

Academic and Professional Behavior Policy (Policy #11:1 – Includes Academic Integrity and Academic Review)

Passed 05/2020; Supersedes existing Policies 11:1 and 12:1 includes the Problem-Solving Process

A student has an obligation to exhibit honesty and to respect the ethical standards of the social work profession in carrying out their academic and field placement assignments. A student represents the School of Social Work and the social work profession in their interactions with others, both on campus and in the community. A student is expected to act in a manner consistent with the Code of Ethics of the National Association of Social Workers (<https://www.socialworkers.org/About/Ethics/Code-of-Ethics/Code-of-Ethics-English>); relevant laws; and the policies, procedures, and protocols outlined by the School of Social Work in the Student Handbooks for each of the three academic programs.

I. Academic Integrity and Student Obligations

Without limiting the application of this principle, per University of Pittsburgh Policy 02-03-02, a student may be found to have violated this obligation if they*:

- A. Refer during an academic evaluation to materials or sources, or employs devices, not authorized by the faculty member.
- B. Provide assistance during an academic evaluation to another person in a manner not authorized by the faculty member.
- C. Receive assistance during an academic evaluation from another person in a manner not authorized by the faculty member.
- D. Engage in unauthorized possession, buying, selling, obtaining, or using any materials intended to be used as an instrument of academic evaluation in advance of its administration.
- E. Act as a substitute for another person in any academic evaluation process.
- F. Utilize a substitute in any academic evaluation proceeding.
- G. Practice any form of deceit in an academic evaluation proceeding.
- H. Depend on the aid of others in a manner expressly prohibited by the faculty member, in the research, preparation, creation, writing, or publication of work to be submitted for academic credit or evaluation.

- I. Provide aid to another person, knowing such aid is expressly prohibited by the faculty member, in the research, preparation, creation, performing, or publication of work to be submitted for academic credit or evaluation.
- J. Present as one's own, for academic evaluation, the ideas, representations, or words of another person or persons without customary and proper acknowledgment of sources.
- K. Submit a written assignment prepared for one course as original work for another course.
- L. Submit the work of another person in a manner which represents the work to be one's own.
- M. Knowingly permit one's work to be submitted by another person without the faculty member's authorization.
- N. Attempt to influence or change one's academic evaluation or record for reasons other than achievement or merit.
- O. Knowingly misrepresent field placement tasks and activities, attendance, or hours to field placement agency personnel or School of Social Work faculty or staff.
- P. Falsify required field education documents, such as field learning plans or field evaluations.
- Q. Fail to cooperate, if called upon, in the investigation or disposition of any allegation of dishonesty pertaining to a fellow student.

* Clauses A-N and Q come from the University of Pittsburgh Policy 02-03-02; Clauses O and P were added by the School of Social Work, consistent with University of Pittsburgh Policy 02-03-02, Clause 16 (<http://www.cfo.pitt.edu/policies/policy/02/02-03-02.html>)

II. Professional Behavior and Student Obligations

Without limiting the application of this principle, a student may be found to have violated this obligation if they:

- A. Violate the University of Pittsburgh's Student Code of Conduct (<http://www.studentaffairs.pitt.edu/conduct/>).
- B. Fail when using written, oral, or electronic platforms to communicate with dignity, respect, and sensitivity in all interactions with individuals in academic and

professional settings. The use of derogatory, inflammatory, or defamatory language is never acceptable.

- C. Fail when using written, oral, or electronic platforms to engage in respectful and principled dialogue or debate with others with whom they disagree, either in an academic or professional setting.
- D. Fail to maintain the confidentiality of information, particularly client/constituent information or proprietary agency information.
- E. Use verbal, written, or electronic means to harass, bully, retaliate against, or intimidate an individual in an academic or professional setting.
- F. Fail to follow the Standards for Technology in Social Work (<https://www.socialworkers.org/Practice/Practice-Standards-Guidelines>).
- G. Disclose an individual's, family's, or group's personal information by verbal, written, or electronic means without prior consent in an academic or professional setting.
- H. Physically threaten, harass, or assault another person in an academic or professional setting. Any allegation of physical misconduct will be referred immediately for investigation to the University of Pittsburgh (Oakland) Campus Police for incidents within their jurisdiction. For MSW students at UPJ or UPB, allegations will be referred to the Campus Police at their respective campuses for incidents within their campus jurisdictions. Allegations of physical misconduct occurring at a field agency or other community setting with which the student has contact in the course of their education will be referred to the local police.
- I. Sexually threaten, harass, or assault another person in an academic or professional setting. Any allegation of sexual misconduct will be referred immediately for investigation to the appropriate University contact. For incidents involving students at the Oakland Campus: the University's Office of Diversity and Inclusion: <https://www.diversity.pitt.edu/>. For incidents involving MSW students at UPJ: Office of Equity and Inclusion <https://www.johnstown.pitt.edu/about/office-president/equity-and-inclusion>; MSW students at UPB: Office of Diversity and Inclusion: <https://www.upb.pitt.edu/administrative-offices/office-diversity-and-inclusion>.
- J. Indulges, during a class (or examination) session in which one is a student, in conduct which is so disruptive as to infringe upon the rights of the faculty member or fellow students.

