM, and UTSC AI offices, there is also a significant focus on procedures and the sanctioning of academic offences. OSAI's instructor-related content "Detecting and Documenting Misconduct" provides advice on "navigating the resolution process" and includes templates for instructors to document their academic misconduct concerns. The UTSC AI Office website has a section entitled "You are Suspected of Having Committed an Academic Offence," which provides students with information on what to expect at the meeting and the general procedures that will be followed. UTSC's Code in Brief overview is similar to the offence overview on the OSAI website, including references to the Code's offences and examples.

The UTM AI Office website includes an overview of the Code and related procedures and templates for chairs and deans to use in suspected academic misconduct cases. These included but were not limited to sample misconduct letters from a Chair/Dean, the Academic Integrity

Checklist for Department, the Academic Offence Meeting Minutes, and a GWR Status Request for in-process academic misconduct cases.

The student-oriented enforcement and sanction information, under the section the “Rules – The Code,” includes a basic working definition for academic misconduct as “any behaviour, intentional or otherwise, that gives a student unearned or unfair advantage in academic work over other students.” The Code’s offences (Section B) are summarized in plain language and supported by student case examples and have additional supports intended to prepare students for academic misconduct meetings. The student “questions and answers” section, however, mainly addresses common concerns about the academic misconduct process and resulting sanctions.

On its website, the SGS has a section dedicated to “Academic Integrity Resources.” The preamble states SGS’s expectation that graduate students are equipped to meet the academic integrity expectations. It reads, “Students in graduate studies are expected to commit to the highest standards of integrity and to understand the importance of protecting and acknowledging intellectual property.” Given the increased involvement of graduate students in research, the Code policy is differentiated from those policies and authorities overseeing matters related to research ethics and misconduct. Links are provided to the Research Ethics and Allegations of Research Misconduct Allegations Policy and Procedure on the Vice-President Research and Innovation website.

The website is largely concerned with the processes for academic misconduct by graduate students under the divisional procedures of the Code and is, therefore, oriented toward enforcement and sanctions. The site has a number of letter templates and checklists and a document called the “Code of Behaviour on Academic Matters Informal Procedures for Meeting with the SGS Dean (or Dean’s Designate)” that is to be shared with students before the meeting.

Under Education and Prevention, the narrative states, “While not explicitly mentioned in the *Code*, teaching students about and taking steps against academic misconduct (even at the graduate level) is fundamental to encouraging good academic behavior.” The SGS site has links to two key educational and pedagogical documents. The student-oriented “How Not to Plagiarize” overview includes practical advice on referencing and citations. The faculty-oriented resource “Deterring Plagiarism: Some Strategies” provides teaching and learning and

pedagogical advice on assessment development and delivery. Both of these documents were written by writing support specialist in the University's Writing Centre.

Bolman and Deal's Four-Frame Model

The divisional offices overseeing the processing of academic offences and educational and prevention-based outreach fall within the structural frame. These key institutional office and structures carry out the duties specified under the Code and their respective mandates. Some of the key roles and positions involved in adjudicating academic offences at the divisional level are faculty, chairs, deans, and designates, academic integrity office staff. Each is responsible for specific parts of process.

The human resource frame is reflected to a lesser extent in the divisional academic integrity offices because the materials emphasize the roles and responsibilities of different stakeholders (i.e., students, faculty/instructors, chair, deans, and designates). Stress is put on the importance of collaborative relationships between academic integrity offices and academic departments/programs and other University offices including those for writing and academic skills, teaching and learning, registrar services, student services, and libraries. A strong emphasis on partnership was evident with the UTSC Academic Integrity Office, which developed and delivered its narratives and documents as well as workshops with a high degree of cross-campus collaboration.

As stated, the political frame is concerned with the existence and/or mitigation of power imbalances, conflict, and tensions between different institutional members. At the divisional level, there are indirect references to conflict and tension in some of the enforcement and procedural information. On the OSAI website's page "Where to Get Help?" the preamble states, "While being a student can be rewarding, there will be times when it is challenging, stressful, and overwhelming." Overall, the divisional academic integrity office websites summarize and explain the procedures for academic offences well and provides resources and academic, personal, and legal supports for students while recognizing the high stakes and stress involved in dealing with academic offences.

One area in which a significant power imbalance is implied is in the Code's requirement that necessitates an "admission of guilt" be made before academic offence cases can be resolved at

the divisional level. The UTSC procedural overview states that after the meeting with the student “If the Dean’s Designate is satisfied that an offence was committed, you will be asked to admit to the offence” for divisional (and implied lesser) sanction. Under “What happens if I do not admit to the offence?” is the overview state that the case will be referred to the Vice-Provost to lay charges, assuming there are grounds.

The FAS “Introduction to Academic Integrity” webpage includes a number of strong symbolic statements on the importance of academic integrity to the fundamental values of universities. It reads as follows: “Universities have their own culture, values and rules. [...] Universities value knowledge—the discovery of knowledge and expression of ideas.” The divisional academic integrity offices also reference the importance of the ICAI values of “honesty, trust, fairness, respect, fairness and responsibility,” though only UTSC included the seventh, more recently added, value of “courage.”

Student Support: Academic Skills Development

Some of the student support structures, documents and services analyzed related directly to academic integrity and misconduct. Others, like the writing centres and libraries, were more broadly connected to the teaching and learning and support mandates of the University versus academic integrity or misconduct per se. As noted, the Code does not include explicit remedial sanctions like a skills-based or educational workshop (i.e., AIM Workshops at UTSC) for writing and/or library referencing and citation. Student skills development services and supports exist largely outside the University’s formal academic integrity and misconduct framework. The student supports reviewed were largely universal in nature. None applied to those who may have been sanctioned or warned under the Code or to groups of students deemed to be at “greater risk” for engaging in academic misconduct.

Degree of Centralization and Transparency

The data sources reviewed in this category were mostly decentralized with a few central exceptions – notably the Writing at the University of Toronto website and U of T library website resources. Student supports and interventions are best developed for the unique educational environments, or campuses, within which they will be delivered. Overall, the student services reviewed were highly transparent and accessible for students. In recognition of the changing

ways in which students prefer to access support, many academic resources and supports were fully accessible through online means.

Educational and Pedagogical Versus Enforcement and Sanction Oriented

It would be expected that student supports for academic skills development would be largely educational and pedagogical in nature. The institutional supports analyzed in this category sought strengthen students' academic skills and thereby, either directly or indirectly, reduce academic misconduct. Three primary student service areas were reviewed: writing skills, research and citations, and academic success as delivered through Student Life.

The University's student writing supports were robust and accessible across all three campuses. The Writing at the University of Toronto website included general writing supports and advice as well as a specific academic integrity resources, notably How to Avoid Plagiarism. The Writing Plus Academic Skills Workshops offered free of charge to all students on the SG campus covered a variety of writing-related strategies as well as academic skills building (e.g., note taking, concentration and memory, time management). There were also specialized reading and writing supports for English Language Learners (ELLs) across all three campuses.

With the exception of the How to Avoid Plagiarism resource, the University's writing supports for students were, on balance, educational in nature and concerned primarily with increasing the writing, composition, and referencing skills and competencies of students. There are also decentralized campus-specific writing supports: SG Faculty of Arts and Science Colleges, UTM's Robert Gillespie Academic Skills Centre (RGASC) and UTSC's Writing Centre. These centres provided a range of student, as well as faculty in the case of RGASC, resources. Some of the resources explicitly addressed the issue of academic integrity and/or misconduct, offering students advice for navigating their academic studies and avoiding plagiarism and other academic offences. For example, RGASC has a document that discusses academic integrity and misconduct from a student perspective, namely "6 Essential Skills for Your Academic Career at UTM." Other decisively educational initiatives that addressed student academic integrity included the Head Start program at UTM and the Academic Integrity Matters (AIM) materials and workshops at UTSC.

The main U OF T library website has a research guide focused on supporting and building student research and citation skills to avoid plagiarism. While plagiarism is defined and the Code is referenced, the library materials were foremost educational and skills-development oriented. Diverse materials and resources including infographics, visuals and videos covered topics such as: research tracking; use of Turnitin; assessing “common knowledge”; and citation guides and styles. Additional resources to support students with research and citations were posted on the UTM and UTSC library portals as well as through the writing centres.

A number of resources intended to enhance students’ academic success were accessible through the Student Life offices at all campuses. These supports covered a range of matters related to academic integrity, such as writing and research, time management and procrastination, goal setting and motivation, and stress management and anxiety reduction. The Student Life workshops and online tools were educationally oriented and intended to improve students’ overall academic preparedness and resiliency.

Bolman and Deal’s Four-Frame Model

The student supports for skills development analyzed were largely structural in nature as they encompassed services being delivered through diverse University offices. The roles of specific offices and staff were articulated in the delivery of these student supports. The human resource frame was reflected in that these services could be viewed as “training” and capacity-building investments for students, who would be included, under the four-frame model as key institutional stakeholders. Because many of these student resources were universal in nature, they did not explicitly address the political nor the symbolic dimensions or frames.

Student Supports: Advising and Advocacy

This study reviewed a range of advising and advocacy supports including registrar offices, student life offices, student unions, and the Office of the Ombudsperson. A few of these offices provided specific information on academic integrity and/or misconduct, and, they all to varying degrees provided vital information, advice, and support for students dealing with academic offence allegations under the Code.

Degree of Centralization and Transparency

Offices providing students with advising- and advocacy-related supports and services were largely decentralized and so could be accessed only at the campuses where students are enrolled. A notable exception would be the Office of the Ombudsperson, which has a pan-institutional mandate. While the Office of the Ombudsperson website does not explicitly mention intervening on behalf of students and/or faculty members in academic offence cases, such matters fall under the office's purview. Its Terms of Reference state,

The Office of the Ombudsperson provides an impartial and confidential service to assist members of the University who have been unable to resolve their concerns about their treatment by University authorities. The work of the Office is devoted to ensuring procedural fairness and just and reasonable outcomes.

(<http://ombudsperson.utoronto.ca/termref.html>)

A relatively small percentage of cases reported in the Ombudsperson Report involved student academic offences (under the Code); only 10 of the 221 new student cases were recorded in this category (Ombudsperson: Annual Report 2017/2018). The faculty reporting was less clear, in terms of categories, but some of the 18 new faculty cases involved concerns about potential academic misconduct under the Code or related research policies.

The Ombudsperson Annual Report in 2014/2015 included a number of recommendations around academic integrity generally and the processing of offences under the Code, including:

- Enhanced supports and resources at the divisional level “to ensure the equitable and timely disposition of allegations of student academic offences” (Recommendation 2);
- Create “orientation programs for new academic administrators” (i.e., Chairs and Dean) to “enhance academic integrity” (Recommendation 3); and
- Academic divisions and departments “should consider developing interactive online tutorials as a tool in the education of students about the importance and practice of academic integrity and to supplement existing services that assist students in the development of academic skills” (Recommendation 4).

All of the student advising and advocacy services and resources reviewed were highly transparent and accessible; for example, the Student Life sites provided in-person guidance as

well as a remote question-and-answer service. Additionally, some of the services, including workshops, are fully accessible online.

Educational and Pedagogical Versus Enforcement and Sanction Oriented

The student advising and advocacy services were primarily educational and provided students with timely advice and support on their rights and responsibilities vis-à-vis academic misconduct. Students can access information and support regarding the potential or actual impact on their program progression or registration status from the Registrar and program advisors. These services are therefore “educational” in the sense of educating students on the processes involved in academic misconduct and on academic options for addressing potential sanctions.

The student unions at each campus provide services and advocacy for students accused of academic misconduct as well as advice on the use of Turnitin®. On its website page for its “Know Your Student Rights Campaign,” Scarborough Campus Student Union (SCSU) states that the union

represents University of Toronto students in three different types of proceedings: Charges under the Code of Behaviour on Academic Matters. For the academic offences files, we represent students charged with offences such as plagiarism, unauthorized aid, and personation.

The SCSU site explains the “Conditions of Use at the University of Toronto” for Turnitin; it states that “Students are permitted, under our conditions of use, to opt-out of using Turnitin.”

Bolman and Deal’s Four-Frame Model

Like the skills development resources, the student advising and advocacy supports were structural in nature because they encompassed services being delivered through diverse University offices. The roles of specific offices and staff were articulated in the description of the delivery of student advising and advocacy services.

More prominent in this category were aspects of the political frame, which is concerned with organizational politics, conflict, and actual or perceived power imbalances. The University of Toronto Student Union (UTSU), which serves the SG and UTM campuses, described a recent

“academic advocacy review” conducted at the University of Toronto. Because of this review, UTSU identified their intention to create a dedicated Academic Advocacy Office, stating, in part, the following rationale:

There continues to be a gap between services available and students’ needs. Students are either unaware of existing services or have not found adequate assistance at existing help centers. We have identified that there is a need for a space that offers non-judgmental, unintimidating students assistance in matters of academic petitions and appeals.

The UTSU site stated that despite the current provision of individual support for students, “we recognize that more students will benefit with an academic advocacy office that connects them to the right services, holds workshops and provides support and resources regarding academic offences” (<https://www.utsu.ca/know-your-rights/>). Furthermore, the Office of the Ombudsperson’s commitment to impartial advice and support of all members of the university community is also reflective of and responsive to conflicts that may arise.

Faculty/staff Academic Integrity Supports and Resources

A number of academic integrity resources have been developed to support faculty and staff at the University. The offices and resources reviewed in this category were mostly from the Centre of Teaching Support and Innovation and campus-specific teaching and learning communities at UTM and UTSC. Many of the websites and materials already reviewed in this analysis (see School of Graduate Studies, Academic Integrity at the University of Toronto website and the divisional Academic Integrity Offices) included academic integrity supports and information for faculty member and/or University staff.

Degree of Centralization and Transparency

The faculty and staff resources had a combination of centralized and decentralized resources. For example, the CTSI, a centralized campus-wide function, provides robust AI information on the website portal and in consultation with CTSI staff. Similarly, the centralized U of T libraries’ and Writing at U of T websites included materials that could be imbedded by professors in courses to support students’ research and citation skills and thereby reduce plagiarism or other academic offences. There are also many decentralized campus-specific library, writing and

teaching, and learning community supports. Overall, the faculty resources were very transparent and readily accessible through different University offices and websites.

Educational and Pedagogical Versus Enforcement and Sanction Oriented

The faculty academic integrity resources reviewed were largely focused on education and pedagogy. The CTSI supports faculty members across the University's three campuses by providing information and supports related to academic integrity to help them prevent academic misconduct and to design effective assessments. CTSI also provides support for the use of Turnitin. As a teaching and learning best practice, CTSI provides advice on how to "Discuss Academic Integrity with Your Students," including how to present and discuss the importance of academic integrity, of communicating academic expectations, and of modeling good practice "be sure to include proper citations on your course materials, website, and in your lectures."

The AI website, the School of Graduate Studies, and the divisional Academic Integrity Offices had enforcement-oriented faculty resources, including summaries of the steps to take when an academic offence is suspected. They also had Code overviews and forms. The CTSI site includes a resource How to Handle a Suspected Academic Offence – 5 Steps, which walks faculty members through their roles and responsibilities vis-à-vis suspected academic misconduct.

While Turnitin is positioned as an educational tool, it is also used as a plagiarism detection tool at the University. The CTSI website states that this tool "... is an efficient way to identify common writing issues and deter plagiarism in course assignments"

(<https://teaching.utoronto.ca/ed-tech/teaching-technology/turnitin/#turnitin4>). The CTSI site includes comprehensive information for faculty regarding the use of this software, including the Turnitin Conditions of Use, technical support for imbedding the software in Quercus (the University's Learning Management Software) courses, and advice for reviewing and assessing Turnitin Originality Reports. Instructors are required to post the approved statement of use on their course syllabus and to post the right of students to opt out of submission to Turnitin. CTSI provides further support to faculty in determining what additional information they may request from the student to verify the originality of the written work submitted.

Bolman and Deal's Four-Frame Model

The faculty and staff academic integrity supports reviewed were largely structural in nature because they encompassed services being delivered through diverse University offices. The roles of specific offices and staff were articulated in the provision of faculty support vis-à-vis academic integrity. Aspects of the human resource frame were also evident, given the focus on training and building the competence of faculty and teaching assistants in the mandate of CTSI and of other local teaching and learning communities (at UTM and UTSC). Neither the symbolic nor the political frames were prominently reflected in the academic integrity supports analyzed.

Indirectly Related University Policies

Other University policies reviewed for direct or indirect references to academic integrity include the Statement of Institutional Purpose, Policy on Ethical Conduct in Research, Allegations in Research Misconduct (Procedure), and the Quality Assurance Policy. A less formal approach was taken to coding and analysis for these documents, given that they are not part of the University's formal academic integrity mandate. The documents were read and textually scanned for references to "academic integrity" or related concepts.

The rationale for reviewing these broader institutional documents was twofold. First, the study's pan-organizational lens lends itself to exploring the University's broader strategic framework and the degree to which academic and/or institutional integrity is reflected. Second, the tertiary review of these documents supports the study's survey questions and findings related to faculty members' perceived impact of eroding academic integrity on academic quality and on the research mandate and institutional reputation/ranking of universities.

No direct references to "academic integrity" or "academic misconduct" were identified in these strategic and policy documents, but nomenclature and concepts related to them were identified. The University of Toronto's *Statement of Institutional Purpose* (1992) articulates the institution's mission, purpose, research, and teaching objectives as well as the principles guiding the university community. The institution's mission is succinctly stated as, "The University of Toronto is committed to being an internationally significant research university, with undergraduate, graduate and professional programs of excellent quality," an outcome which is, no doubt, predicated on demonstrated academic integrity at every level of the institution. While

this foundational document does not explicit use the nomenclature of academic integrity, it has related references, including: “achieving the highest academic standards” in teaching; “high standards of scholarship” in graduate education; and the guiding principle of “respect for intellectual integrity” (pp. 4-5).

While the Policy on Ethical Conduct in Research does not explicitly mention academic integrity or academic offences, it does include some parallel expectations within the research realm. The policy states, “The University considers that the highest ethical standards in research would entail (although not exclusively); (i) The accurate presentation and interpretation of experimental data and other factual information; (ii) Due acknowledgement to another’s work” (p. 2). The Framework to Address Allegations of Research Misconduct (2013) reiterates the expectation that individual researchers are “responsible for the intellectual and ethical quality of their work” (p. 2). There may be value for the University to more directly link the Policy on Ethical Conduct in Research and the supporting procedural framework to academic integrity and/or the Code because of the strong connection between teaching and learning and research within the University as well as across the broader post-secondary sector.

The Ontario Universities Council on Quality Assurance’s *Quality Assurance Framework* (2010) explicitly identifies academic integrity as a required outcome in the degree level expectations. Under “Professional Capacity and Autonomy,” the framework states the required skill/outcome for earning degrees. For Bachelor’s degrees they are “behaviour consistent with academic integrity and social responsibility” (p. 37). For master’s and doctorate degrees, they are “ethical behaviour consistent with academic integrity and the use of appropriate guidelines and procedures for responsible conduct of research” (p. 39). Notwithstanding the explicit inclusion of academic integrity in the provincial framework, neither the *University of Toronto Quality Assurance Process* (2012) nor the *Policy for Approval and Review of Academic Programs and Units* (2010) refer directly to academic integrity. The UTQAP document states the importance of quality assurance with the intention of “... being an internationally significant research university, with undergraduate, graduate, and professional programs of excellent quality” (p. 2).

Summary of Findings

In total, more than 30 different sources of data were analyzed through the study’s theoretical framework, namely Bolman and Deal’s Four-Frame Model, as well as other organizational

theory and the academic integrity concepts. The summary below provides a high-level description of how the study's concepts were represented in the University's institutional approach to academic integrity, as reflected in the structures, narratives, documents, and policies analyzed in this phase of the research study.

It is also worthwhile to note that, although not formally measured, a high degree of institutional collaboration was evident in the structures, resources, and services supporting academic integrity. Additionally, the majority of the source documents reviewed addressed multiple audiences or stakeholder groups and included perspectives and information for them. Such an approach is critical to building capacity and understanding of academic integrity across the University community – inclusive of students, faculty, staff and administration. Many of the academic integrity websites and offices (Academic Integrity at U of T website, the Centre for Teaching Success and Innovation, and the Academic Integrity Offices at SG's Arts and Science, UTM and UTSC) successfully integrated academic integrity information and supports for students, faculty, and staff.

Degree of Centralization

A combination of centralized, therefore, institution-wide, and decentralized, therefore, local, structures, documents and services were identified. A large multi-site post-secondary institution is expected to have a combination of centralized and decentralized approaches, services, processes, and decision-making authorities.

Overall, the majority of student and faculty academic-integrity-related services and supports were decentralized and imbedded at the campus, College, and/or divisional levels. The libraries, student life, international student offices, student union offices, and divisional academic integrity offices were campus specific. Notwithstanding the largely local approaches to academic integrity, some faculty and student supports were centralized, in part due to their online reach. These included the Writing at the University of Toronto, Academic Integrity at the University of Toronto, and the University of Toronto's libraries web-based resources, that to varying degrees were also supported by local writing and library supports at each campus.

The University offices, structures, and policy documents related to the adjudication of academic offences were largely centralized. The overarching policy framework, the *Code of Behaviour on*

Academic Matters, is a central and foundational institutional document. While the Code does delegate “divisional” authority, the procedures to be followed are prescriptive and intended to be followed as set out in the Code. Notwithstanding the centralized nature of the Code, each academic division and/or campus had an academic integrity office supported by local resources intended to both foster academic integrity and address student academic offences at the divisional level.

The University Tribunal and ADFG Office were extremely centralized in their mandates and processes. Last, the Office of the Provost functions was highly centralized and responsible for laying charges in academic offences referred by divisions. It also reports annual student academic offence statistics and trends and provides administrative leadership vis-à-vis academic integrity and offence processing.

Degree of Transparency and Accessibility

Overall the University’s academic integrity structures and websites including the Tribunal, Provost’s Office, divisional Academic Integrity Offices and student and faculty services and supports were all highly transparent and accessible. They could be easily located using the search engines on the main University of Toronto website, and, overall, the information was accessible for students.

The Code, and related processes at the divisional and Tribunal levels, was also highly transparent and accessible. Because this policy document is somewhat cumbersome in terms of the structure and legalistic language, it may be inaccessible for some students and faculty members/staff.

The University’s information sharing of annual aggregated student academic offence statistics at the Tribunal and divisional levels and sharing of adjudicated Tribunal case decisions demonstrates a high degree of institutional transparency. This information exceeds the type and level of detail made available by other post-secondary institutions in Ontario. Furthermore, the inclusion of the Code’s relatively new Appendix “Advice on Sanctioning” helps inform decision-makers on appropriate sanctions based on case offences and circumstances and helps students, who can see the types of sanctions levied for similar offences.

However, some University stakeholders may perceive the lack of reporting and/or discourse related to faculty academic offences as an example of a lack of transparency. Refer to Chapter 7

for a more comprehensive discussion of, and recommendations pertaining to, faculty academic offence reporting.

Educational/Pedagogical Versus Enforcement/Sanction Approaches

Overall, most of the institutional structures, documents, and services analyzed were educational and/or pedagogical in their support of and alignment with the teaching and learning mandate of the University. The faculty resources and supports analyzed were largely pedagogical and provided advice and strategies on how to use teaching and assessment pedagogy to enhance academic integrity. As reported, the Code and related processes and information were largely enforcement and sanction oriented.

Bolman and Deal's Four-Frame Model

This study operationally defined the structural frame as emphasizing "... goals, specialized roles, and formal relationships" and inclusive of "rules, policies, procedures and hierarchies—and at a higher order strategy for an institution to guide itself" (Bolman & Deal, 2003, p. 14). Not surprisingly, given the scope of the data analyzed, they were predominantly reflective of the structural frame. Institutional offices, such as the academic division, the Provost's Office, Office of Academic Discipline and Faculty Grievances invariably "shape and channel decisions and activities" (Bolman & Deal, p. 14).

Furthermore, the Code's policies and procedures also align directly with the structural frame, as do the general University policies (i.e., institutional mission, quality assurance, and research policies) reviewed in the institutional analysis. The hierarchies of roles and responsibilities are clear for academic offences (under the Code and supporting procedures) but less clear about who has institutional stewardship to foster academic integrity culture and practice at the University.

This study operationally defined the human resource frame as inclusive of "the human capital or people, within an organization" including their "needs, skills, intellectual contributions and inter-dependent relationships" (Bolman & Deal, 2003, pp. 14–16). This frame would typically only include staff and leadership within an organization because the four-frame model is usually applied to private sector organizations. However, due to the multi-stakeholder nature of academic integrity, students as a group were also considered under this frame. Building their

skills and understanding of their roles in complex institutional processes such as the adjudication of academic offences and commitment to academic integrity is critical.

Many of the institutional services and resources reviewed were designed to inform and educate members of the University community (e.g., students, faculty, staff) on the importance of academic integrity. Ensuring a baseline of knowledge vis-à-vis academic integrity as well as providing tools to support faculty members and students to meet their respective responsibilities under the Code is critical. Within the human resource frame, successful change management requires that individuals feel positive and empowered to meet the organization's goals. This reinforces the critical requirements vis-à-vis academic integrity change to fully engage and consult with the affected stakeholder groups in the conception and implementation of AI-related initiatives.

This study operationally defined the symbolic frame as "... the shared institutional culture that defines and drives organizations" and inclusive of elements such as "meanings, metaphors, ritual, ceremony, stories and heroes" (Bolman & Deal, 2003, pp. 14–16). The academic integrity structures, narratives, and resources analyzed had limited aspects of the symbolic frame. The inclusion and reference of the ICAI values throughout the institutional narratives and websites demonstrated the need to articulate and uphold these shared values. Furthermore, references to "fairness" and "equity" in the Code and supporting documents and processes further reinforce the University's values. Various institutional documents and websites reinforce the importance of the culture of "academe" or the "university" in relation to academic integrity.

This study operationally defined the political frame as "the internal and external power imbalances impacting the organization and its people" inclusive of elements such as "power, competition for scarce resources, organizational politics and divergent coalitions" (Bolman & Deal, 2003, pp. 14–16). With few exceptions, the structures, documents, and narratives analyzed did not overtly identify or attempt to mitigate power imbalances and/or conflict between stakeholders regarding academic integrity issues in spite of the power and conflict and divergent coalition or stakeholder positions. The purpose of the AI narratives and information was, in some ways, intended to mitigate power imbalances, conflict, and tensions through the sharing information and resources with all affected stakeholders. Some of the data sources reviewed, including the student union, Ombudsperson reports (2014/15), and the ADFG office's legal

referral information, indirectly acknowledge the existence of power and conflict inherent to mitigating academic integrity concerns.

Relevance of Indirectly Related University Policies

A number of other University policies were reviewed for direct and indirect references to academic integrity, including the Statement of Institutional Purpose; Ethics in Research Policy; Allegations in Research Misconduct (Procedure); and the Quality Assurance Policy. While different concepts related to academic integrity were referenced in these policies, the researcher observed that there was no explicit reference to the concept or importance of academic integrity across these University policies. This observation will be further elaborated on in Chapter 7 and in Chapter 8, the study's conclusion, because there the potential to miss an opportunity for enhanced institutional grounding and profile of academic integrity within these important strategic and operational policies and frameworks.

Chapter 5 Interview Results

Speaking directly with University staff, faculty, and administrators who deal with academic integrity and/or misconduct on a daily basis provided valuable information and perspectives for this study. The interview data collected were important as a stand-alone source but also supplemented the findings of both the institutional analysis and faculty survey. Specifically, this data source assisted the researcher in assessing the completeness of the materials reviewed in the institutional analysis. Lastly, the interviews provided valuable perspectives on the daily practices and operations that are often difficult to discern from official structures and documents alone.

The inclusion of personal narratives and experience is an essential component of the case study method. Understanding the nuanced ways that institutions function, and do not function, is enhanced through a researcher's ability to collect and document the experiences and perceptions of institutional stakeholders. While the results of the key informant interviews are reported as a discrete source of data, the findings have also been considered in conjunction with the institutional analysis and faculty survey data in the Chapter 7, as appropriate.

General Description of Interview Participants

A total of 10 interviews were conducted in person or by telephone, depending on the preference and availability of research participants. The interviews were completed over the fall of 2018. In total, 16 individuals were invited to participate in the study's interview stage. Six of the invitees did not respond or declined to participate; two provided the names of contacts more suitable for participation in the study. These individuals were contacted and included in the final 10 interviews.

For copies of the interview participant information letter, refer to Appendix H. After the interview was confirmed, participants were sent copies of the both the questions and consent information refer to Appendix G and Appendix I.

Seven of the interview participants were based at the St. George (SG) campus; three held roles that interfaced with, collaborated with, and/or supported staff and faculty across the University's three campuses. These respondents were ideally situated to comment on the degree of consistency of processes/procedures, specifically in regards to the Code, as well as on the unique challenges and opportunities inherent to academic integrity across the University. The remaining

three interview participants were from the Mississauga campus (UTM) or the Scarborough (UTSC) campus.

The interview participants were intentionally recruited by the researcher to ensure a broad range of perspectives and roles vis-à-vis the University's academic integrity/misconduct mandate. They were directly involved in one, or more, of the following University functions: strategic/policy planning; the Code case management (at the divisional and, to a lesser extent, Tribunal levels); student advising and support; and/or faculty support and consultation.

To protect the confidentiality of interview participants, neither their names or offices were reported in the study's findings. Interviewees were assigned pseudonyms, I01 to I10, and all direct quotations from the transcribed interviews were attributed to the participants' pseudonyms. For a full discussion of the participant and data confidentiality measures, refer to the "Interview Participant and Data Confidentiality" discussion in Chapter 3.

Interview Findings

The findings of the key informant interviews are summarized below. The experiences and perspective analyzed reflected the diverse positions and interfaces with academic integrity issues on campus, from staff who dealt with students directly, supported faculty or held strategic institutional roles.

Current State of Academic Integrity

To varying degrees, all of the interview participants identified academic integrity, specifically student academic misconduct, as an important and pressing issue impacting the University community.

One respondent likened the University's response to academic integrity, which has historically received a lot of negative attention, to a "moral panic" of sorts for some faculty (I05). This respondent emphasized the importance of balancing the University's focus on, and responses to, academic integrity/misconduct with the many other important issues affecting the University. These other issues included creating strong teaching and learning environments, pedagogically informed curriculum, and assessment design, and supporting students' academic skills development and wellness. The respondent suggested that investing in "preventative measures"

could achieve better outcomes than “policing” student integrity concerns. In a similar vein, another respondent observed that the commonly held belief that academic integrity “is getting worse” is not dissimilar to other dominant narratives in post-secondary such as the entrenched beliefs that students’ “English language and numeracy skills have worsened dramatically” over the years (I04).

Participants described academic integrity as a “complex” and “multifaceted” issue with a range of causes, responses, and impacts on the broader University community. A number of respondents alluded to the “divisive” and/or “contentious” nature of academic integrity, including the many different interpretations and understandings across stakeholder groups and within what might be considered unique stakeholder groups. Commenting on faculty members’ understanding of academic integrity, one participant said, “there is a deep misunderstanding among faculty members across departments and disciplines around *what is* an academic offence” (I03). This respondent noted that plagiarism is poorly, if at all, defined in the Code and that this lack of clarity reduces faculty members’ ability or desire to respond to student integrity concerns. Other respondents shared their views that international students, as compared to the broader student population, are generally more “anxious” and “fearful” about committing and being caught for academic offences and are “blamed” more often (I05, I06).

In commenting on the state of academic integrity, one respondent referenced the University’s official statistics, which showed year-over-year increases in divisional cases and a flattening in Tribunal cases. This respondent suggested that the one reason for the observed divisional increases might have been the expanded use of the Turnitin software, which had improved the detection of plagiarism cases. The respondent also mentioned the greater willingness on the part of some faculty members and departments to pursue academic misconduct cases (I02).

Most of the respondents did not believe that the official Code statistics, as reported annually through the Provost’s Office, were an accurate reflection of the actual scope of academic misconduct occurring at the University. Participants hypothesized a number of reasons for why a large percentage of academic misconduct cases are not captured in the official statistics. One of the reasons most cited was that misconduct is not being detected especially in the case of contract cheating, which is extremely difficult to find and prove. Another was academic misconduct being “ignored” by faculty members; or addressed outside of the divisional and/or

Tribunal provisions of the Code. One respondent identified the “reliance on individual faculty members to bring forward allegations under the Code” as a significant limitation of the current process, because many faculty members choose to not pursue academic offences through formal channels (I07).

Another respondent suggested that a lack of control and/or discretion at the professor and/or departmental level(s) might be a reason why faculty members “break the rules” and circumvent the Code (I03). This respondent referenced the inadequacy of the 10% assignment threshold in the Code for referral and resolution at the chair level. According to a few respondents, this threshold is both “unrealistically low” because very few assignments are worth under 10% of the total course grade. The respondent observed that this inadvertently limits individual faculty members’ “control and autonomy” over the academic offence process.

Three respondents observed that academic misconduct committed by proxy of “tutoring” or “professional editing” services is a major issue at the University. They also observed that it is largely unrepresented in the official statistics because this type of academic misconduct is extremely difficult to detect and to prove under the Code. One respondent expressed concern that some faculty members even “endorse professional editing services,” notably in professional graduate programs, despite these services being known to enable academic misconduct (I03). Another respondent shared that the Provost’s Office Academic Integrity Advisory Group has been able to identify “structural and repetitive fact patterns” occurring across divisions and at the Tribunal, including offences involving tutoring services that provide students “answers to homework and assessments.” According to this respondent, the Advisory Group then proactively responded by mounting a “special issue campaign” to educate the University community on tutoring companies and specifically how the use of such services can contravene the Code (I07).

Many of the interview participants expressed a need for the University to better educate faculty and students on the causes of academic misconduct and on effective approaches for combating it. One respondent said that University faculty, staff, and administrators are “not familiar with the current best practices and research related to academic integrity” (I05). This respondent observed that faculty are often more concerned with “research and knowledge discovery” and are either unfamiliar with or discount the value of academic integrity research centred within the

Scholarship of Teaching and Learning (SOTL). The respondent further argued that widespread adoption and application of such evidenced-based research/practice would improve “teaching practices and assessment design,” thereby, reducing the most common forms of academic misconduct such as plagiarism, cheating and peer collaboration (I05).

Significant Academic Integrity Changes

When asked if there had been any significant changes over the last five or ten years regarding the “state of academic integrity” at the University, a number of notable shifts were identified. With the exception of one respondent, all the interview participants had been employed at the University for five years or longer, many for their entire careers, and felt confident commenting on how they have seen academic integrity change. The respondents’ feedback has been presented under the following four themes: overall increases in misconduct reporting, impact of emergent technologies, increased institutional focus on education and prevention, and system-level improvements to case processing.

Increased Academic Misconduct Reporting

One interview participant observed a “significant increase” in officially reported misconduct cases over the last 10 years, both at the divisional and Tribunal levels. This respondent attributed the increase to two main factors: the impact of technology as a “facilitator” of student misconduct and to a corresponding change in reporting practices by departments (I02). According to the respondent, focused outreach efforts sustained over a number of years to communicate the duties and obligations of faculty and departments under the Code correlated directly with increased academic misconduct reporting. Other respondents shared similar views and experiences, suggesting that more misconduct is not occurring but, rather, that it is being reported more often.

One respondent observed that the types and number of academic misconduct cases have been “exactly the same” over the last 10 years. This respondent acknowledged that, while the means or methods students use may have changed somewhat, actual student behaviour has not (I03). This was echoed by another respondent who suggested that the increases in reported cases were likely unrelated to a “worsening of student behavior” and more likely to more cases of plagiarism being detected through Turnitin and to increased awareness and enforcement in

divisions (I09). Another respondent questioned whether the increase in misconduct cases was the result of “on the ground enforcement” as opposed to changes in student behaviour or motivation.

Impact of Emerging Technologies

Nearly all of the interview respondents commented on the profound impact that technology, and, more broadly, the “digital landscape,” has had on students’ academic behaviour and on institutional approaches to academic integrity. One respondent said, “...social media has created new opportunities for different forms of academic misconduct” (I04). This respondent further suggested that the pervasive adoption of a “culture of sharing” and “viral C and V” (i.e., cut and pasting content) have fundamentally affected students’ understanding of originality and/or authorship (I04).

