Policy and Procedure on Harassment

Policy

Introduction

- 1. The University does not tolerate any form of harassment or victimisation and expects all members of the University community, its visitors and contractors to treat each other with respect, courtesy and consideration.
- 2. The University is committed to fostering an inclusive culture which promotes equality, values diversity and maintains a working, learning and social environment in which the rights and dignity of all members of the University community are respected.
- 3. The aims of the University as reflected in this Policy are to:
 - a. Promote a positive environment in which people are treated fairly and with respect;
 - b. Make it clear that harassment is unacceptable and that all members of the University have a role to play in creating an environment free from harassment;
 - c. Provide a framework of support for staff and students who feel they have been subject to harassment; and
 - d. Provide a mechanism by which complaints can wherever possible be addressed in a timely way.
- 4. Those in positions of authority, such as heads of division, heads of department, chairs of faculty boards and their equivalents, have formal responsibilities under this Policy and are expected to familiarise themselves with the Policy and Procedures on appointment. All heads of department and equivalent, and all other managers, have a duty to implement this Policy and to make every effort to ensure that harassment and victimisation do not occur in the areas of work for which they are responsible and, that if they do occur, any concerns are investigated promptly and effectively.
- 5. All members of the University community have the right to expect professional behaviour from others, and a corresponding responsibility to behave professionally towards others. All members of the University community have a personal responsibility for complying with this Policy and Procedure and must comply with and demonstrate active commitment to this Policy by:
 - a. Treating others with dignity and respect.
 - b. Discouraging any form of harassment by making it clear that such behaviour is unacceptable.
 - c. Supporting any member of the University who feels they have been subject to harassment, including supporting them to make a formal complaint if appropriate.

Definitions

- 6. A person subjects another to **harassment** where s/he¹ engages in unwanted and unwarranted conduct which has the purpose or effect of:
 - violating another person's dignity, or

¹ Although s/he is used in this document, the University acknowledges that some people do not identify with binary genders and prefer to use other pronouns.

 creating an intimidating, hostile, degrading, humiliating or offensive environment for another person.²

The recipient does not need to have explicitly stated that the behaviour was unwanted.

- 7. Freedom of speech and academic freedom are protected by law though these rights must be exercised within the law. Vigorous academic debate will not amount to harassment when it is conducted respectfully and without violating the dignity of others or creating an intimidating, hostile, degrading, humiliating or offensive environment for them³.
- 8. **Bullying** is a form of harassment and may be characterised as offensive, intimidating, malicious or insulting behaviour, or misuse of power through means intended to undermine, humiliate, denigrate or injure the recipient.
- 9. The University seeks to protect any member of the University community from **victimisation**, which is a form of misconduct which may itself result in a disciplinary process. The University will regard as victimisation any instance where a person is subjected to detrimental treatment because s/he has, in good faith:
 - made an allegation of harassment, or
 - indicated an intention to make such an allegation, or
 - assisted or supported another person in bringing forward such an allegation, or
 - participated in an investigation of a complaint, or
 - participated in any disciplinary hearing arising from an investigation, or
 - taken any other steps in connection with this Policy and Procedure, or
 - is suspected of having done so.

Behaviours

- 10. Harassment may involve repeated forms of unwanted and unwarranted behaviour, but a oneoff incident can also amount to harassment.
- 11. The intentions of the alleged harasser are not always determinative of whether harassment has taken place. The perception of the complainant and the extent to which that perception is in all the circumstances reasonable will also be relevant.
- 12. Being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for harassment.
- 13. Harassment can take a variety of forms:
 - Through individual behaviour
 - o face to face, either verbally or physically
 - through other forms of communication, including but not limited to, written communications and communications via any form of electronic media or mobile communications device: such behaviour may also amount to a breach

² Statute XI: University Discipline (<u>www.admin.ox.ac.uk/statutes/352-051a.shtml#_Toc28142342</u>)

³ NOTE: Reference to the revised Code of Practice on Freedom of Speech to be made here when that is finalised

of the University's Regulations Relating to the use of Information Technology Facilities. $\!\!\!^4$

