URGE Complaints and Reporting Policy for University/Organization

This is what was found by Plant and Environmental Sciences Lab (PEIL) at University of California Davis 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:**
  - UC Davis Administrative Policy Manual: “This policy describes the resources and processes available to address disruptive, threatening, or violent behavior in the workplace, including definitions and procedures for reporting and responding to reports.” [https://ucdavispolicy.ellucid.com/documents/view/39/59/](https://ucdavispolicy.ellucid.com/documents/view/39/59/)
  - The Harassment & Discrimination Assistance and Prevention Program website [https://hdapp.sf.ucdavis.edu/](https://hdapp.sf.ucdavis.edu/) has the most comprehensive resources and information about reporting incidences of discrimination and hate/bias
  - PEIL Code of Conduct: This is provided at the end of this document.
  - The Department of Earth and Planetary Sciences has the following reporting guidance, incorporated into our Diversity Statement: “If any action by a member of our community is discriminatory or shows disrespect, the action should be brought to the attention of the Chair, office manager, or a trusted member of the faculty. Such actions can also be reported to the University administration (http://reporthateandbias.ucdavis.edu).”
  - From the Plant Science department, they don’t seem to have an explicit reporting policy. What they do instead is provide a list with university level resources from the department held DEI page [https://www.plantsciences.ucdavis.edu/diversity-equity-and-inclusion](https://www.plantsciences.ucdavis.edu/diversity-equity-and-inclusion)
    Reporting resources they provide:
    UC Davis website for confidentially reporting hate and bias: [https://reporthateandbias.ucdavis.edu/](https://reporthateandbias.ucdavis.edu/)
    Harassment & Discrimination Assistance and Prevention [https://hdapp.ucdavis.edu/about-us](https://hdapp.ucdavis.edu/about-us)
    As well as trainings, webinars, and DEI organizations across UC Davis. Including this Anti-racism syllabus at UC Davis: [https://diversity.ucdavis.edu/anti-racism-syllabus](https://diversity.ucdavis.edu/anti-racism-syllabus)
From the Plant Sciences HR perspective (https://plsdeptresources.ucdavis.edu/human-resources) *Just a note but injury reporting is front and center on their HR page, but not any other type of reporting.

○ Are reporting policies regularly reviewed? What is the process for changing policy?
We could not find information about this. It may be that we would have to discuss with the director of the reporting program about how to change the policies.
○ Are the rates of reporting made publicly available (e.g. # of reports each year)?
There is no publicly available information on the rates of reporting at the university, college or department level.

● What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?
   “The University of California, Davis takes reports of hate, bias, harassment, and discrimination very seriously. UC Davis has institutional policies and principles in place that strive to maintain an inclusive and diverse work and learning environment free of hate and bias.”

○ How easy is it to find information on how to report?
At the Department/College level, On the Department of Plant Sciences and College of Agricultural and Environmental Sciences websites, under the header there is a clear and obvious link to “Racial Trauma Resources”. There is no such link for the Department of Viticulture and Enology.

At the university level, The Harassment & Discrimination Assistance and Prevention Program handles complaints and seems to be the centralized resource that other units refer to. Their website is easy to use and they have a specific racial/bias report portal. The difficulty seems to be knowing that there is a university specific program, and making sure that department personnel know that so they can refer people to the program.

○ Who are the designated individuals/positions for reporting incidents?
   - The Director—Harassment and Discrimination Assistance and Prevention Program (HDAPP), (530) 752-9255; http://hdapp.ucdavis.edu).
   - The Discrimination Complaint Coordinator (UCDHS) 916-734-5335.
   - The Chief Compliance Officer (530) 752-9466.
- Any department chair, manager, supervisor, academic personnel coordinator, student conduct coordinator or human resource coordinator. These are considered responsible employees and are mandatory reporters

○ How can I report an incident or find more information?
Harassment & Discrimination Assistance and Prevention Program
Reports can be made anonymously, in-person and phone reporting, and online and mail.

Report Hate and Bias
Reports can be made using an online form, email (hdapp@ucdavis.edu), phone: 530-747-3864 (Davis) or 916-734-3417 (Sacramento), in-person (appointment recommended, 207 3rd Street, Suite 210, Davis, CA 95616 Ticon III/UCDH, 2730 Stockton Blvd, #2200, Sacramento, CA 95817). Anonymous reporting options include https://hdapp.sf.ucdavis.edu/report-incident for different reporting options. Anonymous reporting may make it more difficult to get a resolution.

○ Who do in-person and online reports go to? Who has access to see reports?
The Harassment & Discrimination Assistance and Prevention Program (HDAPP). If reporting in-person, making an appointment is recommended to ensure someone will be available. The reports are stored internally in their databases and they are kept separate from personnel records.

