

SOEST Code of Conduct

1. Preamble

In alignment with our mission and vision; the School of Ocean and Earth Science and Technology (SOEST) prioritizes a safe, supportive, enjoyable, and productive working and learning environment.

Excellence in research, education, learning, professional pursuits, and service are all fostered by effective and supportive relationships among all members, inclusive of race, sex, gender, age, ethnicity, culture, socio-economic background, sexual orientation, political viewpoints, spiritual practices, physical abilities, religion, national origin and other human condition, including intersectionality.

The SOEST Code of Conduct outlines a commitment to ethical and professional conduct among all community members, including all executives, staff, faculty, researchers, students, visitors, and volunteers. It is expected that members' ongoing personal and professional development will promote inclusivity, professionalism, trust, respect, transparency, and communication.

2. Principles

All members of the SOEST community are expected to uphold the Code of Conduct and contribute to an environment that is:

Ethical: Honesty, integrity, and impartiality should be practiced in all personal and professional interactions. Each member of the school is expected to practice ethical behavior and scientific integrity at all times. This includes, but is not limited to, research and publication practices, laboratory and field research, community engagement, social interactions and classroom policies.

Professional: Each member of the school should conduct themselves in a professional manner by treating everyone with respect. This includes exhibiting empathy and refraining from using profanity; sexually explicit remarks or actions, denigrating remarks; using homophobic, transphobic, racial epithets, or hate-speech of any kind; or any other disrespectful behavior that contributes to an uncomfortable working environment.

Inclusive: Establish an environment that is welcoming by encouraging open and honest dialogue and recognize cultural and systemic barriers through candid discussions across hierarchical systems. Be proactive in learning about culturally sensitive issues, particularly with regard to Hawaiian and Pacific Island culture. When problematic situations arise, provide constructive feedback in a timely fashion.

Transparent: To empower each member of our community to be proactive in their personal professional goals and continued learning, members of the school should continually work to create transparency around policies and procedures in their school, departments, labs and classrooms. A safe, supportive, enjoyable, and productive working and learning environment is a priority of funding/resource allocation and procedures. This applies to grading and classroom practices, hiring

and promotion processes, and professional development opportunities.

3. Conducting Research in Hawai'i

One of the key roles of the University and SOEST is to serve the State of Hawai'i. As a member of the SOEST community you are expected to be respectful in all field activities and interactions with the public. Positive relationship-building is critical both in strengthening the quality of scientific research as well as in fostering lasting public support of research in Hawai'i. The following guidelines may help promote this effort.

- **Respect and engage communities.** Building and nurturing relationships is critically important to conducting research in Hawai'i. Introduce yourself, be forthcoming about the goals and procedures of your research, and consider how your research will positively or negatively impact the communities in which we work. Invest in the long term: practice open and consistent communication with communities throughout the entire research process from the beginning to end, including writing grant proposals and sharing the results. Be prepared to adjust research approaches or focus to fit the needs of the place and the community or to mitigate negative impacts.,
- **Respect the land, ocean and natural environment.** Always request permission for land access and sample collection. Respect the decision, even if permission is denied. Before collecting a sample, pause and consider the value of the sample to the place as well as to people who may come after you. Consider the potential impacts of your chosen collection methods. Whenever possible, work in collaboration with local community and stewards to design sampling methodology that has the least impact possible on the location of your research.
- **Respect ʻōlelo Hawai'i, the language of this place.** If you use ʻōlelo Hawai'i and place names do so properly and consistently. Consider the full meaning of the language being used. Recognize and plan for the added responsibility that comes with employing Hawaiian terms and concepts. In written work, use proper diacritical marks (i.e., kahakō and ʻokina) appropriately.
- **Respect Indigenous knowledge.** In you employ indigenous data and knowledge recognize the stewardship practices must adhere to the protections afforded Indigenous knowledge under the United Nations Declaration on the Rights of Indigenous Peoples and the Hawai'i State Constitution.

