

UNIVERSITY OF KENTUCKY<sup>®</sup> Regulations

#### **Governing Regulation XX**

Responsible Office: Office of the President and Office of the Provost

Date Effective:

Supersedes Version: New Governing Regulation

# Faculty Disciplinary Policy and Procedures (DRAFT)

- 4 Hyper Links to be inserted later
- 6 I. Introduction

5

7 The University provides and sustains an environment conducive to academic achievement in all its forms. Maintenance of this environment requires that faculty pursue their academic activities in 8 accordance with appropriate standards of scholarly activity. The faculty's privileges and protections of 9 10 tenure rest on the mutually supportive relationships among the faculty's professional competence, its academic freedom, and the central functions of the university in granting degrees and furthering creative 11 accomplishments. These relationships are also the source of the professional responsibilities of faculty. 12 13 It is a responsibility of the university to maintain conditions and rights supportive of the faculty's pursuit of these central functions. 14 15

University faculty members, like all University employees, must obey the rules, standards, and procedures that arise under federal and state constitutions, statutes, and regulations, University Governing and Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A). For purposes of this document, we define "misconduct" as a failure to obey the laws and regulations described in the preceding sentence.

As is consistent with the principles set forth in the professional standard of academic freedom as defined by the American Association of University Professors and the Association of American Colleges and Universities, academic freedom does not excuse a faculty member from complying with the rules, standards and procedures that arise under federal and state laws, statutes, and regulations, University Governing and Administrative Regulations, the University Senate Rules, and other regulatory jurisdictions (GR II.A), as described in paragraph 2 above.

29 II. Scope

30 This regulation is applicable to all faculty members in the University community ranging from entry-level faculty ranks to the President of the University of Kentucky. For purposes of this regulation, a "faculty 31 member" means an individual holding the rank of professor, associate professor, assistant professor, 32 33 instructor, senior lecturer, lecturer, and any other rank with responsibilities comparable to the aforementioned ranks. This definition applies to faculty regardless of title series appointments, their 34 distribution-of-effort agreements, any administrative appointments in addition to faculty academic 35 appointments, standing as tenured or untenured, visiting or permanent, temporary, emeritus or active, 36 37 and full-time or part-time status. The definition of university faculty in this regulation is broader than the 38 definition of faculty in other regulations and in HR Policy 4.0.

40 This regulation does not apply to faculty performance review or expectations for scholarly activity for purposes of appointment, reappointment, promotion, and tenure. Faculty performance review and 41 42 expectations for scholarly activity are covered in other Administrative Regulations (AR), as well as 43 regulations that describe for each title series the expected activities and criteria for promotion and tenure. 44

45 To the extent that university administrators, including the President of the university, hold appointments 46 as faculty members, faculty administrators are subject to this regulation with respect to activities related 47 to their faculty appointment.

49 This regulation is separate and distinct from independent proceedings involving the enforcement of clinical rights and clinical responsibilities that arise under the Joint Commission mandated UK 50 HealthCare Medical Staff By-laws, the federally mandated University's research misconduct policy, or the 51 52 federally mandated Title IX Sexual Assault procedures. Faculty members who are subject to disciplinary 53 proceedings under those procedures may be subjected to additional disciplinary proceedings under this 54 regulation.

55

58

48

56 This regulation also does not describe the proceedings for the revocation of tenure or for the termination 57 of academic appointments of faculty members who do not have tenure.

59 The procedures established by this regulation do not supersede Governing Regulations or Administrative 60 Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee. 61

#### III. Entities Affected 62

- This regulation will apply to all faculty members as defined in this regulation. 63
- 64

67

71

74

76

IV. Procedures 65

The following procedures govern the handling of misconduct by a faculty member. 66

68 For purposes of computing deadlines under these procedures, if the deadline falls on a Sunday, Monday, 69 university-recognized holiday or day when the University's Office of the President is closed, the deadline is automatically extended to the next day when the University's Office of the President is open. 70

72 For purposes of this regulation, "written notification" means notification by formal written letter and 73 notification by electronic message.

