Policy Statement:

*Please note that there are separate processes for Faculty and Staff.* Refer to the Process for Faculty to Resolve and/or Report Allegations of Faculty or Staff Misconduct Flowchart (Exhibit A) and the Process for Staff to Resolve and/or Report Allegations of Faculty or Staff Misconduct Flowchart (Exhibit B).

Allegations involving discrimination or harassment of a protected class must be reported to the Office of Office of Equity, Inclusion and Compliance in accordance with Regulation 5.010 Anti-Discrimination and Anti-Harassment as referenced above. Any supervisory employee who receives a report, observes and/or learns of an alleged violation of this Regulation has an absolute and unqualified duty to immediately report the conduct to the EIC Director.

Allegations involving an unresolved dispute regarding the terms and conditions of employment may be resolved by informal resolution between the faculty or staff member and his/her supervisor. If the issue cannot be satisfactorily resolved by informal resolution, the employee may file a grievance in accordance with Regulation 5.009 Grievance Procedure. Job-related problems should be resolved, whenever possible, before the filing of a grievance. All grievances shall be filed with the Department of Human Resources on a Florida Atlantic University Request for Grievance form, within seven days following the act or omission giving rise to the grievance, or the date on which the grievant knew or reasonably should have known of such act or omission if that date is later, unless an extension is granted in writing by the Assistant Vice President for Human Resources or designee for the purposes of facilitating informal resolution.

Regulation 5.012 Employee Standards and Disciplinary Procedures provides the Standards of Conduct required for all employees. The recommended starting point for resolution of allegations involving an alleged breach of Standards of Conduct (other than unlawful discrimination or harassment of a protected class) and the College of Medicine Code of Conduct for Faculty and Staff is informal one-on-one resolution between colleagues (faculty-to-faculty; faculty-to-staff; or staff-to-staff). First, carefully examine the circumstances of the incident which occurred. Discuss the event with someone else who witnessed it, or with another colleague or individual whose judgment you trust. Often, concerns can be resolved informally or through consultation.

Ideally, concerns should be addressed within the College of Medicine and through informal one-on-one resolution. When the issue cannot be resolved informally, faculty and staff are advised to consult with the individuals below in sequential order. This order is recommended so as to preserve communication.
within units and/or departments and facilitate timely resolution. In cases where there are perceived conflicts of interest, however, there are mechanisms for assistance outside of the College to ensure faculty and staff are supported and advised appropriately. In all cases, faculty and staff retain the right to report concerns directly to the Vice Provost for Academic Affairs or Employee Relations, as applicable, if a matter is not promptly or satisfactorily addressed within the College. The Vice Provost for Academic Affairs serves as the ombudsperson for the College of Medicine faculty (who are not part of the United Faculty of Florida and not subject to the Collective Bargaining Agreement).

**Faculty** reporting an alleged breach of Standards of Conduct by another **faculty** member (other than unlawful discrimination or harassment of a protected class):
- Consultation with the department chair of the faculty member (unless the concern involves a department chair, in which case the report may be made to the Associate Dean for Faculty Affairs or the Dean); then
- Consultation with the Associate Dean for Faculty Affairs; then
- Consultation with the Dean of the College of Medicine; if not promptly or satisfactorily resolved, then
- Consultation with the Vice Provost for Academic Affairs: The Vice Provost for Academic Affairs will liaise with the Dean, as appropriate, before taking action.

**Faculty** reporting an alleged breach of Standards of Conduct by a **staff** member (other than unlawful discrimination or harassment of a protected class):
- Consultation with the staff member’s immediate supervisor and higher level supervisor/faculty/or department chair; then
- Consultation with the Dean of the College of Medicine; if not promptly or satisfactorily resolved, then
- Consultation with Employee Relations.

**Staff** reporting an alleged breach of Standards of Conduct by a **faculty** member (other than unlawful discrimination or harassment of a protected class):
- Consultation with the department chair of the faculty member; then
- Consultation with the Dean of the College of Medicine; if not promptly or satisfactorily resolved, then
- Consultation with Employee Relations or the Vice Provost for Academic Affairs.
  (n.b. In some cases, the Dean may advise immediate consultation with Employee Relations or the Vice Provost for Academic Affairs.)