Additional resources may be found at the following links:

- [Kūlana Noi'i](#) guidance on building more just and generative relationships between researchers and community members in Hawai'i
- [Wehewehe](#): Hawaiian-English dictionary
- [Ulukau](#): Hawaiian place names
- [Papakilo Database](#): place names, genealogy, and Hawaiian newspapers
- [UHM Library](#): other resources
- [UH ITS](#): Hawaiian diacritical marks for Windows and Mac OS

Revised 11/2/2021

- [UHM Hawaiian Place of Learning Advancement Office](#): to foster a rooted, resilient, and responsive community that advances UH Mānoa as a Native Hawaiian Place of Learning

SOEST Recommended Best Practices:

Each member of the SOEST community is expected to contribute to a safe, supportive, enjoyable, and productive environment. This is accomplished by demonstrating one's own behavior of respectfulness, professionalism, empathy, and inclusivity while interacting with others as outlined in the examples below.

Exemplary Behavior:

- a **Be respectful.** Be supportive, civil, encouraging, fair, dependable, trustworthy, and courteous. Treat everyone with equal respect regardless of race, sex, gender, age, ethnicity, culture, socio-economic background, sexual orientation, political or other viewpoints, spiritual practices, physical abilities, religion, national origin and any other human condition. Be aware of, and avoid, potentially negative effects of your own (unconscious) biases. Continually examine your position of power and privilege and how that impacts relationships and implications of your actions on others.
- b **Be professional.** Work and behave in such a way that others think of you as competent, reliable and respectful. Professionals are a credit not only to themselves, but also to others. Conduct yourself in a professional manner at all times.
- c **Be collaborative.** Acknowledge the contributions of team members, including authorship credit as appropriate. Celebrate the accomplishments and successes of others. Treat mistakes, shortcomings, and conflicts as opportunities for improvement through respectful exchanges.
- d **Be a role model.** Communicate professionally, constructively, respectfully, and positively. Exhibit confidence and leadership. Be knowledgeable and well rounded. Show respect and concern for others. Have humility and willingness to admit mistakes.
- e **Be ethical.** Be honest, fair, and impartial.
- f **Be proactive.** Educate yourself about culturally sensitive issues, particularly with regard to Hawaiian and Pacific Island culture. When traveling outside of Hawai'i, respect other cultures, languages and conventions. You are representing our community and the university!
- g **Be inclusive.** Establish an environment that promotes a sense of belonging, and free of intimidation or harassment. Be respectful and inclusive of individuals from a variety of backgrounds. Be cognizant of the burden placed on students, faculty, and partners from minority communities to serve as representatives, educators, advocates, and guides on issues of equity and diversity.

Each member within the SOEST community plays an important role in expressing and exemplifying the principles of the SOEST Code of Conduct:

1. Administrators, Faculty, Post Docs, & Staff

- a Actively contribute to the teaching, advising, service, and research activities of your division, department, SOEST, and the University.
- b Participate in department activities as befits your position such as attending seminars and student defenses.
- c Do not exploit power differences between senior and junior faculty, faculty

and staff, faculty and students, staff and students, and graduate students and undergraduates.

- d Be attentive to differences in behavioral and communication styles, roles, skills, strengths, weaknesses, as well as personal circumstances.
- e Create an intellectually stimulating environment with consistent standards, so that everyone can thrive.
- f Immediately address bad behavior inconsistent with these guidelines. Tenured faculty and senior administrators should be particularly proactive in this regard.

2. Advisor & Mentor

- a Set clear expectations and timelines, schedule and honor regular meeting times, provide timely feedback (e.g., papers, proposals, and theses).
- b Be mindful and not exploit power differences between mentor and mentee/advisee.
- c Encourage and support professional development, even when it is outside of your advisees' primary project.
- d Be considerate of the time constraints and competing demands of advisees.
- e Protect advisee's agreed-upon roles in a project, rights to data use, and the appropriate level of authorship in presentations and publications.
- f Observe departmental timelines for student progress and degree completion.
- g Be dependable when serving on student committees.