Most respondents agreed that the “means” or “methods” of student dishonesty have radically changed because of technology. The proliferation of tutoring services, essay mills, and course content-sharing websites was identified by many as significant contributors to the current “problem” of academic misconduct. Respondents observed that while similar services had existed before, the internet has provided an additional level of “sophistication” and “anonymity” for such services to thrive. According to one respondent, this dynamic and an ever-changing technological environment necessitates taking pro-active and fluid approaches to identifying and responding to technology-precipitated integrity threats (I07). Another respondent suggested that, given the pace and constant evolution of technological change, institutional efforts are better placed in developing student and faculty support and ethics rather than in reactively responding to new and emerging technologies which may facilitate misconduct.

As identified in the academic integrity literature, technological advancements have not only enabled student academic misconduct but also improved the detection and prevention of student misconduct – a double-edged sword of sorts (see Nilsson, 2016). With the exception of one, all interview respondents mentioned the impact, both positive and negative, of the Turnitin software. A number of respondents noted that the availability of this plagiarism detection tool has improved faculty members’ ability to detect plagiarism and, therefore, resulted in more students being caught and potentially deterred.

Still other respondents identified tensions and discontent with the use of Turnitin, from the perspectives of both faculty and students. One respondent stressed the importance of faculty posting the prepared “Turnitin Use Statement” in their syllabi before the course begins to ensure full transparency for students and to comply with the software’s terms of use (I08). Another respondent suggested that while they “did not love the tool, it was a viable option for some faculty and certain types of assessments” (I05) especially when used as a “teaching and learning” versus “detection” tool. In a similar vein, another respondent saw Turnitin as having the potential to bridge technology with pedagogy, specifically when faculty used the tool to “enhance students’ writing and citing skills” (I08). A number of respondents mentioned that when Turnitin is used exclusively as a “plagiarism detection tool,” students often experience increased “anxiety” and “fear.” One respondent suggested that such fearful reactions are particularly salient within the international student population, who might already be struggling with their English language fluency (I06).

Shift to educational and pedagogical approaches. As will be reported in more detail (Q. 7), there was a consensus among the interview participants that the University’s overarching responses to and characterization of academic integrity have become more educationally and pedagogically focused. The participants mentioned that a number of best practices are being delivered by a range of stakeholders, including, academic integrity offices, academic departments, campus writing centres, the Centre for Innovation in Teaching Support, student and campus life offices, and libraries.

On the institutional shift toward education and awareness, one respondent observed that “I think we are moving forward and away from a tacit assumption that a student’s job is to learn our rules inside and out and to hold them fully accountable” (I04). All the respondents stressed the need to pro-actively educate students on the University’s academic expectations, particularly under the Code. A number of respondents identified the core mandate of academic integrity offices as bridging the gap between formal policy and procedure and student understanding of expectations and support services to access. Other respondents referenced the University’s Academic Integrity website (<http://academicintegrity.utoronto.ca/>), which serves as a centralized educational resource to help students and other members of the University community better understand the importance of academic integrity, the Code, and related processes.

Many respondents referenced educational supports for students, which can assist students to develop stronger academic skills (i.e., reading, writing and citations, and time management) to avoid “unintentional” misconduct as vitally important. One participant identified the University’s increased use of “learning strategists” as being extremely beneficial for students to help them refine and optimize their academic skills (I03). Strategic partnerships with student unions groups to promote academic integrity have been undertaken, thereby building trust and collaboration between what would have been distinct stakeholder groups. On the UTM campus, staff and faculty from the Robert Gillespie Academic Skills Centre collaborated and made presentations on academic integrity during the University of Toronto Mississauga Students’ Union (UTMSU) Academic Advocacy Week.

Another educational strategy mentioned by a few participants was the curated academic integrity “information packages or kits,” which are sent to selected UTM departments at the start of term. According to the respondents, this initiative was intended to ensure a baseline of academic integrity information and support for faculty members, including teaching assistants. As one respondent observed, these tools provided faculty and other academic partners with the “vital information needed to support bridging conversations about academic integrity in the classroom” (I02).

A number of respondents shared their beliefs that academic integrity is fundamentally about the “teaching and learning relationship” and, therefore, that faculty are critical stakeholders and their “buy-in” must be established. Another respondent observed that their campus “has good faculty who strive to meet the needs of students and reduce academic misconduct through teaching, learning, and pedagogical means” (I10). A different respondent expressed that while there is still a long way to go “people are getting better about framing academic integrity as a teaching issue” (I05).

System enhancements to case management. A number of respondents identified significant improvements to academic misconduct case management at both the divisional and Tribunal levels as improving the efficiency of case management. Three respondents described software improvements that had been made, or were in progress, so the University can move away from Excel-based tracking sheets to “integrated” and “searchable” database solutions.

These changes had improved the flow of cases within divisions and the efficacy and accuracy of “annual misconduct reporting” to the Provost’s Office (I02, I04, I10).

One interview participant observed that a shift to electronic tracking systems also allows the University to collect and track factors that may contribute to students’ Code violations. This respondent suggested, that once aggregated, such data could be “shared with different student services on campus to better meet the academic and wellness needs of students” (I10).

Two respondents (I01, I07) cited recent changes to the timelines for the Provost to make a referral to the Tribunal as another important enhancement to cases being processed. One respondent viewed reducing the delay in cases moving forward to the Tribunal as vitally important to students’ progress in their academic studies. Lastly, the expansion and resourcing over the last decade of “student academic integrity offices” across divisions and campuses was identified as a major systemic improvement. One respondent commented that staff from these offices “are very knowledgeable and are able to support both faculty and students” with their academic misconduct inquiries (I01).

Institutional Academic Integrity Stakeholders

The respondents’ answers about the identity the primary “stakeholder groups” affected by academic integrity at the University had a high degree of consensus. Students were unanimously identified as the group most affected, followed closely by faculty members, which included teaching assistants, lecturers, professors, department chairs, and deans designates. Respondents also identified a third broad group of “university staff,” who support either case management and adjudication (i.e., divisional academic integrity offices) or learning and student services.

Students as Stakeholder

Respondents expressed that, as a broad group with noted diversity, students are affected by academic integrity in two important ways. They have the “most at stake” concerning the possible negative repercussions from alleged, or proven, academic misconduct. They are also directly affected by the University’s teaching and learning environments and the additional learning and wellness supports they might access “outside of the classroom.” One respondent highlighted the important role that students themselves can play in educating other students about academic

integrity, stating, “students listen to other students about the risks and perils of academic integrity and the Code” (I02).

Specific subsets of the student population identified by respondents as being potentially at greater “risk” for academic misconduct, included international and exchange, undergraduate, domestic English language learners and “first-entry” students. Two respondents observed that the commonly held assumption that all graduate students are well equipped to meet the University’s academic expectations and conventions is false. These respondents cited the diversity of “learning backgrounds” and “language skills” across the graduate student population (I05, I09). Both suggested a need to provide more graduate-focused academic integrity interventions and supports. Another respondent emphasized the need to be aware of and to monitor “conscious or unconscious biases” toward international students and English Language Learners so as to not target them in enforcement strategies and educational campaigns (I10).

Faculty as Stakeholders

All respondents identified the important role that faculty members, especially department chairs and deans designates, play in maintaining high academic standards and in responding to academic misconduct. Two respondents expressed that faculty are essential to academic integrity because they are so central to the “teaching and learning relationship” (I03, I05).

Faculty were identified by interviewees as being critical to the Code processes given that, in most cases, they are the ones who must initiate allegations of misconduct. As one respondent suggested, without “faculty buy-in” the Code’s academic misconduct processes cannot be effective (I09). Two respondents made direct references to faculty members’ academic “freedom” or “autonomy,” suggesting that it can be misused as a protection for not following institutional policy and processes (I05, I07). Another respondent suggested that while policies and expectations are made accessible and clear, “we cannot make faculty members do a lot.” The respondent also observed that while they do receive an “orientation when hired” their subsequent behaviours have a high degree of latitude (I01).

Three respondents mentioned the important role of teaching assistants, as a sub-set of the larger faculty group, given that they are on the “front-lines” of the teaching and learning relationship. These respondents suggested that further academic integrity outreach and training of teaching

assistants could improve academic integrity and misconduct detection. Other respondents identified the pivotal role that deans and deans designates play and specifically that the latter must have “enough allocated time,” be “intrinsically motivated,” and have the “skills and disciplinary expertise required” to carry this important work (I01, I02, I04).

Other Stakeholders

The respondents identified a number of secondary academic integrity stakeholder groups, beyond students and faculty. An important group mentioned by most respondents were University staff that deliver educational and academic skills development services, including librarians, writing specialists, learning strategists. Additionally, staff that support students in academic misconduct matters, including student union representatives, registrar staff, and student advisors, were identified as important secondary stakeholders. Registrar staff, whom one respondent identified as “unsung heroes” (I01), provide students with timely advice and support on the misconduct process as well as on academic progression and transcript implications both before and after the imposition of academic sanctions.

The respondents identified the student academic integrity office staff of the Faculty of Arts and Science Office of Student Academic Integrity and the UTM and UTSC divisional Academic integrity Offices as being important supports for students and faculty. They were also identified as central players in the University’s academic integrity mandate. Others identified as critical stakeholders were the faculty educational and pedagogical specialists and the wider teaching and learning communities on campus including, the Centre for Innovation in Teaching, who support professors and teaching assistants in assessment design and delivery (I02, I05, I08).

Another respondent identified two indirect stakeholder groups. One was University alumni, who have a vested interest in ensuring the “academic quality and reputation of the University.” Another was the “public.” The rationale given for including the public was that post-secondary education is intended to “produce citizens” who will contribute to society both intellectually and with integrity (I04).

University Structures, Documents and Services

There was a high degree of parity across the participants’ identification of structures, documents, policies, and services that support the University’s academic integrity mandate. This question

was included, foremost, to confirm the completeness of the data retrieved and analyzed in the study's first phase of the institutional analysis. Nonetheless, participants' responses have been briefly summarized below.

A number of offices and structures were identified as being critical to the University's academic integrity mandate. One was the Office of the Governing Council (specifically, the Office of Appeals, Discipline and Faculty Grievances and Tribunal). Others was the Office of the Vice-President and Provost; divisional academic integrity offices (those mentioned by name were the Faculty of Arts and Science and the University of Toronto Mississauga and Scarborough offices). Still others were the Centre for Teaching Support and Innovation and the University's diverse Faculties, departments and programs.

The respondents identified University offices delivering services to students. These included the writing centres; libraries; student life/success; and advising offices, for example, those of the college and campus registrars; Ombudsperson; student unions; and program advisors. Among the web-based resources and documents identified were the Academic Integrity Website, the *Code of Behaviour on Academic Matters*, and the academic integrity office websites.

The Code of Behaviour on Academic Matters

The responses to the question on the relative strengths and limitations of the *Code of Behaviour on Academic Matters*, or Code, at both the divisional and Tribunal levels have been summarized thematically. The discussion begins with the strengths identified followed by the limitations.

Strengths of the Code and Related Processes

Protection of students' due process and legal rights. Most respondents believed that the Code clearly articulates the expectations and procedures for addressing student academic misconduct at both the divisional and Tribunal levels. As such, most respondents saw the "due process rights" of students as well protected because of the thoroughness and prescriptive nature of the Code. One respondent observed that students "were entitled to, at minimum, two structured and transparent meetings" (I04) and another said that they had the "right to appeal" decisions at the divisional level (I02).

Students' ability to request that the Provost's Office reconsider their divisional sanction was identified as another example of the due processes enshrined in the Code (I07). The statement in the Code immediately before Section C. Procedures in Cases Involving Students, states "these procedures and those which ensure students the right of appeal represent the University's commitment to fairness and the cause of justice" (p. 4). Two respondents identified the requirement to inform students of their right to not self-incriminate in the initial meeting with their instructor as being beneficial. Overall, the majority of respondents felt that the Code protected the rights of students in what was described as a "high-stakes" process.

Impartial decision-making. One respondent identified the fact that instructors do "not have decision- making authority" or the "ability to impose sanction" under the Code as a strength and testament to the impartiality of the process (I02). Another respondent expressed the view that removing individual professors from the decision-making process maintains the "educational focus of the instructor" in relation to their students (I09). One other respondent commented that "effectively removing instructors/faculty from the misconduct process" might reduce the likelihood of them initiating formal Code processes altogether (I03). A number of respondents, who had direct involvement in past hearings, identified one strength at the Tribunal level as the use of "outside lawyers" (I02) as committee chairs as well as neutral members from other divisions. This served to enhance the degree of impartiality in both the proceedings and resulting decisions/sanctions.

Consistency of divisional processes and documentation. One respondent commented that with sustained effort, there has been a higher degree of consistency and thoroughness in the approaches and documentation at the divisional level (I07). This person interacts with divisions and campuses on matters related to academic misconduct. Another respondent suggested that the Code is applied in a "fair" and "uniform" manner across the University because of the "extremely prescriptive processes" stipulated under the Code (I09). A few respondents commented that the addition of Appendix C "Provost Guidance on Sanctions" in 2015 had increased the "transparency" of the consequences students might face. They also commented that it had improved the "consistency of decision-making" across divisions and at the Tribunal (I01, I07).

Process beginning at divisional level. Three respondents identified another strength as being the Code's requirement that academic misconduct cases begin, and if possible be resolved, at the local divisional level. A number of respondents identified the "constraints" to local decision-making authority as including only first offences and cases and only where an "admission of guilt" on the part of the student is made (I03, I04). Generally, the respondents agreed that misconduct cases might be addressed "more effectively" in terms of time and with "specific disciplinary expertise" at the divisional level. One respondent suggested that for the best outcomes, misconduct should be addressed more frequently at the program level, through chair resolution. The respondent also recognized that this is not always possible or desirable. This respondent and two others suggested there should be a reconsideration of the Code's "ten percent threshold," a percentage that fails to capture most assessments.

Institutional reporting of misconduct cases. Another respondent identified the Code's requirement for divisions to report misconduct cases that have been resolved as a strength. Section C (13) states, in part, "Information on such cases ... shall be reported by the dean to the Secretary of the Tribunal for use in the Provost's annual report to the Academic Board" (p. 6). This respondent noted that, based on their understanding, the University of Toronto is the only university in Ontario that has a codified requirement to openly report academic misconduct data annually to their campus community (I07). In addition, as authorized under the Code, all Tribunal cases including sanctions, are reported to the broader community, with student names redacted.

Balanced approach at Tribunal. In reference to the hearing or trial level of the Tribunal, one respondent observed that one strength was that the Chair and members take any relevant mitigating circumstances into consideration. This respondent noted that the Tribunal considers "what was taking place in students' lives at time that the academic offence occurred" (I01) and that, to the extent appropriate, reflects such circumstances in their decisions and sanctions. A number of the respondents commented on how Tribunal hearings are run very professionally with a high degree of "impartiality" and "concern" for the wellbeing of students, academic divisions, and the institution. One respondent commented that the Tribunal chairs being "outside lawyer," ensure "fairness" and fully explain the process to the students and other parties present (I09).

Two respondents mentioned allowing students to ask the Downtown Legal Services for support and representation at a Tribunal hearing as a strength (I02, I07). One of these respondents suggested that legal representation is essential because of the “quasi-judicial” nature of the proceedings and the significant impact on the student (I09). Another respondent noted that the legal advice and support might not be available to all students if the student had not opting into an “optional student ancillary fee” (I07).

Accessibility of Code and supporting materials. The majority of respondents suggested that the Code was highly accessible as a document to both students and faculty at the University. However, most conceded that students do not access or reference the Code and related materials until they are involved in an allegation of academic misconduct. One respondent mentioned that the Statement of Academic Integrity and a link to the Code are accessible because they are visible on the landing page of the University’s Learning Management System, Quercus (I07). A number of respondents mentioned the University’s Academic Integrity website as providing accessibility with a link to the Code and supplemental “plain language” information on academic offences and processes. One respondent mentioned the robust resources on the Governing Council’s Office of Appeals, Discipline and Faculty Grievances website for students involved in the academic misconduct process (I09).

Limitations of the Code and Related Processes

Legalistic language and processes. In identifying limitations of the Code, four respondents described the Code as an extremely “legalistic” and in one respondent’s terms a “burdensome” and “inaccessible” document for students, faculty members, and administrators alike (I09). Another respondent suggested that the document was “written by lawyers for lawyers” and suggested the Code “...should better serve the needs and realities of the academic community versus needing a lawyer between decision-makers and students” (I03). Along similar lines, a different respondent observed that the Code uses “a legal framework for what is a very social and cultural issue” (I05).

A number of respondents suggested that the University overhaul, versus incrementally change, the Code to “simplify” the processes and that it use “plain language” that stakeholders could more easily understand and navigate. One respondent recommended creating a “translated narrative” of the Code to replace the verbatim section read in student meetings with deans

designates. The respondent argued that doing so could make students' understanding of the process and implications more "credible and evident" (I04). Still other respondents commented on the legalistic nature of the Code but suggested such an approach was vital to ensuring "clarity" and "fair application" of the processes and sanctions. Yet another respondent suggested that a crucial role of staff and administrators involved in the academic misconduct process is to "translate the Code's jargon" to ensure students grasp the process and implications (I09).

Admission of "guilt" to proceed divisionally. Three respondents who working with students accused of academic misconduct, mentioned the Code's requirement for students to "admit guilt" in order to resolve the matter at the divisional level as a limitation. One respondent described this requirement at the divisional level as "accidental intimidation" and "potentially coercive" because students are told if they do not admit guilt, the case will be referred to the Provost with the implication of more severe sanctions (I04). Another respondent suggested that this requirement "encourages students to admit guilt versus [attempting to] find the truth between intentional misconduct [and] an unintentional skills deficit." The respondent likened the process to a "plea deal" of sorts (I03). Other respondents suggested that the required admission of guilt to proceed divisionally was a positive aspect of the Code because after that, there is "no need to determine guilt or innocence" but only to adjudicate an appropriate sanction (I10).

Reliance on punitive sanctions in Code. A number of respondents pointed to the Code's lack of any decisively "educational" or "remedial" sanctions as problematic. These respondents suggested that if the intent of having a policy framework, at least in part, is to prevent future occurrences of academic misconduct and to increase the academic skills of students, then imposing solely punitive sanctions will be "ineffectual" in achieving these objectives.

One respondent observed that the only Code sanction that could be considered remedial or educational was "assignment resubmission" with the instructor's permission, is rarely used by deans designates or the Tribunal. The reasons postulated for not using this sanction included the "additional work created for faculty members" and a "perception of leniency" (I04). Another respondent suggested that if "remedial training" and "skills acquisition" sanctions were formalized in the Code, even if only at the divisional level, that might prevent the same students from subsequent misconduct. One respondent mentioned that the "transcript annotation" that often accompanies the sanction can and has, in rare cases, been used to compel students to

complete training and/or skills workshops related to academic integrity. However, this respondent suggested that placing contingent remediation conditions for the eventual removal of a notation has been used more as a “work around” than an “intentional” remedial and educational sanction (I02).

Constraints on divisional jurisdiction and powers. Three respondents commented on the limited “discretion” or “jurisdiction” of chairs and deans in addressing student academic misconduct cases at the divisional level as a limitation. Specifically, the assignment threshold of 10% or less that authorizes chairs to impose an academic sanction was described by one respondent as “extremely low” and by another as “excluding the vast majority of assessments” (I02, I03). One respondent viewed this low threshold as potentially eroding “individual discretion” and as constituting a “barrier to faculty engagement in the formal Code process” (I03). The other respondent interpreted the low level of the cut-off as a missed opportunity to resolve a higher percentage of academic misconduct cases at the program level. This respondent observed “if the threshold were 15 to 20% it could divert more cases to be resolved locally” (I02). Another respondent suggested that resolving cases at the program or department level is both “less litigious” and can be better supported by the appropriate “disciplinary expertise” (I09).

Application of the Code to specific “types” of academic misconduct. Three different academic misconduct scenarios were identified by respondents as problematic or difficult to address under the Code’s procedures. One respondent suggested that suspected cases of academic misconduct, that could be characterized as “small stakes” or “educational learning opportunities,” might be better addressed outside of the Code (I04). This respondent suggested that the potential negative impacts of engaging the Code may render “alternative” and “informal” approaches a better course of action. One negative consequence of the Code’s punitive focus is the inability to support students’ academic skills development, where deficits have been identified, and/or related family, financial, or wellness challenges. Another respondent identified the use of the Code to respond to less serious offences as problematic, stating that “...efforts are often misguided and many resources are being placed on small unimportant offences, for example, the use of clickers by students for their absent peers” for participation marks (I03).

Some respondents identified the difficulty of addressing what may be “unintentional” academic transgressions through a policy framework that presumes that students “fully understand all

academic conventions” (I05, I06, I09). Section B of the Code states, “Wherever in this Code an offence is described as depending on ‘knowing’, the offence shall likewise be deemed to have been committed if the person ought reasonably to have known” (p. 2). One respondent suggested that determining whether an offence occurred under the Code is not always clear and fails to take into account either the student’s educational background or the context of the assessment (I09).

Another respondent suggested that while the Code presumes all misconduct is “intentional,” the reality is that students’ who are “learning to learn” may not be aware of what constitutes academic misconduct and/or have developed the required skills to write and cite properly. A different respondent reiterated that, given the academic diversity of our student population, we “cannot assume that students arrive with excellent writing skills” (I05). To mitigate such deficits, this respondent argued that faculty members should be required to clearly explain “assignment expectations,” “support students by giving them practice” and feedback on their writing, citations and include smaller “scaffolded assessments” to demonstrate their competencies and relieve anxieties (I05).

Due in part to the complex procedures prescribed under the Code, notably the requirement for individual student meetings with the course instructor, chairs and deans, cases involving “mass misconduct” by a large number of students are nearly impossible to proceed with. According to one respondent such scenarios are “difficult to process following the exact steps under the Code” (I04). This respondent mentioned that in such cases “academic integrity offices and faculty members may even be compelled to use written warnings and/or other informal remedies” (I04).

One respondent mentioned the lack of transparency and expediency in responding to cases involving academic misconduct against faculty members – as prescribed in Section D of the Code. The respondent stated, “...it is very tough for faculty members to initiate concerns and processes against another faculty member.” Furthermore, the respondent said that both the individual laying charges and the accused “feel vulnerable and need recourse, which is fair and transparent” (I01). The respondent suggested that such cases are difficult to address under the current provisions of the Code, take longer to resolve, and have added layers of complexity related to both employment relationships and external partnerships.

University Academic Integrity Communications

All the respondents believed that the University had made significant improvements in pro-actively communicating its academic integrity mandate, with more “pronounced” and “wide-spread” academic integrity communications targeted to multiple different stakeholder groups. However, a number of respondents expressed there is still a long way to go; one observed, “cultural change is slow” (I09). Another respondent said, “We can do better by evolving our (the University’s) fluency and understanding of how students access information” (I10).

A different respondent mentioned two examples of centralized efforts to ensure all students understand the importance of academic integrity and what is required of them. These examples were the student outreach “poster campaign” run by the Provost’s Office and the inclusion of an academic integrity statement on the University’s Quercus learning management system. This respondent further said that the pro-active communication strategies must involve “a combination of local and central measures to be effective” (I07).

Still other respondents expressed strong opinions that using only static information in the form of “print” or “electronic resources” will not change the entrenched academic integrity beliefs and practices of faculty, students, and other members of the University. One respondent said that “websites are not the answer” and that “real change will come out of dialogue and interaction between students and faculty in classrooms” (I04).

One respondent shared that over the last few years, a greater emphasis has been placed on supporting “first-entry students,” generally across many different University services including academic adjustment, health, and wellness (I05). Another respondent commended the leadership taken by the School of Graduate Studies to do more “outreach” with graduate students on dissertation writing and in supporting faculty members across divisions and campuses (I01).

Another respondent said that while they believed the University’s central communications are getting better, they have always felt that “there should be a centralized office to support the processes and efforts of divisional academic integrity offices across the University’s three campuses” (I02). Another respondent identified the efforts being undertaken through the Provost’s Office including, the establishment of an academic integrity advisory committee, working group and workshops for faculty and staff, as beneficial for divisional and campus

efforts related to Code processes and education (I07). Most of the respondents agreed that, despite the unique “cultures” and “considerations” across the University, collaboration and central support are both critical to establishing an effective and authentic academic integrity culture and practice.

Institutional Approaches to Academic Integrity

The respondents provided a number of examples of the degree to which the University’s approach to academic integrity is either, or both, educational and pedagogical or punitive and enforcement oriented. They also commented on the overall degree to which the University’s approach to academic integrity reflected this spectrum. Given the small number of interviewees, the scaled part of this question has not been reported but it did support the researcher in summarizing the results below.

Respondents were asked to consider structures and practices that sought to enhance academic integrity by enhancing teaching and learning environments, educational quality, and/or assessment design and delivery. Educational strategies were divided into two broad categories. One was outreach efforts intended to educate University stakeholders on their roles and responsibilities vis-à-vis academic integrity and misconduct. The other was services and supports delivered to strengthen students’ academic skills (e.g., writing, citing, and time management). The respondents were also asked to consider institutional approaches focused primarily on the detection, processing, and sanctioning of student academic misconduct.

Educational- and Pedagogical-Oriented Approaches. The academic integrity literature has long stressed the need to balance an institution’s enforcement responses to academic misconduct with educational and pedagogical approaches. As described in the literature review, there has been a recent shift to conceptualizing academic integrity as “educational integrity” (Bretag, 2016a) and/or a matter of “academic literacy” (East, 2016). Such paradigms place less emphasis on “student misconduct” by shifting the lens to the quality of educational inputs such as the teaching and learning environments, assessments and learning outcomes.

One respondent observed that there has been a “strong push over the last few years to focus and resource educational and pedagogical approaches at the University” (I01). Another respondent

observed that the wider adoption of the academic integrity “syllabi statement” across the University (I07) serves to connect integrity more directly to teaching and learning environments.

A number of respondents identified the educational supports provided to all students through writing centres and libraries and academic success offices as beneficial. However, two respondents shared the view that such services relate only indirectly to “academic integrity” because they are components of the University’s broader mandate for student experience and academic success (I05, I09). Furthermore, they thought that such services are not being used in any formal manner to remediate or prevent academic misconduct per se.

One respondent commented that educational/pedagogical and enforcement/punitive strategies are completely separate by virtue of the overarching policy framework (i.e., the Code) that focuses exclusively on punitive sanctions versus preventing and remediating the behaviour and skills deficits of students after they have been caught. One respondent said, “it’s like ok you are caught, now what?” (I04). Three respondents suggested that when it, is used as an educational tool, Turnitin can support students in building their writing and citing skills and in avoiding academic misconduct.

Four respondents stressed how the University is doing a better job at educating students on “expected academic conventions.” One respondent noted there has been a significant shift to “providing information and resources for students to understand their academic expectations” (I01). Respondents cited both the University’s Academic Integrity website and the campus-specific academic integrity office websites as the primary sources for student education and support referrals vis-à-vis academic integrity.

Punitive- and Enforcement-Oriented Approaches. When asked to consider which University approaches are punitive and enforcement oriented, all of the respondents mentioned the Code and supporting procedures. As reported earlier, a number of respondents cited the lack of educational and/or remedial sanctions in the Code as a major limitation of the institution’s overarching academic misconduct policy framework. One respondent observed that the Preamble of the Code does not reference the “aims of education or prevention,” but focuses instead on the need to “respond with sanctions” (I09) when according to the Code the “pursuit and transmission of knowledge in the University” is violated (p.2). As one respondent suggested “our work and

efforts are mostly situated in the enforcement space” and that the “absolutism of the Code is mostly punitive oriented” (I04).

Some respondents identified the content of the University’s Academic Integrity website as portraying academic integrity in a “punitive” light instead of balancing the need for accountability and consequences with the prevention of academic misconduct and development of student-skills. A number of respondents commented on the resources and time required to pursue misconduct allegations under the Code and questioned whether these efforts actually improve academic integrity and/or quality.

A number of respondents identified the use of Turnitin exclusively for “plagiarism detection” as a punitive aspect of the University’s response to academic integrity. Some of these respondents argued even though the tool is used for detection purposes that Turnitin could be used as an “educational tool” to build “writing and citing skills” with the intent of preventing academic misconduct (I05, I08, I09). One respondent suggested that a “cultural shift” is occurring in re-conceptualizing how instructors might use this tool to its “full potential and in compliance with the conditions of use” (I08).

Another respondent expressed that notwithstanding the University’s increased focus on education and prevention, the overarching narrative related to academic integrity is still predominantly punitive and enforcement in tone. This respondent said, “right now we are leading with policing but we need to be leading with education and pedagogy” (I05). The respondent was concerned of the “lost opportunities” on the part of faculty members to teach and build writing competencies thereby resulting in a reduction of academic offences across the University.

Degree of Centralization

Interviewees were asked to comment on the degree to which the University’s approach to academic integrity and misconduct is either, or both, centralized or decentralized. For “centralized,” the researcher asked respondents to consider those aspects of the University’s approach that are institution-wide and therefore apply uniformly across all campuses, divisions and/or departments. For “decentralized,” the researcher asked respondents to consider those aspects that are unique to individual campuses, division and/or departments. Given the small

number of interviewees, the scaled part of this question has not been reported but did, nonetheless, support the results summary below.

Centralized Aspects and Processes

The Code and related processes at the divisional and Tribunal levels were cited most often as examples of the University's centralized approach to academic integrity and misconduct. Because it is set by the Governing Council, one respondent referred to the Code as "supreme direction" that must be "fully implemented" (I09). Many respondents observed that, because of the Code's explicit and detailed procedures, there is a high degree of consistency in how the policy is implemented at the divisional and/or departmental levels. In a related comment, another respondent stressed the "importance of parity," particularly in relation to academic misconduct sanctions under the Code. This respondent explained that the inclusion of Appendix C "Provost's Guidance on Sanctions" in combination with the Provost's Office's consultative efforts have "ensured that there is not a big difference in the way a case is handled on the different campuses" (I07). Another respondent referenced the importance of the Code's clarity on what behaviours constitute "offences" and of the procedures to be followed at the divisional and Tribunal levels. In that respondent's opinion, they "protect the due process rights of students" thereby ensuring similar treatment (I03).

A number of respondents noted the leadership role taken by the Office of the Vice-President & Provost to educate and support both students (Vice-Provost, Students) and faculty members (Vice-Provost, Policy and Planning) on their respective roles and responsibilities vis-à-vis academic integrity. This central leadership provides an "institutional perspective" on the challenges and opportunities inherent to academic integrity, especially as they relate to the standardization in the Code's application and sanctions. One respondent identified a range of collaborative groups, both permanent and ad hoc, that have been established to promote the consistency and fair application of the Code across the three campuses. A further benefit identified by this respondent is to "identified trends" in cases coming before the Tribunal and those resolved at the divisional level (I07). Another respondent, whose office directly interfaces with students vis-à-vis academic misconduct concerns, identified the Vice-Provost, Students' Office as playing a "significant role" in understanding and addressing the unique circumstances affecting individual students (I01). A number of respondents identified the University Academic

Integrity website as an important centralized resource whose content came out of consultative efforts undertaken by the Provost's Office. Another respondent argued that given the complex nature of academic integrity "centralized goals, mission and strategy" are essential to inform divisions and departments in tailoring local initiatives within the overarching framework (I05).

A number of respondents identified the central role played by the School of Graduate Studies (SGS) in the divisional oversight for academic misconduct of all enrolled graduate students at the University of Toronto as significant. Two respondents identified the pro-active work that the SGS has undertaken in recent years to support graduate students through writing and research workshops to ensure that all students can meet the academic integrity expectations and conventions of the University as significant.

Decentralized Aspects and Processes

Most of the processes pertaining to academic integrity and misconduct occur at the decentralized, or local, level within campuses, divisions, and/or academic departments and localized student/faculty support services. With the exception of academic misconduct cases referred to the Provost's Office for charges, most academic integrity functions at the University are overseen at a decentralized level. A number of respondents said that local oversight promotes "tailored" and "responsive" approaches aligned with the "distinct cultures" and "needs of students and faculty" at different campuses and in different departments and/or programs.

The vast majority of respondents viewed the adoption of decentralized approaches at the department, divisional, and/or campus level as positive. A number of respondents identified the strong collegial relationships of trust between the divisions and Provost's Office/Tribunal as beneficial. On the balancing of central versus local autonomy, one respondent said that while they want "to empower creativity and innovation, we do not want to go totally astray" from the fundamental objectives of the Code or the University's academic integrity mandate (I04). According to one respondent, decentralized "campus and departmental autonomy" is beneficial because it enables service providers to meet students and faculty in the context within which they exist (I02).

Efforts around academic integrity education and prevention for students and faculty were mentioned most frequently as being developed and delivered in a decentralized manner.

Furthermore, the case management of academic misconduct, except when referred to the Tribunal level, was also carried out divisionally. With few exceptions, advising and support services for students were offered and overseen at the campus level. The centrally mandate Office of the Ombudsperson has recently increased its staff complement and accessibility of services at the UTM and UTSC campuses (I01).

The challenges and benefits of the University's largely decentralized approach are, as one respondent said, about "striking a balance between divisional creativity and innovation with consistency of central processes and standards" (I04). This respondent observed that divisions should not "go on their own merry way" but do need to be afforded latitude to create a cultural environment that resonates with the needs of their students and faculty.

Campus Differences

All respondents agreed that academic integrity student educational outreach, skills development, and pedagogical supports for faculty, differ based on the campus, department, and program needs. One respondent said that because of the size and concentrated divisional authority at UTM and UTSC, "it may be easier for smaller campuses to promote and coordinate academic integrity initiatives across campus" (I03). Most of the respondents believed that the Code's procedures for handling student academic misconduct cases and sanction outcomes were carried out with a high degree of "consistency" across all three campuses. One respondent noted that the consistency of process and sanctions had been enhanced with the addition of Appendix C "Provost's Guidance on Sanctions" to the Code (I07).

Degrees of Transparency and Accessibility

Interviewees were asked to comment on the degree to which the University's approach to academic integrity is either, or both, transparent and accessible or not transparent and inaccessible. For "transparent" and "accessible," the researcher asked respondents to identify and comment on aspects of the University's academic integrity approach that they viewed as transparent, therefore visible, and/or easily accessed and understood by stakeholders. For "non-transparent" and "inaccessible," the researcher asked respondents to identify and comment on aspects of the University's academic integrity approach that were not readily available and/or easily accessed or understood by key stakeholders. Again given the small number of

interviewees, the scaled part of this question has not been reported but did, nonetheless, support the researcher in summarizing the results below.

Transparent and Accessible Aspect

Most respondents believed that the Code and related procedures were, on the surface, accessible and transparent. Specifically, respondents observed that the Code is easily accessed in electronic form on the Governing Council policy page and through links on University websites.

Furthermore, respondents observed that the Code clearly identifies what behaviours are considered offences and the range of sanctions that can be applied when a person is found “guilty” of an academic offence. The respondents also raised many considerations raised around whether the Code is actually transparent and accessible to all members of the University community.

A number of respondents mentioned the University’s posting of aggregate-level academic misconduct data and Tribunal cases as examples of institutional transparency. Two respondents mentioned the “Turnitin conditions of use” as an important mechanism for increasing transparency for students and faculty in using this software tool. One respondent suggested that the University has “tried to be as transparent as we can through the conditions of use and prepared statement that must be included on the outline at the start of the course and cannot be changed in any way” (I08).

The majority of respondents described the student and faculty supports and services as highly transparent and accessible. Some respondents commented on how their divisions or offices have consciously made changes to encourage students to access services, by providing, for example, fully online or hybrid services for students who may wish to access support other than in person (I09). Many respondents identified individual classrooms as the best place to discuss and support academic integrity given that integrity, and misconduct are so fundamental to the “teaching and learning relationship” (I04).

Non-Transparent and Inaccessible Aspects

As reported, while most respondents thought that the Code and its procedures were “technically” transparent and accessible, some felt that the University had a further duty to ensure students, faculty, and staff fully understand this complex document. One respondent observed that the

language used in the Code's preamble was largely "philosophical jargon" and that the document on a whole is "inaccessible" and an "obstacle" because it misses key points vis-à-vis academic integrity that are important within the context of teaching and learning (I03).

