



SOFIA UNIVERSITY

Student Academic Honor Code

The Student Academic Honor Code is the University's statement on academic honesty and integrity which was written by the student representatives from the SLB (Student Liaison Board), faculty, and administration and has, as its foundation, the APA Ethics Code and the University's Students Academic Honor Code.

The four basic transpersonal values that faculty want students to "grow in" during their University education are: mindfulness, discernment, compassion, appreciation of differences. In addition, students are expected to have the highest standards in academic work, which include honesty (no cheating or plagiarism), professional behavior in the classroom as well as at practicum and internships sites, and respectful personal communication with staff, faculty, and other students.

The University informs students of the expectations of academic honesty during orientation and in its publications. The University investigates any claim about the violation(s) of academic honesty and integrity. No Academic Honor Code will cover all possible violations. The University reserves the right to determine in a given instance what action constitutes an infringement of academic honesty and integrity. The spirit of this code is a shared commitment to the University's values of integrity, honesty, fairness, and the integration of transpersonal values into its teaching, research, and business practices.

The Student Academic Honor Code is to help foster student, faculty and staff collegiality within a professional academic environment. Students will do their share and take an active part in upholding the spirit and letter of this Code as follows:

- Student will behave ethically as a valued member of the University community.
- Students will lead and teach ethical behavior, setting an example for the University community.
- Students are responsible for preserving the integrity of the academic atmosphere at the University.
- Students will take an active role in upholding the integrity of the University's professional reputation (i.e., professional behavior in the classroom as well as in practicum, and internship sites).
- Students will not engage in multiple/dual relationships (e.g., become romantically/sexually involved with a core faculty member, current instructor, or supervisor in a practicum or internship setting).
- Students will not give or receive un-permitted aid in examinations or in any work that is used by the instructor as the basis for grade evaluation.

- Students will not submit another's work as their own.
- Students will report violations to the appropriate University designee.

Definitions

More detailed definitions of multiple/dual relationships, professional behavior, email etiquette, and plagiarism are noted below.

Multiple/Dual Relationship Policy

A student is not to date or become romantically or sexually involved with a core faculty member, current practicum or internship supervisor, current instructor or psychotherapist. A student is not to enroll for credit in a class whose instructor has been or is their therapist. For an expanded policy on multiple/dual relationships, consult the APA ethical guidelines.

Professional Behavior

Professional Behavior in the classroom, practicum and internship sites is a University requirement. Some examples of professional behavior in the classroom, practicum sites, and internship sites include:

- Treat others with respect, dignity, consideration and welcome
- Be on time and be prepared
- Exhibit a realistic view of self, including strengths and weaknesses
- Perceive accurately the view of others and the impact of your actions on others
- Express respectful appreciation for diverse points of view even when disagreeing
- Maintaining Student Academic Integrity and Ethical Behavior at the University and the Resolution Process

The list above is a partial one. Instructors may explain in their syllabi (or supervisors in practicum/internship sites) other types of academic dishonesty and ethically inappropriate behavior relevant to the work in particular courses or sites.

Academic Integrity

Academic integrity and ethical behavior refer to the ethical standards and policies that govern how students work and interact in the academic environment at the University. These standards and policies attempt to do more than define what is dishonest or unethical. They attempt to provide a foundation for the mutual trust and individual responsibility necessary in a healthy academic community.

Faculty members, students, and staff have the responsibility of upholding the principles of academic integrity and ethical behavior. Faculty and staff members should create an environment in which honesty and ethical behavior is encouraged, dishonesty and ethically inappropriate behavior is discouraged, and integrity is openly discussed. Faculty members should follow the principles of academic integrity and ethical behavior in their own work and conduct. Students are obligated not only to follow these principles, but also to take an active role in encouraging other students to respect them. If students suspect a violation of academic integrity and ethically inappropriate behavior, they should make their suspicions known to a faculty member or the Director of Student Services. Students

reporting dishonesty and ethically inappropriate behavior must be prepared to give evidence in a hearing before the Standing Ethics Committee (SEC), which consists of one faculty member, one student, and one staff member.

Many faculty members ask students to work collaboratively with others on written projects, oral presentations, revisions, labs or other course work. The guidelines for collaborative work differ substantially from course to course, but in most cases, part or all of a collaborative project must be completed independently. Faculty members should make clear, in writing, their expectations for collaborative work. Students should make sure they understand what is expected of them; they are responsible for knowing when collaboration is permitted, and when not. Handing in a paper, lab report, or take home exam written entirely by a member of one's collaborative group, except when given explicit permission to do by the instructor of the course, is an act of academic dishonesty.

Almost all the types of academic dishonesty and ethically inappropriate behavior described below (this list does not cover all possible violations) have to do with working with others (on campus or in practicum/internship sites) or using the work of others. This is not to suggest that working with others or using their work is wrong. Indeed, the heart of the academic enterprise, learning itself, is based on using the ideas of others to stimulate and develop your own. In this sense, all academic work is collaboration, and therefore academic integrity focuses on those acts that demean or invalidate fruitful collaboration.

Academic Dishonesty and Ethically Inappropriate Behavior

Cheating

Using or attempting to use unauthorized materials in any academic exercise or having someone else create the work for you. Examples of cheating include looking at another student's paper during an exam or submitting homework created by another student.

Fabrication

Fabrication is the inventing or falsifying of information. Examples of fabrication include inventing data for an experiment you did not do or did not do correctly or making reference to sources you did not use in a research paper.

Facilitating Academic Dishonesty

Facilitating academic dishonesty is helping someone else to commit an act of academic dishonesty. This includes giving someone a paper or homework to copy from or allowing someone to cheat from your exam paper.

Plagiarism

The definition of Plagiarism is when the words of another are represented as one's own without giving credit to the original source. Plagiarism is also committed when one uses the ideas of another writer without attribution, acknowledgement, or recognition. Plagiarism ranges from copying someone else's work, word for word, to rewriting someone else's work with only minor word changes (mosaic plagiarism), to summarizing work without acknowledging the source. These sources might be written, they might be electronic (such as computer files or the internet), or they may be audio disks, musical

scores, or film and video materials. Any material written by another that is incorporated into a paper must be properly acknowledged using APA style.

Carelessness

When does carelessness become dishonesty? Students sometimes make minor mistakes in completing academic assignments. Mistyping one of many endnotes in a long paper, for example, may in most cases be considered a careless mistake, rather than an act of deliberate dishonesty. When students make multiple mistakes in acknowledging sources, however, these mistakes cannot be considered simply careless. For example, students who have “taken a short cut” and copy long passages from a book or a web source, make a deliberate choice to do so, and instead of explaining the source of the ideas, they have simply stolen ideas from others. In such cases, carelessness is a form of dishonesty. Students are responsible for knowing the Students Honor Code and what constitutes plagiarism and may not use ignorance of the code as an excuse for dishonesty.

Multiple Submissions

Submitting work you have done in previous classes as if it were new and original work is considered a duplicate or multiple submissions. Although instructors may occasionally be willing to let you use previous work as the basis of new work, they expect you to do the new work for each class. Check with your instructor before you attempt to resubmit an assignment that was previously submitted for another class.