- o directly to the person concerned, or to a third party
- Through a prevailing workplace or study environment which creates a culture which tolerates harassment or bullying, for example the telling of homophobic or racist jokes.
- 14. Examples of behaviour which **may** amount to harassment under this Policy include (but are not limited to) the following:
 - unwanted physical contact, ranging from an invasion of space to an assault, including all forms of sexual harassment, including:
 - i. inappropriate body language
 - ii. sexually explicit remarks or innuendoes
 - iii. unwanted sexual advances and touching
 - offensive comments or body language, including insults, jokes or gestures and malicious rumours
 - open hostility, verbal or physical threats
 - insulting, abusive, embarrassing or patronising behaviour or comments, humiliating, intimidating, and/or demeaning criticism
 - persistently shouting at, insulting, threatening, disparaging or intimidating an individual
 - constantly criticising an individual without providing constructive support to address any performance concerns
 - persistently overloading an individual with work that s/he cannot reasonably be expected to complete
 - posting offensive comments on electronic media, including using mobile communication devices
 - threatening to disclose, or disclosing, a person's sexuality or disability to others without their permission
 - deliberately using the wrong name or pronoun in relation to a transgender person, or persistently referring to their gender identity history
 - isolation from normal work or study place, conversations, or social events
 - publishing, circulating or displaying pornographic, racist, homophobic, sexually suggestive or otherwise offensive pictures or other materials.
- 15. **Stalking may** also be a form of harassment and may be characterised by any of the following repeated and unwanted behaviours:
 - Following a person;
 - Contacting, or attempting to contact, a person by any means;

⁴www.admin.ox.ac.uk/statutes/regulations/196-052.shtml

- o Publishing any statement or other material -
 - Relating or purporting to relate to a person, or
 - Purporting to originate from a person;
- Monitoring the use by a person of the internet, email or any other form of electronic communication;
- Loitering in any place (whether public or private);
- Interfering with any property in the possession of a person;
- Watching or spying on a person including through the use of CCTV or electronic surveillance.

Application of the Policy

- 16. Harassment is a serious offence. Any member of the University community who feels s/he has been subject to harassment can make a complaint via the appropriate Procedure: see <u>Annexe A</u> for the Procedure in relation to complaints about staff; and <u>Annexe B</u> for the Procedure in relation to complaints about students.
- 17. When a criminal offence may have been committed, the relevant harassment Procedure may not be appropriate. These cases will include, but not be limited to, serious assault or threat of serious assault. Student members can seek advice from the Director of Student Welfare and Support Services' office and /or approach the Police directly; and staff members can seek advice from the Director of Human Resources and/or approach the Police directly. Further guidance on dealing with cases of sexual assault or sexual violence is available at www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure.
- 18. Incidents of harassment that occur within the college environment will normally be dealt with under appropriate college procedures, while reflecting the principles of this Policy.
- 19. Any member of the University community who feels s/he has been subject to harassment can contact the Harassment Advisory Service, or their local harassment advisor, for support. The Service is also available to those against whom an allegation of harassment has been made. Other sources of help and advice can be found in <u>Annexe C</u>, and at: <u>www.admin.ox.ac.uk/eop/harassmentadvice</u>.
- 20. If a complainant is deemed to have known or to have reasonably been expected to know that a complaint was unfounded, the allegation of harassment may be judged to be vexatious or malicious, and disciplinary action may be taken against them. No action will be taken if a complaint which proves to be unfounded is judged to have been made in good faith.
- 21. All parties involved in a complaint (including any witnesses who may be interviewed as part of any investigation, or trade union representatives supporting any of the parties) should maintain the confidentiality of the process. Those involved in advising complainants should, where possible, seek the consent of the individual for the onward disclosure of relevant information to those with a clear need to know. Where such consent is not forthcoming, the person entrusted with the information should make it clear that, in exceptional circumstances, it may be necessary to disclose the information, taking account of the duty of care which may be owed to the individual and/or others.
- 22. This Policy and Procedure may be found at <u>www.admin.ox.ac.uk/eop/harassmentadvice</u> or are available in hard copy from the Equality and Diversity Unit: tel. 01865 (2)89825 or email <u>equality@admin.ox.ac.uk</u>. Copies in alternative formats are available on request.
- 23. This Policy and Procedure will be subject to regular review by the General Purposes Committee of Council in consultation with the Education and Personnel Committees, the Proctors, and any other appropriate committees.