- K. Indulges, during a field placement in which one is a student, in conduct which is so disruptive as to infringe upon the rights of the field instructor, other staff, or clients/constituents.
- L. Fail to demonstrate respect for diversity and difference in an academic or professional setting. The University of Pittsburgh is committed to creating a learning environment that “does not discriminate on the basis of disability, race, color, religion, national origin, ancestry, genetic information, marital status, familial status, sex, age, sexual orientation, veteran status or gender identity and expression in its programs and activities.” (<https://www.diversity.pitt.edu/about/notice-non-discrimination>). Any allegation of discrimination will be referred immediately to the appropriate University contact. Oakland Campus: Cheryl Ruffin 412-648-7282 or cruffin@pitt.edu; for MSW students at UPJ: Amy Buxbaum 814-269-7991 or buxbaum@pitt.edu; for MSW students at UPB: Christy L. Clark 814-362-5121 or cclark@pitt.edu.
- M. During a field placement:
 - 1. Fail to adhere to the field placement agency’s policies and procedures. A student cannot decide on their own to reject or fail to adhere to a field placement agency’s policies or procedures, even if the student questions their utility, appropriateness, or ethics. A student who questions the utility, appropriateness, or ethics of the field placement agency’s policies or procedures should raise the concern with their field instructor and engage in a problem-solving process, which is more fully described in Section IV (below).
 - 2. Fail to adhere to the field placement agency’s documentation and record keeping requirements. A student cannot decide on their own to reject or fail to adhere to a field placement agency’s documentation or record keeping requirements, even if the student questions their utility, appropriateness, or ethics. A student who questions the utility, appropriateness, or ethics of the field placement agency’s documentation or record keeping requirements should raise the concern with their field instructor and engage in a problem-solving process, which is more fully described in Section IV (below).
 - 3. Remove from the field placement setting property or proprietary materials belonging to the agency without proper authorization.
 - 4. Remove from the field placement setting client/constituent information, including but not limited to physical or electronic notes, files, or records, without proper authorization.

III. Academic Performance

Each of the School of Social Work's three academic programs has established standards students are to achieve to remain in good academic standing. Failure to maintain the required academic standards for the specific degree program can impede the student's academic progress or even prevent the student from being able to graduate from the program.

A. BASW Program

In the BASW Program, required courses and field education must be taken for a letter grade. Should a student receive a grade below a "C-" in any required course, with the exception of field education, the course must be taken again. BASW students must maintain a minimum overall GPA of 2.50 on a 4.00 scale. Because fieldwork is recognized as the capstone of the BASW student experience, should a student receive a grade below a "C-" in Practicum 1 or Practicum 2, the student will automatically be terminated from the BASW Program.

B. MSW Program

In the MSW Program, required courses must be taken for a letter grade. Field education must be taken for an S/NC grade; a grade of "NC" in field education is a failing grade. Should a student receive a grade below a "B-" in any required course, the course must be taken again. MSW students must maintain a minimum overall GPA of 3.00 on a 4.00 scale.

C. PhD Program

In the PhD Program, required courses must be taken for a letter grade. PhD students must maintain a minimum overall GPA of 3.00 on a 4.00 scale. PhD students must obtain a "B" or better in a required course. Should a student receive a grade of "B-" or lower in any required course, the course must be taken again.

IV. Problem-Solving Guidelines

The School of Social Work at the University of Pittsburgh aspires to provide a quality social work education across all three degree programs. To this end, a commitment is made to students, faculty, field advisors, field liaisons, School of Social Work staff, field instructors, and field placement agencies to engage in a problem-solving process when the need for such a process is identified by any one of these parties or by the relevant Program Director, MSW Program Coordinator, Director of Field Education, Associate Dean for Student Success, or Associate Dean for Academic Affairs.

The problem-solving process outlined here is to be considered a first-step to addressing academic integrity, student behavior, academic performance, or other issues related to students' academic or professional activities (for example, excessive absences or consistent

tardiness) where a Mandatory Academic and Professional Behavior Review (Mandatory Review) is not required (see V.B., below).

Problem-solving process steps should follow the commonly accepted model(s) that students are taught as a basic intervention method. These steps include, but are not limited to:

- A. Problem identification.
- B. Discussion of the problem, issue, or concern by those immediately involved with one of the following outcomes:
 - 1. the issue is resolved, or
 - 2. a plan to address the problem is agreed upon and implemented, or
 - 3. those immediately involved cannot agree on a workable solution.

For problems, issues, or concerns arising in the classroom context, the immediately involved parties typically are the faculty member (defined as full-time and adjunct faculty as well as PhD student Teaching Assistants [TAs]) and the student(s). For problems, issues, or concerns arising in the context of a student's field placement, the immediately involved parties typically are the field instructor and the student.

If the student and the faculty member/field instructor accept a specific resolution, including a plan to address the matter, offered by either of them, the matter will be considered closed. The faculty member/field instructor will prepare a memo summarizing the agreement, copies of which shall be retained by both the faculty member/field instructor and the student. The faculty member will submit a copy of the memo for retention in the student's academic file. In the case of a field matter, the field instructor will send a copy of the memo to the student's field liaison, who will place it in the student's academic folder.