Abuse of Academic Materials

Abuse of academic materials happens when you harm, miss-appropriate or disable academic resources so that others cannot use them. This includes cutting tables and illustrations out of books to use in a paper, stealing books or articles and deleting or damaging computer files intended for others to use.

Deception and Misrepresentation

Deception and/or misrepresentation is lying about or misinterpreting your work, academic records or credentials. Examples of deception and misinterpretations include forging signatures, forging letters of recommendation and falsifying credentials in an application. Of particular concern, given the current popularity of collaborative projects, is taking credit for group work to which you did not contribute significantly or meet your obligations. In a collaborative project, however, each member of the group is responsible for being familiar and involved with the entire project. Be sure to get clear instructions on your individual and collective responsibilities from each faculty member for each course.

Electronic Dishonesty

Electronic dishonesty occurs when you use network or Internet access inappropriately, in a way that affects a class or other academic work. Examples of electronic dishonesty include using someone else’s authorized computer account to send and receive messages, breaking into someone else’s files, knowingly spreading a computer virus or obtaining a computer account under false pretenses.

Email Etiquette

Email etiquette should be used for electronic communications as well as when working in the University’s Virtual Campus (Canvas). Email is used to extend education beyond the classroom, providing

a common communication tool for students, faculty, and staff. The system provides an internal link for the community as well as a link to regional, national, and global communication through the Internet. Messages stored and/or transmitted by email must not contain material that may reasonably be considered offensive. Offensive material includes, but is not limited to, any comments, jokes or images that would offend someone on the basis of the University's four transpersonal values: mindfulness, discernment, compassion, and appreciation of differences. Anonymous emails are prohibited.

Academic Violations Resolution Process

Cases of student academic dishonesty/ethically inappropriate behavior reported by faculty members are settled through the University resolution process. The process is designed 1) to provide prompt resolution of cases, 2) to help the student understand both the charge and the penalty, and 3) to allow the student to discuss what happened and/or contest the charge or the proposed penalty. At all stages of the process, the focus should be on education, and open, frank discussion should be encouraged. This settlement process gives faculty members and students a chance to discuss why academic integrity and ethical behavior is so important to the community.

In the process of investigating the charge, the instructor may discuss their suspicions with the student. In cases of cheating on exams, it may be appropriate to confront the student during the exam or immediately after; however, even in cases when the student admits to the violation verbally, a formal conference to review and sign the written settlement form should be arranged. In confronting students with charges of academic dishonesty or ethically inappropriate behavior, instructors may choose to have a colleague present to act as an observer. That colleague should be someone knowledgeable about the Sofia University's Student Honor Code.

Academic Dishonesty/Inappropriate Behavior Resolution Form

When an instructor becomes aware of a possible case of academic dishonesty or ethically inappropriate behavior, the instructor should fill out the Academic Dishonesty/Ethically Inappropriate Behavior Resolution Form (referred to as the Resolution Form), which is located in the Director of Student Services office and move quickly (within 10 days) to investigate the violation and contact the student. If suspected violations occur at the end of the quarter, the instructor may assign a grade of Incomplete and arrange to confer with the student at the start of the following quarter. Reports must be made before the end of the quarter following the violation. The formal process of initiating a charge and resolution involves the following steps, with occasional minor variations depending on the nature and timing of the case:

1. The instructor arranges to confer with the student to discuss the violation and the evidence supporting it. During or shortly after the instructor's conversation with the student, the instructor presents the student with a written statement of the charge and the proposed penalty. The instructor's written statement must be attached to the Resolution Form.
2. The student has the opportunity to respond to the charge. After listening to the student, the instructor may decide to revise the charge or penalty, or drop the charge all together. If, for any reason, the faculty member believes that the violation deserves a penalty more severe than failure in the course, the instructor may refer the case to the Standing Ethics Committee (SEC). Submit the Resolution Form and all documentation to the Director of Student Services within the following 10 business days.

3. The student has 10 business days to respond to the charge, either by assenting to the charge and penalty by signing the Resolution Form, or by requesting a hearing before the SEC. At that hearing, the student may either dispute the charge or the severity of the penalty. While considering how to respond to a charge, students are encouraged to seek advice from someone knowledgeable in matters of academic integrity, such as faculty advisor, or another trusted advisor. If a student charged with a violation does not respond in the specific time, the matter is immediately turned over to the SEC for a hearing.
4. Once the Resolution Form has been signed, it is forwarded to the Director of Student Services office to be kept for five years. If this proves to be a second violation of the Student Honor Code, the Director of Student Services will convene a disciplinary hearing of the SEC.

Note: Once a student has been charged with a violation of the Student Honor Code, the student may not withdraw from the course in question, and a hold is placed on the student's transcript until the charge has been settled.

Penalties for Academic Dishonesty/Ethically Inappropriate Behavior

While the degree of penalty varies according to the judgment of the instructor, a first offense is usually penalized in three ways:

1. The Resolution Form, which when signed, is filed in the Director of Student Services office (if the student is in a clinical program, it is also filed with the Clinical Mentor or Director of Clinical Training, whichever applies);
2. The student is assigned a grade of 0 or No Pass (NP) on the relevant assignment and may be required to do additional assignments.
3. The student may be assigned a grade of F or NP in the course. If the grade is F or NP in a required course, the student will need to enroll in the course again in a different quarter to retake the entire class.
4. If a more severe penalty is called for, the instructor may request a hearing of the Standing Ethics Committee (SEC).

Academic dishonesty outside of a particular class (forged signatures and fabricated resumes, for example) or inappropriate behavior outside of class (ethically inappropriate behavior at a practicum or internship site, for example) may also lead to penalties.

Students will be asked to sign the Resolution Form. Either the accused student or the faculty/staff/student making the charge may request a hearing before the SEC.

A second violation of the Student Honor Code leads automatically to a disciplinary hearing before the SEC, and may result in suspension or dismissal.

Student Records

Signed Resolution Forms for a first offense are filed in the Director of Student Services office for five years (for clinical students, forms will also be kept with the Clinical Mentor or Director of Clinical Training). The name of the student is kept confidential. The Resolution Form does not become part of the student's permanent record, except if the student is found responsible for a second violation of the Student Honor Code. In cases where a student is found to be responsible for a second violation of the

Student Honor Code, a note about the violations will be placed in the student's permanent record (kept in the Registrar's office).

The Standing Ethics Committee (SEC) Hearing

The Standing Ethics Committee (SEC) consists of a pool of nine volunteers: 3 faculty, 3 students, and 3 staff members. The term for membership is two years. Only three committee members, one from each constituency, will hear a charge and review a case. From the pool of SEC volunteers, the Director of Student Services will choose three members, one from each constituency. The Director of Student Services observes and records the hearing, but does not participate in SEC deliberations.

Reporting Violations of the Student Honor Code

Any faculty of the Sofia community may file a violation of the Student Honor Code by completing the Academic Dishonesty/Ethically Inappropriate Behavior Resolution Form (referred to as the Resolution Form), which is located in the Director of Student Services office. If a hearing before the SEC is necessary, either because the charge or penalty is disputed or because this is a second offense by the student, the Director of Student Services will convene the SEC at the time when the participants (one member from each constituency) can attend. The three-committee members will be provided copies of the case documentation submitted by the instructor and a copy of the Resolution Form. The SEC meeting will take place within 15 business days from the time the case is referred to the SEC.