The same respondent questioned the "unclear definition of plagiarism" in the Code in (see Appendix P). This definition, which is mentioned in other parts of the Code, is a complex explanation of plagiarism. This description of plagiarism includes an "original English" definition from 1621. It also defers to the interpretation of individual faculty members (or "instructors") to clarify what "constitutes plagiarism" in the context of their "discipline" (p. 18). The definition also states, "Plagiarism is at once a perversion of originality and a denial of the interdependence and mutuality which are the heart of scholarship itself, and hence of the academic experience" (p. 18). The respondent suggested that, given plagiarism is the most common academic offence, using an "ambiguous" and "unclear" definition and explanation is extremely problematic (I03). Commenting on the perceived lack of clarity around what constitutes plagiarism, another respondent mentioned that students are simply "... referred to the Code in the Syllabi Statement and warned to not plagiarize" but that, too often, faculty do not explicitly state "what that looks like" (I05).

Another respondent argued that the Code's general language and content should better reflect the "needs of the broader University community" and that "students need a stronger voice" (I04). One respondent suggested that the Code and related documents need to be made more "readily available to students" and that the onus is on staff to "better understand how students access information and [to] nimbly shift our approaches" (I10). Yet another respondent suggested that using on "passive websites," for example the Governing Council or Academic Integrity websites, to transmit important knowledge and information is less effective with the current generation of students (I04).

Other Feedback and Themes

Unique Needs of and Impact on International and ELL Students

During the interviews, many respondents described how the University's approach to academic integrity and/or misconduct has the potential to disproportionately and negatively effect international or English Language Learners (ELL) students. One respondent said there is an

“unsupported sense” that international students are “getting into more trouble.” The respondent noted that this belief is anecdotal, given that no data is collected to either validate or refute it. (I06). Another respondent suggested that all members of the University, especially academic integrity practitioners, need to be acutely aware of the “unconscious bias in our responses to, and enforcement of, academic misconduct.” The respondent observed (I10) that bias may lead to international and/or ELL learners being stigmatized and adversely impacted.

A number of respondents identified students, both domestic and international, from educational systems where the academic conventions and practices differ, as being at “greater risk” for committing (often unintentionally) and being caught for academic misconduct (I05, I06, I09). Another participant said, “cultural nuances need to be addressed, with the diverse backgrounds and countries of origin of our student population” (I01). Two other respondents suggested that because tutoring and essay companies routinely “target” international students, more education and awareness is needed to combat the aggressive marketing of these services (I03, I07).

Another respondent, who works directly with international students, identified an underlying tension between, “not be ghettoizing international students while recognizing that they may need more academic support” (I06). This respondent viewed that was important to use educational and skills-based approaches with international students. The respondent shared that in the beginning-of-term international orientation sessions, the Code is only referred to indirectly. The focus is placed on educating international students on “academic conventions,” with a particular emphasis on the importance of “proper citations to protect the scholarly community” (I06).

A number of respondents mentioned that interventions for international and ELL students, which are mainly intended to develop reading, writing and citation skills, indirectly address, to varying degrees, the issues of academic integrity and misconduct. These services are offered through the Robert Gillespie Academic Skills Centre at UTM, the English Language Development Centre at St. George, the UTSC International Student Centre, and the School of Graduate Studies.

Importance of Collaborative Partnerships

To varying degrees, all of the respondents mentioned that collaborative partnerships play important role in fostering academic integrity. Given that the University of Toronto is so large and spread over three campuses, sharing and collaboration is particularly important in the

institutional measures intended to foster academic integrity. Among the many initiatives mentioned were campus collaborations with the Provost's Office, international offices, writing centres, libraries, student unions, and academic departments.

Examples shared of highly collaborative multi-stakeholder initiatives included the AIM (Academic Integrity Matters) workshops at UTSC and the Head Start and Academic Advocacy Week initiatives at UTM. While some partnerships were more formal, others consisted of collegial networks, for example, between writing specialists and/or teaching and learning staff across the s three campuses. These staff members share common mandates for enhancing academic integrity by developing student academic skills and curricular and teaching pedagogical enhancements.

The desire and ability to operationalize academic integrity initiatives across divisions and campuses demonstrates the high "institutional value" placed on collaboration and partnership at the University. The complex and multifaceted nature of academic integrity requires integrated and stratified approaches that can best be developed and implemented collaboratively. One respondent referenced the Office of the Provost's leadership in developing cross-campus "awareness campaigns" to address "common pitfalls" related to academic integrity through the distribution of "printed and digital (University screens) posters across campuses in common areas" (I07).

Through shared dialogue between different stakeholder groups, the understanding of diverse perspectives can be strengthened. One example is the UTM Student Union and campus partners' collaboration on outreach about academic integrity during Academic Advocacy Week. Another example is the intersection of teaching pedagogy and technology wherein a new group "academic and collaborative technology" was formed through Centre for Teaching Support and Innovation and Technology Services (I08).

Centrality of Teaching and Learning

Many of the interviewees reiterated the deep connection between academic integrity and the University's fundamental mandate of "teaching and learning." One participant expressed their belief that fostering academic integrity must "start and end with faculty in the classroom" (I04). Other respondents suggested students need to know what is expected of them, and how to secure

support, and to know that faculty members value the integrity of the teaching and learning process.

Another respondent questioned the degree to which the University's research intensiveness "colours faculty members' view on issues related to academic integrity." In some instances, it may lead to a false belief that "writing instruction is not *my* (i.e., faculty/instructor) job" (I05). This respondent questioned whether the primary importance placed on "disciplinary research" might lead faculty to discount the broader Scholarship of Teaching and Learning (SOTL) and academic integrity bodies of literature and, in doing so, lose opportunities to improve effectiveness of their pedagogy and teaching. The respondent said, "research and teaching cultures are a world apart" (I05).

Connection Between Academic integrity and Student Wellness

A number of respondents mentioned the negative impact that the University's academic misconduct processes can have on student wellness. Academic sanctions can have program, personal, and financial consequences that have significant consequences for students. Other respondents identified the "emotionality" of being accused of academic misconduct as being "very high." In describing students' reactions or feelings, respondents used such words as "scared," "intimidated," "coerced," "confused," "worried," and "power dynamic." One participant suggested that, given the recent University efforts to establish a comprehensive Student Mental Health Strategy and Framework, the adverse experiences of students affected by the Code should be more closely considered (I05).

Impact of Academic Freedom and Independence of the Professoriate

Four respondents mentioned that the "independence" or professional autonomy of faculty members, specifically of tenured professors, might impede the efficacy of the institution's responses to academic integrity/misconduct. One respondent commented that while, overall, the University's policy (i.e., the Code) is clear in terms of the steps faculty members must take, "... ultimately we cannot make faculty members do a lot" although they "do receive an orientation when hired" (I01).

Two distinct outcomes of academic freedom and independence related to the University's approach to academic integrity and/or misconduct were identified. One was faculty not following

the Code's procedures and the other was faculty disregarding best practices vis-à-vis teaching and learning that might reduce academic misconduct. One respondent suggested the inherent independence of the professoriate may lead some faculty members to dismiss pedagogical and teaching best practices, which have the potential to improve educational integrity and academic quality and reduce academic misconduct (I09). Another respondent said, "Academic freedom is about research interests, not how the teaching and learning environment is carried out" (I05).

Three respondents suggested that faculty members regularly circumvent the Code's procedures and expectations, either because they perceive them to be "cumbersome and time consuming" and/or they want to "avoid unwanted conflict" with students. Both reasons have been well documented in the academic integrity literature (see Coren, 2011; DeAngelis, 2011). One respondent identified the Code's most significant weakness as its "reliance on instructors to bring cases forward" (I07). Another respondent hypothesized that the "autonomous and protected" nature of the professorial role might lead some to believe they are not required to follow institutional policy (I09).

Changes in Diversity of Student Body

A number of respondents commented on the changing demographics, including the educational backgrounds, countries of origin, and academic readiness, of students entering the University. As one respondent said, "we cannot assume students come with writing and citing skills; these need to be imbedded in the curriculum and assessments" (I05). Another suggested that students are still "learning to learn" when they enter their undergraduate studies. A different respondent suggested that a reconsideration of the University's admission standards might be a prudent approach to reducing academic integrity by academically underprepared students (I09).

Conclusion

In conclusion, the key informant interviews provided a nuanced and detailed data source with which to supplement the institutional analysis and survey results (Chapters 4 and 6, respectively). The interview results reaffirm that the University's approach to academic integrity is constantly evolving in response to changes within the University community and, more broadly, across the post-secondary sector and society. Notwithstanding the recognition of changes and improvements, there was consensus that there is still significant work to be done.

All the interviewees seemed to accept that change in the University's academic integrity approach is inevitable; they supported the need, in their words, to be "open," "nimble," "pro-active" and "creative" in approaching such a transformation. The interview participants' openness to being situated in what could be describe as a "liminal" space, one of transition, on the threshold or in between, is both positive and realistic.

Respondents believed the University's approach to academic integrity and misconduct, in relation to the services and key policy and support documents, was, overall, transparent and accessible. However, many respondents stressed that transparency and accessibility cannot be assessed only by the ease of accessing documents, websites, or statistics. Rather, they must be authentically imbedded in the University's narratives and teaching and learning environments in order to foster a strong and resilient academic integrity culture at the University.

Chapter 6 Faculty Survey Results

This chapter summarizes the results of the faculty survey. For a full overview of the survey methodology, including questions and hypotheses, data collection tool, participant recruitment, confidentiality provisions, and analysis techniques used, refer to Chapter 3. The response rate is reported based on the number (n) of survey respondents as a proportion of the total number of faculty invited to participate.

The results are reported in the order of the survey questions (see Appendix M). The four aggregate-level demographic characteristics, collected in the first section of the survey, have been summarized. The results from sections two and three of the survey were analyzed using descriptive statistics and, where appropriate, inferential statistics.

In most cases, tests of correlation and/or independent sample t -tests of mean differences were used to determine whether the differences based on the demographic profile characteristics were statistically significant. Only statistically significant findings were reported using inferential statistics. The survey's key findings are also discussed holistically with the institutional analysis and interview findings in Chapter 7.

Responses

One thousand and twenty ($N = 1,020$) participants were invited to complete the survey. For a complete list of the Faculty of Arts and Science departments included in the survey distribution refer to Appendix J. The principal investigator retrieved the email addresses for faculty from the University website as the University does not share contact lists. As a result, invitations were sent to some prospective participants, who were on research/other leaves ($n = 30$) and or who were longer employed at the University ($n = 2$). Nonetheless, the sample population of 1,020 faculty members includes all the individuals contacted for participation in the survey component of this study.

In total 158 survey responses were returned. Seventeen were partial responses and the remaining 141 were complete responses. The threshold for inclusion of partial responses was that the first two sections of the survey were fully answered. The response rate for the study was just over 15%.

Participant Demographic Characteristics

Four respondent characteristics were collected: employment category, years of post-secondary teaching, broad disciplinary area, and primary campus of teaching. Because of the insufficient distribution of responses across the employment categories, this characteristic was excluded from the analysis. However, it is reported below in the results for the four demographic characteristics.

Employment Category

Of the total respondents, 128 (81%) identified as “associate, assistant or full professors.” This group included teaching stream professors, who are part of the appointed professorial group at the University of Toronto. A further 10 respondents (6%) were “professors with an administrative appointment such as Vice Chair, Chair, Vice Dean or Dean.” The remaining 20 respondents (13%) identified as “other teaching faculty,” which included non-appointed faculty, lecturers, or instructors. Given the low numbers of respondents in both the “professor with administrative appointment” and “other teaching faculty” categories, differences pertaining to employment category were not analyzed in the results.

Years of Teaching in Post-Secondary

Respondents were asked how many years they had taught in post-secondary, including at other institutions. More than half, or 80 respondents (51%), had been teaching for 16 years or longer. An additional 49 respondents (31%) had been teaching between 6 and 15 years and the remaining 29 respondents (18%) for 5 years or less.

The respondents’ “years of teaching” were recoded into a dichotomous response. Two instead of three ranges of years of teaching were used to ensure viable numbers in each category because only 29 respondents identified that they had been teaching for less than five years. The “five or less years” and “six to fifteen years” responses were merged into one group of “fifteen or fewer years” and compared against respondents from the “sixteen or more” group. In total, there were six statistically significant survey responses based on respondents’ years of teaching and these will be identified and discussed throughout.

Disciplinary Area

The respondents were asked to select the broad disciplinary area, either “arts/humanities” or “pure/applied sciences,” most closely aligned with their academic credentials, teaching, program, and/or department. As reported, the academic departments selected for inclusion were a combination of arts, humanities and sciences departments from the Faculty of Arts and Science (FAS). Given the interdisciplinary composition of FAS, it was expected that some respondents would not self-identify as belonging to either of these two broad disciplinary areas, therefore an “other” option was provided.

In total, 79 respondents (50%) identified as being from pure/applied science disciplines and 72 respondents (46%) identified as being from arts or humanities disciplines. The remaining seven respondents (4%) selected “other” and specified disciplines including social sciences, law, and interdisciplinary studies. The respondents’ “disciplinary area” was used in this study to determine whether differences in responses were statistically significant based on this demographic characteristic. In total, there were seven statistically significant responses based on disciplinary area and these will be identified and discussed throughout.

Primary Campus of Teaching

Respondents were asked to identify the campus where the majority of their teaching occurs. A large number, 114 respondents (72%), identified St. George (SG) as their primary teaching campus. A further 14 respondents (9%) identified the Scarborough campus (UTSC) and 28 respondents (18%) identified the Mississauga campus (UTM) as their primary campuses of teaching. The remaining two respondents (less than 1%) reported that their teaching was split equally between two of the University’s three campuses.

This distribution of teaching is consistent with the campus sizes and reach of the FAS departments and programs across the University of Toronto.⁴ Given the similarity of student and program composition (undergraduate versus graduate) and campus size (relatively smaller number of enrolled students) at UTM and UTSC, as compared to SG, responses from these two campuses were recoded into the dichotomous category of SG and UTM/UTSC.

4. Refer to Table 2, in Chapter three, for a breakdown of campus size and student composition across the University’s three campuses.

The survey respondents' "primary campus of teaching" was used to determine whether differences in responses were statistically significant based on respondents' primary campus of teaching. In total, there were only two statistically significant responses, making it the least salient of the three demographic characteristics analyzed and these will be identified and discussed throughout.

Respondent Characteristics across Complete/Partial Responses

As reported, there were 141 completed survey responses and 17 partial survey responses. The campus of primary teaching did not differ significantly between the complete and partial responses: SG ($n = 101/13$); UTM ($n = 27/3$); and UTSC ($n = 11/3$). Similarly, the disciplinary area was proportionally distributed between the complete and partial responses: arts/humanities ($n = 63/9$); and sciences ($n = 71/8$). The years of teaching did not differ significantly between the complete and partial responses: five or less years ($n = 27/2$); 6 to 14 years ($n = 41/8$); and 15 or more years ($n = 73/7$). The respondents' employment category was not statistically significant between the "complete" and "partial" responses: professor with administrative appointment ($n = 8/2$); professor ($n = 117/11$); and other teaching faculty ($n = 16/4$).

Experienced Frequency of AI Concerns

Respondents were asked how frequently they encounter student academic integrity concerns in their undergraduate courses, graduate courses, and/or supervised student research (Q. 5). Respondents were asked to consider all suspected incidents of academic misconduct irrespective of whether the concerns were informally resolved within the course or referred to the Chair under the *Code of Behaviour on Academic Matters*.

This question used a five-point frequency response scale of: (0) never; (1) rarely; (2) occasionally; (3) frequently; and (4) very frequently. A "not applicable" option was provided for respondents, who did not teach undergraduate courses, graduate courses, and/or supervise student research.

Overall, the respondents reported significantly higher frequencies of academic integrity concerns in their undergraduate courses than in graduate courses and supervised student research. A sizable number, 50 respondents (32%), reported either frequent or very frequent academic

integrity concerns in their undergraduate courses ($M = 2.24$, $SD = 0.95$). Refer to Table 4 for a breakdown of responses.

Table 4

Frequency of AI Concerns: Undergraduate Courses, Graduate Courses, Student Research

Frequency	Undergraduate Courses <i>n</i> (%)	Graduate Courses <i>n</i> (%)	Student Research <i>n</i> (%)
Never	1 (0.6)	64 (40.5)	96 (60.8)
Rarely	32 (20.3)	39 (24.7)	37 (23.4)
Occasionally	72 (45.6)	17 (10.8)	3 (1.9)
Frequently	29 (18.4)	4 (2.5)	0 (0)
Very frequently	21 (13.3)	0 (0)	2 (1.3)
Total	155 (98.1)	124 (78.5)	138 (87.3)
Not applicable*	3 (1.9)	34 (21.5)	20 (12.7)
Total responses	158 (100)	158 (100)	158 (100)

Note. *Coded as a missing value and excluded from the analysis.

The reported frequency of academic integrity concerns in graduate courses was much lower, with 102 respondents (65%) reporting that they never or rarely encounter academic integrity concerns ($M = 0.69$, $SD = 0.83$). A larger proportion, 133 respondents (84%), reported that they never or rarely encounter academic integrity concerns in the supervision of student research ($M = 0.37$, $SD = 0.67$).

The difference in the reported frequency of academic integrity concerns between undergraduate and graduate courses was statistically significant χ^2 ($df = 9$) = 19.03 ($p = .025$). The difference in the reported frequency of academic integrity concerns in undergraduate courses as compared to that in supervised student research was also statistically significant χ^2 ($df = 9$) = 19.40 ($p = .022$). Academic integrity concerns were, therefore, reported at a significantly higher frequency in undergraduate courses than in graduate courses and supervised student research.

Independent sample *t*-tests were used to compare the mean differences for this question across respondents' demographic characteristics. There was a high degree of consistency in the frequency of faculty academic integrity concerns across years of teaching, campus of primary teaching or disciplinary area.

Context-Specific Perceptions on Frequency of AI Concerns

Respondents were asked how frequently they believed student academic integrity concerns occurred within the following three generalized contexts: in their program/department, across the University, and across the post-secondary sector (Q. 6). This question was included, in part, to test the validity of the researcher's hypothesis that faculty overestimate the prevalence of general academic integrity concerns. In other words, faculty members are likely to view academic integrity concerns as more frequent and problematic in general than they report from their own experience.

This question used a four-point response scale, which included: (1) rare; (2) occasional; (3) frequent; and (4) very frequent. A response option of "I do not know" was included for respondents who did not have enough information or experience to make an assessment.

Overall, 65 respondents (41%) perceived academic integrity concerns within their programs and departments to be either frequent or very frequent ($M = 2.53$, $SD = 0.84$). Respondents perceived an even greater frequency of academic integrity concerns across the University and within the post-secondary sector generally. In total, 82 respondents (56%) and 61 respondents (51%) perceived academic integrity concerns to be either "frequent" or "very frequent" across the University ($M = 2.83$, $SD = 0.71$) and only slightly less frequent across the post-secondary sector ($M = 2.80$, $SD = 0.765$).

Refer to Table 5 for breakdown of faculty responses across these context-specific settings. Overall, the respondents perceived a significantly higher frequency of academic integrity concerns, than they reported from their personal experience, in their programs/departments, across the University and across the post-secondary sector.

There were no statistically significant differences between the perceived frequency of academic integrity concerns (across programs/departments, the University and post-secondary sector)

based on the respondent characteristics of years of teaching, disciplinary area, and campus of primary teaching.

Table 5

Perceived Frequency of AI Concerns: Program/Department, University, Post-secondary Sector

Frequency	Program/ Department <i>n</i> (%)	Across University <i>n</i> (%)	Across Post-Secondary Sector <i>n</i> (%)
Rare	11 (7.0)	2 (1.3)	4 (2.5)
Occasional	68 (43.0)	39 (24.7)	39 (24.7)
Frequent	43 (27.2)	67 (42.4)	59 (37.3)
Very frequent	22 (13.9)	21 (13.3)	22 (13.9)
Total	144 (91.1)	129 (81.6)	124 (78.5)
I don't know*	14 (8.9)	29 (18.4)	34 (21.5)
Total responses	158	158	158

*Note.**Coded as a missing value and excluded from the analysis.

Assessment of Academic Integrity “Change” over Last Decade

Respondents were asked to rate their level of agreement with the statement “Student academic integrity concerns have gotten significantly worse over the last decade” (Q. 7). This question used a five-point agreement scale: (1) strongly disagree; (2) disagree; (3) neither agree nor disagree; (4) agree; and (5) strongly agree.

A total of 91 respondents (57%) either agreed or strongly agreed with the statement. Whereas a sizable number, 55 respondents (35%), neither agreed nor disagreed with the statement. Only a small number, 12 respondents (8%), disagreed or strongly disagreed with the statement. Refer to Table 6 for a complete distribution of responses. The mean response for this question was 3.68 ($SD = 0.92$), placing the average response slightly closer to agree than to the neutral response of neither agree nor disagree.

Independent sample *t*-tests were conducted to compare the mean responses on the worsening of academic integrity across the three characteristics of the respondents. The only significant finding was between respondents in pure/applied sciences disciplines ($M = 3.54$, $SD = 0.80$) and

those in arts and humanities disciplines ($M = 3.86$, $SD = 1.00$); ($t_{149} = 2.165$, $p = .032$), who agreed more strongly that academic integrity had worsened over the decade.

Table 6

Worsening of Academic Integrity Concerns Over Last Decade

Level of Agreement	<i>N</i>	Percent
Strongly agree	32	20
Agree	59	37
Neither agree nor disagree	55	35
Disagree	9	6
Strongly disagree	3	2
Total	158	100.0

Narrative Comments on Academic Integrity Change

In total, 31 respondents provided optional comments for this question. The following themes emerged: the impact of technology, increased number of ELLs, increased awareness and detection of academic misconduct, insufficient research and citation skills, and an inability to assess change.

Impact of Technology. Thirteen of the comments included a reference to the negative role that emerging technologies (e.g. the internet, online sources, course sharing websites) have played in eroding academic integrity and/or facilitating misconduct. One respondent said, “electronic media makes copying and pasting much more prevalent.” Four respondents mentioned the proliferation of course sharing websites and how such businesses have contributed to the “ease” and “anonymity” of cheating. Another respondent stated, “I am appalled by the ability, using software such as Course Hero, to copy solutions to assignments.”

One respondent commented on the connection between student attention/focus and the omnipresent nature of technology. “Students are less accustomed to being alone with a text or

problem ... a general lack of aloneness given the possibilities for connectedness that smartphones in combination with the internet provide.”

Impact of Increased International Enrollments. Four of the respondents mentioned the increased number of international, and ELL students and the perceived impact on academic integrity. One respondent said, “Our universities are more diverse with more international students. Norms across cultures are not uniform.” Another respondent suggested that with the increase in ELL students, it had become “easier to detect” academic integrity issues because of the students’ developing English skills.

Increased Awareness and Detection. Some respondents reported an observable increase of the number of reported cases in either their departments and/or divisions over the last decade. One respondent said, “I agree that more cases have come to light and it is concerning” but “it is not clear if the fraction of those behaving poorly has changed.”

Another respondent said that the increase in academic integrity issues “is more a matter of perception, and that faculty and TAs have been made more aware.” Still others argued that they would be surprised if academic misconduct has increased but, rather, as one respondent said, “we’ve just gotten better at finding it now, and we’re more aware that it’s a problem.”

Insufficient Research and Citation skills. Four respondents commented on students’ lack of research and citation skills, which they view as contributing to observed increases in academic misconduct – notably plagiarism. One respondent said, “With the rise of primarily non-curated online sources, students have rapidly lost the ability to discriminate high-quality research sources from poor ones. There seems to have been a related loss of interest in citing sources.”

Another respondent said that “high school teaching either allows or even encourages plagiarism ... High schools seem to no longer encourage or nurture the idea of papers that are the result of synthesized research rather than simply copied out of Wikipedia or some other online source.” A separate respondent said “aspects related to not understanding plagiarism might be at play.”

Unable to Determine Change. Five respondents commented that they were unable to make “evidence-based” or “accurate” assessments as to whether academic integrity has

worsened over the last decade. Two other respondents said that they had not been teaching long enough to comment on academic integrity or misconduct changes.

Importance of Individual-Level Student Factors

Respondents were asked to assess the relative importance of nine individual-level student factors as they contribute to academic dishonesty and/or misconduct (Q. 8). These factors were drawn from the empirical academic integrity literature. This question used a five-point rating scale: (1) unimportant; (2) of little importance; (3) moderately important; (4) important; and (5) very important. A response option of “I do not know” was provided for respondents who could not assess the importance of the factors.

Table 7 includes a summary of responses, means, and standard deviations for the individual-level student factors in descending order (least to most important). Respondents assessed students’ increased access to technology as the most overall important factor followed by the commodification of knowledge and credentials by students and the impact of a peer cheating culture.

Table 7

Importance of Individual-Level Student Factors

Individual-Level Student Factors	<i>n</i>	<i>M</i>	<i>SD</i>
Increased access to technology	146	4.13	1.01
Commodification of knowledge and credentials	139	3.89	1.02
Impact of peer cheating culture	136	3.84	0.88
Insufficient time management skills	150	3.72	0.97
Poor ethics	142	3.61	1.09
Low academic readiness	152	3.53	0.92
Low academic motivation	150	3.45	1.08
Unclear academic expectations – international students	144	3.09	1.15
Unclear academic expectations – all students	153	2.69	1.04

The least important individual-level student factors were unclear academic expectations for all students followed by unclear academic expectations for international students. Insufficient time management, poor ethics, low academic readiness, and low academic motivation were assessed as moderately important factors. The overall mean response for the combined individual-level student factors question was $M = 3.54$ or between moderately important and important.

Independent sample t -tests were conducted to compare responses across this question based on the three respondent demographic characteristics. One statistically significant difference was found for the respondents' years of teaching. Respondents teaching 16 years or more ($M = 3.80$, $SD = 1.058$) placed a higher degree of importance on poor ethics than did those teaching 15 years or less ($M = 3.42$, $SD = 1.10$); ($t\ 140$) = -2.12, $p = .036$.

Three statistically significant differences were found for the respondents' disciplinary area. Respondents from the arts and humanities ($M = 3.83$, $SD = 0.85$) placed a higher degree of importance on the student factor of low academic readiness than did respondents from the sciences ($M = 3.28$, $SD = 0.91$); ($t\ 143$) = 3.66, $p = .00$. Respondents from the arts and humanities ($M = 4.35$, $SD = 0.83$) also placed a higher degree of importance on increased access to technology than did respondents from the sciences ($M = 3.97$, $SD = 1.05$); ($t\ 138$) = 2.56, $p = .012$. Respondents from the arts and humanities ($M = 4.09$, $SD = .861$) placed a higher degree of importance on commodification of knowledge and credentials than did respondents from the sciences ($M = 3.70$, $SD = 1.10$); ($t\ 132$) = 2.312, $p = .022$.

Importance of Institutional and/or Situational Factors

Respondents were asked to assess the relative importance of eight institutional/situational factors as they contribute to academic dishonesty and/or misconduct (Q. 9). These factors were drawn from the empirical academic integrity literature. This question used a five-point rating scale: (1) unimportant; (2) of little importance; (3) moderately important; (4) important; and (5) very important. A response option of "I do not know" was provided and assigned a missing value and omitted from the data calculations.

Table 8 provides a summary of the number of responses, mean, and standard deviation for the eight institutional and/or situational factors in descending order (most to least important). The institutional/situational factor deemed to be of the most importance was the increased

international student enrollments without sufficient supports followed by large campus/class sizes and fully online course delivery. It is worth noting that a large number of respondents ($n = 73$) selected the “I don’t know” option for the online course delivery, likely because they had no direct experience of delivering online courses. Nonetheless, those who assessed the importance of this factor felt that delivering courses online was an important contributor to academic integrity concerns.

Table 8

Importance of Institutional/Situational Factors

Institutional/Situational Factors	<i>n</i>	<i>M</i>	<i>SD</i>
Increase in international students – without sufficient support	129	3.57	1.16
Large campus and class sizes	146	3.32	1.18
Fully online course delivery	85	3.22	1.21
Lack of adequate student supports	139	3.08	1.07
Poor assessment design	146	2.80	1.11
No or inconsistent communication of academic expectations	146	2.68	1.11
Low quality teaching & learning environments	138	2.60	1.08
Inadequate test and exam invigilation	141	2.43	1.04

The three least important institutional/situational factors were inadequate text/exam invigilation, low quality teaching and learning environments, and no or inconsistent communication of academic expectations. The remaining factors of poor assessment design and lack of adequate student supports were assessed in the middle range. The mean response for the combined institutional/situational factor question was 2.92 or between of little importance and moderately important.

Two statistically significant differences were found based on the respondents’ disciplinary area. Respondents from the arts and humanities placed greater importance on the institutional factor lack of student support ($M = 3.40$, $SD = 1.087$) as compared to respondents from the sciences ($M = 2.76$, $SD = 0.955$); ($t_{130} = 3.59$, $p = .000$). In addition, arts and humanities respondents placed

a greater importance on the factor of large campus and class sizes ($M = 3.57$, $SD = 1.131$) than did respondents from the sciences ($M = 3.14$, $SD = 1.179$); ($t_{137} = 2.18$, $p = .031$).

Two statistically significant differences were found based on respondents' primary campus of teaching. Respondents from the smaller campuses of UTM/UTSC placed a higher degree of importance on the institutional factor fully online course delivery ($M = 3.76$, $SD = 1.20$) as compared to respondents from the larger SG campus ($M = 3.05$, $SD = 1.09$); ($t_{83} = -2.42$, $p = .018$). Whereas respondents from SG placed greater importance on increased international students without supports ($M = 3.78$, $SD = 1.103$) than did respondents from UTM/UTSC ($M = 3.06$, $SD = 1.134$); ($t_{125} = 3.156$, $p = .002$).

It is worth noting that overall, respondents placed a significantly higher overall importance on the salience of individual-level student factors ($M = 3.54$) than on institutional/situational factors ($M = 2.92$). The result may have been influenced by the fact that the academic integrity literature, research, and practice have focused inquiry and interventions at the student versus the institutional level. This finding informs the need to broaden the characterization and discourse of academic integrity to reflect a more macro or institutional perspective.

Institutional Impacts of Academic Integrity Concerns

The following three questions assessed faculty members' perceptions on the impact of eroding academic integrity in relation to the following core University functions or outcomes: academic quality, research mandate, and institutional reputation/ranking. The questions used a common five-point rating scale: (5) strongly agree; (4) agree; (3) neither agree nor disagree; (2) disagree; and (1) strongly disagree. These questions were posed in reference to universities in general as opposed to the University of Toronto specifically. There were no statistically significant differences in the responses to this question across the three respondent characteristics.

Impact on Academic Quality

Respondents were asked to indicate their level of agreement with the following statement: "High incidents of student academic dishonesty and misconduct negatively impact a university's ability to ensure the academic quality of its courses, programs and credentials" (Q. 10). The link between academic integrity and academic quality has been well established in the literature and practice (refer to Chapters 2 and 7).

Nearly all respondents either strongly agreed ($n = 76$ or 48%) or agreed ($n = 65$ or 41%) that student academic dishonesty and misconduct negatively affect a university's ability to ensure academic quality. Twelve respondents (8%) neither agreed nor disagreed and the remaining seven (3%) disagreed or strongly disagreed. The perceived impact of eroding academic integrity on academic quality was the highest of the three institutional functions or outcomes measured with a mean average of 4.33 (refer to Table 9).

Table 9

Institutional Impacts of Academic Dishonesty/Misconduct

	<i>n</i>	Mean (M)	Std. Deviation (SD)
Academic Quality	158	4.33	0.802
Reputation & Ranking	158	3.96	0.895
Research Mandate	158	2.35	1.070

Impact on Research Mandate

Respondents were asked to indicate their level of agreement with the following statement: “High incidents of student academic dishonesty and misconduct negatively impact a university's ability to effectively pursue its research mandate” (Q. 11). A large proportion of respondents either strongly disagreed ($n = 41$ or 26%) or disagreed ($n = 48$ or 30%) that a university's ability to effectively pursue its research mandate is adversely impacted by student academic dishonesty and misconduct. A further 44 respondents (28%) neither agreed nor disagreed. Only 22 respondents (14%) agreed and three respondents (2%) strongly agreed with this statement.

Overall the perceived impact of eroding academic integrity on a university's ability to pursue its research mandate was the lowest of the three institutional functions/outcomes measured, with a mean response average of 2.35 (refer to Table 9). These findings suggest that faculty make a

distinction between the university's protocols governing research mandate and academic integrity policies.

Impact on Reputation and/or Ranking

Respondents were asked to indicate their level of agreement with the following statement: "High incidents of student academic dishonesty and misconduct negatively impact a university's academic reputation and/or ranking" (Q. 12). The relationship between academic integrity and a university's reputation and ranking has not been well established or tested in the literature. However, it could be argued that reputation and ranking might be adversely affected to the extent that academic quality is compromised.

A large proportion of respondents either strongly agreed ($n = 50$ or 37%) or agreed ($n = 62$ or 39%) that a university's reputation and ranking is adversely impacted by student academic dishonesty and misconduct. A further 36 respondents (23%) neither agreed nor disagreed. Only 10 respondents (6%) disagreed, and none strongly disagreed. Overall, the respondents perceived that eroding academic integrity had less impact on a university's reputation and ranking than on academic quality, with a mean average response of 3.96. This was significantly higher than that of the research mandate (refer to Table 9).

Responsibility for Establishing Impactful AI Culture

Respondents were asked how they would distribute the responsibility between students and universities for "establishing an impactful academic integrity culture on campus" (Q. 13). This question provided a continuum of responses from "students" and/or "universities": (1) students; (2) mostly students but also universities; (3) shared equally between students and universities; (4) mostly universities but also students; and (5) universities.

A majority, or 86 respondents (54.4%), believed that the responsibility for creating a culture of academic integrity on campus should be shared equally between students and universities. This was followed by 40 respondents (25.3%) believing that universities are mostly responsible but also that students have a role to play. Refer to Table 10 for a full break down of responses.

Table 10

Responsibility for Establishing AI Culture

Distribution of Responsibility	<i>n</i>	Percent
Students	6	3.8
Mostly students but also universities	14	8.9
Shared between students and universities	86	54.4
Mostly universities but also students	40	25.3
Universities	12	7.6
Total	158	100.0

The mean score across all respondents ($M = 3.24$, $SD = 0.86$) would attribute slightly more responsibility for establishing a resonant academic integrity culture to universities than to students. Again, there were no significant differences across the responses to this question based on respondent characteristics.

Institutional Responses to Academic Integrity

The last section of the survey asked respondents to assess the relative importance of a range of different institutional responses and considerations for the enhancement of academic integrity. The responses were drawn from the academic integrity literature and presented within Bolman and Deal's (2003) four-frame model. A common response scale was used for these questions: (1) unimportant; (2) of little importance; (3) moderately important; (4) important; (5) very important.

The response options of "I don't know" and "blank" were excluded from the quantitative analyses. The partial survey responses ($n = 17$) left these questions blank. The net responses for each of the sub-questions in this section ranged from a low of 123 to a high of 133, therefore substantially lower than those in parts one and two of the survey.

Structural Frame

Respondents were asked to rate the importance of seven responses and/or considerations used to enhance academic integrity from the structural frame (Q. 14). The structural frame was defined as the “interconnected organizational fabric which supports and sustains operations, including: rules, roles, hierarchies, goals, strategy, technology and other physical inputs”.

Not surprisingly, respondents assessed faculty assistance in preventing and responding to academic integrity misconduct to be of the greatest importance ($M = 4.19$, $SD = 0.86$), followed by clear roles and responsibilities for responding to academic integrity breaches as the second most important response ($M = 4.09$, $SD = 0.87$).

The remaining structural approaches or considerations, which ranked from the most to least important, were: institutional goals and strategy ($M = 3.79$, $SD = 0.97$); student assistance ($M = 3.77$, $SD = 1.00$); policy and decision-making frameworks ($M = 3.68$, $SD = 0.985$); awareness campaigns ($M = 3.65$, $SD = 1.10$). These were followed by technological tools such as text/code matching software ($M = 3.48$, $SD = 1.00$). An overall rating for the structural frame was calculated by combining and averaging responses for the seven individual components. Overall, the respondents assessed the structural frame as approaching important ($M = 3.81$, $SD = 0.64$).

