

URGE Complaints and Reporting Policy for DAPS / NAU

These are policies for handling complaints, the reporting process, resources, and possible outcomes for Northern Arizona University (NAU) found by [NAU Astronomy and Planetary Science URGE Pod](#). Some information was public; answers that were only found through follow up with contacts are noted.

- **The link(s) to the reporting policy at Northern Arizona University:**
 - NAU-wide:
 - [Link](#) - Equity and Access Office: Complaints of discrimination or harassment
 - [Link](#) - Office of the Dean of Students: Report a concern or incident
 - [Link](#) - Student Code of Conduct (Prohibited conduct, consequences)
 - DAPS Grads:
 - [Link](#) - Dept. of Astronomy and Planetary Science Graduate Student Handbook
 - *Are reporting policies regularly reviewed? What is the process for changing policy?*
 - *Are the rates of reporting made publicly available (e.g. # of reports each year)?*
 - [Link](#) - University Policy Library has info about changing policy
 - We did not find specifics about rates of reporting in either case
- **What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?**
 - *Who are the designated individuals/positions for reporting incidents?*
 - NAU-wide: Department Chair, Dean of the College of the Environment, Forestry, and Natural Sciences (CEFNS), Dean of Students
 - DAPS Grads: Work up “chain of command” (defined as: student’s faculty advisor; dissertation committee members; department Graduate Coordinator and/or Graduate Program Committee; Department Chair; Dean of CEFNS, Associate Dean of the Graduate College)
 - *Can reports be made online? Where? Anonymously?*
 - [Link](#) - Office of the Dean of Students Incident Report (online, can be anon)
 - [Link](#) - Equity and Access Office Complaint Form (online, can be anon)
 - [Link](#) - DAPS Grads: Reports must be in writing (no official report outline or form). No specified mechanism for submitting an anonymous report.
 - *Who do in-person and online reports go to? Who has access to see reports?*
 - NAU-wide: Dean of Students / Equity and Access Office.
 - DAPS Grads: “Chain of command member”. Unclear where the report goes after it is submitted or who has access to the report (no formal process). Some reports fall under mandatory reporting to the Title IX office but this isn’t explicitly stated who mandatory reporters are and what reports fall under this umbrella.
 - *Are police included in the process? When and how? Are individuals accompanied by an advocate or someone from the organization?*
 - NAU-wide: “For acts that constitute alleged violation of the law..., a student may [also] be accountable to civil authorities” ([link](#))
 - DAPS Grads: No formal process exists, therefore it is unclear ([link](#)).
- **What are the outcomes or consequences for reported individuals?**

- *Follow-up by supervisor, training (bias, etc.), disciplinary action, termination.*
 - *Who decides the outcomes/consequences? What is the process?*
 - *Are reports tracked? Yes/No How are they tracked? By who?*
 - *Are repeated complaints escalated to a disciplinary board? What is the process?*
 - NAU-Wide: Definitions in Code of Conduct & CoC Procedures documents
 - [Link](#) - Student Code of Conduct (Prohibited conduct, consequences)
 - [Link](#) - Student Code of Conduct Procedures (how reports are assessed & resolved)
 - DAPS Grads: No formal process. Unclear what outcomes, consequences or tracking will be done in response to reports.
- **What resources are available for individuals reporting?**
 - *Counselors or advocates, especially those of the same race, ethnicity, and gender.*
 - *Automatic or requested investigation of potential impact on grades or evaluations.*
 - *Protection against retaliation or repercussions, accommodations for continuing work/courses, option for pass/fail or outside assessment.*
 - NAU-wide: we did not find specifics on this topic
 - DAPS grads: we did not find specifics on this topic
- **What resources are available to groups raising issues or proposing changes?**
 - *Petitions of # signatures trigger a town hall, meeting with organizational leadership, or policy change. What is the follow-up process for town halls and meetings?*
 - *Working groups or committees with power to change or propose changes to policy.*
 - *Cultural surveys, regular or only after wide-spread reports or high-profile incidents.*
 - *Leadership proactively asks students and/or staff for input on how to improve.*
 - NAU-Wide: [Link](#) - NAU University Policy Feedback Form
 - online suggestion form
 - can be anon but requires email address
 - comments are kept private
 - unclear when they are incorporated into review process or by whom
 - [Link](#) - University Policy Library
 - [Link](#) - University Policy on Policies
 - [Link](#) - University Policies Under Review
 - Policy Coordinator contact: policy@nau.edu, 928-523-0515
 - DAPS grads: Graduate handbook states:
 - Feedback can be provided to an advisor, the Graduate Student Representative to the Faculty, the Graduate Coordinator, the Graduate Program Committee, and/or the Department Chair. If possible, the Graduate Program Committee and/or Graduate Student Representative should be CC'd on communications to help ensure accountability.
 - Formal review of this document by the Graduate Program Committee and Graduate Student Representative should occur at least once / year.
 - No formal process for submitting feedback, unclear what formal review of the document entails