75 A. Allegations

77 Any person may make a complaint against a faculty member by making allegations to the chair of a 78 faculty member's department, the Dean of the faculty member's college, or an appropriate university official. Additionally, routine university operations, such as audits or compliance reviews, may result in allegations against a faculty member. There will be no investigation of anonymous allegations.

80 81

79

82 Allegations against a faculty member by a member of the University community that are made other 83 than in good faith, may rise to the level of harassment and bring the Complainant under scrutiny as delineated in these regulations. 84 85

86 In the event of either allegations reported initially to a chair and subsequently to a Dean or allegations reported directly to a Dean, the Dean must inform the General Counsel. In consultation with the 87 88 General Counsel, the Dean will determine (1) whether an investigation should be conducted, and (2) 89 if so, the appropriate university office(s) to conduct an investigation. The context of the allegation will 90 dictate the time at which the accused faculty member is informed of the allegation. For purposes of

- this regulation, a dean may designate an appropriate associate dean and the General Counsel may
   designate an associate counsel or non-university counsel retained by the General Counsel to handle
   the allegation.
- Allegations brought forward and adjudicated under this regulation cannot be reopened without substantive new evidence, as determined by the General Counsel.
- 98 B. <u>University Investigation</u>

94

97

99

109

111

118

126

131

132 133

134

135

136

137 138

139

140

141

142

145

Depending on the nature of the allegation, the appropriate university office(s) (e.g., Institutional 100 Equity and Equal Opportunity, Internal Audit, UK HealthCare Corporate Compliance, UK Police, UK 101 Athletics Compliance, Office of Legal Counsel, etc.) will conduct the investigation. The report will 102 103 include findings of fact, a conclusion as to whether misconduct occurred, and, if misconduct did 104 occur, a nonbinding recommendation regarding disciplinary action (*i.e.*, sanctions). The Office(s) conducting the investigation will submit the investigation report to the General Counsel. The General 105 106 Counsel will transmit the report to the Dean of the faculty member's college. If an investigation finds nothing to support an allegation, the General Counsel will transmit these findings to the Dean, the 107 108 Complainant (if known), and the accused faculty member.

- 110 C. Notification and Mediation
- 1. If the report indicates misconduct has occurred, the Dean will provide written notification to the faculty member as soon as feasible and preferably within two (2) days. The Dean will provide the faculty member with a copy of the report. The faculty member may submit a written response to the Dean and General Counsel within seven (7) days of notification by the Dean. The Dean may extend this response period by an additional fourteen (14) days on oral or written request by the faculty member.
- 119 2. The Dean will schedule a meeting with the faculty member and the faculty member's chair, which 120 will be held within twenty-one (21) days of the Dean's notification to the faculty member. The 121 purpose of the meeting is for the Dean, the chair and the faculty member to attempt to reach an 122 agreement as to whether misconduct occurred and, if so, an appropriate sanction. In cases where 123 the faculty member elects to have personal legal counsel at the meeting(s) with the Dean and 124 chair, an attorney from the Office of Legal Counsel must also be present. It is to be hoped that 125 the majority of cases will be resolved at this stage through mediation.
- Sanctions will not take effect until a final determination of guilt is made and all appeals exhausted (see G9 below). Sanctions will not exceed a level that is reasonably commensurate with the seriousness of the misconduct. Sanctions are defined, for the purposes of this entire document, as the following:
  - Verbal reprimand
  - Written censure
  - Restitution to the University for actual monetary damage suffered by the University through misuse or unauthorized use of University property
  - Loss of specific privileges including, but not limited to, loss of access to University Pro-Card or travel funds
  - Removal from supervisory role and loss of title associated with that role
  - Removal from named or endowed chair or professorship
    - Reduction in salary for a specified period of time
    - Demotion in rank, but only if promotion was based on a fraudulent dossier
  - Suspension with or without pay for a specified period of time
- Relocation and/or loss of space currently occupied by and/or assigned to the faculty member
  - Denial or curtailment of emeritus status, if applicable