Policy owner: Personnel Committee (in respect of staff) and Education Committee (in respect of students)

Annexe A: Complaints of harassment against University staff—the Staff Procedure

- 1. The Procedure below applies in all cases where the person who is the subject of the complaint is a member of University staff. The Director of Human Resources will have oversight of all cases, and will take the lead as appropriate in liaising with other parts of the collegiate University.
- 2. Any complaints against college staff will normally be dealt with under the appropriate college procedure.
- 3. The references in this procedure to the 'head of department' should be taken to mean the head of department, faculty board chair, head of division or their equivalent, or the person to whom any of these has formally delegated his/her responsibility⁵. The references also apply where appropriate to the Vice-Chancellor, Pro Vice-Chancellors and Registrar, and other senior University officers.
- 4. Where the complainant is a student, support during this process will be provided by the Director of Student Welfare and Support Services' office⁶.

Initial action

5. The Procedure below assumes that the individual has not been able first to resolve the issue through an informal approach. If a member of staff wishes to seek informal resolution, s/he should approach his or her immediate supervisor, departmental administrator, or head of department or equivalent to ask for help in achieving a resolution of the problem. Students should seek support from the Director of Student Welfare and Support Services' office. At no time should a student or staff member feel obliged to approach an alleged harasser.

Mediation or conciliation

- 6. In some situations, it may be appropriate to ask the parties to consider entering into a mediation or conciliation process. Although mediation or conciliation may be attempted at any time before or after a formal investigation, it may be particularly helpful if it is considered at an early stage before the formal procedure is invoked.
- 7. In the case of a complaint involving two members of staff, an experienced mediator or conciliator acceptable to both parties will normally be nominated by the Director of Human Resources. In the case of a complaint involving a member of staff and a student, the Director of Human Resources will consult the Director of Student Welfare and Support Services. The mediator or conciliator will meet with the parties separately and as soon as practicable to begin to seek a resolution. The normal expectation is that resolution would be achieved within 20 working days of the initial meetings with the parties (although this time limit may be extended by agreement). Any agreed outcome will normally be recorded in writing.
- 8. All those involved in the mediation or conciliation process must maintain appropriate confidentiality.

Complaints procedure

9. If informal action does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the complainant should make a written complaint to his or her head of department or, if the complainant feels it is not appropriate to approach that person, the relevant head of division (or analogous unit within UAS or ASUC). If any of the

⁵ Within the University Administration and Services (UAS) the head of department will normally be the director or head of the relevant division or section within UAS. Within ASUC the head of department will normally be the directors of the Bodleian Libraries and the University's museums.

⁶ Students can contact the Director of Student Welfare and Support Services' office by e-mail: <u>director.swss@admin.ox.ac.uk</u>.

parties considers that the head of department has a conflict of interest in the complaint, the complaint may be referred to the head of division. In cases where it is not immediately clear to whom a complaint should be addressed, or if the complainant feels it is not appropriate to approach the head of division or a senior University officer, or wishes to make a complaint against a head of division or senior University officer, advice may be sought from the Director of Human Resources, or in the case of a student complainant, from the Director of Student Welfare and Support Services. Students can seek support from the Director of Student Welfare and Support Services' office when wishing to make a complaint against a member of staff to a head of department, and support will be available to them throughout the complaints process. Staff can seek support from a harassment advisor; if the staff member does not feel comfortable contacting a local advisor in their college or department, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or e-mail harassment.line@admin.ox.ac.uk).