- C. If a resolution is not reached in the discussion or if the agreement or plan to address the matter does not succeed in resolving the issue in the agreed-upon time frame, one or both parties can contact the academic advisor (if this is an academic issue) or the field liaison (if this is a field issue) and request that a meeting be scheduled. As appropriate, the academic advisor or field liaison will notify the appropriate program director (BASW, MSW, PhD) via email of this meeting.
- D. The academic advisor or field liaison facilitates the meeting between the involved parties in order to further engage them in problem-solving with the hope of achieving a mutually agreed upon solution to the problem.

If the student and the faculty member/field instructor accept a resolution, including a plan to resolve the issue, the matter will be considered closed. The academic advisor will prepare a memo summarizing the agreement, copies of which shall be distributed to the faculty member/field instructor and the student; a copy also shall be placed in the student's academic file.

- E. The academic advisor/field liaison will notify the appropriate program director via email if a solution cannot be facilitated or if the agreement or plan does not succeed in resolving the issue within the specified time frame. The program director will convene a Mandatory Academic and Professional Behavior Review (Mandatory Review) with all of the involved parties. In the case of a field issue, the Field Director will be invited to participate in the Mandatory Review. The Mandatory Review is the first step of the Academic and Professional Behavior Review, and the process used as well as any actions taken will be guided by the points outlined in VI.C. (below).

V. Types of Academic and Professional Behavior Reviews

A. Discretionary Academic and Professional Behavior Review (Discretionary Review)

For BASW and MSW students, Discretionary Reviews can be held for academic performance matters that do not require a Mandatory Review (see V.B., below). The process for handling academic performance matters involving students in the PhD program is discussed in the *Grading Standards for the Ph.D. Program* section of the PhD Program Handbook, which appears on page 39 (<https://www.socialwork.pitt.edu/academics/policies-handbooks>).

1. For BASW and MSW students, instances in which a Discretionary Review can be held include, but are not limited to, the following academic performance matters:
 - a. When a BASW student has a cumulative GPA or major GPA of less than a 2.50.
 - b. When a MSW student achieves an accumulation of "G" or "I" grades; has a term GPA less than 3.00 on a 4.00 scale; or has two or more grades in a term of "B-."
2. Across all academic programs, a Discretionary Review can be convened when there is a violation of academic integrity or professional behavior not specified in V.B. (below), such as:
 - a. Violations of the academic integrity standards, as identified in Section I Clauses A. through Q.

- b. Violations of those professional behavior standards that do not automatically necessitate a Mandatory Review, as identified in V. B.2. (below), or that are not automatically reported to other University bodies or to public safety authorities. Violations of professional behavior considered for Discretionary Review are those enumerated in Section II Clauses A., B., C., M1., M2.

B. Mandatory Academic and Professional Behavior Review (Mandatory Review)

Under certain conditions, consistent with the educational and professional responsibilities of the School of Social Work, Mandatory Review proceedings are required. The seriousness of these situations precludes the use of more informal processes to resolve the matter. Instances necessitating a Mandatory Review include, but are not limited to:

1. For BASW and MSW students, Mandatory Reviews are held for the following academic performance matters:
 - a. BASW Program
 - 1) A student's cumulative QPA is below 2.5 on a 4.00 scale.
 - 2) A student's cumulative social work QPA is below 2.5 on a 4.00 scale.
 - 3) An earned grade below "C-," except in field education. Because fieldwork is recognized as the capstone of the BASW student experience, should a student receive a grade below a "C-" in Practicum 1 or Practicum 2, the student will automatically be terminated from the BASW Program.
 - b. MSW Program
 - 1) A student's cumulative GPA falls below the 3.00 level on a 4.00 scale.
 - 2) A student receives a grade below a "B-" in a required course.
 - 3) A student receives a grade of "NC" in field.

For academic performance matters involving students in the PhD program, the process to be followed is discussed in the *Grading Standards for the Ph.D. Program* section of the of the PhD Program Handbook, which appears on page 39 (<https://www.socialwork.pitt.edu/academics/policies-handbooks>).

2. For BASW and MSW students, Mandatory Reviews are also held when the following field education standards and procedures are violated:

- a. Failure to secure a field placement after 3 interviews, as described in Policies 13:B33 and 13:M33.
 - b. Additional requests to withdraw from a field placement following one approved withdrawal, as described in Policies 13:B45 and 13:M45.
 - c. Making an independent and unilateral decision to terminate one's field placement, as discussed in Policies 13:B46 and 13:M46.
 - d. Removal from a field placement agency because of a psychosocial distress, substance abuse, or health difficulties that interfere with the student's and/or placement agency's functioning and effectiveness, as indicated in Policies 13:B46 and 13:M46.
 - e. Professional behavior standards identified in Section II Clauses K., M.3., and M.4.
- 3. For BASW and MSW students, a Mandatory Review is held when use of the problem-solving process fails to resolve the matter (see IV.B., above).
 - 4. Across all academic programs, a Mandatory Review obtains in instances of violations of professional behaviors, as set forth in Section II Clauses D., E., F., G., J.
- C. Academic and Professional Behavior Review Committee Hearing

The Academic and Professional Behavior Review Committee will be convened at the request of the Associate Dean for Academic Affairs. The Academic and Professional Behavior Review Committee is a formally constituted body charged with holding hearings when there are allegations involving academic integrity, professional behavior, or academic performance standards. The Academic and Professional Behavior Review Committee is described in more detail in VII. (below).

