

# **Reverend Dainei Page Appelbaum**

Dharma Transmission on June 28, 2015  
At Ryumonji Zen Monastery by  
The Reverend Shoken Wincoff, Roshi  
Abbot

Zuise. October 28, 2015

Guiding Teacher

**Iowa City Zen Center**

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## Statement of Ethics

### Prologue

As a Soto Zen priest and member of the Soto Zen Buddhist Association, I have committed myself to living an ethical life. Central to this vow is my effort to provide a safe haven in which I, my students, and all who are exploring the Zen path, may explore our true nature. The 16 Bodhisattva Precepts are the basic principle of my approach to ethics and the hallmark of Zen Buddhism

The following are the Vows I have received:

The Three Refuges: I take refuge in the Buddha

I take refuge in the Dharma

I take refuge in the Sangha

I take refuge in the Buddha as the perfect teacher

I take refuge in the Dharma as the complete teaching

I take refuge in the Sangha as the community

I have completely taken refuge in the Buddha

I have completely taken refuge in the Sangha.

The Three Pure Precepts: With purity of heart, I vow to abstain from the unwholesome.

With purity of heart, I vow to do the wholesome.

With purity of heart, I vow to benefit all beings.

The Ten Prohibitory Precepts: A disciple of the Buddha abstains from willful taking of life.

A disciple of the Buddha abstains from stealing.

A disciple of the Buddha abstains from indulging in sexual greed.

A disciple of the Buddha abstains from telling lies.

A disciple of the Buddha abstains from indulging in harmful intoxicants or drugs.

A disciple of the Buddha abstains from speaking ill of

others.

A disciple of the Buddha abstains from extolling the self  
slandering others.

while

A disciple of the Buddha abstains from being avaricious in  
the bestowal of teachings or materials.

A disciple of the Buddha abstains from the harboring of  
hatred, malice or ill-will.

triple

A disciple of the Buddha abstains from denouncing the  
Treasure.

From now on and even after acquiring Buddhahood, I will continuously observe them. It is my sincere intention to align my life continually in accord with these precepts.

## Ethic Standards, Teacher Relationships, and Grievance Procedures

While the Sixteen Bodhisattva Precepts are the foundation of my vows, I recognize that ethics standards and guidelines are needed to provide commentary and processes for addressing difficult situations that may arise in my interactions with others.

### Teacher / Student Relationships

The teacher student relationship is founded on deep trust and respect that is the mutual responsibility of both parties to honor. However, the authority of the teacher carries with it an increased responsibility to avoid situations and actions that could result in harm to the student, the community or the teacher him or herself. I recognize that harm may result if a teacher and student become sexually or inappropriately emotionally involved, or if a teacher violates trust, or uses power or position for personal ends.

I commit to conduct relationships in accord with the Bodhisattva precepts. Because of this commitment, the responsibility for maintaining appropriate and clear boundaries always rests with the teacher. I will respect and protect the personal autonomy of all students, and refrain from sexual involvement with students. Should I as a teacher feel unable to uphold this standard, I will seek guidance and counsel from my teacher, a senior teacher in my lineage and/or a senior teacher from the broader community. It is recommended that the student involved also seek guidance.

### Confidentiality

Matters discussed in individual meetings with me as the teacher are kept in confidence when confidentiality is requested and agreed to, except as may be required by law. Students are encouraged not to engage in idle talk about matters discussed in teacher-student meetings.

There may be circumstances in which it is necessary for a teacher to consult a professional for legal or psychological expertise. It may be necessary to disclose confidential information in the context of such a consultation. Such consultations are also kept in confidence and are only undertaken in the interest of the Sangha and the student.

### Use of Power and Position

I recognize that individuals in positions of confidence or trust must not misuse status or authority to achieve privileges or other consideration, or to inappropriately influence others.

If I am entrusted with handling funds or assets on behalf of practitioners, I bear responsibility to provide accountable and transparent stewardship.

I recognize that in my position of authority, my behavior with drugs, alcohol and all intoxicants must be in alignment with the precepts. Abuse of intoxicants is an ethical violation and is subject to the procedures outlined below.

## Procedures for addressing ethical concerns:

The following procedure can be adapted to address the concerns of individuals or groups of practitioners under the guidance of a teacher but without an Administrative Board or Board of Directors.