Submission of the complaint

- 10. In the submission to the head of department, the complainant should set out as clearly and succinctly as possible (i) the nature of the behaviour that s/he is concerned about; (ii) the effect of this behaviour on her/him; and (iii) the resolution s/he is seeking. The complaint should include dates and details of any witnesses to any incidents referred to in the complaint, together with any documentary evidence. The complainant should also explain what attempts, if any, have been made to resolve the difficulties and the outcome s/he is seeking.
- 11. A copy of all written complaints should be sent to the Director of Human Resources for information. In the case of a complaint by a student against a member of staff, the Director of Human Resources, with the student's permission, will normally forward the complaint to the Director of Student Welfare and Support Services.
- 12. Every effort will be made to achieve a prompt resolution to the complaint the aim being to conclude the complaint within a period of no more than six weeks. Both the complainant and the person who is the subject of the complaint will be expected to co-operate with the University in achieving that result.
- 13. Both parties to the complaint have the right to be accompanied and supported by a trade union representative⁷ or by a colleague of his or her choice from within the University at any meeting held under this procedure. If the complaint involves a student s/he may be accompanied by another student member, a member of Congregation, or a member of staff from OUSU's Student Advice Service. These people must maintain appropriate confidentiality.
- 14. There may be circumstances in which an aggrieved party is not willing, or able, to make a formal complaint but the head of department considers that the implications for the aggrieved person or others actually or potentially affected are serious. This may include cases where other parties, but not the aggrieved party, have made a complaint. In this case, the head of department will consult the Director of Human Resources, and in the case of a student complainant, the Director of Student Welfare and Support Services, and may initiate an investigation and make a decision on further action on the basis of such evidence as is available.

Action by the head of department on receipt of a complaint

15. On receipt of a complaint, the head of department (or his or her nominee) will in consultation with the Director of Human Resources and, in the event of a student complainant, the Director of Student Welfare and Support Services, take such steps as s/he thinks necessary or appropriate to understand the nature of the complaint and the outcome sought including:

⁷ Information on recognised trade unions at the University is available at <u>www.admin.ox.ac.uk/personnel/staffinfo/joint</u>.

- informing the person against whom a complaint has been made of the allegations against him or her;
- meeting separately with the complainant and the alleged harasser (at which meetings they should be provided with the right to be accompanied);
- speaking to other relevant people on a confidential basis; and/or
- obtaining further relevant information.
- 16. The head of department will then decide how to proceed and will inform the parties in writing. S/he may make such enquiries as are necessary to determine the complaint, or may commission an investigation, where circumstances preclude her or him from concluding the matter in a timely fashion.
- 17. The head of department may also determine that immediate interim action is necessary pending the outcome of a formal process.

Investigation

- The purpose of an investigation is to establish the relevant factual evidence in connection with the allegation(s) made by the complainant. (See section 29 below for the procedure for investigations.)
- 19. As a general rule, the investigator should not have had previous involvement with the issues in the case. The investigation should be concluded as soon as is reasonably practicable. The investigator will prepare a report and may, if specifically requested to do so by the head of department, make recommendations on possible courses of action.
- 20. The head of department will inform the complainant and the person who is the subject of the complaint in writing (i) of the conclusions she or he has reached having reviewed the evidence, including any investigation report; (ii) of the action the head of department intends to take; and (iii) of the reasons for any such action.
- 21. The head of department will also inform any other parties who have been asked to participate in an investigation that the investigation has been concluded.

Possible outcomes of a complaint

22. Depending on the nature of the complaint and the evidence found, including the findings of any investigation report, the head of department, in consultation with the Director of Human Resources and, in the event of a student complainant, the Director of Student Welfare and Support Services, will either:-

i. Take no further action, other than, where appropriate, implementing or suggesting steps that would help to restore reasonable professional relationships between the parties. This approach will usually be appropriate where the claim(s) of harassment are considered to be unfounded and where there is a continuing relationship between the parties.

or

ii. Initiate resolution of the issues (e.g. by requiring that certain individuals undergo specific training, or implementing practical arrangements to improve professional relationships). If a successful resolution is achieved the case will be closed, but the situation will be monitored for an appropriate period. This approach will usually be appropriate where the evidence does not support a claim of harassment but it is clear that either party has demonstrated behaviours that are likely to lead to further issues

between them if unresolved or, alternatively, that there are structural issues within a department that require management attention.

or

iii. Institute disciplinary proceedings where the head of department is reasonably satisfied that there is evidence to support allegations of harassment of a sufficiently serious nature that should be further examined through the disciplinary process. In this event, the head of department will determine what intermediate measures are necessary, including any re-allocation of duties, in consultation as appropriate with the relevant college.

or

iv. In rare cases disciplinary action may be instituted against the complainant if the head of department is satisfied that the complaint of harassment is unfounded and not made in good faith.