- Recommending to the President and Board of Trustees that the faculty member in question be dismissed from the employ of the University
- Suspension is defined, for the purposes of this entire document, as the temporary withdrawal or
   cessation from specific duties or employment as distinguished from permanent severance
   accomplished by removal.
  - 4. If the issue is resolved during the meeting/mediation, the Dean will notify the General Counsel. The General Counsel must approve any proposed agreement before its implementation.
- 156
  5. If the Dean and faculty member fail to reach an agreement during the meeting as to whether misconduct occurred, the matter is referred to a Faculty Inquiry Panel. The Dean will notify the General Counsel that no agreement was reached on whether or not misconduct occurred. The General Counsel will then initiate the process leading to the selection of a Faculty Inquiry Panel by contacting the Chair of the University Senate Council.
  - 6. If the Dean and the faculty member agree that misconduct occurred, but they disagree on the appropriate sanction or sanctions, the issue will be referred to the Provost, who will decide an appropriate sanction or sanctions within seven (7) days. As described below, the faculty member may appeal the Provost's decision to the President.
- 167 D. <u>Selection of the Faculty Disciplinary Panel Pool</u>
- 168 169 1. After seeking nominations from the University Senate, the University Senate Council will provide the President with the names of at least thirty-six (36) faculty members eligible to serve in the 170 Faculty Disciplinary Panel Pool with staggered three-year terms; members may be reappointed. 171 172 Efforts will be made by the University Senate Council to ensure that the Faculty Disciplinary Panel Pool includes [1] at least one tenured faculty member from each college and [2] at least one 173 174 untenured faculty member from each of the Clinical and Research Title Series at the rank of 175 professor or associate professor. 176
  - 2. The President appoints twenty-five (25) members of the Faculty Disciplinary Panel Pool from nominations submitted by the University Senate Council. The appointed faculty will serve on either a Faculty Inquiry Panel or a Faculty Hearing Panel but not both for the same case.
- 181 E. <u>Faculty Inquiry Panel</u> 182

146

147 148

153

154 155

161 162

163

164 165

166

177

178 179

180

- 1. The Faculty Inquiry Panel is a three-person panel comprised of (1) one tenured faculty member 183 184 selected at random by a uniform random number generator from the Faculty Disciplinary Hearing 185 Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost 186 selected by the Provost. The rationale for the panel member from Human Resources is to ensure 187 a balance in evaluating cases involving faculty versus those involving staff, and the rationale for 188 the associate provost is to ensure a balance in evaluating cases across colleges. The General 189 Counsel will notify the University Senate Council Chair that there is a need for a Faculty Inquiry 190 Panel and the Chair of the University Senate Council will select a faculty member at random from 191 the Faculty Disciplinary Hearing Panel Pool using a uniform random number generator. 192 Precautions will be taken against real or apparent conflicts of interest on the part of potential 193 members of the Faculty Inquiry Panel. Such conflicts of interest may include: administrative 194 dependency, close personal relationships, collaborative relationships, financial interest, or 195 scientific or scholarly bias. The panel members will be expected to state in writing that they have 196 no conflicts of interest.
- The Faculty Inquiry Panel is responsible for determining whether there is probable cause to
   believe misconduct has occurred. The Faculty Inquiry Panel is limited to a review of the initial
   investigation report and the faculty member's written response, if any. The Faculty Inquiry Panel

201 may interview the faculty member, the chair and the Dean, but the Faculty Inquiry Panel may not 202 conduct a further investigation. The Faculty Inquiry Panel may consider new findings of fact that 203 were not considered in the original investigation and that are provided by the General Counsel. 204

