

URGE

Unlearning Racism in Geoscience

URGE Complaints and Reporting Policy for University/Organization – Deliverable 2

This is what was found by JPL Earth Sciences Pod at the Jet Propulsion Laboratory 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:**
 - <https://hr.jpl.nasa.gov/policies-forms/> - JPL Policies
 - http://hr.caltech.edu/documents/2641/caltech_institute_policy-unlawful_harassment.pdf - Caltech description of harassment policy, resources, and links to description of procedures for complaints
 - https://hr.caltech.edu/documents/2704/caltech_institute_procedure-procedures_for_complaints_of_unlawful_discrimination_harassment_and_retaliation.pdf - Description of the complaint procedure, review process, and formal investigation steps
 - Note: Faculty, managers, supervisors, and administrators have a duty to promptly report all alleged unlawful discrimination, harassment, and retaliation, regardless of its alleged severity or frequency, to the Equity and Title IX Office at campus or Human Resources at JPL, which will provide guidance and advice.
 - Procedures will be distributed annually or in the case that significant revisions are made.
 - Exceptions to or modifications of the procedures can be made by the associate Caltech Vice President for Human Resources or the Director for Human Resources at JPL.
 - No information on reporting rates is made publicly available

- **What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?**
 - Who are the designated individuals/positions for reporting incidents?
 - Staff members at JPL may contact their immediate supervisors.
 - JPL Protective Services Division's Workplace Violence Hotline (818) 393-2851
 - Any member of the Institute may direct questions regarding research integrity to the Campus Office of Research Compliance or the JPL Office of the Chief Scientist.
 - Any member of the Institute may direct questions to Human Resources, JPL's Ethics Office, Audit Services and Institute Compliance, and the Office of General Counsel.
 - Can reports be made online? Where? **Yes**, <https://asic.sites.caltech.edu/caltech-hotline/contact> or through the Title IX reporting system at:



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https://forms.office.com/Pages/ResponsePage.aspx?id=2elb_XJ7-U2DDrH5zFtEvZRPR0vy3qFCqu0tMamIMplUNThMTkdSWU1JVVMRkhPU09USIA2QIBQNC4u ,

Anonymously? **Yes, by omitting name and identifying information from the report**

- Who do in-person and online reports go to? Who has access to see reports?
“Not publicly listed/Unknown” Information related to a report of harassment will only be shared with those individuals who have a “need to know.” The determination of who has a “need to know” is within the discretion of Caltech. Results of any investigations will be reported to the appropriate manager or supervisor.
- Employees who believe they have been unlawfully harassed on the basis of a protected characteristic also have the right to file a complaint outside of JPL, with the federal Equal Employment Opportunity Commission or the California Department of Fair Employment and Housing, which have the authority to remedy violations.

- **What are the outcomes or consequences for reported individuals?**
 - https://hr.caltech.edu/documents/2704/caltech_institute_procedure-procedures_for_complaints_of_unlawful_discrimination_harassment_and_retaliation.pdf -procedures that are followed for complaints about unlawful discrimination
 - The respondent will each be notified of the allegations to be investigated and given an opportunity to be interviewed regarding the allegations and may suggest witnesses or information to the investigator(s). (Legal counsel not permitted and investigatory meetings are not recorded.)
 - The investigator(s) will reach findings and conclusions in the case, and will report these to the appropriate manager or supervisor, and then the complainant and the respondent will be notified of the outcome. Such notice shall include the option to appeal.
 - Investigative files are confidential and will be maintained in a file separate from an individual’s personnel file. Disciplinary action taken as a result of an investigation will be included in the personnel file.
 - Exceptions to or modifications of these procedures can be made by the Director for Human Resources at JPL.
 - The decision maker(s) will review the findings, conclusions, and recommendations, and determine appropriate actions in consultation with the Human Resources.
 - Both the complainant and the respondent will be informed of the findings and notified when appropriate action has been taken. If a violation of Institute policy or other inappropriate conduct occurred, appropriate corrective action will be taken. Depending on the severity of the case, these include: verbal counseling, a formal written warning, removal from a supervisory position, and, in appropriate cases, termination of employment.



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- The complainant should immediately report if the corrective action does not end the unlawful discrimination or harassment, or if new or continuing unlawful discrimination or harassment occurs. In such cases, the complainant has the right to file another complaint

- **What resources are available for individuals reporting?**
 - If a member of the Caltech community would like support and guidance in filing a complaint, they may contact one of the Equal Employment Opportunity coordinators, the assistant vice president for equity and equity investigations in the Equity and Title IX Office, JPL's manager of employee relations, or the JPL section manager of talent management or Human Resources Business Partners at JPL.
 - JPL equal Employment Opportunity coordinator (EEO coordinators) is the director for human resources (<https://equity.caltech.edu/jpl>)
 - Caltech's Title IX coordinator. The contact number is (626) 395-3132, email: TitleIXCoordinator@caltech.edu, or visit the office in Room 205, Center for Student Services.
 - More information and helpful links at: <https://equity.caltech.edu/>
 - JPL's Anonymous Ethics Line (818.354.9999, or toll free 866.405.7536)
 - JPL student interns experiencing harassment, can call the anonymous report hotline at (888) 395-8787 or contact the student HR Business Partner at (818) 354-7506.
 - Caltech resource chart for on and off-campus support: https://equity.caltech.edu/documents/16443/Resources_Chart_08-20.pdf
 - For JPL employees, to get confidential counselling and advice: (800) 367-7474, or go to Empathia and identify yourself as a JPL employee using <https://www.mylifematters.com/> (Password: JPL), or by connecting through <https://hr.jpl.nasa.gov/benefits-wellness/>
 - Members of the Caltech community can choose to talk to the Caltech Center for Inclusion and Diversity (currently Taso Dimitriadis or Erin-Kate Esocobar), whom Caltech has designed as confidential resources to provide experienced insight, advice, and support regarding diversity issues, especially those affecting the LGBTQ+ community. They are not required by Caltech to report what you tell them to the Equity and Title IX Office.
 - A policy against retaliation is described in the Caltech institute policy linked above.

- **What resources are available to groups raising issues or proposing changes?**
 - The JPL Inclusion Advisory Committee (<https://inclusion.jpl.nasa.gov/inclusion-advisory-committee/>) is the JPL task force for incorporation of policies that support diversity and inclusion. They strive to



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support an organizational culture and climate that is in alignment with JPL values, ensure that every voice is valued and employees have a sense of belonging and connection with one another and to JPL, and empower employees to do their best work in an inclusive environment that values and supports diversity and seeks to build diverse talent pipelines and opportunities. This committee reports to the JPL Executive Council (EC) bi-annually and conducts a self-assessment yearly.

- Sets annual action plan and laboratory priorities for inclusion and diversity
- Creates opportunities for employees to provide feedback to JPL EC and management (conducts surveys and organizes employee forums)
- Formulates recommendations for the development or modification of policies and practices that support inclusion and diversity.
- Communicate to the lab about opportunities for personal education/training or opportunities for outreach that promote diversity and inclusion
- The current action plan is located at:
<https://inclusion.jpl.nasa.gov/action-plan-updates/>