Appeal from the head of department's decision

23. If either party does not accept the outcome of the complaint (including any judgement that the complaint was vexatious), s/he may invoke the relevant grievance or complaint procedure⁸ within the time scales specified in that procedure save that where the decision is to refer the matter for disciplinary action, any matters of dispute will usually be considered as part of that person's response to the disciplinary proceedings.

Confidentiality

- 24. Information concerning allegations of harassment must so far as reasonably possible be held in confidence by those to whom it is divulged. Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a need-to-know basis, including as appropriate with the individual against whom a complaint is brought. Once a formal complaint is pursued, it is likely to be appropriate and/or necessary for certain information to be provided to others within the University, within certain colleges, or to external bodies.
- 25. Those to whom disclosure may be made outside the University include the police, the Office of the Independent Adjudicator ("OIA") and the civil and criminal courts. The University will not normally report a matter to the police without the complainant's agreement, except in those rare circumstances where there is sufficient evidence to suggest that an individual poses an extreme risk.

Records

- 26. The University and all those involved in this process must comply with the principles of the Data Protection Act 1998⁹. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.
- 27. Those interviewed in the course of any investigation will be asked to review the notes of their individual discussions with the investigator as soon as is reasonably possible in order to comment on any inaccuracies or omissions.

⁸ In the case of a staff complainant, this would be the appeal stage of the appropriate grievance procedure. For academic related staff see <u>www.admin.ox.ac.uk/personnel/staffinfo/handbook_acrel</u> and for support staff see <u>www.admin.ox.ac.uk/personnel/staffinfo/handbook_support</u>. A student complainant would need to appeal to the Registrar, normally within one month of being informed of the outcome of the complaint.

⁹ The University's Data Protection policy is available at: <u>www.admin.ox.ac.uk/councilsec/compliance/dataprotection</u>

28. The Director of Human Resources, and if the student is a complainant, the Director of Student Welfare and Support Services, should be consulted about filing and retaining any notes and documents, all of which must be held in confidence.

Investigations

- 29. The procedure for an investigation will normally be as follows, but may be adapted by the investigator to meet the needs of the case:
 - a. The investigator will meet the complainant to confirm the details of the complaint.

b. The complaint as clarified will be forwarded to the person complained against together with any other relevant material that the investigator has.

c. The investigator will interview, where reasonably practicable, individuals identified by the complainant as having relevant evidence.

d. The investigator will meet the person complained against to hear his/her response to the complaint and any further evidence that has come to light.

e. The investigator will interview, where reasonably practicable, individuals identified by the person complained against as having relevant evidence.

f. Having considered all the evidence, including any relevant documents, the investigator will prepare a written report of her/his findings, in relation to which s/he may check relevant sections in draft with the parties before finalising.

g. The report will be forwarded to the head of department, usually with a copy to the Director of Human Resources, and, if the complainant is a student, normally to the Director of Student Welfare and Support Services. In cases involving students, consent should be sought from the complainant to inform his or her college if appropriate. The Director of Student Welfare and Support Services will ensure that appropriate support is available to students following an investigation.

Annexe B: Complaints of harassment against students—the Student Procedure

- This Procedure is designed to deal with student complaints of harassment by other students that arise in a University context. Complaints of harassment against students which arise purely within the college environment will normally be dealt with under appropriate college procedures (see <u>www.admin.ox.ac.uk/eop/harassmentadvice/collegeharassmentpolicies</u>), while reflecting the principles of the University harassment Policy. Complaints of harassment brought by students against University staff will be dealt with under the staff Procedure, but with the students supported by the Director of Student Welfare and Support Services.
- 2. If a member of staff wishes to make a complaint of harassment against a student, this will normally be dealt with through <u>Statute XI</u>. In the first instance, a member of staff should seek support and guidance from his/her head of department or line manager.
- 3. All references within this Procedure to the Director of Student Welfare and Support Services should be understood to refer to the Director or his/her nominee. The Director of Student Welfare and Support Services' office can provide support to students, and to staff requiring advice on student cases. The Director will have oversight¹⁰ of all cases referred to his/her office under this Procedure, and will take the lead as appropriate in liaising with other parts of the collegiate University. The Director will act as a source of information and advice for the collegiate University on student cases of harassment, and will make referrals as appropriate. S/he will also be responsible for recording and reporting of cases referred to her/his office under this Procedure.
- 4. In serious cases, it is likely to be appropriate to proceed directly to stages 2 and 3 of this Procedure.
- 5. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. These cases may include, but are not limited to, serious assault or threat of serious assault. This Procedure therefore focuses on complaints of harassment which can be dealt with within the University environment. However, it also includes the procedure for informing and receiving support from the University in cases where there is police involvement.
- 6. This Procedure is separate from Statute XI on University Discipline. Complaints of harassment made under stage 3 of this Procedure (formal written complaint) may sometimes result, following an investigation, in a decision that the alleged harasser should face disciplinary procedures under Statute XI.