The membership of this committee is made known to the parties involved prior to a hearing. Either party can request the Director of Student Services replace a committee member hearing the case because of bias or conflict of interest (this request must be made in writing). The Director of Student Services shall decide if there are sufficient grounds to honor this request. If a committee member is unable to attend the hearing, or if a member is excluded because of potential bias or conflict of interest, an alternate will be asked to serve from the constituency's pool of volunteers.

Nature of the Hearing

There are two types of academic hearings: one to decide a disputed charge or penalty, the other to consider disciplinary matters following a second offense. A hearing of the SEC is intended to be an orderly, fair inquiry into the facts bearing on the case. It is not intended to be a trial concerned with technical formalities. If the accused student fails to appear after proper notice of the hearing date is given (within 5 business days prior to the hearing date), the hearing will go forward and the committee will reach its conclusion and the appropriate penalty on the basis of evidence presented at the hearing.

Confidentiality

Hearing proceedings are confidential. SEC members, advisors, and witnesses are enjoined from mentioning names of those involved or details that might reveal the identity of the student or faculty member, and from discussing presentations or committee deliberations outside of the hearing.

Documentation

Once a date is set for hearing, all documentation (4 copies) relevant to the case must be submitted to the Director of Student Services at least 3 business days prior to the hearing date to be distributed to the SEC members.

Presentation and Burden of Proof

When the Committee is convened to hear a disputed charge or penalty, the faculty member referring the case presents the evidence of the offense to the SEC. The student may present counter-evidence if the student wishes. During the case hearing, either party may have a faculty, staff, or student advisor, and each party has the right to call and question witnesses. The burden of proof is on the faculty member, who must establish the responsibility of the student by the evidence. (In matters of academic integrity, the evidence does not have to constitute overwhelming, irrefutable proof of responsibility, but only has to convince the SEC that the violation took place). Faculty members may refer cases based on the testimony of other students; in doing so, however, the faculty member should make sure either that the students who provided the testimony are willing to appear as witnesses at the hearing or that there is corroborating evidence that substantiates the charge. Other procedures for due process shall be followed, and records (including a recording of the hearing) shall be kept. Recordings and written records will be destroyed after five years.

Standing Ethics Committee Penalties

The SEC imposes penalties for dishonesty or ethically inappropriate behavior according to the nature of the violation. SEC penalties may include a letter of warning, grade of No Pass in the class, suspension, or dismissal. If the SEC finds that there has been no violation, or if the SEC does not find substantial evidence that a violation has taken place, the student will be exonerated.

Second Offenses

When a hearing is convened to consider and recommend disciplinary penalties related to a second offense, the Program Chair reviews the offenses, as put forth in the Academic Dishonesty/Ethically Inappropriate Behavior forms or in previous hearing reports, and asks the student if there are any comments the student would like to make in regard to these offenses.

Since these cases have already been decided, either through resolution and/or a previous hearing, there is no need to reconsider them. In most cases, it is unnecessary to call witnesses, unless the committee or the student feels the reports are unclear in some respect that a witness can clarify. The sole consideration of the SEC at a second offense hearing is whether further disciplinary sanctions (usually suspension or dismissal) should be applied.

Timing of Hearing

The SEC hearing will be appropriately 1.5-2 hours depending on the nature of the case and the witnesses provided. The SEC will continue to meet for 1-2 hours after the hearing to discuss the case and decide on the penalty. The Director of Student Services will notify all parties involved in writing of the SEC decision on the case within 5 business days of the hearing.

Appeals Process

Either the instructor or the student may appeal the decision of the SEC. Appeals must be made in writing to the Dean of Faculty within 10 business days of receiving the written notification of the decision. Appeals will be considered only if they are based on one or more of the following criteria:

1. New evidence that was not reasonably available at the time of the original hearing.

2. Procedural error that can be shown to have affected the outcome of the hearing.
3. Appropriateness of the sanction (only in cases of suspension or dismissal).

The Dean of Faculty will decide whether or not there is a basis for appeal and may revise the decision or the penalty. The decision of the Dean of Faculty is final.

If you believe the Appeals Process was not conducted correctly, you may use the Grievance Process to have the appeal process reviewed by upper management. The Grievance must deal with the process, not the case or the outcome.

General University Policies

Remediation Policy

The purpose of our remediation policy is to identify and address a student's problematic behaviors, incompetence, and/or ethical violations that occur during the course of their education. Identifying issues for remediation early on can assist in the development of students and prevent more serious problems later on. Also, remediation plans are designed to help students avoid Academic Probation.

When a problem has been identified, the student's academic advisor will develop a written remediation plan, in consultation with the student and other University staff and faculty. To appeal the faculty's decision, the student may follow the appeal procedures outlined in the Academic Catalog. When a remediation plan has been developed, the student's advisor will schedule a follow-up meeting with the student to evaluate the student's adjustment to the review process, and recommend potential sources of guidance and assistance when necessary. If the student does not exhibit appropriate remediation, the student may be referred for Academic Probation.

Academic Probation

Students who fail to maintain Satisfactory Academic Progress will be placed on Academic Probation. A student placed on Academic Probation will be notified in writing. Students must produce a plan of remediation within ten days of notification. The appropriate Program Chair must approve this plan. A time will be mutually agreed upon for review of the student's performance. There are four possible outcomes of the review meeting:

1. The conditions are satisfied and the academic probation is removed.
2. The conditions are not satisfied; however, extenuating circumstances exist, and the academic probation is continued through the following quarter. In this case, the student will remain eligible for enrollment but will lose eligibility for the Title IV Aid and Veteran's Benefits.
3. The conditions are not satisfied, and there appear to be significant issues that must be dealt with. The student is placed on Administrative Leave with the condition that all outstanding incomplete courses be completed before the student returns to class.
4. The conditions are not met and the student demonstrates significant deficiencies that will likely prevent successful completion of the program. The student will be academically withdrawn and will lose eligibility for aid until re-admission to the program.

Some examples of significant deficiencies include:

- Excessive incomplete course work
- Excessive unsatisfactory course work
- Failure to adhere to the program timeline
- Difficulty with written and/or spoken English

- Unprofessional/inappropriate behavior
- Failure to make progress on the dissertation
- Failure to attend required remediation
- Emotional problems
- Breaking probation counseling appointments

Dismissed students have a right to appeal as described in the Academic Appeals process in this catalog. Students who leave the University as a result of Academic Probation must obtain permission to re-apply.

Notification and Resolving Probation

The Director of Student Services will notify a student placed on Academic Probation in writing. A face-to-face meeting with the Director, Advisor, and/or Program Chair may also be required. A time will be mutually agreed upon for review of the student's performance. Students placed on Academic Probation will receive a written description of the issue that triggered the probation. This may be a Warning Letter for:

- Excessive incomplete course work
- A Learning Contract for concerns around clinical training issues
- A lack of progression with program timeline
- Concerns that arise during the dissertation process
- A Behavior Agreement when there are issues that arise during the course or the practicum that call attention to those areas of personal and professional experience which may need strengthening

Students will be reviewed not later than the end of the first full quarter in which the student attended school on Academic Probation. If the contract or agreement is not followed, the student may be withdrawn from the program.