VI. Conduct of Academic and Professional Behavior Reviews

These procedures and processes are drawn largely from and are consistent with University of Pittsburgh Policy 02-03-02 (<http://www.cfo.pitt.edu/policies/policy/02/02-03-02.html>)

- A. No student should be subject to an adverse finding that they committed an offense related to academic or professional behavior, and no sanction should be imposed relating thereto, except in accordance with procedures appropriate for disposition of the particular matter involved. The degree of formality of proceedings, the identity of the decision maker or decision makers, and other related aspects properly reflect such considerations as the severity of the potential sanction, its probable impact

upon the student, and the extent to which matters of professional judgment are essential in arriving at an informed decision. In all cases, however, the objective is to provide fundamental fairness to the student as well as an orderly means for arriving at a decision, starting first with the individual faculty member and then with designated administrative officers or bodies.

- B. These guidelines are not meant to address differences of opinion over grades issued by faculty in exercising good faith professional judgments of student work. They are meant to address matters in which a faculty member intends to penalize a student based upon an alleged breach of academic integrity or professional behavior. In matters of academic integrity or professional behavior the succeeding procedural steps must be followed:

- 1. Any member of the University community who has evidence may bring to the attention of the faculty member a complaint that a student has failed, in one or more respects, to meet faithfully the obligations specified in sections V.A. and V.B. (above)

- C. Academic and Professional Behavior Review Procedures and Processes

Students found to be in violation of the academic and professional behavioral standards will proceed through the adjudication process outlined below:

- 1. Discretionary Academic and Professional Behavior Review (Discretionary Review)

Discretionary Review is not meant to by-pass the relationship between the student and their faculty member/faculty advisor (or field instructor/field liaison). Nor is it meant to preclude problem-solving by these parties. Rather, Discretionary Review offers a formal venue for addressing and attempting to resolve impediments to a student's academic and professional behavior, such as those described in section V.A. (above).

A Discretionary Review is convened by the appropriate program director who meets with the student and the faculty member and faculty advisor or the field instructor and field liaison to develop a plan. In the case of a field issue, the Field Director will participate in the meeting. The plan should specify actions to be taken, the student's and the faculty member's/field instructor's responsibilities, and a date when the success of the plan in resolving the problem will be assessed.

If the student and the faculty member/field instructor accept a specific resolution, the matter will be considered closed. The program director will prepare a memo summarizing the agreement. Copies of the memo will be distributed to the student and the faculty member and faculty advisor or the field instructor and field liaison; a

copy shall be placed in the student's academic file, which is kept in the Student Services Center.

If no solution is agreed upon, or if the plan developed does not address the problem in the agreed-upon period, the program director will ask the Associate Dean for Academic Affairs to convene an Academic and Professional Behavior Review Committee hearing.

2. Mandatory Academic and Professional Behavior Review (Mandatory Review)

Mandatory Review offers a formal venue for addressing and attempting to resolve impediments to a student's academic and professional behavior. In certain situations, including but not limited to those identified in section V.B. (above), the problem-solving process is bypassed and a more formal, official means of addressing the problem, issue, or concern is required.

A Mandatory Review is convened by the appropriate program director to develop a remediation plan. In the case of an academic issue, the meeting will include the student, the involved faculty member, and the academic advisor. In instances involving a field issue, participants will include the student, the field liaison, and the Field Director; the field instructor will be asked to submit the Field Evaluation or statement documenting the problem. The remediation plan should specify actions to be taken, the responsibilities of all parties, and a date when the success of the plan in resolving the problem will be assessed. Remediation plans can involve, for example, specific course assignments to be completed, academic support services to be utilized, changes in registration, or methods to demonstrate professional behaviors. Moreover, as an outcome of the Mandatory Review, a student may be placed on academic probation or may even need to withdraw for a specific period of time in order to complete courses in the correct sequence.

The program director will prepare a memo detailing the remediation plan, including actions to be taken and by whom, and the plan's timeline. Copies of the memo will be distributed to the student and the faculty member and the faculty advisor or the field liaison and Director of Field Education. In instances involving field education, the field liaison will be responsible for communicating those portions of the remediation plan involving the field placement to the field instructor.

A copy of the program director's memorandum detailing the remediation plan also shall be placed in the student's academic file, which is kept in the Student Services Center. Access to such information identifying an individual student for the following uses will be granted only for the following:

- a. To a faculty member who is involved with a student integrity or professional behavior violation at the initial stage and who wishes to use this previous

record in determining whether a resolution between the faculty member and the student or a Mandatory Academic Review may be most appropriate, especially in the case of repeat offenders

- b. To the program director, field liaison, or faculty advisor who was a party to the agreement and who needs to assess whether or not its terms have been fulfilled.
- c. To the School's Academic and Professional Behavior Review Committee after a decision has been made in a case, but before a sanction has been recommended.

If the student rejects the remediation plan or if the resolution or plan developed does not address the problem in the agreed-upon period, the program director will ask the Associate Dean for Academic Affairs to convene an Academic and Professional Behavior Review Committee hearing.

