This is what was found by EES at Earth and Environmental Science on policies for handling complaints, the reporting process, resources, and possible outcomes. Some information was public; answers that were only found through follow up with contacts are noted.

- The link(s) to the reporting policy at our organization are here:
  - SAS Graduate Group Report Form – School of Arts and Sciences Graduate Group Review Student Feedback Form.
    - To be used for academic grievances.
  - Office of Affirmative Action and Equal Opportunity – University-wide reporting forms including:
    - Bias Reporting Incident Form
    - Staff Affirmative Action Compliance Form
    - Voluntary Self ID Form
    - PennPeople Demographics Collection Portal
    - To be used for affirmative action/equal opportunity grievances.
  - Office of the Vice Provost and Dean’s Office or the Vice Provost for Education
    - To be used for administrative grievances.
    - There are no forms easily accessible but the following telephone numbers were provided, respectively:
      - 215-898-6081
      - 215-898-7225
  - Restorative Practices at Penn from Office of Student Conduct
    - To be used for personal grievances.
    - “….provides safe, confidential opportunities for members of the Penn community to discuss strategies for resolving conflict on their own and/or working with a neutral facilitator to resolve conflict among participants.”
  - Associate Vice President for Equity and Title IX Officer (AVP)
    - To be used for sexual misconduct grievances.
    - Oversees the investigation of complaints against Penn faculty, staff and enrolled students alleging violations of the Sexual Misconduct Policy.
  - Unclear if forms are reviewed or how policies can be changed. The following statement is listed:
    - “We ask your assistance in helping us to meet our federal compliance obligations of monitoring our hire, internal hire and transfer processes.” This seems to specifically address compliance with Affirmative Action.
Some policies may be subject to federal regulation. Internal policies may be the most vulnerable to change.

- Rates of reporting do not seem to be easily accessible.
  - Rates of reporting have been shared in presentations by Office of Affirmative Action, Title IX Office, and Division of Public Safety
  - It is confirmed and noted here that the Earth and Environmental Science Department does not have any internal reporting forms or resources.

- Report on mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism.
  - There are no current mechanisms for formally reporting complains, bias, microaggressions, harassment, or overt racism in the Earth and Environmental Science Department.
  - There are resources listed above for reporting complaints, bias, harassment, and overt racism through institution-level offices.
    - Sexual misconduct reports can be made by anyone if the alleged behavior occurred on University of Pennsylvania education settings or workplaces. The terms for bias and racism reporting within and outside of the Penn community are unclear.
  - The designated position for reporting instances in the department is the Graduate Coordinator or Department Chair.
  - We recommend an internal report form is created for the Earth and Environmental Science Department which prioritizes:
    - Anonymity
    - CDEIC feedback in course evaluations
  - Reports can be made online for the SAS Graduate Group and through the Office of Affirmative Action for bias.
    - The SAS Graduate Group Review form and bias report form through OAA can be submitted anonymously
    - Anonymous reports of sexual misconduct can be made through the following avenues:
      - Phone: 215-P-COMPLY (215-726-6759)
      - Web portal: 215-P-COMPLY which is protected through EthicsPoint system software.
  - Informal in-person reports within the department go to the Graduate Chair or Department Chair. Online reports go to their respective offices within the University.
    - Those with access to reports are not publicly listed.
We recommend the following resources for the Earth and Environmental Science community through both the department website and within the Graduate Guide so community members can gather information, receive counseling, and support without making a report to the AVP for Equity and Title IX Officer:

- African-American Resource Center (AARC)
- Counseling & Psychological Services (CAPS)
- Employee Assistance Program (EAP)
- Lesbian Gay Bisexual Transgender (LGBT) Center
- Office of the Ombuds
- Office of the University Chaplain
- Penn Violence Prevention (PVP)
- Penn Women’s Center (PWC)
- Special Services Department, Division of Public Safety
- Student Health Service (SHS)

The Division of Public Safety is included in the harassment and sexual misconduct investigation as necessary.

It is confirmed and noted here that individuals are not accompanied by an advocate or someone from the organization when filing any complaint within the department.

Outcomes or consequences for reported individuals is dependent on the outcome of the investigation conducted by the office through which the complaint was filed.

- It is noted here that the consequences for advisor/advisee conflicts falls predominantly on the advisee in this department.
- It is noted here that there are no formal consequences outlined for reported individuals within this department.
- We recommend mandatory consequences for reported individuals not limited to but including:
  - Review by supervising individual.
  - Training to address bias, microaggressions, harassment, and overt racism.
  - Disciplinary action including but not limited to limits to promotion and tenure.
  - In extreme cases, termination.

We recommend that
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- those who decide outcomes and consequences are transparent and will recuse themselves in instances of conflict of interest
- and the process is detailed through a standardized and transparent rubric
- and all reports will be tracked
- and a quantitative history of reports will be publicly available with names and identifying information redacted.

- **We recommend that department complains are escalated to a disciplinary board that is reflective and consistent with other institutional processes and existing disciplinary boards.**

**Resources available for individuals reporting include:**

- Counseling and Psychological Services (CAPS) includes the following support services:
  - Immediate: 215-898-7021 and Press 1 to talk to a clinician 24/7
  - Let's Talk Session to address issues without an appointment.
  - Asian Mental Health Collective

- It is noted here that there is not an automatic or requested investigation of potential impact on grades or evaluations within the department.
- **It is noted here that there is no formal protection against retaliation or repercussions, accommodations for continuing work/courses, option for pass/fail or outside assessment.**

**Resources available to groups raising issues or proposing changes:**

- There are biannual town hall meetings with the Graduate Coordinator to raise issues and propose changes.
  - **It is noted here that there is no formal avenue for follow up on issues raised or changed proposed.**
- **We recommend the department institute the following policies:**
  - A petition of 30 signatures will trigger a town hall meeting with organizational leadership
  - A 30-day response period for leadership to follow-up with individuals and groups on issues raised or changes proposed formally.
- One member from each group within the department can be elected to serve on the Committee on Diversity, Equity, and Inclusion (CDEIC).
  - It is unclear if this committee has the power to change or propose changes to policy.
- The following cultural surveys have been distributed to the department:
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- A cultural survey through School of Arts and Science Student Government.
- Cultural surveys have been distributed to the graduate student body annually.
- A cultural survey was distributed to the department after the high-profile incident of the murder of George Floyd and the formation of the CDEIC.
  - Leadership proactively asks students and/or staff for input on how to improve but without meaningful follow-up addressing specific inputs.