Some statistically significant differences appeared across the structural frame responses based on respondents' disciplinary area and years of teaching. Respondents from the arts and humanities placed a higher degree of importance on of student assistance ($M = 3.98$, $SD = 0.91$) than did respondents from the sciences ($M = 3.55$, $SD = 1.03$); ($t_{122} = -2.499$, $p = .014$).

Respondents who had taught 16 years or longer placed a greater importance on educational and awareness campaigns ($M = 3.86$, $SD = 1.00$) than respondents who had taught for 15 years or less ($M = 3.43$, $SD = 1.16$); ($t_{128} = -2.258$, $p = .026$).

Last, respondents were asked to independently rank the relative importance of the four frames (Q. 18) where (1) was the most important and (4) the least important. The mean score ($M = 1.73$) for the structural frame demonstrated that this frame was assessed as the most important overall. The results of this question were consistent with the study's calculated mean ($M = 3.81$, $SD = 0.64$) for all structural responses and/or considerations, reported above, as the most important frame.

Human Resource Frame

Respondents were asked to rate the importance of four responses and/or considerations used to enhance academic integrity from the human resource frame (Q. 15). The human resource frame was defined as the “human capital or people, within an organization inclusive of their needs, skills, intellectual contributions and inter-dependent relationships”.

The most important human resource response was building capacity (knowledge and skills) of faculty, staff and students ($M = 3.88$, $SD = 0.96$). This was followed, in order of importance, by fostering supportive relationships between faculty, staff and students ($M = 3.78$, $SD = 0.99$); consulting with impacted stakeholders ($M = 3.73$, $SD = 1.11$); and training, time, and resources for faculty to respond to academic misconduct ($M = 3.61$, $SD = 1.11$). An overall rating for the human resource frame was calculate by combining and averaging the question’s four sub-responses. Respondents assessed the human resource frame overall as approaching important ($M = 3.73$, $SD = 0.84$) and the second most important frame after the structural frame.

One statistically significant difference was found across the human resource frame based on years of teaching. Respondents who had taught 16 years or longer placed a greater importance on the human resource response of building capacity for faculty, staff, and students ($M = 4.08$, $SD = 0.97$) than did those who had taught for 15 years or less ($M = 3.66$, $SD = .92$); ($t\ 126$) = -2.480, $p = .014$.

Last, respondents were asked to independently rank the relative importance of the four frames (Q. 18). The mean score ($M = 2.16$, $SD = 0.96$) for the human resource frame show it was assessed as the second most important frame. The results of this question were consistent with the study’s calculated mean ($M = 3.74$, $SD = 0.84$) for all human resource responses and/or considerations reported above as the second most important frame.

Political Frame

Respondents were asked to rate the importance of four responses and/or considerations used to enhance academic integrity from the political frame (Q. 16). The political frame was defined as the “internal and external power imbalances, conflict and organizational politics impacting the organization and its people”.

Overall, the respondents assessed open and inclusive academic integrity dialogue among institutional stakeholders as the most important political response ($M = 3.45$, $SD = 1.22$). The importance of considering power imbalances between different stakeholder groups vis-a-vis academic integrity issues were assessed as significantly less important. In descending order the importance of the imbalances were assessed as follows: power imbalances between faculty and students ($M = 2.68$, $SD = 1.29$); power imbalances between students and their peers ($M = 2.62$, $SD = 1.25$); and power imbalances between faculty and administration ($M = 2.57$, $SD = 1.28$).

An overall importance rating for the political frame was calculated by combining and averaging responses to the question's four sub-components. The respondents assessed the political frame as of little importance ($M = 2.87$, $SD = 1.08$) and the least important of all the frames.

One statistically significant difference was found for the political frame question based on years of teaching. Respondents who had taught 16 years or longer placed a greater importance on open and inclusive academic integrity dialogue ($M = 3.74$, $SD = 1.14$) than did those who had taught for 15 years or less ($M = 3.09$, $SD = 1.23$); ($t(116) = -2.953$, $p = .004$).

Finally, respondents were asked to rank the relative importance of the four frames (Q. 18). The mean score of ($M = 3.40$, $SD = 0.85$) for the political frame show it was assessed as the least important of the frames. This result was consistent with the study's calculated mean ($M = 2.87$, $SD = 1.08$) for the four political frame responses and/or considerations reported above as the least important frame.

Symbolic Frame

Respondents were asked to rate the importance of six responses and/or considerations from the symbolic frame used to enhance academic integrity (Q. 17). The symbolic frame was defined as the "shared institutional culture, meaning, metaphors, ritual, ceremony, stories and heroes".

The respondents assessed fostering an organization-wide academic integrity culture as the most important symbolic response ($M = 4.12$, $SD = 0.90$). The next three in importance were promoting a values-based approach to academic integrity ($M = 3.88$, $SD = 1.10$); students sharing their academic integrity stories/experiences ($M = 3.72$, $SD = 1.05$); using senior leaders as academic integrity champions ($M = 3.64$, $SD = 1.09$). The final two were staff and faculty sharing their academic integrity stories/experiences ($M = 3.20$, $SD = 1.07$) and using metaphors

and visual images in academic integrity communications ($M = 2.93$, $SD = 1.25$). An overall importance rating for the symbolic frame was calculated by combining and averaging responses resulting in a ranking between moderately important and important ($M = 3.59$, $SD = 0.78$).

Three statistically significant differences were found across the symbolic frame question based on years of teaching. Respondents who had taught 16 years or longer placed a greater importance on senior leaders serving as institutional champions for academic integrity ($M = 3.92$, $SD = 1.04$) than did those who had taught for 15 years or less ($M = 3.32$, $SD = 1.05$); ($t_{119} = -3.173$, $p = .002$). Those teaching 16 years or longer also placed greater importance on the symbolic response of promoting a values-based approach to academic integrity ($M = 4.15$, $SD = 1.01$) as compared to those who had taught for 15 years or less ($M = 3.58$, $SD = 1.12$); ($t_{112} = -2.859$, $p = .005$). Using metaphors and/or visual images to promote academic integrity was assessed of greater importance by respondents teaching over 16 years ($M = 3.16$, $SD = 1.30$) as compared to those teaching 15 years or less ($M = 2.66$, $SD = 1.15$); ($t_{100} = -2.058$, $p = .042$).

Last, respondents were asked to rank the relative importance of the four frames (Q. 18). The resulting mean score of $M = 2.69$ ($SD = 1.09$) for the symbolic frame show it was assessed as the third most important frame. The results from this question were consistent with the study's calculated overall mean ($M = 3.59$, $SD = 0.78$) for symbolic responses and/or considerations as reported above to be the third most important frame.

Importance of multi-frame thinking. The last survey question asked respondents how important they believed it was for universities to take into account considerations across the four organizational frames when making decisions and implementing significant changes to their academic integrity approach (Q. 19). This question resulted in an average rating between somewhat important and important ($M = 3.30$, $SD = 1.10$).

Of the 139 respondents, a large number ($n = 67$) believed it was either very important or important. The remaining respondents were split between somewhat important ($n = 38$) and not so important or not at all important ($n = 34$). Refer to Table 11 for a percentage breakdown of exact responses.

Table 11

Importance of four-frame model in AI change

Level of Importance	<i>n</i>	Percent
Very important	17	12
Important	50	36
Somewhat important	38	27
Not so important	21	15
Not at all important	13	10
Skipped	2	.01
Total	141	100.0

Summary of Results*AI prevalence, individual and situation factors and institutional impacts*

Academic integrity concerns were reported significantly more often in undergraduate courses as compared to either graduate courses or supervised student research. This finding is consistent with the empirical research, which has identified a greater prevalence, or at least focus on, academic misconduct in undergraduate student populations (see McCabe & Treviño, 1996; McCabe, Treviño, & Butterfield, 2001). More recently though, some scholars have begun to examine the prevalence and factors related to academic dishonesty among graduate and/or students in professional programs such as medicine, law, and business. These studies have suggested different motives for academic dishonesty, including pressure to remain competitive and/or high performing (see Bertram Gallant et al. 2013; McCabe & Drinan, 1999).

Furthermore, it is possible that factors unique to the undergraduate learning environment, such as larger class sizes, less direct contact with professors, and normative teaching and assessment pedagogies, may contribute to the overall higher instances of academic misconduct in this student group. Similarly, undergraduate student characteristics, such as younger age, lower levels of academic readiness, poor time management or motivation, may also contribute to the relative

higher instances of academic misconduct. Students enrolled in graduate level studies and those engaged in formal research may be more academically prepared, enrolled in smaller classes, and have more direct contact with professors, thereby leading to fewer incidents of academic misconduct.

The infrequent academic integrity concerns reported by faculty members in the context of supervised student research could result from faculty making an actual and/or perceived separation between academic integrity policies and the institution's protocols governing research – namely the *Ethics in Research Policy* and *Allegations in Research Misconduct*. Further, the unique relationship and level of engagement typically established between professors and students in research supervision may reduce the frequency of academic integrity concerns. These findings could also result from of faculty differentiating between formal research and the University's core functions of teaching and learning, which occurs at the course and credential levels. The reported low frequency of academic integrity concerns in the context of research supervision is consistent with respondents' view that the University's research mandate is less affected by eroding academic integrity than are academic quality and institutional reputation and ranking.

While faculty members' personal experiences with academic integrity concerns were relatively infrequent, they assessed academic integrity concerns to be significantly more frequent in the generalized contexts of their programs/departments, across the University and in the post-secondary sector. The findings reinforce the tendency of faculty to view the “problem” of academic integrity as ubiquitous within the post-secondary sector, even if they have not personally experienced it. A number of scholars have likened the reactions to academic integrity to a “moral panic” (see Clegg, S., & Flint, A., 2006). Some suggest it is a concern that has been given a disproportionately high level of attention in the post-secondary discourse. Some might argue that the preoccupation with academic integrity happens at the expense of other important concerns within universities such as funding, academic quality, and student success.

The majority of respondents indicated that academic integrity concerns have worsened over the last decade. A statistically significant difference was found between respondents' views of worsening academic integrity, based on their disciplinary area. Respondents from arts or humanities disciplines more strongly agreed with this statement. It is possible that this difference

was influenced, at least in part, by the elevated incidents of plagiarism in arts and humanities programs. Compared to the science programs, the arts and humanities programs have a greater percentage of written assignments that require students to demonstrate both research and citation skills. This finding was supported in the narrative comments that referenced students' insufficient research and citation skills as a significant factor in academic misconduct.

In the open-ended comments, access and use of technology was cited most often as the factor contributing to increased academic misconduct. This finding was consistent with the results of the other survey questions on individual-level factors affecting academic misconduct – wherein student access to increased technology was identified as the most salient individual factor contributing to academic misconduct. Other respondents commented on the increased diversity of the student population, including the greater enrollment of international and ELL learners, as contributing to increased academic misconduct. These comments were consistent with the findings on the salience of the institutional factor of increased international students – without sufficient supports being assessed as the most important factor contributing to misconduct. Notably respondents from the SG campus assessed the lack of sufficient supports for international students as significantly more important than did respondents at UTM/UTSC.

Overall, the respondents placed a greater importance on individual-level student than on the institutional/situational factors as negatively affecting academic integrity. The researcher posits that these findings are consistent with the academic integrity literature that has historically focused its inquiry at the student versus the institutional level(s). Academic integrity practices in the post-secondary sector, which have been informed by the literature, have developed largely through a “student-deficit” lens. The aim, in part, of this study was to broaden the view and understanding of the complex issue of academic integrity, inclusive of its multiple antecedents and responses. The faculty survey results suggest a need to think more holistically about the complex issue of academic integrity by reframing the narrative to one of “institutional integrity.” As Bertram Gallant (2016) argues in her assessment of the importance of institutional integrity, “addressing integrity as a systemic issue, rather than one in which only the individual’s integrity matters, will help leverage integrity for the betterment of education” (p. 987).

Interestingly, in regards to institutional/situational factors, those factors under the most direct control of individual faculty members were assessed as the least important, whereas, those under

the general purview of the University were assessed as more important. The significance of this finding is that faculty members may not fully appreciate the impact that quality teaching and learning environments, assessment design, and invigilation have on overall academic integrity. The higher significance placed on clarity of academic expectations for international students, compared to the clarity of academic expectations for all students, suggests that there is a general agreement that international and/or ELL students require an enhanced level of support to meet academic expectations and/or conventions.

The respondent characteristic of years of teaching resulted in some important distinctions. Respondents who had taught for 16 years or longer seemed to value the ethical and political dimensions of academic integrity more than did their junior counterparts. In regards to individual-level factors, they viewed students' poor ethics as more important than the other factors. In addition, this respondent group valued open and inclusive dialogue between all stakeholders (political), educational and awareness campaigns, and building capacity among faculty and students.

The respondents' disciplinary area affected responses across three of the individual-level factors. Arts and humanities faculty members placed a greater importance on the role of students' access to internet/technology, commodification of knowledge, and lack of academic readiness than did the science faculty members. It is possible that the normative pedagogical approaches and assessments in arts and humanities disciplines rendered the inappropriate use of technology and lack of academic readiness more problematic. Similarly, the concept of the commodification of knowledge might have resonated more directly with arts and humanities versus science faculty, given that such neo-liberal theories are more germane to the arts and humanities in general. Not surprisingly, arts and humanities faculty also viewed a large campus and class size and lack of student supports as important institutional factors affecting negatively on academic integrity.

The results for the question on the locus of responsibility for creating an academic integrity culture suggest that faculty respondents view universities as having a proportionally larger stake in and, possibly greater resources for, building and fostering academic integrity culture. In addition, according to the findings, faculty believe that students have an essential role to play in contributing to and upholding academic integrity culture on campus. It is essential that, as critically affected stakeholders, students be consulted on their experiences and ideas for

supporting cultural transformation. The findings of this survey validate the hypothesis that faculty believe universities, and to a lesser extent students, are responsible for creating and fostering an academic integrity culture.

AI through institutional “frames”

Overall, faculty respondents assessed the structural frame as the most important institutional frame. In some ways, this is to be expected, because the complex issue of academic integrity/misconduct requires clear roles, responsibilities, and policies and procedures, which are all situated within the structural frame. The human resource frame, which included the interactions between and capacity building of faculty, staff, administrators, and students in responding to and maintaining academic integrity, was assessed as the second most important frame.

Interestingly, the symbolic frame was only assessed as the third most important—despite being central to the development of academic integrity culture and values-based approaches. The sub-components of the political frame, with the exception of the broad stakeholder consultation item, did not resonate with respondents, resulting in an assessment of the political frame being the least important of the four. It is possible that the sub-items (i.e., power imbalances between different stakeholders: faculty and students; students and students; and faculty and administrators) in the political frame were understood as considerations, as opposed to overt actions or strategies, and therefore interpreted as less important. The researcher suggests that in making comprehensive institutional change, identifying and mitigating the power imbalances inherent to academic integrity would be extremely valuable. Overall faculty supported the use of the four-frame model as a framework to better understand and respond to concerns about academic integrity.

Chapter 7 Integrated Discussion

This chapter discusses, and integrates, the key findings from the research study through the concepts and model used to structure the inquiry. The integrated discussion is contextualized within the academic integrity, and to a lesser extent, higher education literatures. While the study's results were reported and summarized in Chapters 4, 5, and 6, combining them here allows for a more complete understanding of the University's approach to academic integrity including the experiences and perceptions of key stakeholder groups.

The layering of different types and sources of data is central to the study's epistemology and methodological design, and results in a more in depth understanding of the complex issue of academic integrity. The researcher hopes that this analysis, and the recommendations for practice and future research in Chapter 8, will be useful not only for the University in which the research was conducted but, also, for other post-secondary institutions and researchers alike.

Institutional Understanding of AI: Applying the Four-Frame Model

A central objective of the institutional analysis was to explore the extent to which the University's characterization of, and approaches to, academic integrity were aligned with Bolman and Deal's (2003) four institutional "frames". Whereas, the survey assessed in part faculty perceptions on the: relative importance of the University's academic integrity considerations and approaches across the four frames; and usefulness of the four-frame model to inspire leadership and strategic change vis-à-vis academic integrity. Below only observations from the three less dominant frames are discussed.

Human Resource Frame

In the survey, faculty assessed the human resource frame including, but not limited to, "building capacity (knowledge and skills) of faculty, staff, and students" and "consultations with impacted stakeholders" as the second most important frame. In the institutional analysis a broad range of information, documents, and services intended to support and build academic integrity competencies across different stakeholder groups (e.g., students, faculty, and deans' delegates, administrators) were identified and analyzed.

Additionally, interview participants identified faculty and student supports and training as essential for enhancing academic integrity on campus. These included, but were not limited to, faculty educational development efforts (e.g., teaching and learning, pedagogical and assessment design) as well as diverse student educational and academic skills development supports (e.g., research and writing support, time management, study workshops).

Whether for faculty or students, such developmental and educational approaches, characteristic of the human resource frame, are consistent with the best practice literature of approaching academic integrity fundamentally as an “academic literacies” (Howard, 2016), teaching and learning (Bertram Gallant, 2008) and/or pedagogical (Griffiths, 2013) issue. While others (Serviss, 2016) have identified faculty development approaches to academic integrity as an area of practice which needs further enhancement and resourcing.

Symbolic Frame

As reported in the survey, faculty assessed considerations and approaches under the symbolic frame as being relatively less important than those in either the structural or human resource frames. Survey respondents did, however, assess “fostering academic integrity culture” and “promoting a values-based approach to academic integrity” as the two most important symbolic approaches.

Faculty also placed high importance on the role that “poor ethics” and “peer cheating cultures” play in dishonest student behaviour as compared to most other individual-level factors. These findings demonstrate the relative importance placed on personal ethics and values vis-à-vis academic integrity and suggest that more explicit approaches would be supported by faculty and possibly other stakeholders at the University. The institutional analysis only identified a few direct references to academic integrity “values,” “morals,” or “ethics” mostly embedded in the University’s Academic Integrity and some of the divisional academic integrity office websites.

The academic integrity literature has identified the importance of addressing the ethical and moral dimensions underlying student dishonesty (see Eisenberg, 2004; Granitz & Loewy, 2007; East, 2010; Meng, Othman, D'Silva & Omar, 2014; Morris, 2012; Seider, Novick & Gomez, 2013). Additionally, many researchers have called for the embedding of ethics and ethical decision-making more explicitly in curriculum (Seider et al., 2013; Christensen Hughes &

Bertram Gallant, 2016). The researcher should note that likely, to varying degrees, ethical and moral approaches are being leveraged in specific programs and departments across the University, but, that such level of inquiry was not within the scope of the current study.

Other researchers have suggested that the relationship between ethics and behaviour is significantly more complex. Simola (2017) identified the importance of contextual and situational variables in understanding the interplay between ethics and behaviour. Stephens & Wangaard (2013) discuss “moral education” as an only moderately effective approach to remediating academic integrity behaviour.

In the survey, when asked whose responsibility it was to establish an “impactful academic integrity culture on campus” on a continuum of students to universities, most respondents believed that universities hold the balance of responsibility. In reference to culture, a number of the interview participants stressed the important role that teaching and learning relationships play, as compared to, for example institutional policy, in creating and maintaining strong academic integrity cultures.

Overall, the University’s characterization of academic integrity and/or misconduct is either a divergence from the expected academic norms or a teaching and learning issue. These findings stand out from trends in the contemporary literature that identify a marked shift towards more pronounced cultural responses to academic integrity (see Baetz et al., 2011; Bertram Gallant, 2007; McCabe, 2005).

Political Frame

As reported in the survey, faculty assessed considerations and approaches under the political frame as being the least important overall - and individually. However, respondents did assess facilitating “open and inclusive academic integrity dialogue” across impacted stakeholders as an important approach. As reported in Chapter 6, addressing actual or perceived “power imbalances” (e.g., between faculty and students; students and their peers; and faculty and administration) were all assessed as unimportant. This might be because power imbalances and conflict among stakeholder groups invariably exist, but, are seldom overtly acknowledged or addressed.

In the institutional analysis, one area of the University community that openly discussed power imbalances, in relation to academic integrity, were the student unions. The student unions, at UTSC and SG/UTM, acknowledged the need to create more formal advocacy and support mechanisms for students “accused of academic offences”. Additionally, the Ombudsperson’s Office referenced academic integrity and misconduct processes in some of its historical reports and in the annual reporting and summary of resolved cases.

A number of the interview participants also identified a general lack of trust and/or collaboration between faculty members and administrators in the reporting of academic offences. According to two participants, this results in faculty routinely abdicating and/or circumventing their responsibilities under the Code. The literature has identified a range of barriers to engagement with academic integrity policy and procedures including, but not limited to: time-consuming and overly complex policies and processes (Morris & Carroll, 2016; Whitley & Keith-Spiegel, 2012); emotional impacts on faculty (Coren, 2011); and blatant disregard for institutional policies (DeAngelis, 2011).

Interview participants also identified some concerns in the handling of academic offences that may negatively impact students thereby leading to their relative disempowerment relative to other University stakeholders (e.g. faculty, and administration). These include, but, are not limited to: the Code’s requirement for the admission of guilt to resolve offences divisionally; the potential for stigma and/or bias against international students; and the enforcement-focused use of Turnitin. Lastly, some of the interview participants described academic integrity as an overall “divisive” and “contentious” issue on campus. Addressing and mitigating tensions between students and other institutional players is critically important to fostering a strong academic integrity culture.

The researcher believes that political and power imbalances, inherent to academic integrity and misconduct, should be more openly discussed across the University community. Doing so would be consistent with the best practice literature on fostering open and pro-active academic integrity conversations both inside the classroom and within curriculum (Baetz et al., 2011) as well as on campus generally (Morris & Carroll, 2016; McGowan, 2005).

In summary, the analysis of the University’s academic integrity mandate, interview data and faculty perceptions confirmed a strong structural focus and importance. The findings identified

much less data supporting either symbolic or political approaches and considerations vis-à-vis academic integrity.

Educating and/or Enforcing: Understanding Institutional Responses

This study examined the degree to which the University's academic integrity structures, narratives, documents, and policies were oriented to either education/pedagogy or enforcement/sanction aims. The institutional analysis, key informant interviews and selected questions from the faculty survey were used to assess these concepts in relation to academic integrity. In some ways, this research question is redundant, given that over the last decade or so researchers and post-secondary institutions have for the most part recognized and acted on the need to balance enforcement with prevention and pedagogical enhancements (Bretag, 2016a; East, 2016).

As expected, a range of responses were identified in the institutional analysis given that different areas of the University fulfill core functions that are either decisively educational/pedagogical or enforcement/sanctioning oriented. Most of the University's academic integrity resources were concentrated in one realm or the other, with a few notable exceptions. The University of Toronto's Academic Integrity website and the divisional academic integrity offices purposely blended educational/pedagogical perspectives with enforcement/sanctioning information reflecting a balanced and holistic approach to academic integrity.

The enforcement- and sanction-oriented approaches examined in the study were situated foremost in the Code and in associated divisional and Tribunal procedures and structures. These findings will be discussed in the next section, Policy Framework: The Code. The following summary synthesizes the educational and pedagogical aspects of the University's academic integrity mandate.

Educational Approaches for Students and Faculty

As detailed in the literature review, early approaches to academic integrity centred almost exclusively on detection, enforcement, and deterrence objectives (Sutherland-Smith, 2010). However, post-secondary institutions have increasingly recognized the need for more balanced approaches that address the educational, preventative, and pedagogical aspects central to

academic integrity (see Bertram Gallant, 2016; Bretag, 2016a; Morris & Carroll, 2016; Fishman, 2016).

Consistent with the understanding of academic integrity as an “educational concept” (Bretag 2016a; Fishman, 2016) and “academic literacies” issue (Howard, 2016), the University’s student services, library and writing centres all used educational and skills-development approaches. However, these services and supports had few explicit references to academic integrity or academic offences. Rather, they were developed with the intent to enhance academic skills and readiness by supporting research, writing, and citation and time management and note taking skills.

The faculty supports in the Centre for Teaching Support and Innovation promoted pedagogical (Griffiths, 2013) and teaching and learning approaches (Bertram Gallant, 2008) to enhance academic integrity. Faculty development programs have been shown to have a positive impact on student academic behaviour (Serviss, 2016) particularly in reducing plagiarism. In the faculty survey respondents assessed “building capacity (knowledge and skills) of faculty” to be the most important overall response under the human resource frame reinforcing the desire, on the part of faculty, to enhance skills and capacity in this area.

In the faculty survey, “low academic readiness” was identified as an important contributor to academic dishonesty and in the open-ended comments insufficient research and citation skills were mentioned by a number of respondents. However, in the faculty survey, the respondents assessed institutional factors such as “low quality teaching and learning environments” and of “poor assessment design” on academic integrity/misconduct as being of little importance. Additionally, a number of interview participants identified the lack of awareness and/or interest among faculty members regarding the impact that teaching and learning environments have on student integrity as a concern. If faculty do not see value in making such investments, then pedagogical and teaching and learning supports may have limited reach and/or impact beyond those “already engaged” or “invested” as reported in Chapter 5.

While the University is well positioned to support students and faculty in reducing academic integrity concerns, the current universal approach requires that both students and faculty members actively seek out these academic supports and resources. There may be barriers (i.e.,

lack of awareness, time, or identified need) as well as perceived stigma for certain stakeholder groups (e.g., international, first generation, or first-year students) to seek support.

The faculty survey found significant differences based on respondents' disciplinary area. Notably, humanities and arts faculty viewed students' "low academic readiness," "access to technology," "lack of student supports," and "large campus and class sizes" as significantly more important factors in academic dishonesty than did faculty respondents from science disciplines.

Because faculty experiences and perceptions of academic integrity differ by discipline, so too would the normative responses. Empowering discipline-specific innovation in responding to academic integrity enhances the relevance and efficacy of faculty and student interventions. However, as Bretag (2016d) observes the disciplinary needs and considerations relevant to enhancing academic integrity in STEM, humanities, social sciences, and/or professional programs may be different, but, on some fundamental level also the same. For example, ethical decision-making, self-authorship, and non-Western academic conventions are academic integrity areas that are applicable irrespective of one's academic discipline.

Punitive and Enforcement Approaches

The institutional analysis, key informant interviews, and, to a lesser extent, faculty survey provided valuable insights into the University's academic integrity policy framework – namely the Code. As stated previously, the Code encompasses the University's formal responses and accountability mechanisms for responding to academic offences. Notwithstanding the overall high importance placed on structural approaches and considerations, faculty assessed "policy and decision-making frameworks", i.e. The Code, between moderately important and important.

It is critically important that policy be written in an accessible and clear manner so all users and/or stakeholders can understand it (Morris & Carroll, 2016). The Code is somewhat cumbersome in terms of its length, use of legalese, and procedural complexity. As reported in the interview chapter the Code could be re-written in plainer language to be understood without "translation" (i.e., supporting narratives and documents) by all stakeholder groups, including faculty, staff, and students. Some interview participants felt that while the Code and its related procedures/processes were "technically accessible" and protected the "due process" and "rights" of students, that overall the document was difficult to understand, especially for students.

Interview participants also identified the knowledge and development needs of faculty as they pertain to understanding and following the procedures set out in the Code. Morris and Carroll (2016) and Coren (2011) stress the need to better educate and support faculty on their responsibilities under academic conduct policy frameworks.

As Whitley and Keith-Spiegel (2012) observed, in their review of essential elements of academic integrity policies and procedures, “although a formal hearing must preserve the accused student's right to due process, it does not require all the complex trappings of a civil or criminal trial” (p. 132). The authors further stressed that integrity policies and adjudication frameworks must meet, foremost, the academic, teaching, and learning needs of the university community and that this is best achieved through “less litigious” means. Regarding terminology, it is worth noting that a number of terms are used interchangeably to refer to “offences” under the Code, including “crimes” and “charges.” Similarly, “sanctions” are referred to using the following terms interchangeably: “key consequences,” “penalties,” and “punishment.”

As reported in Chapter 4, the Code uses the term “knowingly” to mean that students ought to be aware of the types of behaviours that constitute an offence under the Code. As a result, students cannot use their lack of knowledge as an excuse or defense to an offence. The Code’s inclusion of a reverse onus clauses heightens the requirement that the University community universally, through education, outreach and classroom instruction, convey and reinforce what behaviours constitute academic offences. Many of the divisional academic integrity offices and the University’s Academic Integrity website include descriptions of common offences (i.e., plagiarism, cheating, re-submission of academic work, collaboration etc.). However, unless offences are addressed and explained in context at the program and/or classroom level, students may not be accessing this information until after they have been found in breach of the Code.

The institutional analysis and interview participants identified that the sanctions available in the Code are largely punitive, including, grade reductions, academic suspensions, and expulsions. Three interview participants expressed that if the Code had a remedial/educational sanction such as an academic integrity workshop, possibly for first and/or minor offences, the framework might better support students. Adding a remedial and educational sanction in the Code would serve as a deterrent by decreasing the likelihood of students’ “reoffending.” In addition, it would further connect academic integrity to the University’s teaching and learning mandate. Faculty

members might also be more likely to pursue academic offences if they knew there is a remedial sanction available for first-time and/or less serious cases.

Removing faculty as the decision-makers or arbitrators of student misconduct seems prudent because it protects the primacy of the teaching and learning relationship, however, it may also cause faculty to feel a loss of autonomy in addressing academic concerns under the Code. Further, some interview respondents suggested that the 10% threshold was unrealistically low compared to the typical assessment weighting in most courses. Some of the interviewees, however, viewed Chair resolution favourably, given that the disciplinary expertise and student experience are more directly situated at the program/departmental levels than divisionally.

Other interview participants questioned whether or not the requirement to admit guilt in order to proceed divisionally is fair because it puts students in a difficult position in which they either admit guilt, with the inference that they will be treated more leniently, or they proceed to Tribunal. Protecting students' due process would generally require that be afforded a full review and consideration of the facts at each stage of the process.

In principle, including academic offences by faculty members in the Code would appear to promote equity and fairness by establishing parallel academic expectations and processes. However, a review of the Code in combination with feedback from selected interview participants revealed a number of issues regarding faculty academic offences being included in this policy framework. Because faculty members are employees of the University, the expectations and consequences of academic transgressions are significantly different for them than for students. Another interview respondent shared their experience and views that faculty academic offence cases are “extremely complex” and difficult to resolve in a “timely manner” under the current Code procedures.

It was also reported in the institutional analysis, that unlike student academic offence statistics and cases, faculty offences are not reported annually at the divisional and Tribunal levels. This omission gives the impression that the University is less invested in pursuing and/or reporting such matters in a transparent way to the broader community. This inequity may further reinforce the perceived power imbalances related to academic integrity between students, faculty members, and/or administration.

It is essential that the University critically examine whether the Code meets the needs of all of its stakeholders. Furthermore, in the spirit of viewing policy as living and evolving documents, the University must be committed to continuous improvement of its policy framework. As Whitley & Keith-Spiegel (2012) suggested, “It is therefore essential that representatives of all interest groups affected by an institutions academic integrity policy – students, faculty, and student personnel administrators – have a hand in its creation and any subsequent modifications” (p. 130). In regards to student involvement specifically, the authors note, “It is especially important to have student involvement in the policy development process because they are the group who must abide by the policy and who will be subject to any penalties meted out under it” (p. 130).

Morris & Carroll (2016) stress the significance of engaging stakeholders before amending academic integrity policies: “Care needs to be taken in codifying procedures so that they do not increase perception among staff that policy is too formal, not current or inaccessible” (p. 456). In the proceeding chapter, a number of recommendations are made for how the University might consider both amending the Code but also engaging the broader community, including students, in consultation.

Individual-Student versus Institutional/Situational Factors

As detailed in the literature review, academic integrity research has historically focused on identifying and mitigating student characteristics/factors related to academic dishonesty. Some scholars have described this preoccupation as the “student-deficit perspective” (Howard, 1995; Saddiqui, 2016). The common student characteristics examined in the literature include, but are not limited to, age, level of study (i.e., undergraduate, graduate or professional studies), gender, academic readiness, moral and ethical standards, country of origin and/or English Language Learners, and technology use. Focusing on the individual-level factors contributing to academic dishonesty has the potential to obscure the institutional and situational variables that also systemically contribute to student academic integrity concerns (Bertram Gallant, 2016; Drinan, 2016).

The findings of this study suggest that greater importance is being placed on individual-level student, versus institutional/situational, factors by faculty. In the survey, factors such as “increased student access to technology”, “commodification of knowledge/credentials”,

“insufficient time management”, “poor ethics”, and “low academic readiness/motivation,” were all assessed as important contributors to academic dishonesty.

In contrast, institutional and/or situational factors and characteristics such as “inadequate test and exam invigilation”, “low quality teaching and learning environments”, non/inconsistent communication of academic expectations”, and “poor assessment design” were viewed as less impactful to academic dishonesty.

One individual-level student factor included was the extent to which students’ “commodification of knowledge and credentials” affects their propensity for academic dishonesty. This factor was assessed as the second most important factor by faculty respondents while “increased access to technology” was first.

While some researchers have studied the effect of commodification on student academic behaviour (Saltmarsh, 2004; Kauppinen, 2014), other researchers have shifted away from individual students to explore the motivations of neo-liberal educational systems which have at their core become commercialized (Kezar & Berstein-Sierra, 2016). Consequently, commodification and commercialization are both individual and institutional considerations in exploring academic integrity within post-secondary education.

As reported in the institutional analysis, the University’s academic integrity mandate is largely framed around responding to inappropriate student behaviours as opposed to supporting academic success and teaching and learning excellence. Reframing the academic integrity mandate to align with the University’s core mandate (e.g., teaching and learning, research) might assist faculty, and other stakeholders, including students, to place increased value on the importance of academic quality inputs and outputs. Such an approach would be consistent with a broadened understanding of academic integrity as an institutional and/or educational issue (see Fishman, 2016, Bretag, 2016a).

International or ELL Learners

The study’s findings suggest that a more targeted and resourced approach is needed in order to build awareness and academic skills for international and English Language Learner (ELL) students. This academically diverse group of students appears overall to be at greater risk for academic misconduct (Heuser, Martindale, & Lazo, 2016; Pecorari, 2016). In addition,

international students may have less understanding of, and experience with, the expected Western academic conventions (Bretag et al., 2014).

In the faculty survey, the respondents assessed the institutional factor of “increased international students – without sufficient support” as the most important contributor to academic dishonesty. Further, faculty from the SG, as compared to the UTM/UTSC campuses, viewed this factor as more important. In the open-ended feedback, a significant number of respondents identified increased international and/or ELL enrollment as a major contributor to the worsening of academic integrity. Furthermore, some of the interview participants commented that the University’s approach to academic integrity “disproportionally” and “adversely” affects this student group. Others identified the requirement for faculty and academic integrity practitioners to keep their “unconscious biases in check” in order to ensure that international and ELL students are treated fairly and supported to meet their academic goals.

Role of Technology

The study’s findings collectively reinforced the important impact that technology, for better or worse, has had on academic integrity practices, responses, and culture. As Nilsson (2016) suggested, technology, in its many manifestations across the post-secondary sector, is best understood as a “double-edged sword.” As such, technology has been both an instigator and a facilitator of academic dishonesty as well as a mechanism for upholding academic integrity. The vast majority of interview and survey respondents believed that advances in technology have radically changed the ways, but perhaps not the frequency, in which academic integrity is manifested and addressed across the University.

The interview respondents identified how social media sharing platforms, digital academic resources, and tutoring and essay mills, all sheltered by the internet’s anonymity, have radically changed the means by which students engage in academic misconduct. One respondent went further to suggest that students’ adoption and normalization of a “sharing culture” has shifted the fundamental understanding of “authorship and originality”— making it difficult for students to distinguish which ideas are theirs and which are not.

More than half of the faculty surveyed expressed their belief that technology has led to an increase of academic misconduct. Of particular concern were course-sharing websites, tutoring

and homework services, the misuse of digital sources in research, and the distraction of technology in classrooms and remote work. Of the student-level factors, faculty respondents assessed “increased access to technology” as the most important factor affecting academic dishonesty. Interestingly though, in assessing the structural frame approaches, respondents identified “technological tools: text/code matching software” as the least important response to enhancing academic integrity.