3. Retention of Voluntary Agreements

A written summary of a voluntary agreement reached as a result of problem-solving or a Discretionary Review is placed in the student's academic file, which is kept in the Student Services Center. Access to such information identifying an individual student for the following uses will be granted only for the following:

- a. To a faculty member who is involved with a student integrity or professional behavior violation at the initial stage and who wishes to use this previous record in determining whether a resolution between the faculty member and the student or a Mandatory Academic Review may be most appropriate, especially in the case of repeat offenders
- b. To the program director, field liaison, or faculty advisor who was a party to the agreement and who needs to assess whether or not its terms have been fulfilled.
- c. To the School's Academic and Professional Behavior Review Committee after a decision has been made in a case, but before a sanction has been recommended.

Voluntary agreements will be removed from the student's file and destroyed after the student leaves the program.

4. Academic and Professional Behavior Review Committee Hearing

- a. If an agreed upon resolution between the faculty member/field instructor and the student cannot be reached, or if an agreed-upon plan fails to resolve the matter in the specified time frame, or if a student rejects the remediate plan or if the remediation plan is not implemented, the appropriate program director will file a written statement with the Associate Dean for Academic Affairs. Such statement should set forth the matter, including a factual narrative of events. The statement should also include the names of persons having personal knowledge of circumstances or events as well as the general nature and description of all evidence. If this occurs at the end of a term, and/or the last term of enrollment, the "G" grade should be issued for the course/field education credits until the matter is decided. In situations involving the student's last term, before graduation, degree certifications can be withheld, pending the outcome of the hearing, which should be expedited as quickly as possible.
- b. The Associate Dean for Academic Affairs will transmit to the student the written statement submitted by the appropriate program director, together with a copy of this policy and the time and place when the School's Academic and Professional Behavior Review Committee will meet on the matter.
- c. In proceedings before the School's Academic and Professional Behavior Review Committee, the student shall have the right:
 - 1) to be considered innocent until found guilty by clear and convincing evidence of a violation of the student obligations of academic integrity or professional behavior;
 - 2) to have a fair disposition of all matters as promptly as possible under the circumstances;
 - 3) to elect to have a private or public hearing;
 - 4) to be informed of the general nature of the evidence to be presented;
 - 5) to confront and question all parties and witnesses except when extraordinary circumstances make this impossible;
 - 6) to present a factual defense through witnesses, personal testimony and other relevant evidence;
 - 7) to decline to testify against himself or herself;
 - 8) to have only relevant evidence considered by the Academic and Professional Behavior Review Committee; and

- 9) to a record of the hearing (audio tape), at their own expense, upon request.
- d. The hearing should provide a fair inquiry into the truth or falsity of the charges, with the charged party and the faculty member or charging party afforded the right to cross-examine all adverse witnesses. At the level of the School's Academic and Professional Behavior Review Committee, legal counsel shall not be permitted, but a non-attorney representative from within the University community shall be permitted for both faculty and students. A law student cannot be used as a representative at the Academic and Professional Behavior Review Committee hearing.
 - e. Any member of the University community may, upon a showing of relevancy and necessity, request witnesses to appear at the hearing. Witnesses who are members of the University community will be required to appear, and other witnesses may be requested to appear at a hearing. When necessitated by fairness or extraordinary circumstances, the Chair of the Academic and Professional Behavior Review Committee may make arrangements for recorded or written testimony for use in a proceeding.
 - f. Hearing procedures

The hearing will be conducted as follows:

- 1) The Chair of the Academic and Professional Behavior Review Committee will not apply technical exclusionary rules of evidence followed in judicial proceedings nor entertain technical legal motions. Technical legal rules pertaining to the wording of questions, hearsay, and opinions will not be applied formally. Reasonable rules of relevancy will guide the Chair of the Academic and Professional Behavior Review Committee in ruling on the admissibility of evidence. Reasonable limits may be imposed on the number of factual witnesses and the amount of cumulative evidence that may be introduced;
- 2) The Chair of the Academic and Professional Behavior Review Committee will state the reasons for holding the hearing;
- 3) Objections to procedure shall be entered on the record, and the Chair of the Academic and Professional Behavior Review Committee shall make any necessary rulings regarding the validity of such objections;
- 4) The appropriate program director will summarize their case and shall offer evidence in support thereof;

- 5) The student or representative(s) for the student shall have the opportunity to question the charging party;
- 6) The appropriate program director shall be given the opportunity to call witnesses;
- 7) The student or representative(s) for the student shall be given the opportunity to question each witness of the charging party after they testify;
- 8) The appropriate program director shall inform the Chair of the Academic and Professional Behavior Review Committee when their presentation is completed, at which time the Academic and Professional Behavior Review Committee members are be given an opportunity to ask questions of the persons participating in the hearing;
- 9) The student may testify or not as they choose;
- 10) The appropriate program director shall have the opportunity to question the accused if the accused voluntarily chooses to testify;
- 11) The student or a representative for the student shall have the opportunity to call witnesses;
- 12) The appropriate program director shall have the opportunity to question each witness of the accused after they testify;
- 13) The student shall inform the Chair of the Academic and Professional Behavior Review Committee when their presentation is complete, and the Academic and Professional Behavior Review Committee members are given the opportunity to ask questions of the accused as well as the accused's witnesses;
- 14) The Chair of the Academic and Professional Behavior Review Committee will have an opportunity to address the Academic and Professional Behavior Review Committee on School of Social Work regulations or procedure in the presence of all parties, but shall not offer other comments without the consent of all parties; and,
- 15) The hearing shall be continued and the members of the Academic and Professional Behavior Review Committee shall deliberate in private until a decision is reached and recorded. During the deliberation, members of the Academic and Professional Behavior Review Committee will have the

opportunity to review any agreements or plans contained in the student's academic file.