Additional resources may be found at the following links:

- http://www2.hawaii.edu/~gurdal/grad/Mentoring_Guide.pdf
- https://manoa.hawaii.edu/graduate/wp-content/uploads/Manoa_Mentoring_Guide_2019.pdf
- https://manoa.hawaii.edu/graduate/wp-content/uploads/graduate_faculty_members_dos_donts.pdf
- <https://rackham.umich.edu/downloads/how-to-mentor-graduate-students.pdf>

3. Class Instructor (including Teaching Assistant)

Instructors are guided by the [Policies and Procedures of the UH Mānoa's Office of Student Affairs](#). Points of emphasis or in addition are as follows.:

- a Be mindful of, and do not exploit, the power difference between instructors and students.
- b Show that you care about your students' well-being and academic goals. Respect students' time constraints and responsibilities outside of your class.
- c Empower all students to participate fully in class, lab, and field activities while being sensitive to differences in students' learning and communication styles.

- d Provide timely and constructive feedback to students.
- e Ensure that course expectations and requirements, including field trips and due dates, are set at the start of the class and remain unchanged unless absolutely necessary.
- f Practice safety at all times in the field, lab, and classroom. Ensure completion of UH lab safety training. All participants should be aware of safety and emergency procedures, and encouraged to have first aid and CPR certifications.

4. Students

Students are guided by the [Policies and Procedures of the UH Mānoa's Office of Student Affairs](#), as well as the UH System [Student Code of Conduct](#). Points of emphasis or in addition are as follows:

- a Practice academic honesty and integrity in all activities.
 - b Be proactive in your own education. Initiate and engage in communication with your advisor and committee members.
 - c Communicate your career goals to your advisor. Take advantage of professional development opportunities.
 - d Be observant of the timelines, forms, and policies of the Department, College, and University for your degree.
 - e Provide and be receptive to positive and constructive feedback using appropriate channels.
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In addition, the following national guidelines and codes of conduct can be used for reference:

- a U.S. Equal Employment Opportunity Commission_
<https://www.eeoc.gov/prohibited-employment-policiespractices>.
- b American Geophysical Union
[AGU's Scientific Integrity and Professional Ethics](#).
- c American Geosciences Institute
[AGI Guidelines for Ethical Professional Conduct](#).
- d Society for the Advancement of Chicanos/Hispanics and Native Americans in Science (SACNAS)
<https://www.sacnas.org/wp-content/uploads/2021/02/2021SACNASCodeofConduct.pdf>.

The SOEST Code of Conduct complement the following UH policies:

- a [Board of Regents Policy, Ethical Standards of Conduct](#)
- b [Title IX](#)
- c [Equal Employment Opportunity and Affirmative Action \(EEO/AA\) Policies](#)
- d UH System Policies and Procedures Information System (PPIS)
 - o [Student Conduct Code](#)
 - o [Workplace Non-Violence](#)
 - o [Policy for Responding to Allegations of Research and Scholarly Misconduct:](#)

UHM Misconduct Policies, and Procedures for Resolving Conflicts or Reporting Violations

Employees and students at the University of Hawai'i at Mānoa (UHM) are governed by a set of policies and procedures that define unacceptable conduct, how incidents of misconduct should be reported, and how conflicts should be resolved. These include policies pertaining to workplace violence, sex discrimination and gender-based violence, equal employment opportunity and affirmative action, student conduct, research and scholarly misconduct, academic grievances arising between students and instructors, and graduate student grievances arising between graduate students and graduate faculty. These policies and procedures are summarized below, in order to clarify what is considered unacceptable conduct and provide guidance on how individuals should address behavior that may violate these policies.

General Grievances through the EEO/AA Office

Employees of, and applicants to UH are protected under Federal law from discrimination on the basis of: race; color; religion; sex; national origin; disability; and genetics. Further, the State of Hawai'i protects against discrimination based on sexual orientation or gender identity. The Equal Employment Opportunity and Affirmative Action (EEO/AA) Office promotes the University's commitment to diversity for employees of the Mānoa Campus and System Offices. Allegations of discrimination by UH employees, faculty, and students can be further handled through the Equal Employment Opportunity and Affirmative Action Office. The general procedures are outlined below.