A number of the interview respondents also expressed their concerns that Turnitin is being used by faculty for detection of plagiarism as opposed to for educational purposes. As detailed in the literature review, text-matching software programs were first presented as a “panacea” of sorts to enable the effortless detection of plagiarism (Batane, 2010). Now, the literature and practice has evolved to explore the use of such tools for “teaching and learning” and “skills-building” purposes (see Zaza & McKenzie, 2018) versus plagiarism detection only. See Chapter 8 for specific recommendations for practice, and future research, related to the use of technology in response to academic integrity concerns.

Degrees of Centralization, Transparency & Accessibility

The University’s approach to academic integrity combined centralized, or institution-wide, elements (e.g., Code, Tribunal, AI Website) with decentralized, or campus/unit specific elements (e.g., outreach and awareness, academic integrity offices, student and faculty supports). Interview participants stressed the importance of using local decentralized academic integrity approaches given that they are more often developed in response to specific stakeholder experiences and needs. The academic integrity literature stresses the inherent advantages of institution- and/or department-specific responses because they are more often developed and implemented with input from stakeholders on the ground (McCabe & Drinan, 1999; McCabe, 2005; McCabe, 2016).

While post-secondary institutions may defer to central policies and conventions, in practice, decentralized approaches can be both more effective and impactful. For example, the current study found that, overall, the UTM and UTSC academic integrity initiatives were decisively more educational and pedagogical oriented than were those at the SG campus. The researcher hypothesized that this difference may largely reflect the different student and campus compositions across the campuses. On the UTM and UTSC campuses, which are predominantly

undergraduate, the academic integrity characterization and supports were geared towards the needs of these student and faculty groups.

Some of the interview participants identified a desire for enhanced central academic integrity support and oversight – possibly through the Provost’s office. According to a number of the interview participants, a central academic integrity body could guide strategy and policy development and provide much needed logistical support for the divisional academic integrity offices and academic departments across the University. As Morris and Carroll (2016) suggested, the value of the support and guidance of senior leadership and administration as well as appropriate resourcing cannot be underestimated when developing and implementing institutional academic integrity policies.

Regarding transparency and accessibility, overall the University has ensured that the critical academic integrity policy documents, offices and support/services for students and faculty are both transparent and accessible. Research in multiple different jurisdictions, including the European Union, has identified “consistency and transparency of academic integrity policy and procedure” as a key quality assurance outcome (Glendinning, 2016). A more recent study (Glendinning, 2020) examined how internal and external quality assurance bodies are “addressing corruption and enhancing academic integrity in higher education in different parts of the world” (p. 22-23).

The University’s pro-active approaches to educational outreach, including the new Academic Integrity Website, have increased awareness amongst the stakeholders affected and provided a consolidated virtual space in which the University community can share academic integrity information and resources. Last, the publishing of academic offence data and cases from the Tribunal and divisional levels and the inclusion of Appendix C, the Provost’s Guidance on Sanctions, in the Code have also enhanced overall transparency around sanctioning. The literature stresses that collecting institution-wide offence data can, and should, be used to inform subsequent policy reviews and the monitoring of effectiveness (Morris & Carroll, 2016). It was not evident from the information collected and analyzed, how, or if, the offence data were being used as a source of data for the continuous improvement of the University’s academic integrity policy and strategy.

Strategic University Narratives and Academic Integrity

An institutional approach would necessitate that the University consider more deliberate connections between academic integrity and other core University functions including, but not limited to, mission and purpose, program quality, and research. In the institutional analysis, a number of the foundational University policies and documents were reviewed to determine the degree to which academic integrity was reflected. This analysis was combined with the faculty survey question(s) that asked respondents to assess the relative impact of high incidences of academic dishonesty on universities' ability to uphold academic quality, pursue their research mandates and to maintain their reputations and rankings.

At the most macro-level the University of Toronto's Statement of Institutional Purpose (1992) articulates the University's research and teaching objectives, its commitment to undergraduate and graduate education, quality programs, and core values. This foundational document also references the international reputation and excellence of the University; however, it is silent on the issue of rankings. Survey respondents were asked to what extent they agreed that "high incidents of academic dishonesty negatively impact a university's reputation and ranking." Of the three institutional impacts measured, the combined reputation and ranking was assessed as the second most impacted institutional outcome.

In addition, two quality assurance documents were reviewed, the University of Toronto's Quality Assurance Process (2012) and the Policy for Approval and Review of Academic Programming (2010). Neither document explicitly referenced academic integrity despite its direct impact on quality curriculum and programming. The Ontario Universities Council on Quality Assurance's Quality Accountability Framework (2010) identifies academic integrity as a required outcome in degree-level expectations. Under "Professional Capacity and Autonomy," the framework includes the required skill/outcome of "behaviour consistent with academic integrity and social responsibility" for bachelor's degrees (p. 37). It includes "ethical behaviour consistent with academic integrity and the use of appropriate guidelines and procedures for responsible conduct of research" for master's and doctorate degrees (p. 39).

Survey respondents were asked to what extent they agreed that "high incidents of academic dishonesty negatively impact a university's ability to ensure the academic quality of courses,

programs and credentials.” Of the three institutional impacts assessed, academic quality was assessed as the institutional outcome most impacted.

The higher education literature (see Cleary, 2001; Kettunen, & Kantola, 2007; Naidoo, 2013) and academic integrity literature (Morris & Carroll, 2016) all stressed the fundamental importance of quality assurance processes in ensuring excellence in educational outcomes. The absence of academic standards and quality in either, or both, educational inputs or educational outputs (i.e., qualified graduates with the skills and knowledge) compromise the quality proposition of post-secondary education. Quality assurance frameworks are pan-institutional imperatives, which are used to support the rationale and consistent application of academic integrity policies and outcomes across the institution (see Morris & Carroll, 2016).

The last institutional policy and framework reviewed were the Ethical Conduct in Research Policy (1991) and the Framework to Address Allegations of Research Misconduct (2013). Given the parallels between teaching and learning and academic research, it was surprising that neither of these documents referenced academic integrity. Because formal research is a component of academic programs, especially at the graduate level, one might expect the University’s research governance frameworks would at least mention the importance of academic integrity vis-à-vis research. The University therefore addresses all research misconduct allegations, whether inside or outside formal curriculum, under a separate protocol.

Survey respondents were asked to what extent they agreed that “high incidents of academic dishonesty negatively impact a university’s ability to fulfill their research mandate.” Of the three institutional impacts measured, the research mandate was assessed as the least impacted. This response reinforces the finding that faculty perceive a near complete separation between the core university oversight of research and knowledge mobilization and academic integrity. It is unclear why faculty respondents perceive these two key areas as entirely unique and independent, given that research and academic integrity, vis-à-vis teaching and learning, are both central University objectives.

The emerging literature on research integrity has suggested that a clear separation exists between integrity in formal research and in student learning. As Foeger & Zimmerman (2016) noted, “In Canada, research integrity is seen as one aspect of the broader concept of responsible conduct of research” (p. 813). The authors go on to explain how research integrity is regulated by the

Federal Government's Tri-Council Responsible Conduct of Research Protocol, that cascades down to the institutional level.

Conclusion

This chapter integrated the research findings from the study's three data sources through the research design's common concepts and model. Two additional themes which emerged from the findings, the impact of technology and unique concerns experienced by international and ELL learners, were also captured given that all three data sources either directly, or indirectly, provided insights.

The findings herein were situated within the context of the academic literature. In the proceeding and final chapter, Chapter 8, the contributions of the study's findings to the literature are summarized and recommendations for both future research and practice are made. The inclusion of practice recommendations aligns well with both this study's pragmatic orientation and the normative approach taken in the broader academic integrity literature.

Chapter 8 Conclusion: Furthering Academic Integrity Research & Practice

This study critically examined academic integrity through the experiences and perceptions of faculty and other key stakeholders as well as through the substantive components of the University's approach to it. Adopting a pan-institutional lens and methodology enabled the researcher to examine the issue of academic integrity more broadly than through student behaviours alone. The current study was situated within the emerging literature that has positioned academic integrity as an issue of "institutional integrity" (Bertram Gallant & Drinan, 2008; Bertram Gallant, 2016), "educational integrity" (Bretag, 2016a; East, 2016) and "academic literacies" (Howard, 2016).

The use of Bolman and Deal's four-frame model enabled the examination of the normative structural and human resource approaches to academic integrity. More important, it allowed for the exploration of underlying political and symbolic considerations and factors germane to fostering an authentic academic integrity culture. This chapter has been organized around three broad themes, which emerged organically from the study's findings. Contributions to the academic integrity literature and recommendations for future research as well as practice are summarized in this Chapter.

Conceiving of, and responding to, academic integrity challenges and opportunities through a reflexive and pan-institutional lens forces post-secondary institutions to move past the traditional discourse of student (dis)honesty. Reframing academic integrity at a macro level requires considering the impact of all institutional inputs (e.g. academic quality, teaching and learning environments, and educational and pedagogical supports) as well as outputs (e.g. ethical behaviour, knowledgeable graduates and citizenship). The researcher suggests that a more effectual approach to academic integrity can be created wherein all members of our post-secondary communities, including students, faculty, researchers, staff, administrators, and senior leaders, value and see their and others' roles in fostering strong cultures of academic integrity.

Bertram Gallant (2008 & 2016) stresses the importance of framing academic integrity in a "positive" versus negative context—something to be loathed and feared by faculty, students, and administrators alike. Working within an optimistic and transformative characterization of academic integrity has the potential to further enhance student integrity. It also supports and sustains the institution's focus on quality post-secondary inputs, including teaching and learning

environments, curriculum and credentials, meaningful assessments and pedagogy, student and graduate success, and research excellence. Adopting approaches that underscore “institutional integrity” can be mutually beneficial for students and institutions by enhancing both the foundational quality of post-secondary education as well as student integrity.

The researcher does not suggest that broadening the institutional lens through which academic integrity is approached will be a panacea, thereby reducing or eliminating academic integrity concerns. However, the study recognizes the critical importance of post-secondary institutions’ taking organized, resourced, and collaborative approaches to fostering academic integrity culture and practice. As Stephens (2016) suggests, the three fundamental components of an academic integrity strategy are “school-wide education,” “context-specific prevention,” and “individual remediation” (p. 996). Many of the study’s recommendations address these foundational elements and, thus, a call for a broader institutional focus on academic integrity, however, this approach does not negate the value or necessity of educational, prevention, and policy responses.

The first theme in this chapter explores the importance of broadening the academic integrity discourse beyond its normative preoccupation on student (dis)honesty toward adopting a pan-institutional view. The second theme, drawing from ideas central to Bolman and Deal’s political frame, explores how power and privilege in academic integrity discourse and practice need to be both acknowledged and mitigated. The third theme explores how the moral and ethical dimensions of academic integrity, pursuant to Bolman and Deal’s symbolic frame, could be strengthened. Drawing from the symbolic frame, the researcher explores how institutional values, ethics, and culture could be given more prominence in the University’s academic integrity policy (e.g., the Code, the Tribunal, and divisional procedures) and narratives/discourse.

Last, while also integrated throughout the findings, this discussion will also reflect on the contributions of the current research and findings to the broader academic integrity and, to a lesser extent, the organizational theory bodies of literature. Arising from the current study, and the voids in the current literature, additional questions and suggestions for future research are also made. Finally, recommendations for practice (see Table 12) are offered for consideration of the University and/or other post-secondary institutions.

Broadening and Institutionalizing “Academic Integrity”

Shifting the lens through which we define and respond to academic integrity from one of individual student “deficit” toward an institutional perspective will, in the researcher’s opinion, assist all institutional stakeholders to more clearly see their roles and responsibilities vis-à-vis academic integrity. A systemic focus on the “other,” or (dis)honest students, has the potential to detract from the ability of post-secondary institutions to reflect on how their own policies, structures, and practices support integrity.

As reported, one interview participant compared the University’s fixation on academic integrity to a “moral panic” that is “all encompassing.” Such a preoccupation has the potential to distract from important concerns and opportunities facing the University—for example, enhancing teaching and learning environments and student wellness. The belief that academic dishonesty is an established and pressing concern was supported in the faculty survey, which found that while faculty had only occasionally experienced academic dishonesty themselves, they assessed it to be frequent or very frequent across their departments, the University, and the post-secondary sector.

Furthermore, in the survey, the respondents assessed individual student-level factors (e.g., poor ethics, increased access to technology, low academic readiness) to be significantly more important in contributing to dishonesty than institutional/situational factors (e.g., inadequate test/exam invigilation, low quality teaching and learning environments, inconsistent communication of academic expectations). Thus, it is possible that the academic integrity discourse has already been framed and experienced by faculty members as a pervasive “student problem.”

How might post-secondary institutions shift their focus to critically examine the impact of policies, structures, processes, and discourses related to academic integrity? Can institutional efforts be leveraged to improve not only the quality proposition of post-secondary education but also the development of authentic academic integrity cultures?

In the institutional analysis, the researcher reported that the University’s academic integrity discourse was compartmentalized from the University’s other core strategic frameworks. The analysis and recommendations herein challenge the University to broaden and strengthen the relationships and connections between academic integrity and the University quality assurance, research protocols, and overarching institutional purpose. Without demonstrable academic

integrity among students and all community members, the University's curriculum/credentials, research outputs, purpose/mission, and reputation will inevitably be compromised.

Reframing academic integrity as “institutional integrity” could be achieved, in part, by including direct references to academic integrity in institutional narratives. Doing so could better reflect the interdependence between academic and institutional integrity. For example, in the University's quality assurance framework, student academic integrity competencies and values (e.g., citation, academic conventions, authorship, honesty, and fairness) could be included as essential credential/graduate outcomes. Similarly, demonstrated academic integrity among faculty members could be included as a quality educational input.

Academic integrity could also be more explicitly linked to the University's research policies and procedures, given that academic scholarship, including secondary research practices, data collection, and reporting of findings, are fundamental components of the iterative discovery research process and require full integrity. While not addressed in this study, some literature has explored the abuses of research supervision by professors who assume authorship and intellectual property rights of the research conducted by their graduate students. Such actions could also be included as academic dishonesty concerns.

It is suggested, based on the findings of the faculty survey, and institutional analysis, that significant outreach and engagement would be required to socialize the connection between academic integrity and other these other core strategic functions of the University. When asked whether “high incidents of academic dishonesty or misconduct impact universities ability to effectively pursue their research mandates,” most respondents disagreed. This suggests they make a distinction between the educational/teaching and learning and research goals of the University. A number of interview participants observed that many professors see “knowledge discovery” or “pure research” as the primary goal of the University. By default, the educational goals of teaching and learning can, for some, become secondary.

In reviewing the University's academic integrity mandate, the institutional analysis retrieved and analyzed a variety of centralized and decentralized structures, policies, documents, approaches, and website narratives. The study asserts that while both centralized and decentralized efforts are important, a central University-wide academic integrity profile is essential to gaining and maintaining institutional traction.

The study found that the Code, Tribunal and the Academic Integrity at the University of Toronto website were strong central institutional resources. However, more could be done to align the academic integrity mandate to central office(s), such as the Office of the Vice-Provost Students (with oversight over student experience and engagement) and/or the Division of the President and Vice-Provost (with oversight over academic policy and broad academic matters) to increase institutional profile. Such an office could also serve as a central support for student-lead initiatives as well as divisional academic integrity efforts.

To elevate academic integrity culture and practice at the pan-institutional level, inclusive and sustained multi-stakeholder dialogue must be undertaken between, but not limited to, faculty, students, researchers, staff, administrators, and senior leadership. As Morris and Carroll (2016) suggest, the establishment of “common understanding” is the cornerstone to an effective academic integrity strategy. It is not enough for stakeholders to know their roles and responsibilities; rather, they need to understand the impacts on, and strategies of, all other community members. It is the view of the researcher that adopting a broader institutional lens would assist the institution in identifying both its “blind spots” and its opportunities for enhancing the University’s academic integrity mandate and culture.

While not measured in the study, cross-institutional collaboration was found to be central to the work of most of the offices responding to academic integrity across the University’s three campuses. Complex issues such as academic integrity and dishonesty require coordinated and collaborative responses. Overall, the institutional analysis and interview data demonstrated concerted efforts on the part of diverse University stakeholders to collaborate on academic integrity issues and interventions. Last, in the faculty survey, the respondents assessed multi-frame thinking and decision-making as an important strategy for enhancing academic integrity. Thus, they acknowledged the cross-institutional reach required to develop and implement academic integrity change.

Building Trust: Acknowledging and Mitigating Power Differentials

This study recommended that the University more openly acknowledge and take steps to mitigate power imbalances and tensions, whether real or perceived, related to academic integrity and student (dis)honesty. Bolman and Deal’s political frame suggests that power imbalances, tensions and alliances are inevitable in large and complex institutions. It also suggests that

acknowledging their existence is the first step to addressing the potential negative impacts of such dynamics.

Interestingly, in the survey, faculty assessed power imbalances related to academic integrity as of “little importance” overall. The imbalances can exist between faculty and student, students and their peers, or faculty and administrators. Yet, faculty assessed the political frame approach of fostering “open and inclusive academic integrity dialogue” as being between “moderately important” and “important.”

Where academic dishonesty is concerned, students are the most directly affected stakeholder group by virtue of the penalties and consequences they face under policy (i.e., the Code) at both the divisional and Tribunal levels. Across both the institutional analysis and interview responses, the Code was perceived to be somewhat arbitrary in its treatment of students. The concerns are based, specifically, on the Code’s reliance on solely punitive sanctions; litigious and quasi-judicial nomenclature and procedures; and requirement for the admission of guilt to resolve academic offences at the divisional level. The study recommended changes to the Code, which, if implemented, could render this policy framework more accessible, transparent, and democratic in the adjudication of academic offences.

In addition, students may also experience power imbalances related to academic integrity in their classrooms. Whitley and Keith-Spiegel (2012) summarized the academic integrity research that explores how student behaviours is affected by perceptions regarding three types of fairness, as originally proposed by Rodabaugh (1996) in the teaching and learning process. These types of fairness are “interactional fairness,” “procedural fairness,” and “outcome fairness” (p. 45). While all three types of fairness are important, empirical studies have found that interactional fairness, or instructors’ “impartiality, respect, concern for students, integrity and propriety,” was the most impactful factor related to academic (dis)honesty (p. 45).

Therefore, making investments in supporting faculty with classroom management, setting expectations, designing courses/assessments, and bridging academic integrity conversations could be effective strategies to promote integrity. Efforts to democratize teaching and learning environments can positively affect both the academic integrity culture(s) and educational quality across the University.

In the survey, faculty assessed the following human resource approaches as important: “building academic integrity capacity (knowledge and skills) of faculty, staff and students,” “fostering supportive relationships,” and “training, time and resources for faculty to respond to academic misconduct.” In contrast, they assessed the relative impact of institutional/situational factors as of little importance. These factors included “inadequate exam invigilation,” “low quality teaching and learning environments,” “inconsistent academic expectations,” and “poor assessment design” on student (dis)honesty. These findings seem to contradict one another because while they support faculty members’ desire for academic integrity training and support, they also show less consensus about teaching, learning and assessment conditions affecting, at least to some degree, student academic (dis)honesty.

The extent to which professors are conscious of the need to both democratize and increase transparency within their classroom may affect actual, or perceived, power imbalances between faculty and students. Building mutual understanding and respect in teaching and learning environments has the potential to reduce students’ perceptions of arbitrary standards and expectations, which students might use as justification for being dishonest. Building competency by giving faculty members the tools and confidence required to engage in open and pro-active academic integrity dialogue in the classroom, contextualized within their unique academic disciplines, is also essential.

Meaningful engagement and dialogue around academic integrity between the University administration and students/student unions, including subjects of the Code procedures at the divisional and/or Tribunal levels, could assist in mitigating power imbalances. During the institutional analysis, the review of a student union website found mention of the intention and need to establish and build capacity for “student academic advocacy and support.” Opening a dialogue between the University’s administration and student unions could support and guide such efforts. To varying degrees, such collaborations may already be occurring. In the key informant interviews, one participant spoke of a campus-specific engagement initiative in which the academic skills centre partnered with the local student union on academic integrity outreach, thus fostering a shared understanding of academic integrity.

The study also found that certain groups of students including, but not limited to, ELLs and international students, may be at greater risk of being accused of academic offences. A number

of recommendations were made to address these real or perceived power imbalances, including exploring inter-cultural competencies and/or unconscious bias training for staff and faculty, as well as enhanced academic conventions education support.

While the study did not engage students per se, the findings from the institutional analysis and the interviews suggest there is a need to seek, and more fully engage, student perspectives and voices in the University's approach to academic integrity. The researcher contends that a more active and purposeful engagement of students could reduce oppositional tensions related to academic integrity and will increase overall fairness. The academic integrity literature has also identified conflict between students and their peers (e.g., whistleblowing, group work, and improper collaboration) in relation to academic misconduct. This could also be mitigated through increased peer-to-peer collaboration.

Power imbalances and tensions were also identified between faculty members and administration in the survey and interview data. The academic literature has identified many barriers to faculty engagement with institutional policy. For example, Coren (2011) found contract faculty members had a reduced reliance on policy instruments because of fear of reprisal by students and/or perceived negative responses by chairs and/or department heads. While DeAngelis (2011) found that faculty disregarded policy, in part, because of the emotional nature of student conflict and/or time consuming and prescriptive procedures. In the faculty survey respondents placed a relatively insignificant importance on "policy instruments" combined with opinion from a number of the interview respondents that "most faculty do not follow the Code procedures." This suggests that more work is needed to make the Code accessible, relevant, and meaningful for faculty given that it is the chief tool for responding to student academic offences

In closing, it is essential that power and privilege be acknowledged across all critical relationships vis-à-vis academic integrity. The mitigation strategies discussed herein include, but are not limited to, enhancing fairness in educational practices and to rendering the policy and procedures more transparent and accessible for students, faculty, and other institutional stakeholders. The strategies also include providing support to students and faculty to meet their roles and responsibilities related to academic integrity; and perhaps, most important, facilitating authentic dialogue and engagement with all academic integrity stakeholders – especially students.

Strengthening Moral and Ethical Approaches

Bolman and Deal's symbolic frame stresses the importance of institutional values, culture, personal narratives, ritual, and symbols as foundational to organizational behaviour. As reported in this study, the University's academic integrity mandate had few explicit ethical and symbolic components—at least at the institutional level. The notable exceptions were: the inclusion of the International Centre for Academic Integrity (ICAI) values on the University's Academic Integrity website; and the Code's Preamble, which references the importance of “honesty” and “fairness” in “teaching and learning” and the “pursuit and transmission of knowledge” (p. 2). In the faculty survey, the respondents assessed “promoting a values-based approach to academic integrity” as the most important symbolic response.

If we are to accept the basic premise that personal ethics are outcomes of their context, or as Bertram Gallant (2016) suggests, that “institutional integrity shapes individual integrity” (p. 980), it is imperative that post-secondary institutions consider the ethical and moral implications of their own actions. Universities and colleges must be able to confidently model the ethical standards they expect from their community members—whether students, faculty, staff, researchers, or administrators. As Paine (1994) observes, “ethics is as much an organizational as a personal issue” (p. 106).

The ethics of academic integrity can be viewed from multiple levels, including the societal, sectoral, institutional, and individual. An exclusive focus on individual student ethics negates the critical importance of the broader “ethical context” within which individual student behaviour is situated.

At the macro level, we should consider the extent to which our capitalist society's emphasis on material wealth and success affects students' motivations and the value they attribute to post-secondary education/credentials. The effect on academic dishonesty of students' viewing education as a commodity, something to be bought and sold, has been studied to a lesser extent in the literature (see Kauppinen, 2014; Saltmarsh, 2004). In the faculty survey, the respondents assessed “commodification of knowledge and credentials” as the second most important individual-level student factor after “increased access to technology.” The University's academic integrity structures, documents, narratives, and/or discourse contained limited references to the

value and primacy of education and post-secondary credentials or citizen development, which are counter narratives to the commodification of knowledge.

At the sectoral level, many higher education scholars have explored the impact, whether intended or unintended, resulting from the corporatization (Johnson, 2010) or neo-liberalization (Kleinman, 2016) of post-secondary education. At both the sectoral and institutional post-secondary levels, strategic decisions (e.g. increase student enrollment/class sizes; promote educational access mandate; focus on internationalization and globalization; hire contractual versus permanent teaching members; offer more curriculum/courses fully online; and/or de-regulate tuition fees) risk being perceived as self-interested and unethical by students and other members of the university community.

There is evidence in the empirical literature that large campuses and class sizes, academically underprepared students, a reliance on online and distance learning, and increased international student populations without academic supports are associated with increased prevalence of academic dishonesty—although it is difficult to prove causation versus correlation. Macfarlane, Zhang and Pun (2014) observed, “The emergence of global university brands and influential international rankings means that positive and negative perceptions of academic integrity can have a significant impact on institutional reputations” (p. 339).

Whitley and Keith-Spiegel (2012) observed that “students' academic integrity is most effectively fostered in an academic environment that encourages their overall moral development” (p. 151). Many academic integrity researchers (see Christensen Hughes & Bertram Gallant, 2016; Seider et al., 2013; Morris, 2012; Simola, 2017; Stenmark & Winn, 2016; Stephens, Wangaard, 2013) have recommended that curriculum include content and skills on relevant ethical and moral thinking—whether connected to professional expectations, citizenship development, or personal or academic ethics.

While the scope of this study did not investigate academic integrity at a curricular or program level, the researcher suspects that many programs, especially professional ones, include ethical thinking and decision-making in their curricula. However, some might argue that ethical development is not an optional but, rather, an essential component of a university education. As Fishman (2016) observes, since the very inception of the “university” developing morality and ethics has been a central tenet.

Honour codes have been used regularly with measured success across post-secondary institutions, largely in the United States (see McCabe, Butterfield, & Treviño, 2003; Richards, et al., 2016). While honour codes vary significantly from institution to institution, essential components include non-proctored testing/exams, student pledging, a duty to hold peers to account and report breaches of the honour code, and a system of peer adjudication for honour offences (Whitley & Keith-Spiegel, 2012). Because of the inherent risks associated with such regimes, honour codes are generally thought of as being one of the last measures implemented, and only after there is a strong structural framework in place and a pervasive culture of academic integrity within a university or college.

The development of an authentic and impactful culture of academic integrity is a generally accepted aspiration of most academic integrity mandates. However, a university can have all the structure, policy, and processes in place to address academic integrity and (dis)honesty but not have a developed culture of academic integrity. On the other hand, it would be difficult to establish an influential academic integrity culture without all structural and resource components functioning well (McCabe & Drinan, 1999).

Faculty assessed the symbolic outcome of “fostering an organization-wide academic integrity culture” as between “important” and “very important.” Furthermore, when asked how they would distribute the responsibility between universities and students for establishing an impactful academic integrity culture, a large majority believed that universities had the greatest responsibility for creating and sustaining culture. They also believed that both had roles to play and contributions to make.

Contributions to the Literature and Areas for Future Research

This section summarizes the study’s findings within the context of its’ key contributions of new, or confirming, knowledge vis-à-vis the broader academic integrity literature. In addition, recommendations for future research raised during the study, or through the analysis of the results, are also noted.

The study’s mixed method, which integrated three discrete sources of data, provides a methodological example of how complementary data points can be examined through a common model and concepts. The empirical academic integrity literature has relied heavily on large

survey-based studies with faculty, students, and/or other post-secondary stakeholders. This study blended survey data and key informant experiences with official document analysis. It is the researcher's view that scaffolding and combining different sources of data led to better quality findings and recommendations.

Insights from the Four-Frame Model

The current study contributes to the academic literature in that it provides an exemplar of how Bolman and Deal's four-frame model can be leveraged to examine a University's academic integrity mandate as well as assess faculty perceptions around the importance of the model in supporting organizational change. The study also demonstrates how using this model can inform leadership change (e.g. academic integrity strategy, policy, culture, and supports) through the identification of gaps as well as saturation across the frames.

Two areas for further research, vis-à-vis the use of this model, might be to assess different stakeholder groups (i.e., students, staff, senior leaders) perceptions of the use of the four-frame model in academic integrity change management. As reported, this study was limited to faculty experiences and perceptions about approaches and the utility of the model. Secondly, empirical research could be undertaken to assess the use of this model (pre and post) in terms of the efficacy of a formal academic integrity audit and/or comprehensive mandate review.

The existing academic literature demonstrates a concentrated focus on the implementation and enhancement of structural approaches in responding to academic integrity (e.g. policy, awareness and education strategies, honour codes, and teaching and learning strategies). This focus is consistent with the findings of the current study. The benefit of using an organizational model, such as the four-frame approach, is that it forced consideration of the more nuanced aspects of academic integrity, including the political and symbolic elements and considerations.

As noted, few published studies have explicitly addressed issues and experiences related to power and privilege vis-à-vis academic integrity. Could it be that entrenched power imbalances, whether between students and their peers, students and faculty, or administration and faculty are the metaphorical "elephant in the room?" While power imbalances are known to exist, might stakeholders fear to identify them due to perceived, or actual, risks and vulnerabilities?

As reported in this study, faculty placed little importance on the impact of power imbalances related to academic integrity practices whether, between: students and their peers; faculty and students; or faculty and administration. The researcher recommends that additional qualitative research, perhaps in-depth interviews, be undertaken to gain further understanding of the inherent political tensions as well as possible responses to mitigate them from the perspectives of multiple stakeholder groups. The ability to engage in open dialogue, in the classroom, curriculum and on campus is shown to build trust and foster stronger academic integrity cultures.

Additional research to explore the role of and mechanisms for better reflecting student voices in pan-institutional changes affecting academic integrity would be helpful. Most of the empirical research with students has focused on the assessing the frequency and types of academic dishonesty versus the solutions and partnerships, which could be explored collectively.

Last, while the notion of, and research on, the importance of academic integrity culture, values and ethics are prominent in the literature, the current study found a paucity of symbolic approaches to academic integrity and/or dishonesty across the University. An important finding from the survey was that faculty with 16 or more years of teaching experience seemed to value the ethical and symbolic dimensions of academic integrity more than their less experienced faculty colleagues. Future research into the relationship between tenure and experience of faculty as it related to the adoption or endorsement of symbolic ethical and values-based approaches could be explored further.

Transparency, Accessibility and Centralization

The current study's exploration of transparency, accessibility, and centralization in relation to academic integrity contributed further insights to the broader academic integrity literature. While the current study only addressed these concepts and ideas peripherally, the researcher posits that each concept (i.e., transparency, accessibility, centralization) could be a research study in and of itself.

An important research area to explore might be the interplay between centralized and decentralized academic integrity strategies and efforts. Specifically, research could be undertaken to explore how central institutional infrastructure and supports might enhance the

quality and effectiveness of local decentralized efforts—especially in large multi-campus post-secondary institutions.

Disciplinary Differences

The findings from the faculty survey provided some important insights into the role that academic disciplines might play in how academic integrity is experienced, correlated factors, and favoured responses. Respondents from the arts and humanities felt more strongly, than those from the pure/applied sciences, that academic integrity was getting worse. Additionally, they felt that access to technology, the commodification of knowledge, lack of academic readiness, large class/campus sizes and lack of student supports were important contributors to academic dishonesty.

Given that the common assessment type in the arts and humanities are more likely to involve narrative writing and research skills, it is possible that faculty members in these disciplines experience more incidents of plagiarism, than do their science discipline colleagues. Might the theoretical and critical pedagogies, inherent in the arts and humanities, resonate more strongly with theories of knowledge commodification? These important questions could be further explored through future research to inform discipline specific communications, education and support for faculty and students alike.

Impact of Technology

The study's findings confirm that faculty, and other stakeholders, view and experience the proliferation of technology as a major factor in eroding academic integrity. These experiences and perceptions are consistent with the last two decades of research which have explored the ways in which technology has enabled academic dishonesty, although as many commented in the survey and interviews this might not be as a net increase but, rather, a shift in the “means” of academic dishonesty.

Strategic, Quality and Research Connections

The current study provided important contributions to an under studied area of the academic integrity literature – namely the connection of academic integrity to the broader strategic and

quality frameworks of post-secondary institutions. Few if any direct studies could be located, except for selected reviews of the connection between quality assurance and academic integrity.

In the institutional analysis the study found no explicit academic integrity references or connections to the University's mission, research policies and procedures, or quality assurance frameworks. Additional research on the integration of academic integrity within universities' and colleges' approaches to quality assurance, research and strategy would be useful.

Furthermore, faculty perceptions around the impact of eroding academic integrity on these three institutional outcomes resulted in a novel contribution to the literature. Faculty only viewed academic quality as being impacted whereas research mandate and institutional reputation/ranking appeared to be conceptually separated.

International and ELL Learners

The study contributed some important insights to the literature around international students and academic integrity. Faculty felt that increased enrollment of, and a corresponding lack of supports and services, was a major contributor to academic dishonesty. A number of the interview participants identified the relative vulnerable position and biases which are experienced by international and ELL students around academic integrity issues and processes.

While a significant body of literature exists on the experiences and academic behaviours of international students, most of the studies used a deficit lens consistent with the broader academic integrity student focused literature. Future research could focus more on the dynamics of bias and strategies to empower and support international and ELL learners.

Recommendations for Academic Integrity Practice

As noted previously, research within the academic integrity field often takes a pragmatic approach by making recommendations to enhance practice. This study has made a number of recommendations for practice, as detailed below and summarized in Table 11. The following recommendations arose out of the analysis of the University's academic integrity mandate as well as faculty and other stakeholder experiences and perceptions reported in this study.

Table 12

Study Recommendations for Academic Integrity Practice

Approaches	Actions
1. Symbolic and Political	<p>1.1. Infuse the ethical and moral dimensions of academic integrity (symbolic frame)</p> <p>1.2. Explore creating a framework for embedding ethical thinking and decision-making across the curriculum (symbolic frame)</p> <p>1.3 Broaden the framing of academic integrity by mobilizing examples of personal and professional integrity across the University (symbolic frame)</p> <p>1.4. Implement strategies to foster open dialogue to address/mitigate power imbalances including, but not limited to, enhancing student involvement in academic integrity initiatives (political frame)</p> <p>1.5. Explore a student-lead peer academic integrity initiative to facilitate greater student engagement and involvement in academic integrity change (political frame)</p>
2. Educational and Pedagogical	<p>2.1. Blend academic integrity educational/pedagogical with enforcement/sanction narratives and perspectives</p> <p>2.2. Mandatory academic integrity training for faculty situated in one's disciplinary context</p> <p>2.3. Mandatory student online tutorial on code and available academic integrity supports</p> <p>2.4. Develop and resource academic supports for international/ELL students</p> <p>2.5. Develop University-wide inter-cultural competencies and unconscious bias awareness training for faculty, staff and students</p>
3. Changes to Policy	<p>3.1. Revise the Code to increase accessibility/understanding (e.g., use plain non-legal language, streamline procedures, preamble)</p> <p>3.2. Consider adding a remedial educational sanction to the Code (possibly for first and/or less serious offences)</p> <p>3.3. Examine feasibility of increasing the 10 % threshold for chair review</p> <p>3.4. Review requirement for admission of guilt to proceed divisionally</p>

	3.5. Consider removing faculty offences from the Code: address as human resource matters under separate policy
	3.6. Engage all impacted stakeholders, especially students, in dialogue and feedback on the Code
4. Impact of Technology	<p>4.1. Educate the university community on intended teaching and learning usage of Turnitin® software</p> <p>4.2. Create enhanced supports and training for faculty to interpretation of Turnitin® reports</p> <p>4.3. Develop more robust student educational resources to address the risks and conventions of using digital resources and valuing authorship and finding “voice” in academic writing</p>
5. Degree of Centralization	<p>5.1. Continue to balance strong centralized and decentralized academic integrity efforts across the university</p> <p>5.2. Consider establishing a centralized academic integrity office to support student engagement and divisional strategy and excellence</p>
6. Degree of Transparency	<p>6.1. Review the language and procedures in the Code to render more clear and approachable and optimize transparency and accessibility</p> <p>6.2. Better leverage offence data in continuous improvement of academic integrity policy and strategy</p>
7. Connection to Broader Institutional Policies	7.1. Explore integrating references and relevance to academic integrity in the University’s Institutional Purpose, and research and quality assurance frameworks

Symbolic/Cultural and Political Approaches

As reported in this study, the University has not taken a decisively symbolic or ethics-based approach to defining or responding to academic integrity. This was evident in the analysis of the University’s approach to academic integrity across the symbolic and political frames in the institutional analysis as well as selected findings from the key informant interviews and faculty survey. It is recommended that the University consider how values, morals and the ethical dimensions could be more deliberately reflected in the Code, AI websites, and student

interventions (Recommendation 1.1). Doing so would, in the researcher's opinion, support the creation and fostering of a more robust academic integrity culture on campus.