16) The hearing shall reconvene and the recommended decision shall be verbally communicated to the student and the appropriate program director.

- g. A suitable record (audio tape) shall be made of the proceedings, exclusive of deliberations to arrive at a decision.
- h. The Chair of the Academic and Professional Behavior Review Committee prepares a written summary of the hearing and a detailed description of the recommended decision, including any sanctions.
- i. The recommended decision shall be submitted to the Dean, who will make an independent review of the hearing proceedings. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever they deem this to be necessary. Upon completion of such additional proceedings, if any, and within a reasonable time, the Dean will issue a final decision. The Dean may reject any findings made by the Academic and Professional Behavior Review Committee adverse to the student, and may dismiss the charges or reduce the severity of any sanction imposed, but the Dean may not make new findings adverse to the student, and may dismiss the charges or increase the severity of a sanction, except in the case of repeating offenders of Academic Integrity guidelines.
- j. The Chair of the Academic and Professional Behavior Review Committee shall then transmit to the student and the appropriate program director copies of all actions taken by the Academic and Professional Behavior Review Committee and the Dean. If a sanction is imposed, the notice to the student will make reference to the student's opportunity, by petition filed with the Provost, to appeal to the University Review Board.

5. Timeliness

It is the responsibility of all parties, including administrative officers, to take prompt action in order that charges can be resolved quickly and fairly. Failure of the faculty member to utilize these procedures diligently may constitute grounds for dismissal of charges. Parties have the right to seek review of the Provost or to petition the University Review Board for an appeal from a decision of the Academic and Professional Behavior Review Committee within five (5) working days of the date of the decision letter.

6. Sanctions

The alternative sanctions which may be imposed upon a finding that a violation has occurred of the Academic and Professional Behavior Standards of the School of Social Work has been committed are the following:

- a. Dismissal from the University without expectation of readmission.
- b. Suspension from the University for a specific period of time, with no additional conditions.
- c. Suspension from the University for a specific period of time, with additional conditions specified by the Committee.
- d. Change in registration status coupled with a remediation plan; failure to carry out the remediation plan in the specified time will result in dismissal from the University without expectation of readmission.
- e. Reduction in grade, or assignment of a failing grade, in the course (academic or field) in which the violation was committed.
- f. Reduction in grade, or assignment of a failing grade, on the paper or examination in which the offense occurred.

7. Review and Appeal

A student or faculty member may seek to have a Dean's final decision (or a determination that the charges are not subject to adjudication) reviewed by the Provost, who may seek the advice of the University Review Board, or the student may appeal to the University Review Board, whose recommendation shall be made to the Provost. The action of the Provost, taken with or without the advice of the University Review Board, shall constitute an exhaustion of all required institutional remedies.

8. Retention of Materials

The Dean is to be responsible for safeguarding the materials given to them by the Academic and Professional Behavior Review Committee. All materials should be retained no less than two (2) years and may be retained longer at the Dean's discretion.

VII. Academic and Professional Behavior Review Committee

A. Composition

1. Permanent Members

The Academic and Professional Behavior Review Committee is to be composed of seven (7) permanent members, of whom four (4) are faculty persons appointed by the Dean and three (3) are degree-seeking students. It is required that the student representation consist of one (1) individual from each degree level (undergraduate, master's, and Ph.D.).

2. Alternate Members

There is to be a total of seven (7) alternate members of the Academic and Professional Behavior Review Committee. Four (4) of the alternates are to be faculty persons appointed by the Dean and are to be designated as 1st, 2nd, 3rd, and 4th Alternate. Three (3) of the alternates are to be students, one (1) individual from each degree level (undergraduate, master's, and Ph.D.) and are to be designated as 1st, 2nd, and 3rd Alternate. If a vacancy occurs, a replacement will be immediately appointed.

3. Chairperson

The Associate Dean for Academic Affairs will serve as the Chair of the Academic and Professional Behavior Review Committee without the benefit of vote. In the extended absence of the Associate Dean for Academic Affairs, the person appointed by the Dean to perform the Associate Dean's functions will serve as Chair of the Academic and Professional Behavior Review Committee. If the Associate Dean for Academic Affairs is not available, the Dean will appoint an alternate chair from among the Administrative Officers.