Please Note: EEO does not have system-wide jurisdiction. Contact information for each campus is listed on their website (<https://www.hawaii.edu/offices/eo/eo-coordinators/>).

Handling Complaints

Informal Complaint-

A resolution at the department level is encouraged but not required (as outlined in the academic and student grievance sections). If the circumstances of the complaint prevent the student or employee from discussing the matter with the other party or at the

department level, the Complainant may contact the Complaint Officer for assistance. The Complaint Officer will attempt to resolve the matter informally. Additionally, an Alternative Dispute Resolution (ADR) can be utilized for informal complaint resolution if both the Complainant and Respondent agree.

Formal Complaint:

A complaint must be made in writing, within 180 days of the (most recent) incident, and must include the name of the Respondent, and describe the complaint. An Investigating Officer will be assigned for fact finding and will provide a written summary of the complaint to the Respondent within 10 days of receiving the complaint.

Complete information including definitions, rebuttals, forms, and timelines can be found here: <https://www.hawaii.edu/offices/eo/complaint-procedures/>.

RCUH employees should refer to RCUH EEO policies and procedures: <https://www.rcuh.com/3-000/3-100/3-110/>.

Workplace Non-Violence

The University of Hawai'i prohibits any work related or workplace violence against its students, faculty, staff, visitors and contract employees that materially and substantially interferes with an individual's work, academic performance, and/or workplace safety and/or otherwise subjectively and objectively creates a hostile environment. Such prohibited violent acts may involve physical attack, property damage, as well as written or verbal statements or non-verbal gestures that, to a reasonable person, express or suggest the intent to cause physical or mental harm to another person.

All administrators, faculty, staff, contract employees and students are responsible for maintaining a university campus environment that ensures that all members are treated with civility and respect to fulfill the University's missions and goals. The University fully supports the efforts of the State of Hawai'i and is committed to a workplace free of violence.

The University of Hawai'i system prohibits and will not tolerate retaliation. Retaliation is defined as adverse actions that would dissuade a reasonable person from making or supporting a charge of workplace violence or hostile treatment against any individual.

Further documentation:

- <http://www0.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=9&policyNumber=210>

Title IX

Title IX covers any form of sex discrimination; sexual harassment, including the conditional provision of an aid, benefit or services on an individual's participation in unwelcome sexual conduct, or unwelcome conduct determined by a reasonable person, to be so severe and pervasive and objectively offensive, that it effectively denies a person equal access to the University; and gender-based violence, such as gender-based harassment, including harassment based on actual or perceived sex, gender, sexual

orientation, gender identity, or gender expression; sexual exploitation; sexual assault; domestic violence; dating violence; and stalking.

Further documentation:

- Title IX and the Office of Institutional Equity (OIE): <https://www.hawaii.edu/titleix/>
- Title IX coordinators: <https://www.hawaii.edu/titleix/help/coordinator/>
- Confidential resources: <https://www.hawaii.edu/titleix/help/confidential/>
- Community resources: <https://www.hawaii.edu/titleix/help/community-resources/>

To report a sex discrimination or gender-based violence related incidence:

- <https://report.system.hawaii.edu/student>
- You have the option to log in to the portal using your UH name but that is not anonymous, or you can continue to the report without logging in and remain anonymous. This latter option can also be used if you do not have a UH username.

RCUH employees should refer to RCUH Sexual Harassment policies and procedures: <https://www.rcuh.com/3-000/3-100/3-120/>.

System-wide Student Conduct Code

The policies set forth in this code are intended to serve primarily as an extension of UH's educational mission-to guide students in their growth as members of the UH and broader communities. Choosing to join the UH community obligates each student to abide by this code of conduct. As members of the UH community, students accept the responsibility to become fully acquainted with UH's rules and to comply with UH's authority. UH expects students to maintain standards of personal integrity that are in harmony with the educational goals of UH; to respect the rights, privileges, and property of others; and to observe national, state, and local laws and University policies and procedures. The UH Student Conduct Code applies at all locations of UH, including any affiliated residence hall.