- 3. If the allegation involves a chair or dean, the Faculty Inquiry Panel will be expanded to include three (3) tenured faculty members, who hold appointments in colleges other than that of the chair or dean and who will be selected at random by a uniform random number generator from the Faculty Disciplinary Hearing Panel Pool; the Vice-President for Human Resources or a designee; and an associate provost selected by the Provost.
- 4. If the allegation involves a faculty employee holding an administration position above the level of either a dean or an administratively equivalent position, the procedures to be used for convening a Faculty Inquiry Panel will be determined by the President in consultation with Senate Council.
- 5. If the allegations involve the President, the procedures will be determined by the Board of Trustees in consultation with the Senate Council.
  - 6. If the Faculty Inquiry Panel, by a majority vote, finds there is probable cause to believe misconduct has occurred, the case is referred to a Faculty Hearing Panel. The Faculty Inquiry Panel will send notification *via* electronic mail of this finding to the Dean, the Complainant (if known), the faculty member, and the General Counsel.
  - 7. If the Faculty Inquiry Panel, by a majority vote, finds that there is no probable cause to believe misconduct has occurred, the case is dismissed. The Faculty Inquiry Panel will send Notification of this finding to the Dean, the Complainant (if known), the faculty member, and the General Counsel.
- 228 F. Faculty Hearing Panel

205

206

207

208 209

210 211

212

213

214

215

216 217 218

219

220

221

222 223

224

225

226

227

248

249

250

- 229 230 1. The Faculty Hearing Panel is comprised of five (5) faculty members, who are selected at random 231 by the Senate Council Chair from the Faculty Disciplinary Panel Pool using a uniform random 232 number generator. The Senate Council Chair will consult with the Chair of the Department of Statistics on the selection of this uniform random number generator. Faculty members who 233 234 occupy a position of administrative supervision over faculty personnel (*i.e.*, individuals with 235 greater than or equal to 50% administrative effort or individuals with an administrative assignment 236 at the level of chair or above) are ineligible to serve in the Faculty Disciplinary Panel Pool. A 237 person who served on the Faculty Inquiry Panel may not serve on the Faculty Hearing Panel in 238 the same case. Any member of the Faculty Hearing Panel who has personal involvement or prior 239 factual knowledge of the case (*i.e.*, knowing something pertinent to the case before it occurs 240 publicly) will recuse himself or herself. If a Faculty Hearing Panel member chooses recusal, then 241 a new member will be chosen at random from the Pool by the Senate Council Chair using a 242 uniform random number generator. Precautions will be taken against real or apparent conflicts of 243 interest on the part of potential members of the Faculty Hearing Panel. Such conflicts of interest may include: administrative dependency, close personal relationships, collaborative relationships, 244 245 financial interest, or scientific or scholarly bias. The panel members will be expected to state in 246 writing that they have no conflicts of interest. 247
  - 2. The General Counsel, upon receipt of a report from the Faculty Inquiry Panel that there is probable cause to believe misconduct has occurred, will notify the Senate Council Chair that a Faculty Hearing Panel is needed.
- The Chair of the University Senate Council will select members of the panel at random from the Faculty Disciplinary Panel Pool using a uniform random number generator. The Senate Council Chair will contact faculty members to serve on the Faculty Hearing Panel within seven (7) days of receiving notification from the General Counsel. The Chair of the University Senate Council will