- B. The Academic and Professional Behavior Review Committee can be convened only when there are seven (7) members present, of whom four (4) are faculty and three (3) are students. In the event that permanent member(s) cannot attend the Committee session for any given review proceeding, the Chair must contact the appropriate alternate (faculty or student) in the sequence in which they were designated. The Alternate(s) would then serve on the Committee for the duration of those proceedings.
- C. All appointments to the Academic and Professional Behavior Review Committee are to be for a twelve-month term. The Dean is to submit a written request for identification of student members and student alternates to the BASW Club, Student Executive Council, and Doctoral Student Organization. This request should specifically mention the requirement set forth above.
- D. Conflict of Interest

1. Any faculty member with a current academic or field education relationship with the student under review may be included in the discussions, but will not be included in the formal deliberations and vote.
2. In the event that circumstances involving conflict of interest results in the elimination of permanent members and the three (3) alternates in either category, the Dean will appoint faculty replacements and the Student Executive Council will identify student replacements.

VIII. Academic Integrity and Faculty Obligations

A. Faculty Obligations

1. A faculty member accepts an obligation, in relation to their students, to discharge their duties in a fair and conscientious manner in accordance with the ethical standards generally recognized within the academic community as well as those of the social work profession.
2. Without limiting the application of the above principle, members of the faculty are also expected (except in cases of illness or other compelling circumstances) to conduct themselves in a professional manner, including the following:
 - a. To meet their classes when scheduled;
 - b. To be available at reasonable times for appointments with students, and to keep such appointment;
 - c. To make appropriate preparation for classes and other meetings;
 - d. To perform their grading duties and other academic evaluations in a timely manner;
 - e. To describe to students, within the period in which a student may add and drop a course, orally, in writing, or by reference to printed course descriptions, the general content and objectives of a course; and announce the methods and standards of evaluation, including the importance to be assigned various factors in academic evaluation and, in advance of any evaluation, the permissible materials or references allowed during evaluation;
 - f. To base all academic evaluations upon good-faith professional judgment;
 - g. Not to consider, in academic evaluation, such factors as disability, race, color, religion, national origin, ancestry, genetic information, marital status, familial

status, sex, age, sexual orientation, veteran status or gender identity and expression unrelated to the School's academic or professional behavior standards.

- h. To respect the confidentiality of information regarding a student contained in University records; and to refrain from releasing such information, except in connection with intra-University business, or with student consent, or as may be required by law
- i. Not to exploit their professional relationship with students for private advantage; and to refrain from soliciting the assistance of students for private purposes in a manner which infringes upon such students' freedom of choice
- j. To give appropriate recognition to contributions made by students to research, publication, service, or other activities
- k. To refrain from any activity which involves risk to the health and safety of a student, except with the student's informed consent, and, where applicable, in accordance with the University policy relating to the use of human subjects in experimentation
- l. To respect the dignity of students individually and collectively in the classroom and other academic contexts

B. Hearing Procedures for Allegations Against Faculty

1. Any member of the University community having evidence may bring to the attention of the Dean a complaint that a faculty member has failed, in one or more respects, to meet faithfully the obligations set forth above. The Dean, in their discretion, will take such action by the way of investigation, counseling, or action—in accordance with applicable University procedures—as may appear to be proper under the circumstances. The faculty member's and student's interest in confidentiality, academic freedom, and professional integrity in such matters will be respected.
2. In order to provide a means for students to seek and obtain redress for grievances affecting themselves individually, the following procedures should be followed. These are not intended and shall not be used to provide sanctions against faculty members.
3. Where an individual student alleges with particularity that the actions of a faculty member have resulted in serious academic injury to the student, the matter shall (if requested by the student) be presented to the School's Academic

and Professional Behavior Review Committee for adjudication. Serious academic injury includes, but is not necessarily limited to, the awarding of a lower course grade than that which the student has earned or suspension from a class. However, this is not intended to address normal grading decisions of faculty exercising good-faith professional judgments in evaluating a student's work.

4. It is the responsibility of the student, before seeking to have a grievance adjudicated, to attempt to resolve the matter by personal conference with the faculty member concerned, and, if such attempts are unavailing, to call the matter to the attention of the appropriate Program Director for consideration and adjustment by informal means. If a matter remains unresolved after such efforts have been made, the following grievance procedures shall be employed:
 - a. The aggrieved student will file a written statement of charges with the Associate Dean for Academic Affairs.
 - b. If the Associate Dean for Academic Affairs determines that the charges are subject to adjudication under the terms of the Academic and Professional Behavior Policy, they will transmit the charges to the faculty member, together with a copy of these regulations.
 - c. The letter of transmittal to the faculty member, a copy of which will also be sent to the student, will state the composition of a committee that has been named to make an informal inquiry into the charge. The purpose of this committee is to provide a last effort at informal resolution of the matter between the student and the faculty member.
 - d. This committee shall meet with the faculty member, the student, and others as appropriate to review the nature of the problem in an attempt at reaching a settlement of the differences. This is not a formal hearing, and formal procedural rules do not apply. Upon completion of this meeting, if no mutually agreeable resolution results, the committee may produce its own recommendation for a solution to the conflict.
 - e. Should the committee recommend that the faculty member take some corrective action on behalf of the student, its recommendations shall be provided to the faculty member. As promptly as reasonable and at least within five (5) working days after the faculty member receives the recommendations of the committee, the faculty member shall privately take that action which they elect, and so advise the student and the chair of the committee of that action.