Further documentation:

- <https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=7&policyNumber=208>

Research and Scholarly Misconduct

Misconduct under this category includes: fabrication of data or results and recording or reporting them; falsification of research materials, equipment or processes, or changing or omitting data that means that the research record is not accurately represented; plagiarism in appropriating someone else's ideas, processes, results or words without giving appropriate credit; the misappropriation of funds, where funds are used that violate the terms of a grant or regulations and policies; inappropriate behavior regarding accusations of misconduct in bad faith, withholding or destroying information relevant to a claim of misconduct, reckless or false testimony to an Ethics Committee or Review Panel member, and retaliation against persons involved in an investigation; and the

misrepresentation of qualifications, experience or research accomplishments to advance a research program, to obtain external funding or for other professional advancements.

An observed, suspected or apparent misconduct should be reported to the Research Integrity Officer (RIO) from the Office of Research Integrity (ORI), to a member of the University administration or to members of the Ethics Committee (also part of ORI). If an individual is unsure whether the suspected incident meets the definition of research misconduct, they may meet with or contact the RIO to discuss the situation informally, which may include discussing it anonymously and/or hypothetically.

The RIO shall protect the identity of the respondents, complainants, informants and witnesses. Any alleged or apparent retaliation against complainants, informants, witnesses or committee members should be reported immediately to the RIO, who shall review the matter, and take all reasonable and practical efforts to counter this as necessary. The RIO and other institutional officers shall also make all reasonable and practical efforts to protect or restore the reputation of the person accused if no finding of research misconduct is made.

Further documentation:

- The full relevant policy can be found on <https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=12&policyNumber=211> or search EP12.211 on <https://www.hawaii.edu/policy/>

To report a suspected research misconduct:

- Reports must contain enough information to be considered specific and credible. Report what you know, but do not investigate yourself. Report should include: name of respondent(s); name of whistle-blowers(s) (if wish to be identified); names of witnesses; description of misconduct; when misconduct occurred; supporting documentation; grand number or title (if known); and funding source (if known).
- See more at: <https://researchcompliance.hawaii.edu/programs/research-integrity/report-research-misconduct/>

Academic Grievances

It is the policy of the UHM, that faculty and students of UHM be provided consistent and equitable treatment in resolving disputes arising from the academic relationship between faculty and student(s). The applicability of this policy is limited to those issues directly associated and concomitant with the faculty member's responsibilities as a teacher and the student's responsibilities as a learner. For matters involving alleged academic dishonesty the Student Conduct Code should be consulted.

Misconduct includes failure of faculty to meet the responsibilities stated in the linked document, for example:

- To provide students equitable and unbiased treatment in an educational climate free from harassment and discrimination.

- To provide students with sufficient and timely information, in writing, on the standards they are expected to meet and the procedures used to evaluate their achievements in their academic program.
- To provide students timely evaluation in a fair, objective, and consistent manner.

Further documentation:

- Academic Grievance Procedures: http://studentaffairs.manoa.hawaii.edu/policies/academic_grievance/

Addressing Grievances:

Attempt an informal resolution with the faculty member. The student may wish to consult, in this order, the Department Chairperson or Graduate Faculty Chairperson, the Office of Student Conduct, and/or the Dean of Students.

If an informal resolution is not satisfactory, the student should prepare a formal complaint in writing, indicate the facts, specific violations, and the remedy sought. The complaint is presented to the Department or Graduate Faculty Chair, as appropriate. Details of the process to be followed by the chair are in the linked document*. Failing a satisfactory resolution, the grievance can be appealed to the Office of Student Conduct, to be addressed by the Academic Grievance Committee.