Appropriate Behavior

All those who inhabit or visit Sofia University are to be treated with courtesy, dignity, consideration, and welcome. Disagreement in this context is to be expected and is part of our development. Abuse, verbal or physical, is not acceptable.

Every student in every class has an equal right to participate whether they are in the cohort or not. Increasingly, classes will be shared with students from other cohorts or contexts. As time goes by the cohort identity will include the entire University including faculty and staff and eventually, hopefully, a more global perspective. The cohort facilitates cooperation and not in-group exclusion.

Every instructor is entitled to courtesy and a genuine effort on the part of the students to make their contribution as faculty a success for all involved. At the close of each course (and usually in the middle) there is an opportunity to make judgments on effectiveness and needed improvements. There is a shared responsibility to create the best possible atmosphere for all participants, even if challenged.

Alcohol and Controlled Substances Policy

In response to concerns about the health and public safety risks associated with the misuse and abuse of illicit drugs (“controlled substances”) and alcohol, the Congress of the United States passed the Drug Free Work Place Act of 1998 and the Drug Free Schools and Communities Act Amendments of 1989. The acts describe various deleterious physical and mental consequences (including addiction, severe disability, and death) among the health risks associated with the use of illicit and the abuse of alcohol.

“Controlled substances” are those defined in 21 U.S.C. 812 and include, but are not limited to, such substances as marijuana, heroin, cocaine, cocaine derivatives, barbiturates, amphetamines, PCP, tranquilizers, and inhalants.

Generally, as of September 1990, it is criminal offense:

- To illegally manufacture, sell, distribute, or possess controlled substances (those listed in Schedules I through V of the Controlled Substances Act [21 U.S.C. sec. 812, 282, 841, 844, 845, 845a]).
- To unlawfully possess or possess for sale, controlled substances specified in the (California Health & Safety Code sections 11350, 11351).
- To transport, sell or distribute marijuana to a minor or to use a minor to transport, sell, or distribute marijuana (California Health & Safety Code sec. 647).
- To provide an alcoholic beverage to a person under 21 or to any obviously intoxicated person (California Business & Professions Code sections 25658, 25602).
- To be under the influence of alcohol in a public place and unable to exercise care for one’s own safety or that of others (California Penal Code sec. 647).
- To operate a motor vehicle while under the influence of alcohol or other intoxicants or with a blood alcohol level of .08 or higher (California Vehicle Code sec. 23152).
- To have an open container of alcohol in a motor vehicle and for a person under 21 years of age to drive a vehicle carrying alcohol or to possess alcohol while in a motor vehicle (California Vehicle Code sections 23223, 23224).

Therefore, the Board of Trustees has enacted the following policy in compliance with the law, applicable to all employees and students.

Policy Statement

It is the policy of Sofia University to maintain a drug free workplace and campus. The unlawful distribution, possession, and/or use of controlled substances or the unlawful possession, use, or distribution of alcohol is prohibited on the University campus or in the workplace. The workplace and campus are presumed to include all University premises where the activities of the University are conducted. Violation of this policy may result in disciplinary sanctions up to and including termination of employment or expulsion of students. Violations may also be referred to the appropriate authorities for prosecution. This policy will be reviewed at least biannually by the President to determine its effectiveness, and needed changes to the program will be implemented.

Students

Students, who unlawfully distribute, possess or use controlled substances or alcohol in the workplace, on the campus, or as part of any University activity may be subject to discipline up to and including expulsion.

Staff and Faculty

As a condition of employment, all Sofia employees are required to follow this policy. Employees, who unlawfully manufacture, distribute, dispense, possess, or use controlled substances or unlawfully use, possess, or distribute alcohol in the workplace or on campus shall be subject to discipline up to and including discharge from employment.

Individuals who are not employees, but who perform work at the University for its benefit, (e.g., independent contractors, job shoppers, temporary employees provided by agencies, visitors engaged in joint projects at the University, and volunteers) are required to comply with this policy. Such individuals, who unlawfully manufacture, distribute, dispense, possess, or use controlled substances or unlawfully use, possess, or distribute alcohol in the University workplace may be barred from further work at the University.

Rehabilitation

Successful completion of an appropriate rehabilitation program (including participation in aftercare) may be considered as evidence of eligibility for continued or future employment or for reinstatement of student status.

Getting Help

Anyone who is concerned about substance use, abuse, and rehabilitation is strongly encouraged to contact their physician or the Community Center for Health and Wellness (CCHW), which can provide referrals to the appropriate resources (community or private agencies) that provide complete, confidential substance abuse counseling. Seeking confidential help from or being referred to the services will not, by itself, result in disciplinary action. Individual privacy will be respected in the counseling process.

Students (including employees who are also Sofia students) are encouraged to contact the TLC or CCHW with any questions concerning local resources. The Centers will provide immediate crisis intervention for

substance abuse, as well as information as to what public and private resources are available in the area for long-term care.

Legal Sanctions

A number of federal, state, and local laws regulate the unlawful manufacture, distribution, dispensation, possession, and/or use of controlled substances or alcohol. The laws impose legal sanctions for both misdemeanor and felony convictions. Criminal penalties for convictions can range from fines and probation to denial or revocations of federal benefits (such as student loans) to imprisonment and forfeiture of personal and real property.

Jacob Wetterling Crimes Against Children & Sexually Violent Offender Registration Act

Persons interested in accessing data available through the California State Sex Offender Registry may obtain information at <http://www.meganslaw.ca.gov/>. Persons required to register are reminded that registry status must be updated to reflect enrollment or employment on a school campus (CSCPA).

Jeanne Clery Disclosure of Campus Security Policy & Campus Crime Statistics Act

The University does not maintain a security or police force as part of our general operations. Any suspicious or criminal activity should be reported to the Palo Alto Police Department. In the event of an emergency, dial 911 on the nearest phone. To report a situation of non-emergency nature, use the general Palo Alto police number: (650) 329-2406, from 8:00am to 6:00pm Monday through Friday, or (650) 329-2413 after hours.

Also, any suspicious activity or criminal incident should be reported to the Facilities office. The Facilities Manager will ensure that the proper authorities are notified and that the Management Committee is made aware of the incident. Access to the University facilities is limited to authorized personnel, students, and guests. Facilities are generally locked when not in use and the Facilities Manager issues building keys to authorized parties.

Crime Prevention and Campus Security

Students will be informed of any recent problems, including incidents of note occurring in the Palo Alto area, at their class meeting or by email. Reporting and prevention procedures will be reviewed with students annually either at orientation through the annual orientation packet. Likewise, at least one annual staff and one annual faculty meeting will include the topic of crime prevention on the agenda. Should a crime occur on campus, an ad hoc committee consisting of student, staff, and faculty representatives will be convened by the Executive Management Committee and coordinated by the Facilities Manager. This committee will be required to meet within five working days of the incident and make a report to the community within ten working days of the incident.

