Complaints and Reporting Policy
UCR Enviro Sci + Earth and Planetary Sci Grad POD 2
URGE Pod Deliverable # 2
2/19/21

This is what was found by Pod 2 at the University of California Riverside 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 (*).

1.) The link(s) to the reporting policy at our organization are here:
   a.) Where to report a complaint and complaint reporting policies?
      i.) Information on the reporting policies and procedures for workplace conduct at UC Riverside for a number of different types of complaints can be found at this link and this link. Additionally the help@ucr will walk you through the process of reporting and submitting a complaint, depending on the nature of the complaint, and will indicate whether or not the complaint will remain confidential (if the office is a mandatory reporter). Many of the additional below discussed links can be accessed from the help@ucr page. The UCR complaint resolution and investigations page links you into other reporting resources, such as the email addresses for offices like Title IX and the Locally Designated Official (LDO) offices for reporting certain types of complaints, and the Ethicspoint anonymous UC wide whistleblower hotline where you can report violations of law or UC policy. You can also file a UC wide intolerance report here, where you can choose to remain anonymous and your report will be received by a neutral third party. Lastly, the Ombuds office can confidentially assist you in counseling you through and exploring the options available for submitting your complaint.
   b.) Filing a department specific complaint?
      i.) We were not able to find a department specific route of submitting a complaint. Although the Ethicspoint submission will have you specify the department where the incident occured. We suggest that it could be good to have a department specific Ombud person to assist students and staff in reporting a department specific complaint.
   c.) What is the process for complaint resolution and follow-up?
      i.) This process differs based on the avenue by which the report is submitted
         (1) For complaints filed via the title IX office: The process of complaint intake and resolution can be found here.
         (2) For complaints filed via the University of California's systemwide intolerance report: The website specifies that your complaint will be assessed by a designated campus official, and that you should check back in two weeks to see if there are any further questions. The webpage does not specify how the complaints will be acted on, but does provide a portal for following up on your claim.

(3) For complaints filed via the whistleblower hotline through ethicspoint: The reports will be entered into the NAVEX global secure server, which makes the reports available to those who are responsible for evaluating the report at your campus. Using your password and report key you will be able to follow up on your report, check it's status, and answer any follow up questions. The flowchart found here outlines the process of intake and assessment, and here for the process of action

(4) Additional information regarding complaint resolution can be found here.

    ii.) At UC Riverside the two major offices that participate in complaint assessment and resolution are the Title IX, Equal Opportunity & Affirmative Action Office (Title IX/EO) and the Whistleblower Office.

d.) What is the process for changing policy?

    i.) We were not able to find specific information regarding the process of changing the complaint reporting policies at UC Riverside. It appears that changes are adopted based on the policy changes made by the University of California system. Based on this Title IX update it would appear that one way that university policy must be updated is if the federal government, in this case the US Department of Education, makes an update to its policies. I would guess that this is similar if the state changes its policies as well.

e.) Are the rates of reporting made publicly available?

    i.) I was not able to find any information regarding the rates of complaint reporting at UC Riverside. UC Riverside does report crime statistics for the most recent 3 years (although this is vastly different).

2.) What mechanisms are available for reporting complaints, bias, microaggressions, harassment, and overt racism?

a.) Who are the designated individuals/positions for reporting incidents?

    i.) Multiple resources for different issues. The UC-wide report form is for "Bias or intolerance incident/Other climate issue": https://ucsystems.ethicspointvp.com/custom/ucs_ccc/default.asp#. Students experiencing discrimination or harassment by another student or student organization can report to Dean of Students, contact: Kristin Jackson. For students or UC employees experiencing discrimination or harassment in the workplace or from a UCR employee the contact is titleix@ucr.edu. The online report form for mandatory reporters: https://uctitleix.i-sight.com/portal. For confidential guidance and information the contact is the Office of the Ombuds, the contact is John Medinilla. For hate crimes and other criminal acts the contact is UCPD Dispatch. Specific to faculty, the faculty and staff assistance program offers confidential counseling, referral and other needed services to staff, faculty, and their family members on a wide range of personnel concerns,

including a toll-free number ((866) 615-3047) and Guidance Consultants at guidanceresources.com

b.) Can reports be made online? Where? Link Anonymously?