It is also recommended that the University consider establishing a framework to support academic departments and programs to explicitly imbed academic integrity within the curricula through ethical thinking and decision-making (Recommendation 1.2). Integrating academic integrity within scholarly practice and professional ethics is a best practice approach within the literature (see Christensen Hughes & Bertram Gallant, 2016).

The University might also consider mobilizing broader examples of personal and professional integrity, e.g. research integrity, non-academic student behaviour, leadership competencies, and/or community collaborations, to showcase integrity as a shared institutional value (Recommendation 1.3). This would broaden academic integrity discourse beyond student academic behaviour by demonstrating the continuum of integrity across diverse setting of University life including professional, research and personal behaviours. Of all the symbolic approaches, faculty assessed these to be of higher importance, with an even greater endorsement from faculty who had taught for 16 years or longer.

It is also recommended that the University adopt approaches arising from the political frame to mitigate tensions and better address multi-stakeholder power imbalances. Fostering environments where all stakeholders feel comfortable to engage and better understand the views and experiences of others is crucial to build trust and mutual understanding. Supporting faculty to engage in classroom conversations about academic integrity and expectations, collaborating with student unions and engaging students broadly in academic integrity policy and program review could all support the fostering of a stronger academic integrity culture on campus (Recommendation 1.4). Both the institutional analysis and interviews identified gaps and opportunities for strategies and approaches that could lessen power imbalances. Most of the study's interview participants spoke the existence of academic integrity related power imbalances between students and professors/administration and/or between professors and administration. While the survey reported that faculty did not place a high importance on the existence of power imbalances, the author suggests this may be in part due to the framing of academic integrity by the institution and lack of democratic engagement and dialogue between students, professors and administration.

The University might explore establishing student-lead peer academic integrity initiatives within the divisional academic integrity offices (Recommendation 1.5). Such partnerships could be used, in part, to facilitate input on University policy (i.e., the Code), procedures, and supports vis-à-vis academic integrity.

Educational and Pedagogical Approaches

It is recommended that the University, where appropriate and feasible, blend educational and pedagogical narratives and perspectives with enforcement and sanction ones across academic integrity narratives, documents, policies, and supports (Recommendation 2.1). For example, the Code would benefit from a more explicit reference, perhaps in the Preamble, to the University's duty to educate and support students to meet academic expectations. In addition, the library, writing, and student services supports could be more transparent with direct references to academic integrity and the need to be vigilant in research, writing, and citing, especially when using fully online/digital sources. The institutional analysis found that academic integrity narratives and resources were largely either exclusively enforcement or rule oriented or educational and pedagogical.

Given the presumption, in the Code, that all students are fully aware of what behaviours constitute academic offences, it is recommended that the University consider developing a mandatory online module for all students (Recommendation 2.2.). Different models could be explored or the AIM (Academic Integrity Matters) methodology already employed in some parts of the University could be adopted refer to Appendix Q. Further, the faculty survey found a high importance was placed on students being academically unprepared and in need of more educational resources and supports.

It is recommended that the University explore the feasibility of developing more robust faculty training and support materials where academic integrity would be contextualized within specific academic disciplines —likely run through the program or department (Recommendation 2.3). Central institutional information on the Code processes could be integrated into discipline or program specific considerations i.e. authorship and voice, group work and collaboration, and/or professional ethics.

Based on the findings of both the interviews and survey, faculty and other stakeholders expressed the critical importance of better resourcing academic integrity services and supports to address the needs of the international and ELL student groups (Recommendation 2.4). It is further recommended that such supports be aligned and be delivered by the areas in the University with mandates to support international student adjustment (i.e., international offices or centres) and/or academic skills (i.e., libraries, writing centres) as opposed to offices with mandates to oversee academic offences (i.e., divisional academic integrity offices).

Last, the study's findings support the need to develop inter-cultural competencies across the University community to ensure that implicit bias and prejudice are acknowledged and mitigated in the context of academic integrity. This could be achieved through the creation of a training module like the inter-cultural understanding of academic integrity and conventions, a project at the UTSC campus, for faculty, staff, and students across the three campuses (Recommendation 2.5).

Policy Changes

The quasi-judicial language used in the Code, for example, the legal terms “offences,” “conviction,” “sanctions,” and “parties to the offence” documented in the institutional analysis could be neutralized by using terms such as “breaches,” “findings,” “interventions,” and “stakeholders” (Recommendation 3.1). Furthermore, for clarity and transparency, defining and using a single term consistently across the Code, and in the other University academic integrity narratives, would enhance clarity in communicating expectations.

Putting the onus on students to be aware of what constitute offences reinforces the need for a mandatory academic integrity tutorial for all students, as suggested in Recommendation 2.3. Adding a remedial sanction option, such as an academic integrity workshop or skills building session for referencing/writing, possibly for first and/or minor offences, could better support students. It could also educate them on the Code, ethical decision-making, how to avoid academic offences, and the availability of academic services and supports on campus (Recommendation 3.2). The lack of remedial and educational sanctions was highlighted in the key informant interview data as well as in the institutional analysis' review of the Code.

It is recommended that the 10% threshold for Chair resolution be examined, and possibly increased, to enable the resolution of a higher proportion of offences at the program/departmental level where faculty can be more involved (Recommendation 3.3). A further recommendation is that the University critically review the benefits and challenges associated with the Code's requirement for admission of guilt so a case can proceed divisionally (Recommendation 3.4).

Furthermore, because faculty members are employees of the University, the expectations and consequences of academic transgressions are significantly different for them than for students. Therefore, faculty academic integrity concerns may be more appropriately addressed as human resource matters under a separate policy or convention in order to reflect the employer and employee relationship (Recommendation 3.5).

It is recommended that as a critical step in policy reform, the University engage in open and transparent dialogue with students, faculty, and staff regarding their perceptions of and experiences with the Code/procedures at the divisional and/or Tribunal levels (Recommendation 3.6). The researcher acknowledges the improvements that have been made to the Code, guidance on sanctioning and on the data reporting requirements for student academic offences at both the divisional and Tribunal levels. However, as detailed above, additional enhancements could further strengthen the University's academic integrity policy framework.

Impact of Technology

It is recommended that the University, through the appropriate teaching and learning and technology departments, undertake further outreach and education with faculty and academic administrators to clarify the intended teaching and learning usage for Turnitin (Recommendation 4.1). Furthermore, while some resources exist on interpreting Turnitin reports, further faculty support and training could be developed to build stronger competence in the appropriate use of this text-matching software (Recommendation 4.2). This recommendation arose from feedback garnered in the interviews as well as the low level of importance placed on this tool by faculty in the survey.

It is further recommended that student research, writing and citation supports be enhanced with a greater focus on educating students about the hazards of using digital resources (Recommendation 4.3). Because students have only lived in a world where information is a

“click away,” they may not know how to mitigate the risks of improper citation and plagiarism within the digital landscape. These outreach and educational efforts could also stress the importance of students’ finding their academic “voice” and “self-authorship”.

Degree of Centralization

The study found that the University has effectively balanced centralized (e.g. Code, tribunal, Academic Integrity website) with de-centralized (e.g. Campus and divisional efforts, local programs) approaches in responding to academic integrity. While such a blended approach is prudent (Recommendation 5.1) it is recommended that the University explore the feasibility of establishing a central academic integrity office to support divisional academic integrity efforts, policy governance, revision, and stakeholder consultations (Recommendation 5.2). This was explicitly recommended in the key informant interviews of respondents from the smaller campuses of UTM and UTSC and supported by the findings of the institutional analysis.

As reported in the findings, and in the policy change section above, the Code could be rendered both more accessible and transparent. Enhancements could be made to the Code and associated procedures to ensure that the University’s policy framework is fully understood by students, faculty, and staff alike (Recommendation 6.1). While commendable that academic integrity offence data is shared broadly across the University community, improvements could be made to ensure that the analysis of the data is leveraged directly to support the continuous improvement of the University’s academic integrity mandate, policy and strategies (Recommendation 6.2).

Incorporating an explicit statement on the value and importance of academic integrity would strengthen the *Statement of Institutional Purpose* by reinforcing the University’s commitment to academic integrity. It is also recommended that the University consider incorporating more direct references to academic integrity in its quality assurance (QA) framework as doing so would better align to provincial directives in that space. It would also as highlight the inherent connection between academic integrity and program/institutional quality. The institutional analysis, which demonstrated a lack of explicit connection of academic integrity in the University’s QA approach, as well as the faculty survey and interview data demonstrated a high degree of presumed connection between academic quality and academic integrity.

Lastly, it is recommended that the University consider incorporating more direct references to academic integrity in its research and ethical conduct in research policies and procedures (Recommendations 7.1). This recommendation is based on the gaps identified in the institutional analysis, as well as selected interview and faculty survey findings.

Summarizing Thoughts

This study provides valuable insights and recommendations on the institutional alignment of academic integrity at the University that are also relevant across the post-secondary educational sector. The study calls for situating academic integrity more centrally through an alignment with the University's core strategic and teaching and learning goals. By enhancing mutual understanding across diverse stakeholder groups; reducing barriers to engagement with academic integrity policy and processes; acknowledging and mitigating power imbalances and inequities; and strengthening the moral and ethical dimensions both institutional and academic integrity can be enhanced.

This study contributed to the existing academic integrity literature in a number of ways. First, it provides a suggested approach through which post-secondary institutions may choose to leverage review efforts in the context the four organizational frames as well as use multi-frame thinking and change to support revitalization of their academic integrity mandates. Methodologically, the research study demonstrates an approach to collecting and scaffolding different, but complementary, sources of academic integrity data. Last, the study introduced the concepts of transparency, accessibility, and centralization as important organizational lenses through which to better understand post-secondary responses to academic integrity.

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Appendix A: Research ethics



UNIVERSITY OF
TORONTO

OFFICE OF THE VICE-PRESIDENT,
RESEARCH AND INNOVATION

16-Jul-18 Approval Date

PI Name: Janet Shuh
RIS Protocol
Number: 36181

Dear Janet Shuh:

Re: Your research protocol application entitled, "An examination of institutional structures, narratives and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity" The "Social Sciences, Humanities & Education" REB has conducted a "Delegated" review of your application and has granted approval to the attached protocol for the period 2018-07-16 to 2019-07-15.

Please be reminded of the following points:

- An **Amendment** must be submitted to the REB for any proposed changes to the approved protocol. The amended protocol must be reviewed and approved by the REB prior to implementation of the changes.
- An annual **Renewal** must be submitted for ongoing research. You may submit up to 6 renewals for a maximum total span of 7 years. Renewals should be submitted between 15 and 30 days prior to the current expiry date.
- A **Protocol Deviation Report** (PDR) should be submitted when there is any departure from the REB-approved ethics review application form that has occurred without prior approval from the REB (e.g., changes to the study procedures, consent process, data protection measures). The submission of this form does not necessarily indicate wrong-doing; however follow-up procedures may be required.
- An **Adverse Events Report (AER)** must be submitted when adverse or unanticipated events occur to participants in the course of the research process.
- A **Protocol Completion Report** (PCR) is required when research using the protocol has been completed. For ongoing research, a PCR on the protocol will be required after 7 years, (Original and 6 Renewals). A continuation of work beyond 7 years will require the creation of a new protocol.
- If your research is funded by a third party, please contact the assigned Research Funding Officer in Research Services to ensure that your funds are released.

Best wishes for the successful completion of your research.

Appendix B: University of Toronto confidentiality agreement

CONFIDENTIALITY AGREEMENT

BETWEEN:

Janet Shuh

(The Researcher)

(Please print your name)

- and -

UNIVERSITY OF TORONTO

WHEREAS, as a result of the Researcher's request for information about or access to University of Toronto faculty, staff or students and a successful application to the relevant University of Toronto Research Ethics Board, the Researcher has access to Confidential Information (defined below);

AND WHEREAS Confidential Information must be kept strictly and absolutely confidential and always handled as required by the Freedom of Information and Protection of Privacy Act (Ontario), the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (1998), other applicable privacy legislation in force from time to time, and any applicable contractual provisions or University policies;

AND WHEREAS the University of Toronto will not provide the Researcher with Confidential Information unless they enter into this Agreement;

THE PARTIES AGREE:

1. In this Agreement:

(a) "Confidential Information" means any personal employee information provided to or collected by the Researcher.

(b) "Personal Information" means any information not publicly available and held by the University of Toronto about an identifiable employee or student.

2. The Researcher agrees not to use Confidential Information for any purpose other than that for which it was provided by the custodian of the information as outlined in their proposal to the relevant University of Toronto's Research Ethics Board unless the Researcher obtains University of Toronto written pre-authorization to do so.

3. The Researcher agrees not to disclose any Confidential Information to any person outside of those listed in the Researcher's application to the relevant University of Toronto Research Ethics Board.

4. The Researcher agrees to keep any Confidential Information in their control or possession in a physically secure location to which only they and individuals designated in the ethics proposal have access.

5. The Researcher has an obligation to familiarize themselves and to comply with all practices and procedures of the University of Toronto or the relevant University of Toronto Research Ethics Board relating to privacy and security, including any practices and procedures implemented from time to time after the date of this Agreement.
6. If the Researcher is ever notified by any person that they have a legal obligation to disclose any Confidential Information, they will immediately notify the Vice-President and Provost, or the Vice-President of Human Resources and Equity, or the Deputy-Provost and Vice-Provost Students at the University of Toronto before making such disclosure.
7. Any changes in the use of this information provided by the University of Toronto and its employees or students will require resubmission to the relevant Provostial or Vice-Presidential Office and to the relevant University of Toronto Research Ethics Board.
8. Publication of any results arising from the research must adhere to Tri-Council confidentiality requirements and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (1998).
9. The data or information provided by or about University of Toronto employees cannot be used for commercial purposes.
10. The Researcher agrees to notify the University of Toronto Ethics Review Office in writing immediately upon becoming aware of any breach of this agreement.
11. The provisions of this Agreement shall be governed by and construed in accordance with the laws of Ontario and the laws of Canada applicable therein and the parties hereby agree that the courts of Ontario will have non-exclusive jurisdiction with respect to this Agreement.
12. This Agreement is in addition to, and not in substitution for, all other obligations owed by the Researcher to the University of Toronto.
13. The Researcher's obligations under this Agreement will indefinitely survive the termination of any relationship between the Researcher and the University of Toronto.
14. Upon and in accordance with a written request with the University of Toronto, the Researcher agrees to destroy any Confidential Information.
15. You hereby consent to disclosure by the University of Toronto of the fact that you have signed this Agreement.

ENTERED INTO this 20 day of August, 2018.

Glen Jones

Digitally signed by Glen Jones
DN: cn=Glen Jones, ou=Ontario Institute for
Studies in Education, ou=Deans Office,
email=glen.jones@utoronto.ca, c=CA
Date: 2018.08.21 11:50:19 -0400

Witness

Janet Shuh

Digitally signed by Janet Shuh
Date: 2018.08.21 11:12:14
-04'00'

Researcher

Appendix C: Approval letter, Vice-Provost and Academic Life



UNIVERSITY OF
TORONTO

OFFICE OF THE VICE-PROVOST, FACULTY & ACADEMIC LIFE

August 21, 2018

Dear Janet Shuh,

Re: An examination of institutional structures, narratives and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity.

Please accept this letter as permission from the Office of the Vice President and Provost to access faculty at the University of Toronto for the purpose of your research project as outlined in your proposal dated July 19, 2018.

If, during the course of your research, any significant changes occur to the information provided in your proposal, particularly in regards to your access to faculty and staff, you will be responsible for notifying our office.

Please note that we do not provide information about our faculty and staff or their email addresses; you will need to develop a strategy for recruiting participants.

Thank you for completing the Confidentiality Agreement. We remind you that maintaining the confidentiality of faculty and staff throughout your project is of utmost importance and take this as your assurance that individuals used in your research will not be presented in any way which will allow for their identification and that information provided will only be used in the manner outlined in your proposal.

We wish you luck in undertaking your research.

Yours sincerely,

Heather Boon,
Vice-Provost, Faculty & Academic Life

Appendix D: Approval letter, office of Vice-President Human Resources and Equity



HUMAN RESOURCES & EQUITY

August 22, 2018

Janet Shuh
Doctoral student
LHAE, OISE

Re: An examination of institutional structures, narratives and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity

Dear Janet,

Please accept this letter as permission from the Office of the Vice-President, Human Resources & Equity to access staff at the University of Toronto for the purpose of your research project as outlined in your proposal received earlier this month.

We remind you that maintaining the confidentiality of staff throughout your project is of utmost importance and take this as your assurance that individuals used in your research will not be presented in any way which will allow for their identification and that information provided will only be used in the manner outlined in your proposal.

Permission to conduct your research is conditional on your agreement to the following:

1. You will not disclose any confidential or personal information in respect of the University of Toronto or its employees collected through the course of your research.
2. Any confidential or personal information that is collected via your research must be kept in a secure location to which only you and individuals designated in your approved ethics proposal have access.
3. Information collected through your research will only be used in the manner outlined in the supporting documentation regarding your research project provided to date.
4. The data or information provided by or about University of Toronto employees shall not be used for commercial purposes and you will not use the University's name or the name of its employees to endorse or promote your research.
5. You will be responsible for identifying and contacting applicable staff; the University will not facilitate your research project.

If, during the course of your research, any significant changes occur to the information you have provided with respect to your research project to date, you will be responsible for notifying my Office as well as your relevant ethics review board.

Please advise Cheryllyn Nobleza at c.nobleza@utoronto.ca if you are in agreement with these conditions.

Appendix E: Retrieved institutional data

Table E1

Retrieved Institutional Data

Data Source, Retrieval Information	UW	SG	UTM	UTSC
Code of Behaviour on Academic Matters http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjun011995.pdf University of Toronto Governing Council - Policy Site http://www.governingcouncil.utoronto.ca/Governing_Council/policies.htm Category: (1) Academic Integrity Policy and Strategy	X			
Academic Integrity at the U OF T Website http://academicintegrity.utoronto.ca/ Academic Offences Process Chart https://www.academicintegrity.utoronto.ca/wp-content/uploads/sites/135/2014/06/ProcessChartAI.pdf Category: (1) Academic Integrity Policy and Strategy	X			
Vice-Provost Students Student Rights and Responsibilities Academic Integrity http://www.vicprovoststudents.utoronto.ca/Assets/Students+Digital+Assets/Vice-Provost%2c+Students/Publications/academicintegrity.pdf Vice-Provost site links to AI @ U OF T Website http://www.academicintegrity.utoronto.ca Category: (1) Academic Integrity Policy and Strategy	X			
Institutional Mission Statement https://www.utoronto.ca/about-u-of-t/mission Category: (1) Institutional (indirect) Policy and Strategy	X			
Statement of Institutional Purpose (Governing Council) http://www.governingcouncil.utoronto.ca/Governing_Council/policies.htm Category: Other Indirect University Policy and Strategy	X			
Ethics in Research Policy	X			

Data Source, Retrieval Information	UW	SG	UTM	UTSC
http://www.sgs.utoronto.ca/facultyandstaff/Pages/Ethical-Conduct-in-Research.aspx Category: Other Indirect University Policy and Strategy				
Allegations in Research Misconduct (Procedure) http://www.sgs.utoronto.ca/Documents/Research+Misconduct+Framework.pdf Category: Other Indirect University Policy and Strategy	X			
Quality Assurance Policy http://hive.uts.utoronto.ca/public/dean/faculty/RevisedUTQAP_approvedSept2012web_000(1).pdf Category: Other Indirect University Policy and Strategy	X			
Office of Academic Discipline and Faculty Grievances (ADGF) http://www.adfg.utoronto.ca/home_page.htm ADFG operates under authority of the Governing Council http://www.governingcouncil.utoronto.ca/home.htm Tribunal Process Overview http://www.adfg.utoronto.ca/processes/acdiscipline.htm Provost's Annual Reports on Cases of Academic Discipline http://www.adfg.utoronto.ca/processes/acdiscipline/AcademicDisciplineStatistics.htm University Tribunal Academic Discipline Case Summaries http://www.adfg.utoronto.ca/processes/acdiscipline/Case_Summaries.htm Category: (2) Tribunal Oversight: Academic Discipline	X			
Faculty of Arts & Science - Academic Integrity (general) http://www.artsci.utoronto.ca/current/academic-integrity Category: (3) Divisional Oversight: Academic Discipline	X			
Faculty of Arts and Science - Office of Student Academic Integrity (OSAI) http://www.artsci.utoronto.ca/osai Category: (3) Divisional Oversight: Academic Discipline		X		
UTSC Vice Principal Academic & Dean - Office of Academic Integrity http://www.uts.utoronto.ca/vpdean/academic-integrity				X

Data Source, Retrieval Information	UW	SG	UTM	UTSC
<p>Academic Integrity for Faculty http://www.uts.utoronto.ca/vpdean/academic-integrity-matters Category: (3) Divisional Oversight: Academic Discipline</p>				
<p>Academic Integrity @ UTM http://www.utm.utoronto.ca/academic-integrity/about-us Associate Dean: Academic Integrity http://www.utm.utoronto.ca/academic-integrity/office-dean-academic-integrity Academic Integrity at UTM: A Handbook for Instructors 2018 http://www.utm.utoronto.ca/academic-integrity/sites/files/academic-integrity/public/shared/AI%20Kit%202018_0.pdf Category: (3) Divisional Oversight: Academic Discipline</p>			X	
<p>School of Graduate Studies – Academic Integrity Guidance and academic misconduct process for all graduate students. http://www.sgs.utoronto.ca/facultyandstaff/Pages/Academic-Integrity.aspx Procedure – Violations of the <i>Code</i> http://www.sgs.utoronto.ca/Documents/Informal-Procedures-Deans-Meeting.pdf Category: (3) Divisional Oversight: Academic discipline</p>	X			
<p>Student Life – St. George Campus https://www.studentlife.utoronto.ca/ Category: (4) Student Supports: Academic Skills Development</p>		X		
<p>Student (Campus) Life – University of Toronto Mississauga http://www.utm.utoronto.ca/campus-life Category: (4) Student Supports: Academic Skills Development</p>			X	
<p>Student (Affairs) Life – University of Toronto Scarborough http://www.uts.utoronto.ca/studentaffairs/ Category: (4) Student Supports: Academic Skills Development</p>				X

Data Source, Retrieval Information	UW	SG	UTM	UTSC
Academic Advising and Career Centre – Academic Integrity UTSC http://www.utsc.utoronto.ca/aacc/academic-integrity Category: (5) Student Supports: Advising/Advocacy				X
Centre for International Experience http://www.studentlife.utoronto.ca/cie/academic-support Category: (4) Student Supports: Academic Skills Development		X		
English Language Learning http://www.artsci.utoronto.ca/current/advising/ell Category: (4) Student Supports: Academic Skills Development	X			
Office of the Registrar (SG) College Registrar Contacts http://www.artsci.utoronto.ca/current/advising/colleges Category: (5) Student Supports: Advising or Advocacy		X		
Office of the Registrar (UTM) http://www.utm.utoronto.ca/registrar/ Category: (5) Student Supports: Advising or Advocacy			X	
Office of the Registrar (UTSC) http://www.utsc.utoronto.ca/registrar/welcome-registrars-office Category: (5) Student Supports: Advising or Advocacy				X
University of Toronto Library https://guides.library.utoronto.ca/citing Category: (4) Student Supports: Academic Skills Development	X			
University of Toronto UTSC Library http://www.utsc.utoronto.ca/currentstudents/library-services Category: (4) Student Supports: Academic Skills Development				X
University of Toronto UTM Library https://library.utm.utoronto.ca/services			X	

Data Source, Retrieval Information	UW	SG	UTM	UTSC
Category: (4) Student Supports: Academic Skills Development				
U OF T Writing Website http://writing.utoronto.ca/	X			
Preventing Plagiarism (Students) http://advice.writing.utoronto.ca/using-sources/how-not-to-plagiarize/				
Deterring Plagiarism (Faculty) http://writing.utoronto.ca/teaching-resources/deterring-plagiarism/				
Category: (4) Student Supports: Academic Skills Development				
Writing Centre (FAS College Affiliated Writing Support) http://writing.utoronto.ca/writing-centres/arts-and-science/		X		
Category: (4) Student Supports: Academic Skills Development				
Robert Gillespie Academic Skills Centre – Writing Support http://www.utm.utoronto.ca/asc/			X	
Category: (4) Student Supports: Academic Skills Development				
UTSC Writing Centre http://utsc.utoronto.ca/twc/				X
Category: (4) Student Supports: Academic Skills Development				
English Language Development http://www.utsc.utoronto.ca/eld/				X
Category: (4) Student Supports: Academic Skills Development				
Ombudsperson Office http://ombudsperson.utoronto.ca/	X			
Annual Ombudsperson Reports http://ombudsperson.utoronto.ca/reports/index.html				
Specific Recommendations for Divisional Academic Discipline Practices http://ombudsperson.utoronto.ca/reports/OmbudsAnnualReport2014-15.pdf				
Category: (5) Student Supports: Advocacy or Advising				

Data Source, Retrieval Information	UW	SG	UTM	UTSC
Student Union – UTSC http://www.scsu.ca/knowyourrights/				X
Category: (5) Student Supports: Advocacy or Advising				
Student Union – SG and UTM https://www.utsu.ca/know-your-rights/		X	X	
Category: (5) Student Supports: Advocacy or Advising				
Centre for Teaching Support & Innovation (CTSI) http://teaching.utoronto.ca/	X			
Academic Integrity Resources http://teaching.utoronto.ca/cd-guide/set-up/ai/ http://teaching.utoronto.ca/?s=academic+integrity http://teaching.utoronto.ca/teaching-support/strategies/a-i/5-steps/				
Category: (6) Faculty/Staff Academic Integrity Supports				
Teaching and Learning Collaboration UTM https://www.utm.utoronto.ca/tlc/			X	
Category: (6) Faculty/Staff Academic Integrity Supports				
Centre for Teaching and Learning UTSC http://www.utsc.utoronto.ca/technology/academic-integrity-faculty				X
Category: (6) Faculty/Staff Academic Integrity Supports				

Appendix F: Institutional analysis coding chart

Table F1

Institutional Analysis Coding

Code	Short Definition	Definition/Context	Pattern/Grouping
STR	Structural Frame – the structural inputs within an organization, which support and sustain its' operations.	Elements of the structural frame include an organization's goals, specialized roles, strategy, formal relationships, technology and other physical inputs, policies, rules, roles, hierarchies (Bolman & Deal, 2003, pp. 14-16).	Bolman & Deal's four-frame model
HR	Human Resource Frame – the human capital or people, within an organization.	Elements of the human resource frame include people's needs, skills, intellectual contributions and inter-dependent relationships (Bolman & Deal, 2003, pp. 14-16).	Bolman & Deal's four-frame model
POL	Political Frame – the internal and external power imbalances impacting the organization and its' people.	Elements of the political frame include, power, competition for scarce resources, organizational politics and divergent coalitions (Bolman & Deal, 2003, pp. 14-16).	Bolman & Deal's four-frame model
SYM	Symbolic Frame – the shared institutional culture that defines and drives organizations.	Elements of the symbolic frame include meanings, metaphors, ritual, ceremony, stories and heroes. (Bolman & Deal, 2003, pp. 14-16).	Bolman & Deal's four-frame model
EP	Educationally and/or Pedagogically Oriented Approaches – are used to foster academic integrity across the teaching and learning relationship and more broadly within post-secondary institutions.	Educationally-oriented approaches seek to enhance academic integrity (AI) both inside and outside the classroom by educating students and other critical stakeholders on AI policies and expected academic conventions. Educational approaches may also seek to strengthen students' academic skills (e.g., writing, citations,	Academic integrity intervention focus

Code	Short Definition	Definition/Context	Pattern/Grouping
		<p>research, studying, time management) to reduce the likelihood of academic offences. These approaches may be used to remediate students' dishonest academic behaviour or as universal approaches (i.e., services and supports) for all students.</p> <p>Pedagogically oriented approaches seek to enhance academic integrity (AI) through faculty (inclusive of teaching assistants and curriculum developers) strategies to improve teaching and learning environments (e.g., assessment design and/or scaffolding, technological support, other teaching and engagement strategies).</p>	
ES	<p>Enforcement and/or Sanction Oriented Responses – are used to enhance the detection, formal resolution and deterrence of academic misconduct.</p>	<p>Enforcement-oriented approaches seek to enhance academic integrity (AI) through deterrence (i.e., increasing the likelihood of academic misconduct detection and case processing under the institution's policy and procedure. Such approaches might include outreach to increase faculty awareness of expectations and processes for reporting academic offences or the implementation of text-matching software to detect plagiarism.</p> <p>Sanction-oriented approaches seek to ensure that there are appropriate consequences (e.g., sanctions or punishments) for</p>	Academic integrity intervention focus

Code	Short Definition	Definition/Context	Pattern/Grouping
		those found culpable of academic offences.	
		* These concepts have been coded together: however, they have been reported and commented on separately, where appropriate, in the analysis and findings.	
TRA	Transparent – “characterized by visibility or accessibility of information.” ¹	Used in reference to accountability for government i.e., educational institutions), or corporate, entities transparency is the degree to which “internal aspects of organizational activity” are made “externally available” (Neyland, 2007, p. 500).	Degree of transparency
NON-TRA	Not Transparent – not transparent or accessible.	A lack of transparency where information is not shared with community or public.	Degree of transparency
CENT	Centralization – “to concentrate by placing power and authority in a center or central organization.” ²	Applicable where the structure, document or website etc., applies across the entire University.	Degree of centralization
DE-CENT	Decentralization – “the delegation of power from a central authority to regional and local authorities.” ³	Applicable where the structure, document, website etc. applies only on a specific campus of the University (i.e., SG; UTM; UTSC) or division.	Degree of centralization

1 <https://www.merriam-webster.com/dictionary/transparent>

2 <https://www.merriam-webster.com/dictionary/centralization>

3 <https://www.merriam-webster.com/dictionary/decentralization>

Appendix G: Key informant interview script

Academic Integrity – General Questions

1. What is your current position? How are you, or have you been in the past, connected to academic integrity issues at the University of Toronto?
2. Generally, how would you describe the current state of academic integrity at the University of Toronto?
 - 2.1. If you have been in your position or at the University long enough to see change, how does the current state of academic integrity differ, or not, from where the University was 5 ... 10 years ago?
3. Who are the primary institutional stakeholders (i.e., groups of individuals most directly impacted) to academic integrity at the University?
4. What in your experience, would you say are the key structures/documents/services that support the University's approach to academic integrity?
5. Please comment on the University's policy (*Code of Behaviour on Academic Matters*) and processes (i.e., Divisional/Tribunal). What are their relative strengths and limitations?
6. How well do you believe the University has done in pro-actively communicating its academic integrity mandate to impacted stakeholders on campus?

Academic Integrity – Organizational Dimensions

Note: The following questions were informed by the study’s theoretical and conceptual frameworks.

7. Please comment generally, or with specific reference to institutional strategy, documents or initiatives, on the *degree to which the University’s approach to academic integrity* is either - or both:

Pedagogical/Educational Oriented (focused on teaching and learning, educational inputs and outputs, skills-building, prevention) Comments/Examples:	Punitive/Enforcement Oriented (focused on rules, sanctions and processes) Comments/Examples:
--	---

7.1. How would you assess the University’s overall approach to academic integrity on the following continuum?

Largely (++) Pedagogical/ Educational	More (+) Pedagogical/ Educational Less (-) Punitive/ Enforcement	Balanced: Pedagogical/ Educational; and Punitive/ Enforcement	More (+) Punitive/ Enforcement Less (-) Pedagogical/ Educational	Largely (++) Punitive/ Enforce- ment
---	--	---	--	--

8. Please comment generally, or with specific reference to institutional strategy, documents or initiatives, on the *degree to which the University’s approach to academic integrity* is either – or both:

Centralized (institution-wide, applies to all University campuses and stakeholder groups equally) Comments/Examples:	Decentralized (campus or unit specific i.e., Faculty, department or administrative offices) Comments/Examples:
---	---

8.1. How would you assess the University’s overall degree of centralization as it relates to academic integrity structures, policies and supports?

Highly Centralized	Mostly Centralized	Both Centralized and Decentralized	Mostly Decentralized	Highly Decentralized
--------------------	--------------------	------------------------------------	----------------------	----------------------

8.2. In your experience, are there significant differences in the way in which academic integrity has been approached across U of T's three campuses?

9. Please comment generally, or with specific reference to institutional strategy, documents or initiatives, on the *degree to which the University's approach to academic integrity* is either – or both:

Transparent & Accessible (largely transparent structures and processes easily accessed, retrieved and/or understood by impacted stakeholders) Comments/Examples:	Non-Transparent & Inaccessible (non-transparent structures and processes not easily accessed; retrieved and/or understand by impacted stakeholders) Comments/Examples:
---	---

9.1. How would you assess the University's overall degree of accessibility and transparency as it relates to academic integrity structures, policies and supports?

Very Inaccessible /Non-Transparent	Somewhat Inaccessible/Non-Transparent	Both Accessible/Transparent and Inaccessible/Non-Transparent	Somewhat Accessible/Transparent	Very Accessible/Transparent
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10. Are there any other thoughts or insights you would like to share regarding your experience and involvement with academic integrity at the University of Toronto, or, about this study?

Appendix H: Interview participant information and consent letter



UNIVERSITY OF TORONTO
OISE | ONTARIO INSTITUTE
FOR STUDIES IN EDUCATION

August 28, 2018

Dear Research Participant,

You are being invited to participate in a confidential interview for the following study:

“An examination of institutional narratives, structures and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity”.

You were selected as a prospective research participant based on your position (staff or faculty) that either directly, or indirectly, supports academic integrity at the University of Toronto.

My name is Janet Shuh and I am the study’s principal investigator. This research study, supervised by Professor Glen Jones, Dean, Ontario Institute for Studies in Education, is being undertaken as the summative component of my PhD studies in Higher Education.

Purpose of the Study

This study seeks to extend the analysis of academic integrity from the normative *micro*, or individual, level to a broader *macro*, or institutional, level.

The first phase of the study examines the University’s academic integrity structures, policy framework, supports, documents and narratives through the lens of organizational theory. The analysis of official structures and documents will be supplemented with data gathered from the key informant interviews. The second phase of the study includes a large-scale survey of Faculty of Arts and Science professors and other teaching members. The survey will be launched in late September 2018 and seeks to measure respondents’ experiences and perceptions regarding academic integrity (misconduct), in general, and more specifically their views on institutional approaches to academic integrity decision-making and change.

Scope of Participation

Your involvement in this study would include participation in a semi-structured interview which is expected to take approximately 45 minutes. The interview can be conducted either in person or over the telephone – depending on your availability and/or preference.

The interview questions will be provided for you to review in advance. You may skip any question(s) you are either unable to answer or are not comfortable answering. To the extent possible, the researcher will attempt to collect all of the information required during the initial interview process so no further follow-up will be required.

Voluntary Consent & Confidentiality

Your involvement in this study is completely voluntary and, as such, you are under no obligation to participate. If at any point before, during or after the scheduled interview you would like to withdraw either your consent or selected responses you may do so without bias or prejudice.

To protect interview participants' confidentiality interview transcriptions, to be used in data analysis, will be assigned pseudonyms. Furthermore, all identifying information will be kept and destroyed in compliance with the agreed upon confidentiality and data storage protocol approved by the Research Ethics Board delegate and Provost's Office staff.

The confidentiality of all interview participants will be fully protected throughout the study's data collection, analysis and dissemination of results.