Legal Compliance

It is the policy of the University with all applicable federal and state laws and regulations governing the operation of an institution of higher education and the administration of federal financial aid. In addition to the specific implementation of regulations described herein, this includes but is not limited to: Title VI of the Civil Rights Act of 1964, as amended; Title IX of the Educational Amendments of 1972; Executive Order 11246, as amended; Section 504 of the Rehabilitation Act of 1973; the Age Discrimination Act of

1975; The Pregnancy Discrimination Act of 1978; the Americans with Disabilities Act; the Immigration Act of 1990, as amended; the Family Medical Leave Act of 1993; the Digital Millennium Copyright Act; and applicable laws of the United States and the State of California.

Conflict of Interest, Self-Dealing, and Dual Relationships

Trustees, faculty, and staff members should avoid actions where there is a conflict, or appearance of conflict, between their personal interests and their responsibilities to the University and their profession. This includes financial conflicts (self-dealing), and conflicts between roles in relation to students or those who are supervised (dual role relationships).

Financial contributions from business, industry, government, and private donors will not be accepted if they threaten any aspect of academic freedom at the University. If an exception is believed warranted, the individual should submit a written petition with justification to the President prior to the action.

A final decision will be made by the President or, written petition with justification to the President prior to the action. In the case of an unresolved conflict between the President and the petitioner, the Board of Trustees will make the final decision. A more detailed discussion of this policy as it applies to faculty may be found in the Sofia's Academic and Procedures Manual.

Diversity in Curriculum and Teaching

Sofia University is committed to diversifying its faculty, staff, and student body. We are committed to promoting diversity in our curriculum, educational policies, administrative policies, and teaching methods. A diverse community also commits us to promoting mindful consideration of organizational structures, policies, and values, which promote participation. Diversity in this context refers to people of any race, color, religion, national origin, ethnic origin, gender, age, physical impairment, or sexual orientation.

Across the curriculum and as appropriate to particular classes, Sofia's faculty is expected to present and make available to students theories and scholarly works in transpersonal psychology that represent a wide-range, diverse cultural perspective. This includes, but is not limited to, class presentations, required readings, reading lists, outside speakers, and other teaching materials. Faculty will also strive to teach in a matter that renders class presentations and materials relevant to its diverse student constituency. Individual classes may be devoted to one particular school or view, but will be contextualized and critiqued from a variety of cultural perspectives.

The Federal Family Educational Rights and Privacy Act of 1974

The Federal Family Educational Rights and Privacy Act of 1974 define the University's responsibility to protect the privacy of parents and students. Specifically the statute governs: (1) access to educational records maintained by the University, and (2) the release of such records. In brief, the statute provides that the educational university must provide student access to official educational records directly related to the student and an opportunity for a hearing to challenge such records on the grounds that they are inaccurate, misleading, or otherwise inappropriate.

The right to a hearing under the act does not include any right to challenge the appropriateness of a grade as determined by the instructor. The act generally requires that written consent of the student be

received before releasing personally identifiable data about the student from records to other than specifically designated officers of the Sofia University.

Schools are authorized under the act to release public information concerning students. Such information includes the students' name, address, telephone listing, email address, date and place of birth, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, and most recent previous educational agency or institution attended by the student. This designated information is subject to release unless the educational institution has received prior written request from the student specifying directory information should not be released. The Registrar's office implements this federal legislation, and will not release information if confidentiality is requested in writing.

School Governance

The Board of Trustees

A Board of Trustees is responsible for the University's corporate, business, and financial affairs, including the setting of broad educational policies and long-range planning. The Board consists of prominent members of local and national communities.

President

The President, as CEO of the University, exercises a general superintendence over all of the educational and administrative affairs of the University. The President is responsible to the Board of Trustees.

Dean of Faculty

Responsibility for all academic affairs rests with the Dean of Faculty. The Dean of Faculty exercises this responsibility at the direction of the President and with the assistance and advice of the Faculty Senate and Faculty Councils. In this capacity, the Dean of Faculty is responsible for the content, quality, and execution of all academic programs and for the maintenance of the University's academic standards.

Grievance Policy

The Grievance Policy applies to all students, faculty and staff of the University and to issues involving other employees, students, and/or third parties with contractual relationships with the University. These Grievance Procedures are not applicable to complaints, such as academic appeals, that have other internal remedies in place.

Employees who voluntarily resign their employment with the University are able to exercise rights under this policy during the two weeks immediately following their resignation. Employees terminated for cause are not eligible to exercise rights under this policy.

The policy below describes two modes of resolution of disputes that may occur among members of the Sofia community, Informal and Formal.

1. Informal Resolution. Discussions between the parties at all levels of the University should occur in good faith to attempt to resolve the dispute. An informal resolution procedure is recommended below.

2. Formal Resolution. If a dispute is not satisfactorily resolved through informal means, then a formal grievance may be initiated. In a formal grievance, the following points are important, and are described in detail below:

- The Grievant submits the written complaint to the appropriate Grievance Coordinator, within the timelines described in these Procedures, for consideration and further action, stating the nature of grievance, the steps that have been taken, and the resolution expected.
- A Grievance Hearing Panel will be convened to determine whether the issue qualifies as a grievance as defined by this Policy and, if so, to hear the grievance and make recommendations on the action, if any, to be taken.
- The HR Director will automatically be informed when a formal grievance has been filed. This Policy is applicable to all grievances filed from the date of approval of this Policy forward.

Grievance Definition

A grievance is an allegation by an individual based on specific perceptions or experience that there has been a misinterpretation, misapplication, discriminatory application, or violation of an Institute Policy or Procedure. The intent of a grievance process is to resolve a dispute over significant issues vs. minor disagreements. A member of the Sofia Community who files a grievance has the burden of demonstrating, by a preponderance of the evidence, that he or she has been wronged. The following situations may be grieved: (1) alleged violations of academic freedom; (2) alleged violations of the University's ethical standards; (3) unsafe or inappropriate work assignment; (4) unsafe working conditions; (5) policy application; (6) a repeated pattern of harassment or other inappropriate behavior; and (7) legally prohibited unequal treatment including but not limited to discrimination or harassment on the basis of age, sex, race, religion, color, ethnic/national origin, disability, sexual orientation or veteran status. These grievance procedures may also be utilized to review the process and procedures of awarding faculty promotions, classification, salary increases, and non-reappointment.

Grade disputes, admission decisions, graduation appeals, and similar academic decisions are not grievable issues unless they fall into one of the seven categories listed above.

Grievance Coordinator

The Grievance Coordinator is the individual to whom a formal, written grievance must be submitted. The Grievance Coordinator for students is the Director of Student Services or designee. The Grievance Coordinator for faculty is the Dean of Faculty or designee. The Grievance Coordinator for staff is the Director of Human Resources or designee. The Grievance Coordinator for a specific situation will be the Grievance Coordinator for the Grievant constituency. The Grievance Coordinator is responsible for helping to coordinate the expeditious and fair resolution of problems raised by the University's students, faculty and staff. The role of a Grievance Coordinator is to assist the parties in seeking a satisfactory resolution of problems raised by Sofia's students, faculty, and staff.

The role of the Grievance Coordinator is to assist the parties in seeking a satisfactory resolution of the issues and not to determine who is "right" or "wrong." To that end, the Grievance Coordinator will remain neutral throughout the proceedings and will serve primarily as a facilitator. In appropriate

circumstances, the Grievance Coordinator may also be coordinating efforts within various University offices to resolve disputes in a prompt, flexible, and responsive manner. The Grievance Coordinator also may be consulted during Informal Process of trying to resolve a grievance.