**Staff** reporting an alleged breach of Standards of Conduct by another **staff** member (other than unlawful discrimination or harassment of a protected class):
- Consultation with the staff member’s immediate supervisor and higher level supervisor/faculty/or department chair; then
- Consultation with the Dean of the College of Medicine; if not promptly or satisfactorily resolved, then
- Consultation with Employee Relations.
  (n.b. In some cases, the Dean may advise immediate consultation with Employee Relations.)
Exhibit A
Process for Faculty to Resolve and/or Report Allegations of Faculty or Staff Misconduct

Faculty Member Raises Allegation

- Allegation involves discrimination or harassment of protected class
  - Regulation 5.010 Anti-Discrimination and Anti-Harassment Regulation
  - Report to the Office of Equity, Inclusion and Compliance (203-302-6304)

- Faculty member has an unresolved dispute regarding terms and conditions of employment
  - Regulation 5.309 Ombudsman Procedure

- Alleged breach of standards of conduct other than unlawful discrimination or harassment of protected class
  - Alleged breach of standards of conduct other than unlawful discrimination or harassment of protected class
  - Concern or issue with a faculty member
    - Concerns or issue with a faculty member
      - Informal resolution between faculty member and supervisor
        - File Grievance with Employee Relations (202-525-2554)
      - Informal 1:1 resolution between faculty members
        - Issue to Department Chair (or faculty member with concern)
      - Concerns or issue with a staff member
        - Issue to Associate Dean for Faculty Affairs
        - Issue to the Dean of the College of Medicine
        - Issue to the Vice Provost for Academic Affairs (should be brought to the Chair or Dean first)
        - Issue to the Vice Provost for Academic Affairs (should be brought to the Chair or Dean first)
        - Informal 1:1 resolution between the faculty and staff member
          - Issue to staff member’s immediate supervisor and next level supervisor/faculty Department Chair
          - Issue to the Dean of the College of Medicine
          - Issue to Employee Relations (202-525-2554)

Facially, concerns should be addressed within the College of Medicine and through Informal 1:1 resolution. When the issue cannot be resolved informally, faculty and staff are advised to consult with the individuals in jurisdictional order; in cases where there are perceived conflicts of interest, there are mechanisms for assistance outside the College, represented by dotted lines. Additionally, to ensure that faculty and staff are assisted appropriately.

The Vice Provost for Academic Affairs serves as the ombudsman for the College of Medicine faculty who are not part of the United Faculty or Mon-In and not subject to the Collective Bargaining Agreement.

Disclaimer: This chart is a reference tool only and may not be construed as a substitute or otherwise affect the applicability of University policies or regulations, or the College of Medicine Administrative Policies.

3/4/2017
Exhibit B
Process for Staff to Resolve and/or Report Allegations of Faculty or Staff Misconduct

STAFF MEMBER FILES ALLEGATION

- Allegation involves discrimination or harassment of protected class
  - Regulation 5.010: Anti-Discrimination and Anti-Harassment Regulation
    - Report to the Office of Equity, Inclusion and Compliance (514) 297-3034
  - Regulation 5.020: Grievance Procedure
  - Regulation 5.012: Employee Standards and Conduct Policy

- Alleged breach of standards of conduct, other than anti-discrimination or harassment of protected class
  - Concerns raised with a faculty member

- Concerns raised with a staff member

- Concerns raised with an employee relations (514) 297-3034 or the Vice Provost for Academic Affairs

- Concerns raised with the Dean of the College of Medicine

- Concerns raised with the staff member’s immediate supervisor and/or the supervisor’s immediate supervisor

- Concerns raised with the Dean of the College of Medicine

- Concerns raised with the employee relations (514) 297-3034

Exhibit B is a reference tool only and may not be construed to supersede or otherwise affect the applicability of University policies or regulations, or the College of Medicine Administrative Policies.

01/04/2017