- inform potential members of the Faculty Hearing Panel that the case involves a named facultymember in a particular college.
- Once a Faculty Hearing Panel is selected, the Dean and faculty member may each exclude one member from the Panel. If either the Dean or faculty member excludes a Panel member, then the Senate Council Chair will select a new member or members at random from the Faculty Disciplinary Panel Pool using a uniform random number generator. When such exclusions occur, the seven-day period for appointing the Faculty Hearing Panel will be extended by an additional seven (7) days.
- 266 5. The Faculty Hearing Panel will conduct the hearing within thirty (30) days of receiving the referral unless the Provost extends the time period in extraordinary circumstances. The Dean, through a 267 268 representative of the Office of Legal Counsel, will present the case against the faculty member. 269 The accused faculty member, either alone or with the assistance of at most two (2) additional 270 persons, such as an attorney and a representative chosen by the accused faculty member, may 271 present a defense. The parties may call witnesses, cross-examine the other party's witnesses, and present other evidence; however, as this is an administrative hearing, formal rules of 272 273 evidence and procedure do not apply. The Faculty Hearing Panel may admit any evidence of 274 probative value in determining the issues involved. 275
  - 6. The burden of proof standard is clear and convincing evidence. The burden of demonstrating that misconduct occurred is on the representative of the Office of Legal Counsel, and the accused faculty member is presumed to be innocent.
- 7. After the hearing, the Faculty Hearing Panel will consider the evidence presented at the hearing, and the majority will issue written findings of fact and conclusions of law (*i.e.*, conclusion regarding misconduct) within seven (7) days of the conclusion of the hearing. If a member of the Faculty Hearing Panel dissents with the majority decision, that member may submit a written explanation of his/her dissension. The Faculty Hearing Panel will send the written findings, including dissents, and decision to the Provost, the Dean, the accused faculty member, and the General Counsel.
  - If the Faculty Hearing Panel finds the accused faculty member guilty of misconduct, the Panel will recommend nonbinding sanctions to the Provost. The faculty member may appeal the finding of guilt.
  - 9. If the Faculty Hearing Panel finds that the accused faculty member is not guilty of misconduct, the case is closed unless the dean submits a written appeal of the innocent decision based on substantive errors in the faculty hearing panel process or errors in interpretation of fact or law .
    - 10. If the allegation involves the Provost, the President will assume the role of the Provost in these proceeding.
    - 11. If the allegation involves the President, the Board of Trustees assumes the role of the Provost in these proceedings.
- 302 G. <u>Appeals</u>

265

276

277

278

279

288

289

290

291 292

293

294

295 296

297

298 299

300

301

303

This section covers appeals arising out of the decision and nonbinding recommendations from the Faculty Hearing Panel and the sanctions recommended by the Provost. The procedures established by this regulation do not supersede Governing Regulations or Administrative Regulations that specifically permit appeal to, or appearances before, the Board or a Board Committee.

1. If the faculty member or Dean does not file a written appeal within seven (7) days of receipt of the

311 Faculty Hearing Panel's written decision, the decision of the Faculty Hearing Panel as to guilt or 312 innocence shall be final. The complainant, if known, shall be informed of the decision by General 313 Counsel, to the extent required by law. 314

- 315 2. The Faculty Disciplinary Appeals Panel shall hear all appeals. The panel consists of the Provost. 316 the Chair of the Senate Council, and the Academic Ombud. In the event the Provost is unable to 317 serve, the President shall appoint a replacement. In the event that the Academic Ombud or the Chair of the Senate Council is unable to serve, the Senate Council shall appoint replacement(s). 318 Precautions will be taken against real or apparent conflicts of interest on the part of potential 319 members of the Faculty Disciplinary Appeals Panel. Such conflicts of interest may include: 320 administrative dependency, close personal relationships, collaborative relationships, financial 321 interest, or scientific or scholarly bias. The panel members will be expected to state in writing that 322 323 they have no conflicts of interest.
  - 3. The faculty member and the dean will be provided with copies of the written appeal and given an opportunity to respond in writing.