If a grievance is lodged against a Grievance Coordinator, then the Grievance Coordinator's Vice President (or the president or designee if the Grievance Coordinator is a direct report to the president) will name an alternative person to serve as the Grievance Coordinator for the specific manner.

Confidentiality

To the extent possible, strict confidentiality will be maintained by all parties regarding all matters relevant to grievances on a criterion of "need to know" with the following provisions:

- In the case of all formal grievances, the Grievant and Respondent's direct supervisor, as well as the HR Director, will be notified in confidence.
- If a grievance involves civil rights, the University's Director of Human Resources will consult with the president to determine if legal advice is required.
- Members of the Grievance Hearing Panel, as described later in this Policy, shall not discuss the Grievance outside of the Hearing Panel meetings and shall not accept side conversations with persons who are not part of the formal hearing process.

Non-Retaliation

Students, faculty members, and staff members have a right to file what they believe to be a legitimate grievance and to follow an informal and formal grievance procedure without fear of retaliation. The University will not tolerate retaliation against the Grievant, Respondent(s), Witnesses, Hearing Panel Members, Grievance Coordinator, or any other individuals formally involved as parties to the grievance procedure. Any attempt to retaliate against a person for raising an issue or participating in dispute resolution under this policy is strictly prohibited. Any person who makes such an attempt will be subject to whatever disciplinary action the University concludes is appropriate, up to and including termination.

Timelines

The grievance must be brought to the attention of the appropriate individuals within the timelines specified in these procedures or the grievance will not be considered.

Resolution Procedures

Resolution should always be sought at the level most immediate to the conflict. As such, the immediate supervisors are the first to be consulted. If there is no resolution through the efforts of the supervisors, then the Dean of Faculty or Program Chair will be involved next. Finally the supervising Vice President or the President can be consulted and involved in the resolution process.

Examples:

1. A conflict between a student and a faculty member should be addressed directly between the two parties. If no resolution is arrived at, the Chair of the student's program is consulted. If the Chair of the program cannot resolve the issue, the Dean of Faculty is consulted.

2. A conflict between a staff member and an administrator is likewise best addressed between the two parties. If no resolution is arrived at, the manager of the grievant is consulted. The supervising Vice President of the grievant is consulted next if the issue remains unresolved.

3. In a conflict between two students that cannot be resolved by those directly involved, either the Program Chair(s) of the students' programs or the Director of Student Services may be consulted. If no resolution can be found, the matter may be brought to the Dean of Faculty. The initial conversations and attempts at resolution constitute what is described below as Informal Resolution. A Grievance will generally be instituted when the informal attempts have failed to bring the parties to a successful resolution of the issue(s).

The Grievance Hearing Panel is comprised of three members of the Sofia community. If a grievance involves members of two constituencies, the Grievance Hearing Panel will have representations of both constituencies. Students may only serve on a Grievance Hearing Panel if one of the involved parties is a student or a student worker. Sofia work-study students have dual constituency status as both students and employees. For purposes of this Policy, the constituency in which the Grievant is affected will be recognized.

The Grievance Hearing Panel will review documentation related to the grievance and take testimony from the Grievant, Respondent, and witnesses presented by both parties. Based on the evidence presented, the Panel will reach a determination with respect to the issue(s) presented. The Grievance Hearing Panel's determination and recommendations, based on a simple majority vote, will be forwarded to the appropriate Grievance Coordinator who will transmit to the appropriate Vice President(s) or the President in the case where the grievance involves a direct report of the University and the Human Resources (HR) Director. The President, with the supervising Vice President(s), is the decision-making authority for the University. Those with a grievant have the right of appeal to the president, which can be filed with the HR Office.

Informal Grievance Procedure

Most issues and concerns can be resolved by open communications and through an informal process. Individuals are encouraged to achieve by informal means what they regard as a fair and reasonable resolution of their complaint.

Before filing a formal written grievance, the Grievant must first make a good faith effort to confer with the party against whom he or she has a grievance in an effort to resolve the matter informally. This informal grievance procedure is described in steps one through three below.

In instances where the Grievant feels uncomfortable speaking to the Respondent, an immediate supervisor, department head, or dean, or has any reservations about initiating the first contact within the Grievant's department, program, or work unit, the Grievant should contact the appropriate Grievance Coordinator. If the grievance is against the Grievance Coordinator, then the Grievance Coordinator's supervising Vice President, or the President in the case where the grievance involves direct report, should be contacted and he or she will discuss the matter with the Grievant, become familiar with the complaint, and then advise the Grievant as to what options are available for resolving the problem.

The Grievance Coordinator may ask the Grievant to meet with his or her immediate or second-level supervisor first, in order to give those individuals an opportunity to resolve the matter. If this fails to bring a resolution, the Vice President of the Grievant's department or the President in the case where the grievance involves a direct report, or the Chair of the Grievant's program will be consulted and will determine the next appropriate step in the process. The Grievance Coordinator may meet with the parties together or separately to discuss the problem and may involve other persons in these discussions if appropriate. The Grievance Coordinator may serve as a resource or a facilitator during the informal process.

Step one: Initial discussion

Before filing a formal written grievance, the Grievance must first make a good faith effort to meet and confer with the party against whom he or she has a grievance. The Grievant should normally initiate this informal process within twenty (20) working days of the most recent incident or action leading to the grievance. This meeting should represent an effort to achieve by informal means what the Grievant regards as a fair and reasonable resolution to the complaint.

The Grievant, either personally or through his or her Grievance Coordinator, has the obligation to adequately and fully inform the Respondent of the problem and what would be considered a satisfactory solution. The Respondent, in turn, has the obligation to consider the matter seriously and to answer issues as promptly as possible, yet not with un-deliberated haste. Both parties have the obligation to act in good faith. If the issue is not resolved, then the Grievant should proceed to Step Two of the informal process.

Step Two: Meeting with Supervisor

If the Grievance is not resolved in Step One then the Grievant should contact his or her immediate supervisor or Grievance Coordinator to discuss the grievance. The Grievant must clearly inform the supervisor or other member of management that he or she is pursuing a grievance under this policy. This step should normally be undertaken within five working days of meeting with the respondent.

If the Grievance involves the supervisor, then the Grievant should contact the next level of supervision. The Program Chair, Dean of Faculty, Vice President or the President in the case where the grievance involves a direct report, and/or the appropriate Grievance Coordinator, in the order described above may also be consulted during this step. A meeting to discuss the Grievance should normally occur within five working days of the Grievant's notification of the grievance to his or her supervisor, manager, or Grievance Coordinator.

If the Grievance is resolved in this meeting, then the Grievant and his supervisor should prepare a document summarizing the issue and its resolution and give a copy to the involved parties. If the Grievance is not resolved, then the Grievant is encouraged to use Step Three of the Informal Procedure.

Step Three: Mediation

If the matter has not been resolved to the Grievant's satisfaction in Step Two of the Informal Process, then the Grievant should contact the appropriate Grievance Coordinator to request a Mediation Meeting with the Grievance Coordinator and the Respondent's manager or Program Chair, or if

appropriate, the Respondent's supervising Vice President (or the President if there is no supervising Vice President).