Stage 1—Informal action

- 7. In some cases, a student who feels that s/he is being harassed by another student may feel able to approach the person in question to explain what conduct s/he finds upsetting, offensive or unacceptable, and to ask that person to refrain from that behaviour. At no time should a student feel obliged to approach an alleged harasser, and the University does not wish to suggest that a student who feels that s/he has been harassed is responsible for rectifying the situation. It may often be appropriate to proceed directly to stages 2 and 3 of the procedure.
- 8. Before taking informal action, the student could discuss the situation with a harassment advisor. If the student does not feel comfortable contacting a local advisor in their college or department, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or e-mail <u>harassment.line@admin.ox.ac.uk</u>). Harassment advisors will not approach the alleged harasser on behalf of an individual. Details of the role of the harassment advisor can be found at <u>www.admin.ox.ac.uk/eop/harassmentadvice/advisornetwork</u>.

¹⁰ Oversight in this context refers to the Director of Student Welfare and Support Services being aware of all cases so as to ensure the provision of appropriate support to students.

- Other sources of advice when considering informal resolution include college Deans or other college officers with pastoral responsibilities, JCR and MCR welfare representatives, Student Peer Supporters, and OUSU's Student Advice Service (Tel. 01865 288466 or e-mail advice@ousu.org).
- 10. These sources of support and advice are also available to students who have been accused of harassment.

Stage 2—Student Welfare and Support Services

- 11. If informal action does not succeed in resolving the situation, or would not be appropriate given the nature of the behaviour, the Director of Student Welfare and Support Services' office is available for support and advice to any student who feels that s/he is being harassed. Students can contact the Director of Student Welfare and Support Services' office by e-mail: director.swss@admin.ox.ac.uk.
- 12. The Director of Student Welfare and Support Services' office will refer the student to a staff member trained in dealing with harassment cases. This staff member will be available to support the student throughout the process, including if s/he decides to move to stage 3 and make a formal complaint, and will also provide support following the outcome of any formal complaint. The Director of Student Welfare and Support Services will oversee all cases referred to his/her office, and will advise and take action as appropriate. Actions taken will vary depending on the case. Actions taken by the trained staff member may include:
 - Giving advice on options for ways to proceed, and helping the student to make decisions on the action s/he wants to take
 - Referring the student to appropriate support services (such as the Student Counselling Service).

Actions taken by the Director of Student Welfare and Support Services may include:

- Facilitating a mediation or conciliation process between the student and the alleged harasser, if both parties agree. An experienced mediator or conciliator acceptable to both parties will normally be nominated by the Director of Student Welfare and Support Services. The mediator or conciliator will meet with the parties separately and as soon as practicable to begin to seek a resolution. The normal expectation is that resolution would be achieved within 20 working days of the initial meetings with the parties (although this time limit may be extended by agreement). Any agreed outcome will normally be recorded in writing. All those involved in the mediation or conciliation process must maintain appropriate confidentiality
- Referring a case to a college, if it transpires that the alleged harassment did in fact take place purely within the college environment
- Ensuring that relevant members of staff within the collegiate University are informed of the case if appropriate, with the student's consent, and having due regard for obligations of confidentiality owed to others.
- 13. Support from the Director of Student Welfare and Support Services' office is also available to students against whom complaints of harassment have been made. Actions taken will vary depending on the case, but the support will be equivalent to that available to a student who feels that s/he is being harassed by another student, including referral to appropriate support services, and facilitation of a mediation or conciliation process if both parties agree. The Director of Student Welfare and Support Services will ensure that, where a complainant and a student complained against are both seeking support, they will be dealt with by different members of staff, who will maintain appropriate confidentiality.