- f. Should the committee conclude that the faculty member need not take corrective action on behalf of the student, this finding shall be forwarded to both the faculty member and the student.
 - g. If the student elects to pursue the matter further, either because they are dissatisfied with the resulting action of the faculty member or the conclusion of the committee, they should discuss this intent with the chair of the committee, who should review the procedures to be followed with the student. If the student wishes to proceed with a formal hearing, the chair of the committee will advise the Associate Dean for Academic Affairs that the case appears to involve a student's claim of serious academic injury, and that the formal hearing procedure must be initiated.
 - h. The formal hearing should provide a fair inquiry into the truth or falsity of the charges, with the faculty member and the student afforded the right to cross-examine. At the level of the School's Academic and Professional Behavior Review Committee, legal counsel shall not be permitted, but representatives from within the University community shall be permitted for both faculty and students.
5. A suitable record (audio recording) shall be made of the proceedings, exclusive of deliberations to arrive at a decision.
6. The recommended decision, which shall be written, will include a determination of whether the charges have been proven by clear and convincing evidence, together with findings with respect to the material facts. If any charges are established, the recommended decision shall state the particular remedial action to be taken.
7. The recommended decision shall be submitted to the Dean, who will make an independent review of the hearing proceedings. The Dean may require that the charges be dismissed, or that the case be remanded for further proceedings whenever they deem this to be necessary. The Dean may limit the scope of any further proceedings or require that part or all of the original proceedings be reconvened. Upon completion of such additional proceedings, if any, the Dean will issue a final decision. The Dean may reject any findings made by the Academic and Professional Behavior Review Committee, may dismiss the charges or reduce the extent of the remedial action to be taken. If the Dean believes the remedial action to be taken may infringe upon the exercise of academic freedom, they will seek an advisory opinion from the Senate Tenure and Academic Freedom Committee (T AFC) before issuing their own decision. The decision of the Dean shall be in writing, shall set forth with particularity any new findings of fact or remedies, and will include a statement of the reasons underlying such an action.

8. The Dean will then transmit to the faculty member and to the student copies of all actions affecting them taken by the Academic and Professional Behavior Review Committee and the Dean. Suitable records will be maintained as confidential and retained in the Office of the Dean.

9. Remedial Action

- a. Remedies on a student's behalf should usually be those agreed to willingly by the faculty member. Other remedial action to benefit a student may be authorized by the Dean only upon recommendation of the Academic and Professional Behavior Review Committee and limited to: allowing a student to repeat an examination; allowing a student to be evaluated for work that would otherwise be too late to be considered; directing that additional opportunities be afforded for consultation or instruction; eliminating a grade that had been assigned by a faculty member from the transcript; changing of a failing letter or numerical grade to a "pass" or "satisfactory" grade, so as not to adversely affect a student's grade average; allowing a student to repeat a course without paying tuition or any other penalty, schedule and program permitting.
- b. If some action is contemplated that might be deemed to infringe upon the academic freedom of the faculty member, the Dean will seek an advisory opinion from the Senate Tenure and Academic Freedom Committee (T AFC). In such cases, the Senate T AFC may identify other acceptable remedies or render such advice as may be appropriate in the particular situation.
- c. No action detrimental to the faculty member will be taken, except as in strict accordance with established University procedures. An adjustment hereunder in the student's behalf shall not be deemed a determination that the faculty member was in any way negligent or derelict.

10. Review and Appeal

- a. A student or faculty member may seek to have a Dean's final decision (or a determination that the charges are not subject to adjudication) reviewed by the Provost, who may seek the advice of the University Review Board, or the student may appeal to the University Review Board, whose recommendation shall be made to the Provost. The action of the Provost, taken with or without the advice of the University Review Board, shall constitute an exhaustion of all required institutional remedies.
- b. If any such determination may be deemed to have a possible adverse effect upon the faculty member's professional situation, the faculty member may

seek the assistance of the Tenure and Academic Freedom Committee of the University Senate.

11. Timeliness

- a. It is the responsibility of all parties, including administrative officers, to take prompt action in order that grievances may be resolved quickly and fairly. While no explicit time limit could apply to all cases, failure to use diligence in seeking redress may constitute grounds for denial of a hearing or other relief, especially if prejudice results. Parties have the right to seek review of the Provost or to petition the University's Review Board for an appeal from a decision of the Academic and Professional Behavior Review Committee or investigatory committee within five (5) working days of the date of the decision letter.
- b. The informal investigatory committees and the formal Academic and Professional Behavior Review Committee shall be composed of both students and faculty. The composition, selection procedures, and terms of members of the formal Academic and Professional Behavior Review Committee are detailed in section VII. (above). The informal investigatory committee shall consist of one faculty member appointed by the Associate Dean for Academic Affairs and one student selected from any one of these groups - BASW Club (BASW Program), the Student Executive Council (MSW Program), and the Doctoral Student Organization (PhD Program). The faculty member shall chair the investigatory committee.

12. Retention of Materials

The Dean is to be responsible for safeguarding the materials given to him or her by the Academic and Professional Behavior Review Committee. All materials should be retained no less than two (2) years and may be retained longer at the Dean's discretion.

C. Grievance Procedures Against Senior Administrators

A student complaint of arbitrary or unfair treatment against the Dean of the School of Social Work should be made to the Provost or appropriate Senior Vice Chancellor. There must be a prompt review and decision on the grievance. Members of the faculty who may be called upon to review and advise on the grievance should be drawn from