The purpose of this meeting is to discuss the grievance and, if possible, reach a solution that is acceptable to all parties. The Grievance Coordinator will participate in this meeting and will function as the mediator to facilitate discussion and assist in resolving differences between the parties. The Grievant's request should generally be made within five working days of the conclusion of Step Two of this procedure. This meeting should generally occur within five working days from the date the Grievant requests the meeting.

The Grievant should be prepared to fully explain the issue, the steps that have been taken and the resolution that is desired. If resolution is reached from this meeting, the Grievance Coordinator should document the meeting and the resolution, and obtain signatures of all involved parties. Copies of the signed documentation will be given to all involved parties, the HR Director and to the appropriate department head(s) or Vice President(s) for implementation. If resolution is not reached, the Grievant may proceed with the Formal Procedure.

Formal Grievance Procedure

In the event the Grievance is not resolved through informal discussions and meditation, then the Grievant may choose to pursue the Formal Grievance Procedure as described below. Prior to invoking the Formal Procedure, the Grievant must demonstrate that he or she has exhausted all Informal actions and is still not satisfied with the resolution of the issue.

Step One: Written Request for Grievance Hearing

A written Request for a Grievance Hearing should generally be completed and submitted to the appropriate Grievance Coordinator no sooner than five and no more than ten working days of the conclusion of the Informal Procedure. The Grievance Coordinator will notify the Respondent and will give the Respondent a copy of the written grievance. The Grievant is required to prepare a written Request for Grievance Hearing to ensure that any subsequent Grievance Hearing will address the specific issues that most concern the Grievant. The guidelines set forth below are designed to ensure that the written Request for a Grievance Hearing clearly identifies those issues.

The written Request, when made, must include the following information:

- The date the Written Grievance is submitted to the Grievance Coordinator;
- The Grievant's name and job title or student identification number;
- The department, program, or unit in which the Grievant is employed or enrolled;
- The specific nature of the problem or complaint including the name of the respondent(s), all facts related to the complaint, and all documentation related to the complaint;
- A written summary of the steps undertaken in the Informal Procedure and copies of any document produced as a result of that informal process including documents produced by the Grievant as well as any responses from the Respondent, supervisor, department head, or

others;

- A list of not more than five witnesses and the contact information for any witnesses the Grievant plans to produce at the hearing; the Grievant may submit additional names which the Hearing Panel may wish to call as witnesses on its own accord;
- The specific reason(s) the grievant disagrees with responses obtained through the Informal Procedure; and
- The Grievant's suggestion for proper resolution of the matter.

Step Two: The Grievance Hearing Panel

The Grievance Coordinator, upon receipt of a request for a Grievance Hearing, will immediately notify the HR Director that a Grievance has been filed and will give him/her a copy of the written Grievance. The Grievance Coordinator will randomly select three members of the Standing Dispute Resolution Committee to serve as prospective members of the Grievance Hearing Panel. This will normally be done within five working days of receipt of the written Grievance. At least one of the individuals selected will be of the same constituency as the Grievant and at least one will be of the same constituency as the Respondent. The third individual will be randomly selected from the remaining members of the Standing Dispute Resolution Committee. Students may serve on a Panel only if the Grievant or Respondent is a student.

The Grievance Coordinator will present the Grievant and Respondent with the list of the three individuals selected from the Dispute Resolution Committee. Both Grievant and Respondent will be given the opportunity to identify whether a conflict of interest or potential conflict of interest exists with any of the names of potential panel members. If such a conflict or perceived conflict exists, the Grievance Coordinator will strike the name(s) from the list and randomly select a replacement(s) to ensure three panel members. The Grievance Coordinator will notify the three individuals on the final list that they have been selected to serve on the Grievance Hearing Panel.

Purpose of the Grievance Hearing Panel

The Grievance Hearing Panel serves two purposes. The first is to determine whether the Grievant's complaint is a grievable issue under this policy. The Hearing Panel determines that the issue is grievable under this policy, and then its second objective is to hear the grievance and all related testimony and render a decision on the issue.

Step Three: Initial Meeting of the Grievance Hearing Panel

The Initial Meeting of the Grievance Hearing Panel is a closed meeting, for Panel members only. This meeting will generally take place within ten working days of appointment of the Panel members. During the meeting, the members will elect by a simple majority vote a Chair of the Panel. The Panel will then determine whether the issue(s) presented by the Grievant are grievable under this policy, including whether the grievance is valid or is a frivolous complaint.

At least five days prior to the initial meeting of the panel, the Grievance Coordinator will provide the members with a copy of the Grievant's written complaint and any other documents that are part of the

grievance. Members of the Grievance Hearing panel may ask the Grievance Coordinator to obtain additional documents that it believes to have relevance on the meeting.

The panel's decision will be based on a simple majority vote of its members. If the issue is determined not to be grievable under this policy, then the Chair will prepare a report of the panel's findings and rationale and forward it to the appropriate Grievance Coordinator and the HR Director. The report will generally be issued within five working days of the Initial Meeting. The Grievance Coordinator will then forward the report to both parties and to the appropriate management personnel. If the panel members determine the issue is grievable, then the Grievance Hearing Panel will hold a separate meeting for the purpose of hearing the grievance.

Step Four: The Grievance Hearing

The scope of the Grievance Hearing is limited to the issue(s) identified in the Written Request for a Grievance Hearing. The chair of the panel will schedule a date for the Grievance Hearing. The Grievance Hearing will generally be held within ten working days from the date the Hearing Panel issues its decision from the Initial Meeting. The Chair of the Hearing Panel will notify the Grievance Coordinator of the date of the Hearing and the Grievance Coordinator will notify all of the involved parties and witnesses. This notification will generally be made at least five working days prior to the date of the Hearing.

The Grievant and Respondent will be asked to submit to the Grievance Coordinator a list of no more than five witnesses each to speak on their behalf during the Grievance Hearing Panel meeting. This list must be given to the Grievance Coordinator at least five working days prior to the Hearing date. Generally, only witnesses whose names appear on this list will be permitted to participate in the Hearing. If extenuating circumstances exist, the Grievance Hearing Panel can elect to hear testimony from additional witnesses the Panel believes have pertinent information to provide. Members of the Grievance Hearing Panel may ask the Grievance Coordinator to obtain additional documents that it believes to have relevance to the Hearing. All documents and witness lists must be provided at least five working days prior to the date of Hearing.

Both the Grievant and Respondent may be accompanied at the hearing by a support person (e.g., student – if one of the parties is a student – or faculty member, staff member, associate). However, this support person may not participate in the hearing or speak on behalf of the Grievant or Respondent. Potential witnesses, other than the Grievant and Respondent(s), must remain outside of the hearing room other than when they are required to testify. Prior to the hearing, the Grievance Hearing Panel will establish an appropriate schedule for the proceedings. A typical schedule may be as follows:

1. Once the Hearing is begun, the Grievant will present an opening statement.
2. The Panel may then question the Grievant.
3. The Respondent will then present an opening statement. If there is more than one Respondent, each may take an opening statement.
4. After the opening statement of each Respondent, the Panel may question the Respondent(s).
5. After opening statements and questions have been completed, the Grievant may question each Grievant's witnesses.