  i.) Online reports can be made (https://ucsystems.ethicspointvp.com/custom/ucs_ccc/default.asp#) but are not anonymous

  ii.) Title IX reports can be made online here: https://uctitleix.i-sight.com/portal, it is not anonymous.

  iii.) The University's hotline, which allows anonymous reports, at http://universityofcalifornia.edu/hotline or 1-800-403-4744

c.) Who do in-person and online reports go to? Who has access to see reports?

  i.) Names and/or positions or "Not publicly listed/Unknown". In person reports to mandatory reporters (all above listed resources except the Ombuds office and the Faculty and Staff Assistance Program) will send reports to the related office (eg title IX or UCPD etc). Who the report goes to is not listed. The Title IX policy for records of reports is as follows (full UCR policy and procedure for discrimination and reporting here: https://fboapps.ucr.edu/policies/index.php?path=viewPolicies.php&policy=650-75:

  ii.) "Title IX/EOAA is responsible for maintaining records relating to discrimination, harassment, and retaliation reports, investigations, and resolutions, and for making reports of a statistical nature. Records will be maintained in accordance with UC Records Retention Schedule. All records pertaining to pending litigation or a request for records will be maintained in accordance with instructions from the Office of Legal Affairs."

d.) Are police included in the process? When and how? Are individuals accompanied by an advocate or someone from the organization?

  i.) Police are only included if you call them or if the designated reporter deems the report as necessary to report to UCPD (e.g. could fall under the above category of hate crimes or criminal acts). There is no information on access to advocates or others to accompany reporters to the UCPD.

3.) What are the outcomes or consequences for reported individuals?

a.) Follow-up by supervisor, training (bias, etc.), disciplinary action, termination.

  i.) In the case of a whistleblower complaint: the reporter is notified that an investigation is going to take place, and may suggest an interim action to mitigate further conflict. A series of interviews take place with the accuser, the accused, and witnesses. The investigator will then put together a report and given to the locally designated official will determine if an improper governmental activity has occurred and will notify the parties. The issue will be referred to the disciplinary process if necessary. This can lead to steps being taken in addressing similar complaints or issues.

ii.) In the case of a title IX complaint: It is first determined if the complaint is actionable. Then if yes, them the Title IX office will either administer an early resolution, impose an interim action, or instigate a formal investigation. After the investigation, or in the event of an interim action the EOAA director will make the determination of the policy violation. The parties are then notified of the decision, and if applicable, the misconduct will be referred for disciplinary action.

b.) Who decides the outcomes/consequences? What is the process?

    i.) It is all very vague, and it is really hard to see who specifically will be evaluating and conducting different parts of this process. As well as who actually will administer any disciplinary actions, and what types of actions are likely to be taken under certain circumstances.

c.) Are reports tracked? Yes/No How are they tracked? By who?

    i.) Again, I could find no information regarding the rates of reports, or if the report numbers are even tracked. I am sure that they have to exist in a database somewhere, but none of the websites that I have been to specify where.

d.) Are repeated complaints escalated to a disciplinary board? What is the process?

    i.) None of the websites directly mention the process for repeat complaints. The only instance that I could find where repeated offenses were addressed where with regard to sexual misconduct. Where repeat offenses are considered in the determined disciplinary action.

4.) What resources are available for individuals reporting?

a.) Counseling and Psychological Services

    i.) https://counseling.ucr.edu/beginning-treatment-make-appointment

b.) CARE Advocate

    i.) Help with safety planning, accompaniment to medical, court, and conduct meetings, crisis intervention, healing support, work with other UCR departments to help you obtain accommodations. https://care.ucr.edu/get-help/advocacy-services

c.) Case Managers:

    i.) Case Management provides problem-solving support, resources and advocacy for external challenges that are impacting a student's personal and/or academic success. A case manager's role is similar to a social worker. https://casemanagement.ucr.edu/for-students#are_case_managers_confidential

d.) Office of the Ombuds:

    i.) The OO is a confidential, impartial, informal and independent resource that assists UCR community members in addressing or resolving a dispute or ongoing conflict. https://ombuds.ucr.edu/function_services/function_services.html

e.) "UCR HAS A "SPEAK-UP" CULTURE; WE DO NOT TOLERATE RETALIATION"

i.) UC Whistleblower protection policy: https://www.ucop.edu/uc-whistleblower/policies-training/index.html

ii.) UCR Title IX Office retaliation FAQs: https://titleix.ucr.edu/document/retaliation-faqs

5.) What resources are available to groups raising issues or proposing changes?

a.) 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?

    i.) No official policy, but here is a case study: Case study: Let's Take Action campaign.