- 14. Support from the Director of Student Welfare and Support Services' office is also available to students who wish to make or have made a complaint of harassment against a member of staff, under the staff Procedure in <u>Annexe A</u>.
- 15. Brief records will be kept of all meetings held and actions taken in relation to the case at this stage. These records will be managed in accordance with the principles of the Data Protection Act 1998¹¹. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

Stage 3—Formal written complaint

- 16. If action taken at stages 1 or 2 does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the student should make a formal written complaint to the Proctors. In some cases, it will be appropriate to proceed directly to this stage. In these cases, if the complainant has not already contacted the Director of Student Welfare and Support Services' office, the Proctors will normally seek consent from the complainant to refer her/him, so that s/he can be offered appropriate support from a trained member of staff.
- 17. The complaint should normally be made as soon as possible after the event(s) to which it refers, or normally within one month of the completion of any resolution attempts made at stages 1 and 2.
- 18. The complainant should set out as clearly and succinctly as possible (i) the nature of the behaviour that s/he is concerned about; (ii) the effect of this behaviour on her/him; and (iii) where possible, the resolution s/he is seeking. The complaint should include dates and details of any witnesses to any incidents referred to in the complaint, together with any documentary evidence. The complainant should also explain where appropriate any attempts that have been made to resolve the difficulties and, where possible, the outcome s/he is seeking. If the complainant has already made a statement about the behaviour under stage 2, this may be sent as their formal written complaint, with the proviso that the Proctors may request further information.
- 19. One of the Proctors, or another person appointed by them, independent of the college and department/faculty of the students involved, will investigate the case to establish the relevant factual evidence and decide on any actions which should be taken. This may include holding meetings with both the complainant and the alleged harasser, and speaking to other relevant people on a confidential basis. At all times both parties will have the right to be accompanied at meetings. This could be by a member of Congregation or a member of staff from OUSU's Student Advice Service.
- 20. Every effort will be made to achieve a prompt outcome to the complaint the aim being to conclude the complaint within a period of one month. Both the complainant and the student who is the subject of the complaint will be expected to co-operate with the University in achieving that result. If it is not possible to resolve the issue within this timeframe, for example for reasons of complexity or the absence of relevant parties from Oxford, both parties will be kept informed.
- 21. At all times both the complainant and the student complained against will be kept informed of proceedings, and will be referred as appropriate to sources of support and advice. Both parties will be informed in writing of the outcome of the investigation of the complaint.
- 22. In some circumstances, in the interests of the complainant and/or the student complained about, it may be necessary for interim action to be taken, pending the outcome of the investigation. This may include making arrangements to limit contact between the parties concerned.

¹¹ The University's Data Protection policy is available at: <u>www.admin.ox.ac.uk/councilsec/compliance/dataprotection</u>

- 23. Investigation of a formal written complaint of harassment may result in:
 - Deciding that the alleged harasser should face disciplinary procedures under Statute XI
 - Recommending to a department/faculty or college actions to take, including making arrangements to limit contact between the parties concerned. The head of department or Head of House will have responsibility for implementing and monitoring any actions, and for reporting to the Proctors that action has been taken. The Director of Student Welfare and Support Services will be available to advise departments/faculties and colleges
 - Referring either or both parties to appropriate support services
 - Referring a case back to the Director of Student Welfare and Support Services' office, for the complainant to receive support from a trained member of staff
 - Referring a case to a college, if it transpires that the alleged harassment did in fact take place purely within the college environment
 - Taking no further action other than, where appropriate, implementing or suggesting steps that would help to restore reasonable relationships between the parties. This approach will usually be appropriate where the claim(s) of harassment are considered to be unfounded and where there is a continuing relationship between the parties
 - In rare cases disciplinary action may be instituted against the complainant if there is evidence that the complaint of harassment is unfounded and not made in good faith.
- 24. If the complainant is not satisfied with the outcome following the investigation of the formal written complaint, s/he may be able to apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. S/he must do so within three months of the date of the Completion of Procedures letter.
- 25. The Director of Student Welfare and Support Services will be kept informed of the outcomes of all formal written complaints of harassment made to the Proctors under stage 3 and will take such action, including informing others, and arranging for support for all parties following the outcome, as may be appropriate in the circumstances.