Inquiries may also be directed to The Assistant Secretary for Civil Rights of the Department of Education, San Francisco Office, U.S. Department of Education 50 Beale Street, Suite 7200, San Francisco, CA 94105, (415) 486-5555, OCR.SanFrancisco@ed.gov

○ Are police included in the process? When and how? Are individuals accompanied by an advocate or someone from the organization?
HDAPP does not notify law enforcement when a report has been made. You are able to report to law enforcement yourself at any time in the process.

● What are the outcomes or consequences for reported individuals?
○ Who decides the outcomes/consequences? What is the process?
The Chief Compliance Officer is the main person but there may be staff below this person to help facilitate the early stages of the process. There may be preventative measures used to prevent further incidence from occurring such as training, mediation
(a few options are described), separating individuals, negotiating a disciplinary agreement, counseling.

For formal investigations that can’t be resolved using preventative measures, there is a formal investigation then more information is gathered by the Chief Compliance Officer including interviews with involved parties and if it’s found that policy was violated appropriate (not really defined) disciplinary action will be taken against the reported individual.

○ *Are reports tracked? How are they tracked? By who?*
Reports are tracked internally by the HDAPP database and the staff in that program/The Chief Compliance Officer are responsible.

○ *Are repeated complaints escalated to a disciplinary board? What is the process?*
That isn’t clear but they do say that if they find that an incident is of concern to the safety of the campus community then they will escalate it further. Hopefully this means that they are aware when individuals have multiple reports using their database and take action appropriately.

**What resources are available for individuals reporting?**

- Counselling: Academic and Staff Assistance Program, Student Health and Counselling Services.
- The University prohibits Retaliation. If you believe you are experiencing retaliation, please report it immediately to HDAPP.
- There is a whole list of resources on the HDAPP website https://hdapp.sf.ucdavis.edu/resources and potential supportive/remedial measures https://hdapp.sf.ucdavis.edu/supportive-measures. From past experience as a TA when there was a Title IX case, the Title IX officer supported the student in dealing with issues around grades and contacting instructors. It is not clear on the website if that is the same for racial bias/discrimination but they are housed in the same office so hopefully they would do the same for students/staff.

**What resources are available to groups raising issues or proposing changes?**

- This seems to be less clear. There are lots of links on the website and examples of actions that can be taken. For example, if faculty are including potentially sensitive course material that could be problematic, they should address it early on with students and give a full explanation and be open to student feedback around it. But it’s really not clear what groups can do to propose change specifically around this issue.
PEIL Code of Conduct

The primary goal of this lab is to make you feel safe, secure, and supported. We are a team. Academics get judged – consciously or subconsciously – not just on the work they do, but also on the work of the people and groups they are associated with. As such, we should all be supportive of one another. We will confront and reject all manifestations of discrimination, including those based on race, ethnicity, gender and gender expression, age, visible and non-visible disability, nationality, sexual orientation, citizenship status, veteran status, religious/non-religious, spiritual, or political beliefs, socio-economic class, status within or outside the university, or any of the other differences among people which have been excuses for misunderstanding, dissension or hatred. Diversity, equity and inclusion have benefits to us all (see section on DEI below). The more diverse set of backgrounds, experiences, perspectives, and ideas we can collectively draw on the stronger we are. Importantly, the benefits of diversity and equality cannot be fully achieved without creating an inclusive environment. To this end, we uphold all members of the lab to the following code of conduct:

- All communication, including over #slack, emails, in-person or over zoom will be appropriate for professional audiences.
- Harassment or discrimination will not be tolerated, period.
- Harassment includes offensive verbal comments related to gender, sexual orientation, disability, physical appearance, body size, race, religion, sexual images in public spaces, deliberate intimidation, stalking, following, harassing photography or recording, sustained disruption of discussions, inappropriate physical contact, and unwelcome sexual attention.
- Sexual language and imagery is not appropriate at any time, whether directed at an individual or to the broader group.
- Participants asked to stop any harassing behavior are expected to comply immediately.
- Disagreements will occur. Be sure to listen to the other’s side and be respectful. This includes things like ‘mansplaining.’ Or talking down or talking over to any member of the lab group.
- Contribute to discussions in meetings with a constructive, positive approach
- Everyone here is smart. There is no need to prove yourself. Instead, be nice.
- The success of the individual is only as strong as the collective success of the team.

Troy will discuss the Code of Conduct with lab members who violate these rules, no matter how much they contribute to the lab, i.e. visiting scholars, undergraduates, etc. If inappropriate behavior persists after this initial discussion, formal processes - in line with UC Davis’s policies (see below) - will commence. To report an issue, please contact Troy; all communication will be treated as confidential. Be aware that for many issues, your PI may not be legally allowed to discuss issues with you. If this is the case, Troy will refer you to HR processes below.