### Ethics Procedures Part 1

If a student brings forward a concern, it may be addressed directly with me as the teacher. It may also be wise for the student to discuss this with other senior students, or with another qualified teacher to assist in discernment and in resolution of the concern.

### Informal Ethical Process

If a matter of importance concerning ethical guidelines or practices arises, it may be brought to my attention as the teacher, and/or another qualified teacher.

### Formal Ethical Hearing Process

If matters of importance are not able to be informally resolved, a Hearing Panel may be convened to implement a Formal Process. The Panel may consist of a person selected by me, a person selected by the student, and a third person selected by the two other Hearing Panel members, the Ethical Designee. Each member of the panel must be without actual or apparent bias or conflict of interest.

1. Bringing a Concern A Formal Process is initiated by communicating in writing with the Ethical Designee. This "letter of request" must include:

- · A clear statement that a formal ethical hearing process is requested.
- · The name of the person(s) to whom the matter pertains.
- · A description of the alleged matter sufficient enough to allow the Ethical Designee to decide whether the matter is appropriate for a formal hearing process.
- · A description of prior attempts to resolve the matter.
- · A statement of the resolution sought.

2. Accepting a Concern Once the Ethical Designee has received a letter of request, the Ethical Designee, will, within 30 days convey to the requester the acceptance or non-acceptance of the matter for formal hearing. In the event the matter is accepted for formal hearing, the Ethical Designee will also notify persons named in the Letter of Request, as appropriate.

3. Convening the Hearing Panel Once the parties have been notified, the Ethical Designee will convene the meeting. One panelist chairs the hearing and insures that a record of the hearing is maintained.

4. Hearing the Concern The chair schedules a private hearing for the persons involved

to have a full and fair opportunity to present their understanding of the matter at hearing. The Panel may ask questions and request information. The panel will also hear from me, the teacher, and from any other parties involved.

5. Hearing Panel Decision Once the Hearing Panel determines that it is sufficiently informed of the matter(s) heard, it will close the hearing and deliberate. As soon as reasonably practicable, the panel will issue a written decision and distribute it as appropriate.

#### 6. Partial List of Possible Resolutions by a Hearing Panel

This is a partial list of possible resolutions intended to encourage open-minded and creative decisions. While it is not possible to anticipate every kind of situation which might require resolution, this format hopes to ensure a process that benefits all. The findings could apply to either the teacher or the practitioner.

- • Finding of no ethical breach while acknowledging the existence of a problem which needs resolution elsewhere.
- • Reversal of an administrative decision or action.
- • Direct or mediated private apology.
- • Apology to the community.
- • Follow-up meetings with the head teacher.
- • Recommended education or training or intervention program (e.g. therapy or relevant 12-step program).
- • Private reprimand.
- • Public censure. The findings and action of the Hearing Panel as well as the reprimand, are made public to the Sangha.
- • Period of probation, with probationary terms set by the Hearing Panel.
- • Suspension or dismissal from position of responsibility in the Sangha.
- • Suspension from teaching for a period of time. A suspension should stipulate the conditions by which a person may commence teaching.
- • Limiting the decision simply to whether or not an ethical transgression occurred.

## Ethical Violations and Members' Obligations to the SZBA

As a teacher within the Zen Buddhist community I have a special responsibility to ensure a safe teaching environment for my students and sangha members.

Specifically, I, as a Member or an Associate Member of the SZBA, am bound by these principles:

1. **Self-reporting Clause:** If a Member or Associate Member has been found by the member's sangha/temple to be in violation of its ethical guidelines, s/he must report this to appropriate authorities in accordance with state law and to the Grievance Committee of the SZBA for review. The member may be subject to suspension of Membership. Should the member not report, their sangha/temple should do so. If no sangha/temple member reports, a member not affiliated with the temple may report the violation to the Grievance Committee of the SZBA.
2. **Illegal Activity Clause:** Any Member or Associate Member convicted of a felony will be subject to review of their membership by the Grievance Committee. When all legal obligations have been met as determined by the judicial system, the member may apply for re-instatement.
3. **Diversity Clause:** The Members and Associate Members of the SZBA are committed to actively seeking harmony within such differences as race, class, gender, age, ability, sexual orientation, and other forms of cultural identity.

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Signed

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Date