324 325

326

327 328

329

330

331

332

333

335

346 347

348

349 350

351

352

353

354 355

356

357 358

359 360

361 362

363

- 4. The deliberations of the Faculty Disciplinary Appeals Panel are limited to review of the specific issues raised by the appellant (IV.F.8, F9). In determining whether the factual findings are clearly erroneous, the Faculty Disciplinary Appeals Panel will determine whether substantial evidence (i.e. evidence a reasonable person would accept as adequate to support the conclusion) supports the factual findings.
- 334 5. When a party appeals to the Faculty Disciplinary Appeals Panel, the party must submit a written brief detailing the basis for the appeal and providing supporting evidence attesting to the validity 336 of the appeal. The party that prevailed at the Faculty Hearing Panel will be provided with a copy 337 of this brief and may submit a written response brief within seven (7) days. 338
- 339 6. The Faculty Disciplinary Appeals Panel will render a final decision within seven (7) days of the 340 submission of briefs. If the Appeals Panel's decision is in agreement with the Hearing Panel, the 341 appellant and the appellee are notified of the Panel's decision and the reasons for the decision. 342 If the decision of the Faculty Disciplinary Appeals Panel is not in agreement with the decision of the Faculty Hearing Panel, the Faculty Disciplinary Appeals Panel must also send a written 343 justification for the reversal to the Faculty Hearing Panel, the University Senate Council, and the 344 345 Executive Committee of the Board of Trustees.
  - 7. If the Faculty Disciplinary Appeals Panel determines the faculty member is innocent, the matter is closed.
  - 8. If the Faculty Disciplinary Appeals panel determines the faculty member is guilty, the Provost shall impose sanctions. In determining sanctions, the Provost is guided, but not bound, by the Faculty Hearing Panel's recommendation, if any, concerning sanctions (If the Faculty Hearing Panel found the faculty member to be innocent, but the decision was reversed on appeal, there will be no Faculty Hearing Panel recommendation). The Provost will send notification of the sanctions decision to the Dean, the University faculty member, the General Counsel, and the Complainant, if known.
  - 9. Within seven (7) days of receipt of the Provost's decision regarding a sanction or sanctions, the accused faculty member may appeal the Provost's decision regarding any sanction to the President. On an appeal of a particular sanction, the President will consider whether the determination is reasonable in light of sanctions imposed on similarly situated staff members and similarly situated faculty in other colleges. The President will render a final decision regarding a sanction or sanctions within seven (7) days.
  - 10. The sanction or sanctions will not take effect until the time to appeal the sanction or sanctions has

expired or the President has rendered his decision.
367
368
368
369
370
370

12. Confidentiality of the record is guaranteed in accordance with Governing Regulations XVI Section
 B., 1
 373

#### 374 V. Retaliation

Retaliation is prohibited. Retaliation occurs when an adverse action is taken against a covered individual because he or she engaged in a protected activity including but not limited to reporting discrimination or participating in an investigation of a discrimination report. (See AR 6.1)

378

#### VI. Administrative Leave With Pay during the Process

At any time during the process beginning with receipt of an allegation, the Provost, after consultation with and on the advice of the General Counsel, may initiate immediate, involuntary administrative leave with pay. The Provost may impose additional conditions as part of the administrative leave with pay.

- The Provost will impose involuntary administrative leave with pay only if the Provost determines that there is a risk that the accused faculty member's continued assignment to regular duties or presence on campus may cause harm to others in the University community, impede the investigation, or create a risk of continuing misconduct.
- Involuntary administrative leave with pay for more than thirty (30) days requires approval of the Board of Trustees.
  - 3. The accused faculty member may appeal the imposition of involuntary administrative leave with pay to the Senate Advisory Committee on Privilege and Tenure (SACPT), under SR1.4.4.2B4.
- 395 References and Related Materials
- 396

388

391 392

393

- 397
- 398 **Revision History**
- 399 400
- 401 For questions, contact: Office of Legal Counsel
- 402

#### \_6Eleftherios\_DRAFT GR\_Faculty Disciplinary Action\_sen.docx

Main document changes and comments		
Page 2: Inserted	Sheila Brothers	4/24/2015 11:15:00 AM
There will be no investigation of anonymous allegations.		
Header and footer changes		
Text Box changes		
Header and footer text box changes		
Footnote changes		
Endnote changes		