Potential for Institutional Audit

The research study you are participating in may be reviewed for quality assurance to make sure that the required laws and guidelines are followed. If chosen, (a) representative(s) of the Human Research Ethics Program (HREP) may access study-related data and/or consent materials as part of the review. All information accessed by the HREP will be upheld to the same level of confidentiality that has been stated by the research team.

Summary, Approvals & Contact Information

In closing, your participation in this research study is highly valued and will assist the researcher in better understanding the strategy and approaches used to foster academic integrity at the University of Toronto.

The study has been approved by the University of Toronto's Research Ethics Board (RIS# 36181). Additionally, administrative approval to access University staff and faculty for the purpose of research was granted by the Vice-Provost, Faculty and Academic Life and the Vice-President, Human Resources and Equity on August 21 and 22, 2018 respectively.

If you have any further questions or concerns about this study, or your involvement, please do not hesitate to contact me directly. Alternatively, you may contact Professor Glen Jones, at [**glen.jones@utoronto.ca**](mailto:glen.jones@utoronto.ca), Ontario Institute for Studies in Education.

You may also contact the Research Oversight and Compliance Office - Human Research Ethics Program at ethics.review@utoronto.ca or 416-946-3273, if you have questions about your rights as a research participant.

Sincerely,

Janet Shuh

Appendix I: Interview consent statement and form

Consent Statement*

*To be reviewed by the “research participant” and the study’s principal investigator before the administration of the interview.

*I am in receipt of the **Study Information and Consent** letter, dated August 28, 2018, pertaining to my involvement as an interviewee in the following research study:*

“An examination of institutional narratives, structures and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity”

I hereby consent to participate in the above study. I understand that all of the data collected during this interview will be kept and destroyed in accordance with the confidentiality and retention protocols approved by the University’s Social Sciences, Humanities and Education Research Ethics Board and the Provost Office. I further understand that I will not be named in person, or by office/role, in the study’s findings to ensure my confidential participation. If the researcher intends to include a direct quotation from the interview – approval to do so will be explicitly sought from the research participant and the said quotation will be attributed to the participant’s assigned pseudonym only. I understand my rights as a research participant, specifically, that I may withdraw my consent in full or part at any point before, during or after my participation in this interview without bias or prejudice.

Consent to Participate

Research Participant: _____

* Principal investigator to secure verbal consent if interview is conducted over the telephone.

Do I have consent to audiotape* this interview? Yes ☐ or No ☐

* The audio recordings will be used for the sole purpose of fully and accurately transcribing the interview responses. Pseudonyms will be assigned to all interview transcriptions, after which time the audio recording, if permission is granted, will be destroyed.

Witness (Principal Investigator): _____

Date: _____ / _____ / _____
month / day / year

Appendix J: Faculty of Arts and Science Departments —survey

Table J1

<i>Faculty of Arts and Science Departments</i> —survey Department Name	Broad Academic Discipline ⁴		Number (<i>N</i>) Participants ⁵
	Arts/Humanities	Applied/Pure Sciences	
Anthropology	X		48
History of Art	X		23
Astronomy & Astrophysics		X	27
Cell & Systems Biology		X	91
Chemistry		X	63
Classics	X		25
Computer Science		X	82
Earth Sciences		X	33
East Asian Studies	X		22
Ecology & Evolutionary Biology		X	69
English	X		66
French	X		44
Geography	X		79
German	X		19
History	X		82
Italian	X		15
Linguistics	X		23
Mathematics		X	59
Near & Middle Eastern Civilizations	X		29
Philosophy	X		58
Physics		X	63
Total number of faculty members per disciplinary area	533	487	
Total number (<i>N</i>) of participants in receipt of survey invitation link			1020
Number (<i>n</i>) of completed survey responses			158
Survey response rate			15.5%

⁴ While the researcher identified these departments as being aligned to one of the study's two broad academic disciplines, arts/humanities or science, survey respondents self-identified their own disciplinary category based on where their teaching, research and credentials were most closely aligned. Only seven respondents identified "other" and they identified law, social science and interdisciplinary (arts and science) as their disciplines.

⁵ The estimated number of faculty members invited to participate in the anonymous online survey. Includes all faculty listed on the department webpages except for cross-appointed and emeritus professors, visiting scholars and those with only a personal email listed.

Appendix K: Survey participant recruitment and reminder messages

Sent by: janet.shuh@mail.utoronto.ca

Sent to: bcc all survey recipients

Date: September 24, 2018

Message Title: Academic Integrity Faculty Survey: Share Your Experiences & Perspectives

Attachment: Survey Participant Information & Consent Letter

Faculty of Arts & Science (Department of [REDACTED])

Dear professor/faculty member,

You are being invited to participate in a short **online survey** as a part of the following research study: “*An examination of institutional structures, narratives and professorial perceptions regarding multi-frame thinking and decision-making vis-à-vis academic integrity*”. As key stakeholders, the experiences and views of professors and all teaching faculty are critically important to the institutional advancement of academic integrity.

Scope of Participation

You are being asked to **complete an anonymous online survey** expected to take no longer than ten minutes. Responses are being collected anonymously, via Survey Gizmo’s Canadian server, through the suppression of IP addresses.

The survey will be open for three weeks **Monday September 24, 2018 - Friday October 12, 2018** and can be accessed using the following secure link:

<https://ca.surveygizmo.com/s3/50036048/Academic-Integrity-Faculty-Experiences-and-Perceptions-Related-to-Organizational-Impact-and-Change>

The attached *Survey Participant Information & Consent Letter* includes more fulsome details on the research study as well as information on the approvals secured through the University of Toronto's Office of Research and Innovation (research ethics) and the Office of Vice Provost, Faculty and Academic Life (engaging U OF T faculty for the purposes of research).

I would like to thank you in advance for your consideration and participation in this study. Faculty perspectives and experiences pertaining to academic integrity are critically important to furthering the University’s teaching, learning and research objectives.

Sincerely,

Janet Shuh

Janet Shuh, MA, Principal Researcher
PhD Candidate, Higher Education, OISE, University of Toronto

Sent by: janet.shuh@mail.utoronto.ca

Sent to: bcc: all survey recipients

Date: October 10, 2018

Message Title: Academic Integrity Faculty Survey Closes in Two Days

Just a reminder that this survey will close on Friday October 12th at 11:59 p.m. Because responses were submitted anonymously, please accept my apologies (and thanks) if you have already completed the survey.

As indicated, at the end of the survey, I would be pleased to share an abstract of the survey results if an e-mail address is provided.

<https://ca.surveygizmo.com/s3/50036048/Academic-Integrity-Faculty-Experiences-and-Perceptions-Related-to-Organizational-Impact-and-Change>

Sincerely,

Janet Shuh

Janet Shuh, MA, Principal Researcher

PhD Candidate, Higher Education, OISE, University of Toronto

Appendix L: Survey participant information and consent letter



UNIVERSITY OF TORONTO
OISE | ONTARIO INSTITUTE
FOR STUDIES IN EDUCATION

September 24, 2018

Dear Research Participant,

You are being invited to participate as a survey respondent for the following study
“An examination of institutional narratives, structures and professorial perceptions
regarding multi-frame thinking and decision-making vis-à-vis academic integrity”.

You have been selected as a prospective participant based on being a professor or
teaching member in the Faculty of Arts and Science at the University of Toronto.

My name is Janet Shuh and I am the study’s principal investigator. This research
study supervised by Professor Glen Jones, Dean, Ontario Institute for Studies in
Education, is being undertaken as a component of my PhD studies in Higher
Education.

Purpose of the Study

The current study seeks to extend the analysis of academic integrity from the
normative *micro*, or individual, level to a broader *macro*, or institutional, level.
Specifically, the survey explores experiences and perceptions of professors and other
teaching faculty, as key institutional stakeholders to academic integrity, in the
following three areas:

- prevalence of student academic integrity (dishonesty/misconduct) concerns and related institutional impacts;
- perceived impact of selected individual, institutional and situational factors as contributors to the erosion of academic integrity; and
- views on institutional approaches/models used to enhance academic integrity decision-making and change in university settings.

This research study will also include an institutional analysis of the University of
Toronto’s academic integrity structures and strategic, policy and web-based
narratives.

Scope of Participation

Your participation in the study would involve completing a short anonymous online survey
expected to take approximately ten minutes. Once the survey is complete there will be no
requirement for the researcher to follow-up or contact you again.

The survey will be open for a three-week window between Monday September 24, 2018 – Friday
October 12, 2018.

Voluntary Consent & Confidentiality

Your involvement in this study is completely voluntary and as such you are under no obligation to participate. No personal identifying information is being collected in the survey. Responses are being transmitted anonymously, using the Survey Gizmo (SG) platform, through the suppression of IP addresses. All aggregated data collected will be maintained, for the duration required, on SG's Canadian server located in Montreal, QC.

The confidentiality of all participants, therefore, will be fully protected throughout the study's data collection, analysis and dissemination of results.

Potential for Institutional Audit

The research study you are participating in may be reviewed for quality assurance to make sure that the required laws and guidelines are followed. If chosen, (a) representative(s) of the Human Research Ethics Program (HREP) may access study-related data and/or consent materials as part of the review. All information accessed by the HREP will be upheld to the same level of confidentiality that has been stated by the research team.

Summary, Approvals & Contact Information

In closing, should you choose to complete the survey your participation will be greatly appreciated and will contribute not only to the current study's scope and findings but, also, the broader literature on professor/faculty views and experiences related to academic integrity – particularly as they relate to organizational change.

The study has been approved by the University of Toronto's Research Ethics Board (RIS# 36181). Additionally, administrative approval to access faculty for the purposes of research was granted by the University Vice-Provost, Faculty and Academic Life on August 21, 2018.

If you have any further questions or concerns about this study, or your involvement, please do not hesitate to contact me directly. Alternatively, you may contact Professor Glen Jones, at glen.jones@utoronto.ca, Ontario Institute for Studies in Education.

You may also contact the Research Oversight and Compliance Office - Human Research Ethics Program at ethics.review@utoronto.ca or 416-946-3273, if you have questions about your rights as a participant.

Sincerely,

Janet Shuh,

MA, PhD Candidate, Higher Education, OISE, University of Toronto
janet.shuh@mail.utoronto.ca

Appendix M: Faculty survey tool

Academic Integrity: Faculty Experiences and Perceptions Related to Organizational Impact and Change

Section I: Respondent Characteristics

The following questions will assist the researcher in comparing respondent data between key demographic variables. You will not be asked to provide any personal identifying information in this survey.

1) Which faculty employment category best reflects your role at the University of Toronto?

- ☐ Professor, Associate Professor or Assistant Professor (incl. teaching stream)
- ☐ Professor (any rank) with Administrative Appointment i.e., Chair; Vice Chair/Dean; Dean
- ☐ Other Faculty, Lecturer or Instructor
- ☐ Other - Write In

2) How many years have you taught in the post-secondary sector (including at other institutions)?

- ☐ 5 years or less
- ☐ 6 to 15 years
- ☐ 16 years or more

3) Which of the following broad disciplinary areas is most closely aligned to your credentials, program/department and teaching?

- ☐ Sciences (Natural or Applied)
- ☐ Arts/Humanities
- ☐ Other - Write In: _____

4) At which campus(es) does the majority of your teaching occur?

- ☐ St. George - Downtown Campus
- ☐ UTM - Mississauga Campus
- ☐ UTSC - Scarborough Campus
- ☐ Shared equally between two campuses

Section II: Academic Integrity (Dishonesty): Prevalence, Context & Institutional Impacts

5) How frequently have you encountered student academic integrity concerns* in the following contexts?

** In your assessment, please consider all suspected and informally resolved academic integrity concerns, in addition to cases formally referred under the Code of Behaviour on Academic Matters.*

	never	rarely	occasionally	frequently	very frequently	not applicable [n/a]

undergraduate courses taught	()	()	()	()	()	()
graduate courses taught	()	()	()	()	()	()
student research supervised	()	()	()	()	()	()

6) Based on your own knowledge and interaction with colleagues, how frequent do you believe student academic integrity concerns are in the following contexts?

	rare	Occasional	frequent	very frequent	I don't know
in your program/department	()	()	()	()	()
across the University	()	()	()	()	()
across the post- secondary sector	()	()	()	()	()

7) Student academic integrity concerns have gotten significantly worse over the last decade. * Indicate your level of agreement with this statement. Comment optional.

- () strongly agree
() agree
() neither agree nor disagree
() disagree
() strongly disagree

Comments (Optional)

8) In your opinion, how important are the following **individual-level student factors** in relation to their impact on student academic dishonesty and/or misconduct?

Individual-level Student Factors	unimportant	of little importance	moderately important	important	very important	I don't know
impact of peer cheating culture	()	()	()	()	()	()
insufficient time-management skills	()	()	()	()	()	()
lack of clarity on academic rules/expectations - all students	()	()	()	()	()	()
lack of clarity on academic rules/expectations - specific to international students	()	()	()	()	()	()
low academic readiness and/or skills	()	()	()	()	()	()
low academic motivation	()	()	()	()	()	()
poor ethics	()	()	()	()	()	()
viewing knowledge/credentials as commodities	()	()	()	()	()	()
student access to increased technology - internet, social media, course file sharing sites	()	()	()	()	()	()

9) In your opinion, how important are the following **institutional/situational factors** in relation to their impact on student academic dishonesty and/or misconduct?

Institutional or Situational Factors	unimportant	of little importance	moderately important	important	very important	I don't know
fully online course delivery	()	()	()	()	()	()
increased international student enrollment - without adequate supports	()	()	()	()	()	()
lack of sufficient student research/writing supports	()	()	()	()	()	()
large campus and/or class sizes	()	()	()	()	()	()

Institutional or Situational Factors	unimportant	of little importance	moderately important	important	very important	I don't know
low quality teaching and learning environments	()	()	()	()	()	()
No, or inconsistent, communications of academic expectations	()	()	()	()	()	()
poor assessment design that encourages dishonesty or cheating	()	()	()	()	()	()
inadequate controls in test/exam invigilation	()	()	()	()	()	()

10) High incidents of student academic dishonesty and misconduct negatively impact a university's ability to ensure the academic quality of its courses, programs and credentials. Indicate your level of agreement with this statement.

- () strongly agree
 () agree
 () neither agree nor disagree
 () disagree
 () strongly disagree

11) High incidents of student academic dishonesty and misconduct negatively impact a university's ability to effectively pursue its research mandate. Indicate your level of agreement with this statement.

- () strongly agree
 () agree
 () neither agree nor disagree
 () disagree
 () strongly disagree

12) High incidents of student academic dishonesty and misconduct negatively impact a university's academic reputation and/or ranking. Indicate your level of agreement with this statement.

- () strongly agree
 () agree
 () neither agree nor disagree
 () disagree

☐ strongly disagree

13) *Establishing an impactful academic integrity culture on campus is chiefly the concern and responsibility of ...*

☐ students

☐ mostly students but also universities

☐ shared equally between students and universities

☐ mostly universities but also students

☐ universities

Part III: Approaches to Academic Integrity Organizational Change

14) *Bolman & Deal's Structural Frame, is defined as " ... the interconnected organizational fabric which supports and sustains operations, including: rules, roles, hierarchies, goals, strategy, technology and other physical inputs".*

*How important are the following **structural approaches/considerations** in relation to improving a university's overall level of academic integrity?**

Approaches/Considerations	Unimportant	of little importance	moderately important	important	very important	I don't know
policy and decision-making frameworks (i.e., the Code, divisional and Tribunal processes)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
clear roles and responsibilities for responding to academic integrity breaches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
faculty assistance incl. resources and support to prevent and respond to academic misconduct	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
technological tools (i.e., text/code/visual matching software)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
student assistance incl. tutoring, writing centres, library and advocacy supports	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
institutional academic integrity goal(s) and strategy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
academic integrity educational and awareness campaigns	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

15) *Bolman & Deal's Human Resource Frame*, is defined as " ... the human capital or people, within an organization inclusive of their needs, skills, intellectual contributions and inter-dependent relationships."

How important are the following human resource approaches/considerations in relation to improving a university's overall level of academic integrity?

Approaches/Considerations	unimportant	of little importance	moderately important	important	very important	I don't know
building capacity (knowledge and skills) of faculty, staff and students to enhance academic integrity	()	()	()	()	()	()
fostering supportive relationships between faculty, staff and administration to enhance academic integrity	()	()	()	()	()	()
training, time and resources for faculty to respond to academic misconduct	()	()	()	()	()	()
consultations with impacted stakeholders (i.e., faculty, staff and students) on major academic integrity changes	()	()	()	()	()	()

16) *Bolman & Deal's Political Frame*, is defined as "... the internal and external power imbalances, conflict and organizational politics impacting the organization and its' people".

How important are the following political approaches/considerations in relation to improving a university's overall level of academic integrity?

Approaches/Considerations	unimportant	of little importance	moderately important	important	very important	I don't know
power imbalances (actual or perceived) btw. faculty and students related to academic integrity/misconduct	()	()	()	()	()	()
power imbalances (actual or perceived) btw. faculty and administration related to academic integrity/misconduct	()	()	()	()	()	()
power imbalances (actual or perceived) btw. students and their peers related to academic integrity/misconduct	()	()	()	()	()	()

Approaches/Considerations	unimportant	of little importance	moderately important	important	very important	I don't know
open and inclusive academic integrity dialogue and discussions between all institutional stakeholders	()	()	()	()	()	()

17) Bolman & Deal's Symbolic Frame, is defined as "... the shared institutional culture, meaning, metaphors, ritual, ceremony, stories and heroes".

How important are the following symbolic considerations in relation to improving a university's overall level of academic integrity?

Approaches/Considerations	unimportant	of little importance	moderately important	important	very important	I don't know
staff and faculty sharing their academic integrity stories and experiences	()	()	()	()	()	()
fostering an organization-wide academic integrity culture	()	()	()	()	()	()
students sharing their academic integrity stories and experiences	()	()	()	()	()	()
senior leaders serving as institutional champions for academic integrity	()	()	()	()	()	()
promoting a values-based approach to academic integrity	()	()	()	()	()	()
using metaphors and/or visual images to promote academic integrity on campus	()	()	()	()	()	()

18) Considering Bolman and Deal's organizational frames, rank their relative importance [1 as most and 4 as least] in relation to the enhancement of academic integrity?

_____ Structural Frame [organizational structures, rules, roles, hierarchies, goals, strategy and technology]

_____ Human Resource Frame [human capital, staff needs, skills and inter-dependent relationships]

_____ Political Frame [power imbalances, conflict, organizational politics impacting organization and people]

_____ Symbolic Frame [institutional culture, metaphors, personal stories, heroes]

19) In your opinion, how important is it for a university to take into account considerations from all four organizational "frames" when making decisions and implementing significant changes to their academic integrity approach?

☐ very important

☐ important

☐ somewhat important

☐ not so important

☐ not at all important

20) The survey is now complete. If you wish to share any thoughts or comments about academic integrity, in general, or specific to the survey, I welcome your feedback in the space provided below.

21) Please provide an email address if you would like to receive a copy of the survey results.

Appendix N: Institutional data: Master coding summary

Table N1

Legend

Symbol	Meaning
X	coded/reported
/	not applicable/reported
(+)	to a greater extent
(-)	to a lesser extent

Data Source	Structural Frame	Human Resource Frame	Symbolic Frame	Political Frame	Educational Pedagogical	Enforcement Sanction	Centralized	Decentralized	Transparent	Non-transparent
	STR	HR	SYM	POL	EP	ES	CEN	DE-CEN	TRA	NON-TRA
The Code of Behaviour on Academic Matters	X	X	X	/	X (-)	X (+)	X	/	X (-)	X (+)
Academic Integrity at the University of Toronto Website	X	X	/	X	X (-)	X (+)	X	/	X	/
Office Academic Discipline and Faculty Grievances (ADGF)	X	X	/	X	/	X (+)	X	/	X	/
Faculty of Arts & Science - Office of Student Academic Integrity (OSAI)	X	X	X	/	X	X(+)	/	X	X	/
UTSC Office of Academic Integrity	X	X	X	/	X(+)	X	/	X	X	/
UTM Academic Integrity Office	X	X	X	/	X(+)	X	/	X	X	/

Data Source	Structural Frame	Human Resource Frame	Symbolic Frame	Political Frame	Educational Pedagogical	Enforcement Sanction	Centralized	Decentralized	Transparent	Non-transparent
	STR	HR	SYM	POL	EP	ES	CEN	DE-CEN	TRA	NON-TRA
School of Graduate Studies - Academic Integrity	X	X	/	/	X(-)	X(+)	X	/	X	/
Writing @ U OF T Website	X	/	/	/	X(+)	X(-)	X	/	X	/
Student Life – SG										
Student (Campus) Life – UTM	X	/	/	/	X(+)	/	/	X	X	/
Student (Affairs) Life – UTSC										
Centre for International Experience/English Language Learning	X	/	/	/	X(+)	/	/	X	X	/
University of Toronto Libraries; UTSC Library; UTM Library	X	/	/	/	X(+)	/	X	X	X	/
Writing Centres (UTM; UTSC, FAS SG Colleges)	X	/	/	/	X(+)	X(-)	/	X(+)	X	/
Robert Gillespie Academic Skills Centre										
UTSC Writing Centre										
UTSC Academic Advising & Career Centre	X	/	/	/	X	X	/	X	X	/

Data Source	Structural Frame	Human Resource Frame	Symbolic Frame	Political Frame	Educational Pedagogical	Enforcement Sanction	Centralized	Decentralized	Transparent	Non-transparent
	STR	HR	SYM	POL	EP	ES	CEN	DE-CEN	TRA	NON-TRA
Ombudsperson Office Annual Reports	X	/	/	X(+)	X	/	X	/	X	/
Offices of the Registrar (SG/ UTSC/ UTM)	X	/	/	/	X	/	/	X	X	/
Student Union @ UTSC	X	/	/	X (+)	X	X+	/	X	X	/
Student Union @ SG and UTM	X	/	/	X (+)	X	/	/	X	X	/
Centre for Teaching Support & Innovation	X	X(+)	/	/	X(+)	X	X	/	X	/
Teaching and Learning Collaboration UTM	X	X(+)	/	/	X(+)	X	X	/	X	/
Centre for Teaching and Learning UTSC	X	X(+)	/	/	X(+)	X	X	/	X	/

Appendix O: Code of Behaviour on Academic Matters



UNIVERSITY OF
TORONTO

University of Toronto
Governing Council

Code of Behaviour on Academic Matters

Approved June 23, 2016

Effective July 1, 2016

To request an official copy of this policy, contact: The

Office of the Governing Council
Room 106, Simcoe Hall 27
King's College Circle
University of Toronto Toronto,
Ontario M5S 1A1

Phone: 416-978-6576

Fax: 416-978-8182

E-mail: governing.council@utoronto.ca

Website: <http://www.governingcouncil.utoronto.ca/>

Code of Behaviour on Academic Matters

A. Preamble

The concern of the Code of Behaviour on Academic Matters is with the responsibilities of all parties to the integrity of the teaching and learning relationship. Honesty and fairness must inform this relationship, whose basis remains one of mutual respect for the aims of education and for those ethical principles which must characterize the pursuit and transmission of knowledge in the University.

What distinguishes the University from other centres of research is the central place which the relationship between teaching and learning holds. It is by virtue of this relationship that the University fulfills an essential part of its traditional mandate from society, and, indeed, from history: to be an expression of, and by so doing to encourage, a habit of mind which is discriminating at the same time as it remains curious, which is at once equitable and audacious, valuing openness, honesty and courtesy before any private interests.

This mandate is more than a mere pious hope. It represents a condition necessary for free enquiry, which is the University's life blood. Its fulfillment depends upon the well being of that relationship whose parties define one another's roles as teacher and student, based upon differences in expertise, knowledge and experience, though bonded by respect, by a common passion for truth and by mutual responsibility to those principles and ideals that continue to characterize the University.

This Code is concerned, then, with the responsibilities of faculty members and students, not as they belong to administrative or professional or social groups, but as they co-operate in all phases of the teaching and learning relationship.

Such co-operation is threatened when teacher or student forsakes respect for the other--and for others involved in learning--in favour of self-interest, when truth becomes a hostage of expediency. On behalf of teacher and student and in fulfillment of its own principles and ideals, the University has a responsibility to ensure that academic achievement is not obscured or undermined by cheating or misrepresentation, that the evaluative process meets the highest standards of fairness and honesty, and that malevolent or even mischievous disruption is not allowed to threaten the educational process.

These are areas in which teacher and student necessarily share a common interest as well as common responsibilities.

Note: Appendix "A" contains interpretations of the language of this Code.

Appendix "B" contains a statement concerning the rights and freedoms enjoyed by members of the University.

Offences

The University and its members have a responsibility to ensure that a climate which might encourage, or conditions which might enable, cheating, misrepresentation or unfairness not be tolerated. To this end, all must acknowledge that seeking credit or other advantages by fraud or misrepresentation, or seeking to disadvantage others by disruptive behaviour is unacceptable, as is any dishonesty or unfairness in dealing with the work or record of a student.

Wherever in this Code an offence is described as depending on "knowing", the offence shall likewise be deemed to have been committed if the person ought reasonably to have known.

A.i.

1. It shall be an offence for a student knowingly:
 - (a) to forge or in any other way alter or falsify any document or evidence required by the University, or to utter, circulate or make use of any such forged, altered or falsified document, whether the record be in print or electronic form;
 - (b) to use or possess an unauthorized aid or aids or obtain unauthorized assistance in any academic examination or term test or in connection with any other form of academic work;
 - (c) to personate another person, or to have another person personate, at any academic examination or term test or in connection with any other form of academic work;
 - (d) to represent as one's own any idea or expression of an idea or work of another in any academic examination or term test or in connection with any other form of academic work, i.e., to commit plagiarism (for a more detailed account of plagiarism, see Appendix "A") ;
 - (e) to submit, without the knowledge and approval of the instructor to whom it is submitted, any academic work for which credit has previously been obtained or is being sought in another course or program of study in the University or elsewhere;
 - (f) to submit any academic work containing a purported statement of fact or reference to a source which has been concocted.
2. It shall be an offence for a faculty member knowingly:
 - (a) to approve any of the previously described offences;
 - (b) to evaluate an application for admission or transfer to a course or program of study by reference to any criterion that is not academically justified;
 - (c) to evaluate academic work by a student by reference to any criterion that does not relate to its merit, to the time within which it is to be submitted or to the manner in which it is to be performed.
3. It shall be an offence for a faculty member and student alike knowingly:
 - (a) to forge or in any other way alter or falsify any academic record, or to utter, circulate or make use of any such forged, altered or falsified record, whether the record be in print or electronic form;
 - (b) to engage in any form of cheating, academic dishonesty or misconduct, fraud or misrepresentation not herein otherwise described, in order to obtain academic credit or other academic advantage of any kind.
4. A graduate of the University may be charged with any of the above offences committed knowingly while he or she was an active student, when, in the opinion of the Provost, the offence, if detected, would have resulted in a sanction sufficiently severe that the degree would not have been granted at the time that it was.

Parties to Offences

5. (a) Every member is a party to an offence under this Code who knowingly:
 - (i) actually commits it;
 - (ii) does or omits to do anything for the purpose of aiding or assisting another member to commit the offence;
 - (iii) does or omits to do anything for the purpose of aiding or assisting any other person who, if that person were a member, would have committed the offence;

- (iv) abets, counsels, procures or conspires with another member to commit or be a party to an offence; or
 - (v) abets, counsels, procures or conspires with any other person who, if that person were a member, would have committed or have been a party to the offence.
 - (b) Every party to an offence under this Code is liable upon admission of the commission thereof, or upon conviction, as the case may be, to the sanctions applicable to that offence.
6. Every member who, having an intent to commit an offence under this Code, does or omits to do anything for the purpose of carrying out that intention (other than mere preparation to commit the offence) is guilty of an attempt to commit the offence and liable upon conviction to the same sanctions as if he or she had committed the offence.
7. When a group is found guilty of an offence under this Code, every officer, director or agent of the group, being a member of the University, who directed, authorized or participated in the commission of the offence is a party to and guilty of the offence and is liable upon conviction to the sanctions provided for the offence.

Procedures in Cases Involving Students

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.

C.i.(a) Divisional Procedures

Note: Where a student commits an offence, the faculty in which the student is registered has responsibility over the student in the matter. In the case of Scarborough and Erindale Colleges, the college is deemed to be the faculty.

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| <i>not proceedings of Tribunal</i> | 1. | No hearing within the meaning of section 2 of the <i>Statutory Powers Procedure Act</i> is required for the purposes of or in connection with any of the discussions, meetings and determinations referred to in section C.i.(a), and such discussions, meetings and determinations are not proceedings of the Tribunal. |
| <i>instructor's duties</i> | 2. | Where an instructor has reasonable grounds to believe that an academic offence has been committed by a student, the instructor shall so inform the student immediately after learning of the act or conduct complained of, giving reasons, and invite the student to discuss the matter. Nothing the student says in such a discussion may be used or receivable in evidence against the student. |
| | 3. | If after such discussion, the instructor is satisfied that no academic offence has been committed, he or she shall so inform the student and no further action shall be taken in the matter by the instructor, unless fresh evidence comes to the attention of the instructor, in which case he or she may again proceed in accordance with subsection 2. |
| <i>instructor's report to the department chair</i> | 4. | If after such discussion, the instructor believes that an academic offence has been committed by the student, or if the student fails or neglects to respond to the invitation for discussion, the instructor shall make a report of the matter to the department chair or through the department chair to the dean. (See also section C.i.(b) 1.) |
| <i>dean's or chair's meeting with student</i> | 5. | When the dean or the department chair, as the case may be, has been so |

		informed, he or she shall notify the student in writing accordingly, provide him or her with a copy of the Code and subsequently afford the student an opportunity for discussion of the matter. In the case of the dean being informed, the chair of the department and the instructor shall be invited by the dean to be present at the meeting with the student. The dean shall conduct the interview.
<i>dean's warning</i>	6.	Before proceeding with the meeting, the dean shall inform the student that he or she is entitled to seek advice, or to be accompanied by counsel at the meeting, before making, and is not obliged to make, any statement or admission, but shall warn that if he or she makes any statement or admission in the meeting, it may be used or receivable in evidence against the student in the hearing of any charge with respect to the alleged offence in question. The dean shall also advise the student, without further comment or discussion, of the sanctions that may be imposed under section C.i.(b), and that the dean is not obliged to impose a sanction but may instead request that the Provost lay a charge against the student. Where such advice and warning have been given, the statements and admissions, if any, made in such a meeting may be used or received in evidence against the student in any such hearing.
<i>admissions used at a hearing</i>		
<i>no further action</i>	7.	If the dean, on the advice of the department chair and the instructor, or if the department chair, on the advice of the instructor, subsequently decides that no academic offence has been committed and that no further action in the matter is required, the student shall be so informed in writing and the student's work shall be accepted for normal evaluation or, if the student was prevented from withdrawing from the course by the withdrawal date, he or she shall be allowed to do so. Thereafter, the matter shall not be introduced into evidence at a Tribunal hearing for another offence.
<i>imposition of sanction</i>	8.	If the student admits the alleged offence, the dean or the department chair may either impose the sanction(s) that he or she considers appropriate under section C.i.(b) or refer the matter to the dean or Provost, as the case may be, and in either event shall inform the student in writing accordingly. No further action in the matter shall be taken by the instructor, the department chair or the dean if the dean imposes a sanction.
<i>student may refer matter</i>	9.	If the student is dissatisfied with a sanction imposed by the department chair or the dean, as the case may be, the student may refer the matter to the dean or Provost as the case may be, for consideration.
<i>referral of matter to Tribunal</i>	10.	If the student does not admit the alleged offence, the dean may, after consultation with the instructor and the department chair, request that the Provost lay a charge against the student. If the Provost agrees to lay a charge, the case shall then proceed to the Trial Division of the Tribunal.
<i>decanal procedures at trial</i>	11.	Normally, decanal procedures will not be examined in a hearing before the Tribunal. A failure to carry out the procedures referred to in this section, or any defect or irregularity in such procedures, shall not invalidate any subsequent proceedings of or before the Tribunal, unless the chair of the hearing considers that such failure, defect or irregularity resulted in a substantial wrong, detriment or prejudice to the accused. The chair will determine at the opening of the hearing whether there is to be any objection to an alleged defect, failure or irregularity.
<i>student's standing pending disposition</i>	12.	No degree, diploma or certificate of the University shall be conferred or

awarded, nor shall a student be allowed to withdraw from a course from the time of the alleged offence until the final disposition of the accusation. However, a student shall be permitted to use University facilities while a decision is pending, unless there are valid reasons for the dean to bar him or her from a facility. When or at any time after an accusation has been reported to the dean, he or she may cause a notation to be recorded on the student's academic record and transcript, until the final disposition of the accusation, to indicate that the standing in a course and/or the student's academic status is under review. A student upon whom a sanction has been imposed by the dean or the department chair under section C.i.(b) or who has been convicted by the Tribunal shall not be allowed to withdraw from a course so as to avoid the sanction imposed.