6. Following the Grievant's questioning, the Respondent may question each witness.
7. The Panel may then question each witness.
8. After the Grievant has called all the Grievant's witnesses, each Respondent will have a chance to call his or her witnesses and ask questions of each witness.
9. The Grievant may then question the Respondent's witnesses.
10. Following questioning by the Grievant, the Panel may question each witness.
11. The Panel may consider the written statement, made under oath, of a witness who cannot appear when the party seeking to use the statement has provided it to the Chair of the Panel at least five working days in advance of the Hearing date. A copy of this statement shall immediately be given to the opposing party and to all members of the Grievance Hearing Panel.
12. After each side has called all of its witnesses, the Grievant and Respondent(s) may each make a closing statement.
13. The Chair will then briefly review the issue(s) for determination, and then all parties except Panel members will be excused.
14. Members of the Panel will then meet, in private, to evaluate information presented. If during its deliberations the panel determines that additional information and/or witnesses should be considered, it might reconvene the hearing at an appropriate time to do so. The Grievant has the burden of proving by a preponderance of the evidence that he or she has been wronged. The Hearing Panel's determination will be based upon a vote of a simple majority of the Panel.

Report of the Hearing Panel

The Chair of the Grievance Panel or designee shall prepare a written report summarizing the Panel's findings. The report shall contain the Panel's conclusion on each issue identified in the written complaint as well as the Panel's recommendations for corrective action, if any. Members of the Panel who agree with it shall sign the report.

Members of the Panel who disagree with the majority's findings, conclusions, or recommendations may prepare, as an addendum to the report, any contrary opinions and recommendations. Members of the Panel who agree with it will sign this addendum to the report. The report and addenda will generally be given to the appropriate Grievance Coordinator within five working days of the conclusion of the hearing. The Grievance Coordinator will then transmit the report and any other relevant information to the Grievant's Vice President, the Respondent's Vice President, and the HR Director.

Decision of the President or Vice President(s)

The President or the Vice President of the University, who are authorized by the President to exercise such supervision and direction, as well as promote the efficient and effective operation of the University, will use the report of the Grievance Hearing Panel to reach a decision that best promotes these goals. The President's or Vice President's decision will be communicated, in writing, to all involved parties.

The President or Vice President normally will furnish a decision to the parties within ten working days after receiving the report of the Grievance Hearing Panel. If the review of a case requires longer than ten days, the appropriate authority will notify the parties of the delay. The decision will be made in writing and submitted to the Grievance Coordinator who will notify the HR Director, Grievant, Respondent(s), members of the Hearing Panel and appropriate members of management, of the decision. The Vice Presidents' decision following the Grievance Hearing Panel can be appealed to the President. The decision of the President is final in all grievance matters.

Finally, the University reiterates the positive nature of the grievance Procedures. These Procedures provide structures, which should smooth and speed the resolution of the University-related grievances and thus affirm the University's desire to treat each student and each employee fairly. The publication of this Policy and Procedure should guarantee access to the necessary information for the internal resolution of University-related grievances at Sofia University.

Institutional Research

Institutional Research refers to research conducted within an institute of higher learning in order to provide information, which supports planning, policy formation, and decision-making. The mission of the University's Institutional Research (IR) program is to create a comprehensive data collection program that will serve three purposes:

- Measure customer satisfaction and educational effectiveness.
- Gather and archive all governmental and regulatory required data elements (WASC, APA, IPEDS).
- Inform all aspects of operational policy making, program development, and strategic planning.

One of the main functions of IR is to actively solicit the feedback of its customers, carefully analyze the data derived from these surveys, summarize these findings into an annual report, and integrate these findings into operational and strategic planning. The IR function also supports the University's academic programs by helping to create reliable instruments for student assessment, development and maintenance of IR information systems, and preparation of reports in response to the needs and requirements of the school.

Non-Discrimination Policy

It is the University's policy to extend equal opportunities to all members of the faculty, staff, student body, and to applicants for admission or employment, without regard to race, religion, color, sex, handicap, national origin, or sexual orientation.

Sexual Harassment and Assault

The University affirms its commitment to an educational and work environment free of sexual harassment. While an atmosphere for freedom of expression exists, it must always be in conjunction with responsibility to observe the rights of one another. In such a setting, there is no place for conduct that diminishes, uses, or abuses another person. Each student **must** complete the Sexual Harassment

Course on Campusclarity.com. An invitation is sent to new students during their first quarter with reminders each quarter until complete.

Policy on Sexual Harassment

Sexual harassment is defined as unwanted sexual advances of a visual, verbal, or physical nature. The following is a partial list:

- Offering employment benefits or grades in exchange for sexual favors
- Making or threatening reprisals after a negative response to sexual advances
- Verbal sexual advances or propositions
- Physical conduct: unwarranted touching, assault, impeding or blocking movements

Reporting Incidents

Incidents of sexual harassment experienced by any student, staff, or faculty member should be promptly reported as follows:

- Students report incidents to the Director of Student Services
- Staff report incidents to their supervisor or management
- Core faculty, adjunct faculty and faculty mentors report incidents to the Dean of Faculty
- In a case where the complainant may involve the supervisor or advisor, the Director of Human Resources should be contacted.

Incident Handling Procedure

First, every effort should be made to resolve sexual harassment problems on an informal basis outside the Grievance Procedure. This should be done confidentially, in the least disruptive way, suited to individual circumstances. Assistance may be obtained from the Director of Human Resources, who has been designated as the School's Sexual Harassment Counselor for staff, the Dean of faculty for a faculty complaint and the Director of Student Services for a student complaint. A sincere attempt will be made to thoroughly investigate all complaints and to assure preservation of the reputation and the integrity of involved individuals. If the complainant does not wish to talk with the alleged harasser, the Sexual Harassment Counselor, with the complainant's permission, may contact the alleged harasser. The complainant may be advised to write a formal letter to the alleged harasser.

If these actions are unsuccessful, a written statement may be taken, with the complainant's permission, to the Sexual Harassment Counselor with the intent of bringing the situation to the attention of the appropriate administrators. If informal methods are unsuccessful, formal procedures exist which allow both parties an opportunity to pursue a resolution.

Investigation of a complaint will be conducted by the Sexual Harassment Counselor in conjunction with the supervisor, chair of the program, faculty advisor or Dean of Faculty as appropriate and necessary.

An individual will have up to 180 days after the alleged occurrence to file a complaint.

An investigation will be conducted in an expeditious manner, assuring maximum confidentiality, consistent with principles of due process and fairness as follows:

- A person bringing a complaint founded in good faith will suffer no retaliation.
- The person charged will be promptly notified and given an opportunity to respond.

Disciplinary Action

If at the conclusion of a formal process a complaint is found to be valid, the offender will be subject to disciplinary action, which may include suspension, dismissal, or other penalty consistent with the degree of seriousness of the sexual harassment so ascertained. Appropriate counseling will be made available to all parties involved, if desired.

When an incident is found to have occurred, regardless of the degree of severity of the harassment, reasonable action will be taken to stop the harassment from recurring. If the complaint is judged to be invalid and malicious in intent, the accuser may be subject to disciplinary action, which may include suspension, dismissal, or other penalty. Appropriate counseling for the false accuser may be made available or suggested.