Graduate Student Grievances

These policies and procedures apply to grievance situations unique to graduate students, between the student and their program. Such grievances may involve:

- Specific graduate program requirements (including adequate academic progress),-
- Qualifying and comprehensive exams, -
- Formation and composition of the thesis or dissertation committee, -
- Final defense of the thesis or dissertation; and, -
- Infringement of intellectual property.

Misconduct covered by this policy includes failure to fulfill graduate faculty responsibilities, including but not limited to:

- Accessible to all students under their guidance;
- Be candid and fair in their relations with students and avoiding demeaning conduct;
- Avoid an abuse of power;
- Adhere to academic senate and grad division policies concerning co-authorship; and
- Provide an educational climate free from discrimination or harassment.

Further documentation:

- Graduate Student Grievances guide - <https://manoa.hawaii.edu/graduate/graduate-student-grievances/>

- Graduate Faculty Standards and Responsibilities - <https://manoa.hawaii.edu/graduate/standards-responsibilities/>

Addressing Grievances:

First make a good faith effort at informal conflict resolution, using available campus resources.

The graduate student shall attempt, insofar as possible, to resolve the problem with the faculty member(s) involved. In the attempt to resolve the matter with the faculty member, the student may wish to consult, in the following suggested order: 1) the Graduate Chair; 2) the Department Chair; 3) the Dean or Associate Dean of the Academic Unit in which the graduate student is enrolled; and/or 4) the Dean or Associate Dean of Graduate Division. In addition, any combination of the above may be approached to assist in an informal resolution.

During the informal stage of conflict resolution, the Graduate Dean and the Associate Graduate Dean provide counseling and guidance, and assist with informal resolution of the conflict. However, once a formal grievance is filed, the Graduate Division becomes the official arbitrator and must remain impartial to all parties involved in the conflict.

The GSO Executive Council supports graduate students during both the stages of informal conflict resolution and formal grievance.

For issues pertaining to discrimination contact EEO/AA, sexual harassment or assault contact Office of Title IX.

Formal grievance: If informal resolution is not satisfactory, the student can file a written grievance with the Graduate Chair (see link above for the process). If this is not deemed satisfactory then the student can appeal to the Dean of the academic unit followed by the Graduate Dean, who will form a Graduate Grievance Committee.

Contact information for reporting misconduct

Issue	Office	Phone	Email / Website
Workplace Violence	Human Resources	(808) 956-8458	OHR website
Workplace Violence	Office of the Vice President for Administration	(808) 956-6405	vpadmin@hawaii.edu

Title IX	Office of Institutional Equity (OIE)	(808) 956-8629	equity@hawaii.edu
Student Misconduct	Office of the Associate Vice President for Student Affairs	(808) 956-8753	avpsa@hawaii.edu
Research Misconduct	Office of the Vice President for Research and Innovation	(808) 956-5006	uhovpri@hawaii.edu
Research Misconduct	UH Research Integrity Officer: Victoria Rivera		uhrio@hawaii.edu
Academic Grievances	Office of Student Conduct	(808) 956-2537	osc@hawaii.edu
Academic Grievances	Dean of Students	(808) 956-3290	vcs@hawaii.edu
Graduate Student Grievances	Office of the Dean of Graduate Division	(808) 956-7541	
Graduate Student Grievances	Office of the Associate Dean of Graduate Division	(808) 956-8950	
Graduate Student Grievances (Support)	Graduate Student Organization (GSO) Executive Council		GSO Executive Council Members

Harassment and Discrimination (Each Campus)	Equal Opportunity Office / Affirmative Action (EEO/AA)		EEO/AA Campus coordinators
Harassment and Discrimination (Mānoa Campus)	Equal Opportunity Office / Affirmative Action (EEO/AA) Interim Director: Jennifer Stotter	(808) 956-7077	eeo@hawaii.edu
Harassment and Discrimination (Mānoa Manoa Students)	EEO Coordinator for Students: Lori Ideta	(808) 956-3290	vcs@hawaii.edu
KOKUA Program/ADA compliance	EEO Coordinator for ADA:	(808) 956-7077	kokua@hawaii.edu