

Faculty Conduct: Principles and Procedures for Upholding Community Values

Harvard Business School's Community Values exemplify the School's aspiration to be a model of leadership, honor, and integrity. All stakeholders of the School—students, program participants, faculty, staff, and alumni—accept these principles when they join the HBS community, and agree to abide by the following Community Standards:

- Respect for the rights, differences, and dignity of others
- Honesty and integrity in dealing with all members of the community
- Accountability for personal behavior

Additionally, faculty members are expected to contribute actively to the HBS community, to help foster an environment conducive to the work of others, and to advance the School's mission and those activities that support and foster it. Faculty members at HBS bear a responsibility to adhere to the highest standards of teaching and research, understanding that activities or behaviors that damage the standing of Harvard have a wide-ranging impact.

When a faculty member is alleged to have failed to uphold the School's Community Values, the following procedures shall apply. These procedures are designed to be flexible, recognizing the need to weigh multiple factors such as the kind of misconduct alleged and the seriousness of the allegations.¹ At the same time, they provide a framework to allow an equitable resolution of allegations in a wide variety of circumstances.

The following principles and considerations shall guide those carrying out these procedures:

- The procedures should protect the rights and reputations of both the individual(s) alleging wrongdoing and the faculty member(s) accused of wrongdoing.
- Privacy and confidentiality are important considerations; information generally should be shared only on a need-to-know basis, and consistent with what is practicable.
- The procedures should be transparent, fair, and timely. Allegations should be articulated in writing and evidence presented clearly.
- Recognizing that every circumstance is unique and no procedures can anticipate every circumstance, the individuals responsible for administering the procedures will use their best efforts and judgment.

Procedures

The Office of the Dean coordinates the response to allegations of misconduct involving a faculty member. Allegations, except those that are frivolous, should always be brought to the attention of the Office of the Dean.

¹ These procedures are not intended to respond to allegations of research misconduct or violations of sexual and gender-based harassment; these are covered, respectively, by the Research Integrity Policy (<https://inside.hbs.edu/Departments/faculty/Documents/Research%20Integrity%20Policy.pdf>) and the Harvard University Sexual and Gender-Based Harassment Policy (http://diversity.harvard.edu/files/diversity/files/harvard_sexual_harassment_policy.pdf).



It is expected that many, if not the majority of, concerns about faculty conduct can be resolved informally, locally (e.g., within a department or unit), and through discussion between the involved parties. There are a range of resources available to help in these situations, depending on the nature of the issue at hand. Support may be sought from staff in the Division of Research and Faculty Development, Human Resources, and the Office of the Dean, as well as from more senior faculty colleagues or faculty members in leadership roles (e.g., Senior Associate Deans or Unit Heads).

More serious misconduct—actions that involve disregard of the standards, rules, or mission of Harvard Business School, or the customs of scholarly communities, including *egregious* behavior or actions, and incidents that indicate a *persistent and pervasive pattern* of behavior—will be reviewed by a Faculty Review Board (FRB).

The FRB will typically comprise a faculty chair, two additional faculty members, and a senior staff member, all selected by the Dean. In these cases,

- A draft summary of the allegation, as it is known at the time, will be written.
- The FRB, aided by a fact finder if needed, will investigate the allegation. The investigation may require factual inquiry, interviews, and the review of materials (e.g., email exchanges).
- The FRB will prepare a draft report that should include a summary of the evidence gathered, the FRB's conclusions on whether the conduct is in keeping with the School's Community Values, comments on the seriousness of the offense, recommendations for how a recurrence of the situation might be avoided, and potential sanctions.

At each stage, the faculty member and, if applicable, the person(s) making the allegation will have an opportunity to review materials and respond to them in writing. Additionally, both parties can designate a member of the community as an advisor—someone to accompany them to any meetings or interviews, for example, or review written materials. These individuals may not be family members, subordinates, or attorneys, though both parties can consult with any of these individuals at any time. Advisors are expected to uphold confidentiality.

While the work and activities of the FRB are considered private, the FRB may, in the course of its proceedings, need to inform or solicit input from selected other faculty and staff members or Harvard officers (e.g., a Unit Head, senior colleagues, or the Office of the General Counsel).

Draft documents will be considered final once the FRB has reviewed responses and once modifications and edits, if the FRB deems them necessary, have been made. Once the report and recommendations are complete, they will be submitted to the Office of the Dean, along with any responses (to the allegation, to the report, and to the sanction) that have been received.

Recommended sanctions may include a letter of reprimand to be placed in the faculty member's file; reductions in compensation or limits to future increases or bonuses; reductions in research support; limitations on activities; suspension; and, in cases of grave misconduct or neglect of duty, and at the discretion of the Corporation, dismissal.

The Dean will normally accept the FRB's findings and recommendations. The Office of the Dean is responsible for implementing recommendations and sanctions, and will maintain records of the proceedings.

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At least initial hanging thoughts/questions

- > Do we need any form of appeal?
- > How do we connect this to the appointments process (do we need to)?