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| <i>recording cases</i>

<i>referral to records</i>
<i>reporting cases</i>

<i>advice on cases</i> | 13. | A record of cases disposed of under section C.i.(a) and of the sanctions imposed shall be kept in the academic unit concerned and may be referred to by the dean in connection with a decision to prosecute, or by the prosecution in making representations as to the sanction or sanctions to be imposed by the Tribunal, for any subsequent offence committed by the student. Information on such cases shall be available to other academic units upon request and such cases shall be reported by the dean to the Secretary of the Tribunal for use in the Provost's annual report to the Academic Board. The dean may contact the Secretary of the Tribunal for advice or for information on cases disposed of under section C.ii hereof. |
| <i>analogy to faculty member</i> | 14. | Where a proctor or invigilator, who is not a faculty member, has reason to believe that an academic offence has been committed by a student at an examination or test, the proctor or invigilator shall so inform the student's dean or department chair, as the case may be, who shall proceed as if he or she were an instructor, by analogy to the other provisions of this section. |
| <i>analogy to procedures</i> | 15. | In the case of alleged offences not covered by the procedures above and not involving the submission of academic work, such as those concerning forgery or uttering, and in cases involving cancellation, recall or suspension of a degree, diploma or certificate, the procedure shall be regulated by analogy to the other procedures set out in this section. |

C.i.(b) Divisional Sanctions

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| <i>department chair's duties</i> | 1. | <p>In an assignment worth ten percent or less of the final grade, the department chair may deal with the matter if,</p> <ul style="list-style-type: none"> (i) the student admits guilt; and (ii) the assignment of a penalty is limited to at most a mark of zero for the piece of work. <p>If the student does not admit guilt, or if the department chair chooses, the matter shall be brought before the dean.</p> |
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Code of Behaviour on Academic Matters

<i>sanctions listed</i>	2.	<p>One or more of the following sanctions may be imposed by the dean where a student admits to the commission of an alleged offence:</p> <ul style="list-style-type: none">(a) an oral and/or written reprimand;(b) an oral and/or written reprimand and, with the permission of the instructor, the resubmission of the piece of academic work in respect of which the offence was committed, for evaluation, Such a sanction shall be imposed only for minor offences and where the student has committed no previous offence;(c) assignment of a grade of zero or a failure for the piece of academic work in respect of which the offence was committed;(d) assignment of a penalty in the form of a reduction of the final grade in the course in respect of which the offence was committed;(e) denial of privileges to use any facility of the University, including library and computer facilities;(f) a monetary fine to cover the costs of replacing damaged property or misused supplies in respect of which the offence was committed;(g) assignment of a grade of zero or a failure for the course in respect of which the offence was committed;(h) suspension from attendance in a course or courses, a program, an academic division or unit, or the University for a period of not more than twelve months. Where a student has not completed a course or courses in respect of which an offence has not been committed, withdrawal from the course or courses without academic penalty shall be allowed.
<i>recording on academic transcript</i>	3.	<p>The dean shall have the power to record any sanction imposed on the student's academic record and transcript for such length of time as he or she considers appropriate. However, the sanctions of suspension or a notation specifying academic misconduct as the reason for a grade of zero for a course shall normally be recorded for a period of five years.</p>
<i>provost's Guidelines</i>	4.	<p>The Provost shall, from time to time, indicate appropriate sanctions for certain offences. These guidelines shall be sent for information to the Academic Board and attached to the Code as Appendix "C".</p>

C.II.(a) Tribunal Procedures

<i>laying of charge</i>	1.	<p>A prosecution for an alleged academic offence shall be instituted by the laying of a charge by the Provost against the accused. This is done when the student does not admit guilt; when the sanction desired is beyond the power of the dean to impose; when the student has been found guilty of a previous offence; or when the student is being accused simultaneously of two or more different offences involving more than one incident.</p>
<i>Consultation</i>	2.	<p>No charge shall be laid except with the agreement of the dean concerned and of the Provost, after consultation between the Provost and the Discipline Counsel.</p>

Code of Behaviour on Academic Matters

<i>form of charge</i>	3.	A charge shall be in writing, addressed to the accused, signed by or under the authority of the Provost and filed with the Secretary. It shall contain a statement that the student is charged with having committed an offence specified therein, with sufficient particulars of the circumstances to enable the student to identify the alleged act or conduct giving rise to the charge.
<i>notice of hearing</i>	4.	Upon receipt by the Secretary of a charge which appears to be in proper form, the member of the Tribunal designated to be the chair of the hearing and the Secretary shall immediately determine and give appropriate notice of a date, time and place for the hearing.
<i>withdrawal from course not precluding prosecution</i>	5.	Withdrawal of a student from a course or program of study shall not preclude or affect any prosecution before the Tribunal in respect of an alleged academic offence.
<i>record of hearing</i>	6.	The proceedings at a hearing, including the evidence and the verdict of the panel shall be recorded by the Secretary by means of a tape recording, stenographic reporter or other reliable means.
<i>Statutory Powers Procedure Act</i>	7.	The procedures of the Tribunal shall conform to the requirements of the Statutory Powers Procedure Act, Revised Statutes of Ontario, 1990, Chapter S. 22, as amended from time to time.
<i>modification of rules</i>	8.	The Tribunal may, from time to time, by a majority of its members, make, adopt and modify rules governing its procedures which are not inconsistent with the provisions hereof, and all such rules and modifications shall be reported to the Academic Board for information.
<i>onus and standard of proof</i>	9.	The onus of proof shall be on the prosecutor, who must show on clear and convincing evidence that the accused has committed the alleged offence.
<i>not compellable to testify</i>	10.	The accused shall not be compelled to testify at his or her hearing.
<i>Tribunal structure</i>	11.	The divisions of the Tribunal are: Trial, and Appeal.
<i>Membership</i>	12.	The members of the Trial Division of the Tribunal shall consist of a Senior Chair, two Associate Chairs and at least fifteen co-chairs, appointed by the Academic Board.
	13.	No presiding member of the Trial Division of the Tribunal shall be a full-time student or a full-time member of the teaching staff or a member of the administrative staff
	14.	The Senior Chair, Associate Chairs and co-chairs shall be legally qualified.
	15.	The Senior Chair shall be the chair of the Tribunal and either the Senior Chair, an Associate Chair or a co-chair, as selected by the Secretary, shall preside at trial hearings of the Tribunal.
<i>place of hearing</i>	16.	Trial hearings of the Tribunal involving students registered at Scarborough College shall normally be held on the Scarborough campus of the University and those involving students registered at Erindale College shall normally be held on the Erindale campus of the University.

Code of Behaviour on Academic Matters

<i>duties of Tribunal</i>	17.	(a) The Tribunal shall, <ul style="list-style-type: none">(i) hear and dispose of charges brought under the Code;(ii) report its decisions for information to the Academic Board;(iii) make recommendations to the Governing Council as contemplated by the Code.(iv) advise the Academic Board, from time to time, on policy and procedures with respect to the Code; and(v) determine its practice and procedures, subject to the provisions hereof.
<i>award of costs</i>		(b) Where it is considered to be warranted by the circumstances, the chair of a hearing may in his or her discretion award costs of any proceedings at trial, and may make orders as to the party or parties to and by whom and the amounts and manner in which such costs are to be paid.
<i>panel</i>	18.	Hearings in the Trial Division of the Tribunal shall be by a hearing panel composed of three persons, of whom one shall be a student, one shall be a faculty member and the third shall be the Senior Chair, an Associate Chair or a co-chair of the Tribunal.
<i>membership</i>	19.	The members of each panel (other than the chair) shall be drawn from a pool consisting of at least 15 students who are not also faculty members and at least 15 faculty members who are not also students. The members of such pool shall be appointed by the Secretary, drawn from the various academic divisions and units of the University, and shall serve for a period of two years. The appointments shall be renewable upon invitation by the Senior Chair of the Tribunal.
<i>selection of panel</i>	20.	Panel members for each case shall be selected by the Secretary who shall exercise due discretion in excluding members who may know either the accused or the circumstances of the alleged offence. Generally, student members will not be drawn from the same program of study as the accused. Faculty members from the department in which an offence is alleged to have occurred will be excluded from the panel.
<i>challenging panel members</i>	21.	Either the accused or the prosecution may challenge prior to the hearing, and the chair of the hearing may disqualify any prospective panel member for cause which in his or her opinion justifies such disqualification.
<i>chair's role</i>	22.	At trial hearings of the Tribunal, <ul style="list-style-type: none">(a) the chair of the hearing shall determine all questions of law and has a vote on the verdict and sanction; and
<i>panel's role</i>		(b) the panel shall determine all questions of fact and render a verdict according to the evidence.

Code of Behaviour on Academic Matters

<i>admission of guilt after charge laid</i>	23.	Where, after a charge has been laid by the Provost but before a Tribunal hearing takes place, the accused admits the alleged offence, the Provost may refer the matter either (i) to the dean, who shall impose the sanction(s) that he or she considers appropriate under section C.i.(b); or (ii) to a panel, in which event the panel may convict the accused without the prosecution having to lead evidence of guilt, and the panel shall impose a sanction or sanctions in accordance with section 25 or 26; provided that before any sanction is imposed, the dean or the panel, as the case may be, shall have afforded the accused an opportunity to offer an explanation and to present arguments and submissions as to sanction.
<i>verdict of panel</i>	24	The verdict of a panel need not be unanimous but at least two affirmative votes shall be required for a conviction. Unless there are at least two affirmative votes for conviction, the accused shall be acquitted.
<i>sanction of panel</i>	25.	The sanction or sanctions to be imposed upon conviction at a hearing shall be determined by a majority of the panel members, and the panel shall give reasons for the sanction or sanctions imposed.
<i>disagreement on sanction(s)</i>	26.	If the panel is unable to reach agreement, by a majority of its members, as to the sanction to be imposed, the chair of the hearing shall impose the sanction or set of sanctions which is the least severe of those that the individual members of the panel would impose.
<i>Discipline Counsel</i>	27.	There shall be a University Discipline Counsel and there may be one or more assistants to the Discipline Counsel, appointed by the Academic Board on the recommendation of the Provost.
	28.	The Discipline Counsel and any assistant shall be a barrister and solicitor qualified to practise law in Ontario and shall not be a full-time student or a full-time member of the teaching staff or a member of the administrative staff.
	29.	The Discipline Counsel or an assistant shall conduct all proceedings on behalf of the Provost before the Tribunal and on any appeal from a Tribunal decision.
	30.	The other duties of the Discipline Counsel and assistants shall be as determined by the Provost.
<i>Secretary</i>	31.	The Secretary of the Tribunal and his or her assistants shall be appointed by the Academic Board on the recommendation of the Provost.
	32.	The duties of the Secretary and assistants shall be determined by the Senior Chair and members of the Tribunal and reported to the Academic Board for information.
	33.	Where anything is required by the Code to be done by or with the Secretary, it may be done by or with the Secretary or any of his or her assistants.

C.ii.(b) Tribunal Sanctions

Code of Behaviour on Academic Matters

sanctions listed

1. One or more of this following sanctions may be imposed by the Tribunal upon the conviction of any student:
 - (a) an oral and/or written reprimand;
 - (b) an oral and/or written reprimand and, with the permission of the instructor, the resubmission of the piece of academic work in respect of which the offence was committed, for evaluation. Such a sanction shall be imposed only for minor offences and where the student has committed no previous offence;
 - (c) assignment of a grade of zero or a failure for the piece of academic work in respect of which the offence was committed;
 - (d) assignment of a penalty in the form of a reduction of the final grade in the course in respect of which the offence was committed;
 - (e) denial of privileges to use any facility of the University, including library and computer facilities;
 - (f) a monetary fine to cover the costs of replacing damaged property or misused supplies in respect of which the offence was committed;
 - (g) assignment of a grade of zero or a failure for any completed or uncompleted course or courses in respect of which any offence was committed;
 - (h) suspension from attendance in a course, or courses, a program, an academic unit or division, or the University for such a period of time up to five years as may be determined by the Tribunal. Where a student has not completed a course or courses in respect of which an offence has not been committed, withdrawal from the course or courses without academic penalty shall be allowed;

expulsion

- (i) recommendation of expulsion from the University. The Tribunal has power only to recommend that such a penalty be imposed. In any such case, the recommendation shall be made by the Tribunal to the President for a recommendation by him or her to the Governing Council. Expulsion shall mean that the student shall be denied any further registration at the University in any program, and his or her academic record and transcript shall record this sanction permanently. Where a student has not completed a course or courses in respect of which an offence has not been committed, withdrawal from the course or courses without academic penalty shall be allowed. If a recommendation for expulsion is not adopted, the Governing Council shall have the power to impose such lesser penalty as it sees fit.

cancellation of degree

- (j)
 - (i) recommendation to the Governing Council for cancellation, recall or suspension of one or more degrees, diplomas or certificates obtained by any graduate; or
 - (ii) cancellation of academic standing or academic credits obtained by any former student

who, while enrolled, committed any offence which if detected before the granting of the degree, diploma, certificate, standing or credits would, in the judgement of the Tribunal, have resulted in a conviction and the application of a sanction sufficiently severe that the degree, diploma, certificate, standing, credits or marks would not have been granted.

recording sanction

2. The hearing panel shall have the power to order that any sanction imposed by the Tribunal be recorded on the students academic record and transcript for such length of time as the panel considers appropriate.

*publishing decision and
sanction*

3. The Tribunal may, if it considers it appropriate, report any case to the Provost who may publish a notice of the decision of the Tribunal and the sanction or sanctions imposed in the University newspapers, with the name of the student withheld.

D. Procedures in Cases Involving Faculty Members

Divisional and Tribunal procedures for faculty members charged with academic offences, and the sanctions and appeal procedures for those convicted, resemble - with appropriate modifications - procedures and sanctions in force for students, with this signal exception: grounds and procedures for terminating employment of tenured faculty are those set forth in the *Policy and Procedures on Academic Appointments*, as amended from time to time.

D.i.(a) Divisional Procedures

*not proceedings of
Tribunal*

1. No hearing within the meaning of section 2 of the *Statutory Powers Procedure Act* is required for the purposes of or in connection with any of the discussions, meetings and determinations referred to in section D.i.(a), and such discussions, meetings and determinations are not proceedings of the Tribunal.

*department chair's
duties*

2. Where a student or a faculty member or a member of the administrative staff has reason to believe that an academic offence has been committed by a faculty member, he or she shall so inform the chair of the department or academic unit in which the faculty member holds a primary appointment. The department chair shall inform the faculty member immediately after learning of the act or conduct complained of and invite the faculty member to discuss the matter. The chair shall inform the faculty member that he or she is entitled to seek advice, or to be accompanied by counsel at the meeting, before making, and is not obliged to make, any statement or admission, but shall warn that if he or she makes any statement or admission in the meeting, it may be used or receivable in evidence against the faculty member in the hearing of any charge with respect to the alleged offence in question.

no further action

3. If after discussion, the department chair is satisfied that no academic offence has been committed, he or she shall inform the faculty member in writing and no further action shall be taken in the matter, unless fresh evidence comes to the attention of the department chair, in which case he or she may again proceed in accordance with subsection 2.

*department chair's
report to dean*

4. If after such discussion the department chair believes that an academic offence has been committed by the faculty member, or if the faculty member falls or neglects to respond to the invitation for discussion, the department chair shall make a report of the matter in writing to the dean.

*dean's meeting with
faculty member*

5. When the dean has been so informed, he or she shall immediately notify the faculty member in writing accordingly, provide him or her with a copy of the Code and subsequently afford the faculty member an opportunity for discussion of the matter. The department chair and the complainant shall be invited by the dean to be present at the meeting with the faculty member. The dean shall conduct the interview.

Code of Behaviour on Academic Matters

<i>dean's warning</i>	6.	Before proceeding with the meeting, the dean shall inform the faculty member that he or she is entitled to seek advice, or to be accompanied by counsel at the meeting, before making, and is not obliged to make, any statement or admission, but shall warn that if he or she makes any statement or admission in the meeting, it may be used or receivable in evidence against the faculty member in the hearing of any charge with respect to the alleged offence in question. The dean shall also advise the faculty member, without further comment or discussion, of the sanctions that may be imposed under section D.i.(b), and that the dean is not obliged to impose a sanction but may instead request either that the Provost lay a charge against the faculty member or that the President initiate dismissal proceedings. Where such advice and warning have been given, the statements and admissions, if any, made at such a meeting may be used or received in evidence against the faculty member in any such hearing.
<i>admissions used at a hearing</i>		
<i>no further action</i>	7.	If after the discussions at such a meeting, the complainant is satisfied that no academic offence has been committed and the department chair and the dean agree, no further action in the matter shall be taken by the complainant or the dean, and the dean shall so inform the faculty member in writing. Thereafter, the matter shall not be introduced into evidence at a Tribunal or any hearing for another offence.
<i>imposition of sanction</i>	8.	If the faculty member admits the alleged offence, the dean may impose sanctions that are within the power and authority of the dean, and no further action in the matter shall be taken by the dean or the complainant if the dean proceeds under this subsection.
<i>faculty member may refer matter</i>	9.	If the faculty member is dissatisfied with a sanction imposed by the department chair or the dean, the faculty member may refer the matter to the dean or the Provost for consideration. If the complainant is dissatisfied with a decision of the department chair or the dean not to refer the complaint to the next level with a recommendation for further action, the complainant may refer the matter to the dean or Provost for consideration.
<i>complainant may refer matter</i>		
<i>referral of matter to President or Tribunal</i>	10.	Where the dean believes that an academic offence has been committed by a faculty member with respect to which further proceedings should be taken (whether or not such offence has been admitted by the faculty member), the dean shall either, <ul style="list-style-type: none"> (a) in the case of a faculty member having tenure, request the President to appoint a committee under the <i>Policy and Procedures on Academic Appointments</i>, as amended from time to time, to consider dismissal of the faculty member; or (b) in the case of any faculty member, proceed to request that the Provost lay a charge against the faculty member under section D.ii below.
<i>Tribunal proceedings suspended</i>	11.	Where a dean requests the President to appoint a committee under the <i>Policy and Procedures on Academic Appointments</i> , as amended from time to time, to consider dismissal of a tenured faculty member, any proceedings before the Tribunal shall be suspended until either the President signifies that he or she will not accept and act upon the request, or the proceedings for dismissal have been finally determined, as the case may be.

Code of Behaviour on Academic Matters

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| <i>offence by department
chair or dean</i> | 12. | Where a student or a faculty member or an administrative staff member has reason to believe that an academic offence has been committed by a department chair, he or she shall so inform the dean of the academic unit in which the chair holds an appointment, and where he or she has reason to believe that an academic offence has been committed by a dean, he or she shall so inform the Provost, and the procedure shall be regulated by analogy to other provisions of this section. |
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D.i.(b) Divisional Sanctions

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| <i>sanctions listed</i> | 1. | One or more of the following sanctions may be imposed by the dean where a faculty member admits the commission of an alleged offence:

an oral and/or written reprimand;
assignment by the dean of administrative sanctions. |
| <i>Provost's Guidelines</i> | 2. | The Provost shall, from time to time, indicate appropriate sanctions for certain offences. These guidelines shall be sent for information to the Academic Board and appended to the Code. |

D.ii.(a) Tribunal Procedures

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| <i>laying of charge</i> | 1. | A prosecution for an alleged academic offence shall be instituted by the laying of a charge by the Provost against the accused. |
| <i>consultation</i> | 2. | No charge shall be laid except with the agreement of the dean and the Provost, after consultation between the Provost and the Discipline Counsel. |
| <i>form of charge</i> | 3. | A charge shall be in writing, addressed to the accused, signed by or under the authority of the Provost and filed with the Secretary. It shall contain a statement that the faculty member is charged with having committed an offence specified therein, with sufficient particulars of the circumstances to enable the faculty member to identify the alleged act or conduct giving rise to the charge. |
| <i>notice of hearing</i> | 4. | Upon receipt by the Secretary of a charge which appears to be in proper form, the member of the Tribunal designated to be the chair of the hearing and the Secretary shall immediately determine and give appropriate notice of a date, time and place for the hearing. |
| <i>Tribunal duties and
procedures</i> | 5. | The duties, membership and procedures of the Tribunal shall be as in section C.ii.(a) 6 to 33. |

D.ii.(b) Tribunal Sanctions

Code of Behaviour on Academic Matters

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| <i>sanctions listed</i> | 1. | One or more of the following sanctions may be imposed by the Tribunal upon the conviction of any faculty member: |
| | | (a) an oral and/or written reprimand; |
| | | (b) recommendation to the President for the application of administrative sanctions; |
| <i>dismissal</i> | (c) | recommendation to the President for dismissal, or, in the case of a tenured faculty member, for the appointment of a committee under the <i>Policy and Procedures on Academic Appointments</i> , as amended from time to time, to consider dismissal. The Tribunal has power only to recommend that such a penalty be imposed. If a recommendation for dismissal is not adopted, the Governing Council or the President, as the case may be, shall have power to impose such lesser penalty as is deemed fit. |

E. Appeals

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| <i>Discipline Appeals
Board-panel
membership</i> | 1. | Appeals from decisions at trial shall be heard by a panel drawn from the Discipline Appeals Board consisting of the Senior Chair of the Tribunal, or an Associate Chair designated by him or her, and three members of the Discipline Appeals Board drawn preferably from the Academic Board nominees to the Board. The Academic Board's nominees shall be chosen from among its current or former members. At least one member of each panel shall be a faculty member who is not also a student and at least one shall be a student who is not also a faculty member. |
| | 2. | The Senior Chair or an Associate Chair shall preside at all appeal hearings. |
| | 3. | Where the Discipline Appeals Board hears an appeal,
(a) no Tribunal member who participated in the decision appealed from shall participate in the appeal; and
(b) the decision of the majority of the members hearing the appeal shall govern, and the presiding Chair shall be a voting member. |
| <i>cases for appeal</i> | 4. | An appeal to the Discipline Appeals Board may be taken in the following cases, only:
(a) <i>by the accused, from a conviction at trial, upon a question which is not one of fact alone;</i>
(b) by the Provost, from an acquittal at trial, upon a question which is not one of fact alone;
(c) by the accused or the Provost, from a sanction imposed at trial. |
| <i>filing of appeal</i> | 5. | An appeal shall be made by filing with the Secretary, within 21 days after the giving of notice of the decision of the Tribunal, a notice of appeal stating briefly the relief sought and the grounds upon which the appeal is taken; provided that in exceptional circumstances, the Senior Chair shall have the power to enlarge the time for appeal upon application made either before or after the expiry of that time. |

Code of Behaviour on Academic Matters

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| <i>appellant bears cost of transcription</i> | 6. | If the appellant wishes to refer in the argument of the appeal to the transcript of oral proceedings recorded at the trial, five copies of such transcript certified by the reporter or recorder thereof shall be ordered by and normally at the expense of the student. A transcript of the entire proceedings shall be produced unless the parties can agree to dispense with certain portions. |
| <i>powers of Board</i> | 7. | The Discipline Appeals Board shall have power,
(a) to dismiss an appeal summarily and without formal hearing if it determines that the appeal is frivolous, vexatious or without foundation;
(b) in circumstances which the Tribunal members hearing the appeal consider to be exceptional, to order a new hearing; and
(c) in any other case, to affirm, reverse, quash, vary or modify the verdict, penalty or sanction appealed from and substitute any verdict penalty or sanction that could have been given or imposed at trial. |
| <i>appeal not trial de novo</i> | 8. | An appeal shall not be a trial de novo, but in circumstances which it considers to be exceptional, the Discipline Appeals Board may allow the introduction of further evidence on appeal which was not available or was not adduced at trial, in such manner and upon such terms as the members of the Board hearing the appeal may direct. |
| <i>award of costs</i> | 9. | Where it is considered to be warranted by the circumstances, the Board may in its discretion, award costs of any proceedings on appeal, and may make orders as to the party or parties to and by whom and the amounts and manner in which such costs are to be paid |
| <i>stay unless otherwise ordered</i> | 10. | An appeal operates as a stay of the decision appealed from unless the Senior Chair of the Tribunal, on behalf of the Discipline Appeals Board, otherwise orders upon application by the accused or the Provost. |

Approved by Governing Council June 23, 2016

Effective July 1, 2016

Appendix "A"

Code of Behaviour on Academic Matters

Interpretation

1. Unless otherwise provided herein, words defined in section 1 of the *University of Toronto Act, 1971*, as amended from time to time, have the same meaning in this Code as in that Act.
2. In this Code, unless the context otherwise requires:
 - (a) "Academic Board" means the Academic Board of the Governing Council;
 - (b) "academic offence" or "offence" means an offence under the Code;
 - (c) "academic record" includes any record or document included within the definition of the "official student academic record" contained in the University's Policy on Access to Student Academic Records, as amended from time to time, and any other record or document of the University or of another educational institution, and any library or any other identity or identification card or certificate, used, submitted or to be submitted for the purposes of the University;
 - (d) "academic work" includes any academic paper, term test, proficiency test, essay, thesis, research report, project, assignment or examination, whether oral, in writing, in other media or otherwise and/or registration and participation in any course, program, seminar, workshop, conference or symposium offered by the University;
 - (e) "Code" means this Code of Behaviour on Academic Matters, as amended from time to time;
 - (f) "computer" means any computer facility operated wholly or partly within or from the University;
 - (g) "datasets" includes all records, data and datasets stored either on-line to a computer or off-line in machine-readable form or any other transportable medium;
 - (h) "dean" means the Director of the School of Physical and Health Education, the Director of the School of Continuing Studies, or the Principal of Erindale College, or the Principal of Scarborough College, or the dean of the faculty or school where the member is registered or has primary appointment, as the case may be, or, in the case of an offence concerning a library, library material or library resources, the Chief librarian, or the designate of any such person;
 - (i) "department chair" means the chair of a department of an academic unit, or the principal of a constituent college or the Principal of University College, or the director of a centre or institute, or, where a unit is not subdivided into departments, the dean of the unit or, in the case of Scarborough College, a divisional chair or, in the case of Erindale College, a discipline representative or, in the case of an offence concerning a library, library material or library resources, the head of the library concerned, or the designate of any such person;
 - (j) "Discipline Counsel" means the University Discipline Counsel or an assistant appointed by the Academic Board;
 - (k) "faculty member" means a member of the teaching staff;
 - (l) "group" means a club, society, association, committee or other body of members having an affinity based upon common or collective interest or purpose, whether or not incorporated and whether or not officially recognized by the University;

- (m) "instructor" means any person who teaches or instructs or has a duty to teach or instruct a student or students or who evaluates or who has a duty to evaluate the work of a student or students, and includes a faculty member, a teaching assistant and a librarian;
- (n) "legally qualified" means in good standing as a member (other than an honorary member or student member) of The Law Society of Upper Canada or of the legal profession in any other province of Canada;
- (o) "member" or "member of the University" means a student or a faculty member, proctor or invigilator in the University, and includes a group;
- (p) "plagiarism." The present sense of plagiarism is contained in the original (1621) meaning in English: "the wrongful appropriation and purloining, and publication as one's own, of the ideas, or the expression of the ideas ... of another." This most common, and frequently most elusive of academic infractions is normally associated with student essays. Plagiarism can, however, also threaten the integrity of studio and seminar room, laboratory and lecture hall. Plagiarism is at once a perversion of originality and a denial of the interdependence and mutuality which are the heart of scholarship itself, and hence of the academic experience. Instructors should make clear what constitutes plagiarism within a particular discipline;
- (q) "Provost" means the Vice-President and Provost of the University or a member of the staff of the University designated by him or her;
- (r) "Secretary" means Secretary of the Tribunal and his or her assistants appointed by the Academic Board;
- (s) "student" means that type of member of the University who is currently or was previously
 - (i) engaged in any academic work which leads to the recording and/or issue of a mark, grade, or statement of performance by the appropriate authority in the University or another institution; and/or
 - (ii) registered in any academic course which entitles the member to the use of a University library, library materials, library resources, computer facility or dataset; and/or
 - (iii) a post-doctoral fellow.
- (t) "Tribunal" or "University Tribunal" means the University Tribunal as constituted under section C.ii.(a) hereof and any other person or body that may be substituted therefor;
- (u) "University" includes the University of Toronto, University College, and the constituent colleges, the federated universities, faculties, departments, schools, centres, institutes and other divisions and academic units of the University.

Appendix "B"

Code of Behaviour on AcademicMatters

The Rights and Freedoms Enjoyed by Members of the University

All members enjoy the right to the fullest possible freedom of enquiry. In particular this includes:

- the freedom to communicate in any reasonable way, and to discuss and explore any idea;
- the freedom to move about the University and to the reasonable use of the facilities of the University;
- the freedom from discrimination on the basis of race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, age, marital status, family status or handicap;
- the freedom in respect of offices, lockers, residences and private papers from unjustified invasions of privacy.

In addition, all members enjoy the following freedoms in relation to their freedom of association:

- the freedom to hold and advertise meetings, to debate and to engage in peaceful demonstrations;
- the freedom to organize groups for any lawful purpose;
- the freedom of the reasonable use of University facilities for the purposes of any lawful group.

Appendix B Approved June 1, 1995

Effective August 18, 1995

Appendix “C”

Code of Behaviour on Academic Matters

Provost's Guidance on Sanctions

The Provost recognizes that the particular circumstances of each case will, of course, have to be taken into account in each case. Nevertheless, to promote consistency across the University, the Provost has provided the following guidance on sanctions for offences resolved at the Divisional level and the range of sanctions the Provost may ask the Tribunal to impose.

Students who have committed an academic offence and admit to it at the Divisional level, or earlier may be demonstrating a significant level of insight into their behaviour. This insight may be evidence that the academic relationship can be rehabilitated and may justify the imposition of a less significant sanction than would otherwise be appropriate had the case proceeded to the Tribunal level. The fact that lesser sanctions may be imposed at the Divisional level taking into consideration circumstances such as the student's demonstration of insight and remorse, is not intended to inform the sanctioning process at the Tribunal level.

A. Divisional Level

1. In all cases, the division should consider placing a notation of the sanction on the student's academic record and transcript.
2. For offences involving plagiarism, depending on the amount of plagiarism contained in the work, whether or not accurate (or any) citations are provided or concocted, and whether or not any acknowledgment of the source material is provided, the Provost recommends a sanction ranging from reduction in the grade on the piece of academic work by one-half, to a final grade of zero or failure for the piece of work or zero for the course.
3. For offences involving the submission (or resubmission) of assignments for academic credit in two or more courses, the Provost recommends a sanction of up to a final grade of zero in the course.
4. For offences involving providing or receiving unauthorized assistance on an assignment or in a test or examination, or possession or use of unauthorized aids during a test or examination, the Provost recommends a sanction ranging from a zero on the assignment or test up to a final grade of zero in the course.
5. The Provost recommends that divisions normally refer cases to the Provost to consider whether or not to file a charge under the Code where a student:
 - (a) has previously been found to have committed an offence under the Code of Behaviour on Academic Matters;
 - (b) has purchased and submitted work for academic credit;
 - (c) has personated another student or has had someone personate that student in a test, exam, or other academic evaluation;
 - (d) has forged or falsified, or circulated a forged or falsified academic record; or
 - (e) has submitted forged or falsified information in support of an academic petition or other request for academic accommodation.

However, where the division representatives conclude that, despite the matter falling within one of the above categories, there are extenuating circumstances such that the division believes it is appropriate to impose a divisional sanction rather than refer the case to the Provost, the dean's designate may choose to impose an appropriate sanction within the divisional sanctioning authority.

6. In any case where a student has committed a prior offence, and the division chooses to impose a

sanction, the division should strongly consider imposing a suspension of up to one year.

7. For offences related to damaging or misusing library materials, computer equipment or other facilities the recommended sanctions shall be a monetary fine and/or denial of privileges to use the facility involved.

B. Tribunal Level

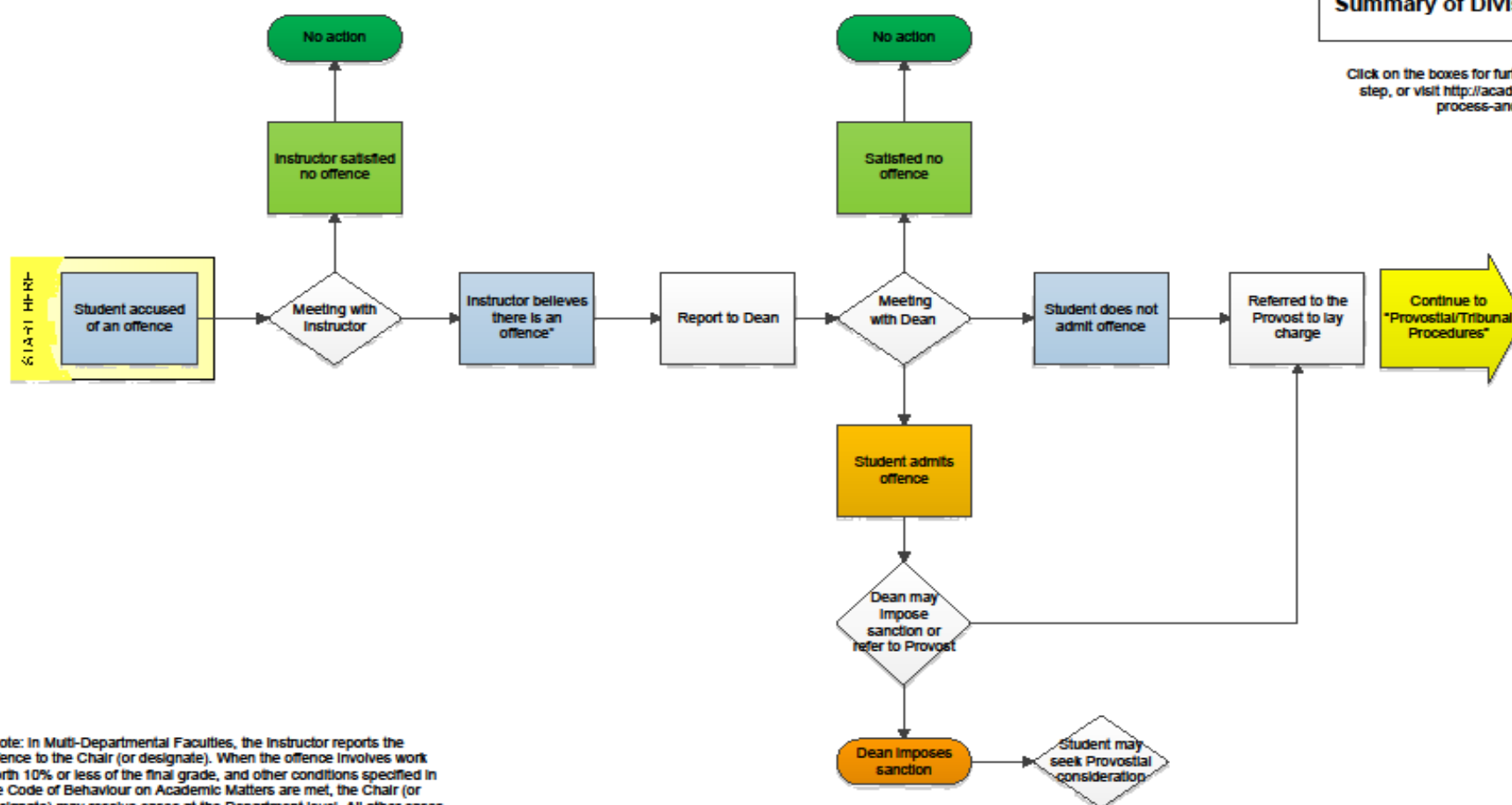
8. To provide guidance to students facing a hearing at the Tribunal, absent exceptional circumstances, the Provost will request that the Tribunal:
 - (a) impose a final grade of zero in any course where a student is found to have committed an offence;
 - (b) suspend a student for two years for any offence involving academic dishonesty, where a student has not committed any prior offences;
 - (c) suspend a student for three or more years for any offence involving academic dishonesty, where a student has committed a prior offence;
 - (d) impose a notation on a student's academic transcript and notation that is at least one year longer than any period of suspension that is imposed;
 - (e) recommend that a student be expelled where that student has:
 - (i) forged or falsified an academic record, including but not limited to a transcript or unofficial report of grades;
 - (ii) personated another student or had a student personate that student in a test, exam, or other academic evaluation; or
 - (iii) submitted multiple forged or falsified documents to the University, unless that student has demonstrated through her or his cooperation, or otherwise, that a lesser penalty is appropriate; or
 - (iv) has submitted academic work that the student has purchased, in whole or in part, unless that student has demonstrated through her or his cooperation, or otherwise, that a lesser penalty is appropriate.

Effective August 18, 1995

Revised by Vice-President and Provost March 19, 2015, Effective July 1, 2015

Academic Integrity Of Process Chart: Summary of Divisional Pr

Click on the boxes for further information
step, or visit <http://academicintegrity.u>
process-and-procedures.



*Note: In Multi-Departmental Faculties, the Instructor reports the offence to the Chair (or designate). When the offence involves work worth 10% or less of the final grade, and other conditions specified in the Code of Behaviour on Academic Matters are met, the Chair (or designate) may resolve cases at the Department level. All other cases are reported to the Dean (or designate).

Source: <http://academicintegrity.utoronto.ca/sites/default/files/pdf/ProcessChartAI.pdf>

Appendix Q: AIM Tip Sheet

Academic Integrity Matters

What is Academic Integrity?

The term "Academic integrity" describes the values that are essential to the pursuit of scholarship and participation in an educational community: honesty, trust, fairness, respect and responsibility. In order for ideas to develop and thrive, there needs to be an open conversation among faculty, students and staff that clearly acknowledges the ideas expressed by each contributor. All members of the university community must create and support an environment that fosters academic integrity. In addition, maintaining the values of academic integrity protects the value of the University of Toronto degree.

Code of Behaviour

The *Code of Behaviour on Academic Matters* protects academic integrity at the University. Some examples of offences that are sanctioned under the Code include:

- Plagiarism - Using the words or ideas of another person without citing the source
- Unauthorized Aids - Using unauthorized aids, which could be considered cheating on tests and exams
- Unauthorized Assistance - Having someone else do the work for you
- Forgery or falsification - Making a false statement, presenting a false document or signing someone else's name on a document required by the University.
- Personation - Having someone else write an exam for you or writing an exam for someone else
- Concocting - Using false data or providing false references
- Self-Plagiarism - Submitting work for credit in a course when you have submitted it in another course

Student's Role in Understanding Academic Integrity at UTSC

High schools and Universities may vary in how they view plagiarism. Behaviour that may have been acceptable in some previous institutions may not be acceptable at the University of Toronto. For example, in some places, copying information from a textbook that is widely used without citing its reference or giving it credit is considered quite acceptable, but this would not be accepted at the University of Toronto.

Do you believe that memorization is a valuable scholarly activity?

Sometimes memorization is necessary for terms and facts that must be known. For example, dates in history or names of parts of the body or formulas are important to know. However, along with memorization the learner must be able to critically think about the application of this knowledge and be able to engage in analysis. Critical thinking and integration of content with analysis is highly valued.

Does academic writing involve reading background information by other authors and gathering facts and opinions about the topic?

In general, reading additional background sources and information is a common practice at University of Toronto. Gathering facts and ideas and differing opinions about the topic will allow you to deeply understand the topic. This process stimulates critical thinking about the topic and you may agree or disagree with the opinions expressed. This synthesis of information will help you to become a stronger scholar.