        (1) In June 2020, a Black-led student group called Let's Take Action sent a petition and series of demands to university leadership for additional accommodations for Black students in the context of national racial justice protests. Their demands consisted of the following: 1) cancellation of finals, 2) increased fiscal support of black student programs and black representation on working groups related to campus climate 3) a no fail policy for spring quarter 4) action towards the eventual abolition of the UCPD. The petition received **17,961 signatures** and resulted in the following actions:

        (2) Shortly afterward, Faculty Senate passed resolutions endorsing demand 2, encouraging instructors to make exams optional (addressing 1), and allowing students to drop classes at any point in the quarter (addressing 3).

        (3) In response to demand 4, UCR administration established a task force to "reimagine" campus safety, which held town halls in November 2020 and February 2021. A draft of the task force recommendations is now available. The task force has been criticized for its lack of student involvement (GSAUCR February meeting minutes) and for its unseriousness in exploring alternatives to policing.

b.) Working groups or committees with power to change or propose changes to policy.

    i.) DEI Climate Council: Mixed faculty, administration, staff, and student council with the power to evaluate and modify campus policy. There are a large number of these, some with seemingly overlapping roles, which may hamper effectiveness. Relevant subcommittees include:

    ii.) Task Force on Campus Climate: 2019-2020, produced a report here: The report recommended regular climate surveys, mentorship training for faculty, and better communication from administration. Unclear what, if any steps have been taken to implement the recommendations.

    iii.) Diversity Working Group: 2017-2018, UC-Wide. Outcomes are unclear. https://uchri.org/awards/diversity-working-group/

       iv.)   [Chancellor's Community Advisory Committee:](#) Communication mechanism between university leadership and Latino, Native American, and African American community groups within the university.

       v.)   HBCU Initiative: Works to build relationships with Historically Black Colleges and Universities in order to help their students study at UCR.

       vi.)   Hispanic Serving Institution Committee: Supposed to produce a report on findings from UCR's experience as the first designated Hispanic-Serving Institution. Seems inactive.

6.) Scholarships and internships created to specifically target policy changes and often accept only minority individuals for the said change (e.g., summer internship in environmental policy office of community in health disparity)

    a.) Cultural surveys:

       i.)   Campus-wide survey last conducted in 2014 in response to a 2012 incident in which [riot police were called on students protesting tuition hikes](#). Results available here: https://diversity.ucr.edu/2014-campus-climate-survey

       ii.)   2019 Faculty Climate Survey created by Academic Senate in response to perceived failings in 2014 survey; only faculty surveyed Available here: https://senate.ucr.edu/committee/12/20-21.%20CFW.%20Climate%20Survey%20Report.pdf

       iii.)   The UCR Earth and Planetary Science department conducted its own climate surveys in late 2020, led by members of the department's Graduate Student Association. This was not prompted by a specific incident but rather as part of a broader effort to increase diversity. Results are not yet available.

    b.) Leadership proactively asks students and/or staff for input on how to improve.

       i.)   Departments at universities or other units can conduct surveys (usually anonymously) such that reports can be reported alongside requests for change, additional training, or funding

       ii.)   Equity Advisor Program: Each division has a faculty member trained by the Office of Diversity, Equity, and Inclusion to proactively work to improve equity issues. The College of Natural and Agricultural Sciences' officer, Marilyn Fogel, worked with graduate students to develop a Class on Diversity, Equity, Justice and Inclusion in the Geosciences for Spring 2021. Information about the program is available here: https://diversity.ucr.edu/equity-advisors

       iii.)   Provost sent student survey on Fall instruction to better understand the students' views on both housing and learning in the Fall to inform and guide the planning committee of reopening campus post-pandemic

       iv.)   UCR Healthy Campus formed focus groups as initiative to promote mask wearing but also develop strategies, provide input and ideas, collaborate on an action plan in the areas of healthy eating and nutrition; physical activity; mental health; physical environment; substance use and addiction; preventative health; communications/marketing; metrics/data;

culture change; and lastly, anti-racism/public health. The anticipated time commitment is 1-2 hours per month. Examples of projects can be found in the Milestone Reports linked here: https://healthycampus.ucr.edu/healthy-campus-milestone-reports