Referrals

- 26. On occasion, complaints of harassment which should be considered under this Procedure may be made to staff other than the Director of Student Welfare and Support Services' office or the Proctors. In this situation, staff should explain the Procedure, and ask the complainant if they would like the case referred to the Director of Student Welfare and Support Services' office, so that they can receive support from a trained staff member, or whether they would like it referred to the Proctors as a formal written complaint.
- 27. If a student does not wish to seek support and advice, or to make a complaint, under stages 2 or 3 of this Procedure, or if there are queries about the procedure to be followed, staff can contact the Director of Student Welfare and Support Services' office for advice on a confidential basis.¹²
- 28. There may be occasions where a student does not wish to seek support and advice or to make a complaint under stages 2 or 3 of this Procedure, but where the Director of Student Welfare and Support Services or the Proctors consider that the implications for the individual and/or for others actually or potentially affected are serious. This may include cases where other parties, but not the aggrieved party, have made a complaint. In such circumstances the Director may ask the Proctors to initiate an investigation and make a decision on further action on the basis of such evidence as is available, or the Proctors may themselves decide

¹² Any member of the University can also contact the Proctors for advice and information on any matter.

to initiate such an investigation. The individual's consent will normally be sought if disclosure is to be made, and a decision on disclosure would be made at a senior management level.

Potentially criminal misconduct

- 29. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but would not be limited to, cases of serious assault or threat of serious assault. In the first instance such allegations will normally be a matter for police investigation and action.
- 30. Support for any student affected by such an incident may be sought from the office of the Director of Student Welfare and Support Services.
- 31. In addition the Director of Student Welfare and Support Services will consider whether it is appropriate to make recommendations to appropriate bodies regarding arrangements that would have the purpose of limiting contact between students for so long as may be considered reasonably necessary¹³. Further guidance on cases of sexual assault and sexual violence, including support available, is available at <u>www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure</u>. Issues including but not limited to those around teaching, examinations and accommodation/social activity may need to be considered.

Confidentiality

- 32. Information concerning allegations of harassment must so far as reasonably possible be held in confidence by those to whom it is divulged. Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a need-to-know basis. Once a formal complaint is pursued, it is likely to be appropriate and/or necessary for certain information to be provided to others within the University, within certain colleges, or to external bodies.
- 33. Those to whom disclosure may be made outside the University include the police, the Office of the Independent Adjudicator ("OIA") and the civil and criminal courts. The University will not normally report a matter to the police without the complainant's agreement, except in those rare circumstances where there is sufficient evidence to suggest that an individual poses an extreme risk.

Records

- 34. The University and all those involved in this Procedure must comply with the principles of the Data Protection Act 1998¹⁴. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.
- 35. Those interviewed in the course of any investigation by the Proctors will be asked to review the notes of their individual discussions with the investigator as soon as is reasonably possible in order to comment on any inaccuracies or omissions. All notes will be preserved during the process and until such time as the University's internal processes and any external processes are concluded.
- 36. The Director of Student Welfare and Support Services should be consulted about filing and retaining any notes and documents related to this Procedure, all of which must be held in confidence.

¹³ The powers of the Proctors in relation to action pending the outcome of criminal proceedings are laid down in Statute XI: University Discipline.

¹⁴The University's Data Protection policy is available at: <u>www.admin.ox.ac.uk/councilsec/compliance/dataprotection</u>

Annexe C: Sources of advice

- 1. The sources of advice set out below are available to:
 - anyone who believes that s/he may be being harassed, and who wishes to discuss any concerns in confidence
 - anyone who has been told that his/her conduct is perceived as harassing.
- 2. The University's Harassment Advisory Service is available to staff and students. It comprises a network of around 300 voluntary advisors, supported by the University's Equality and Diversity Unit (EDU). Each department and college is expected to have at least two advisors, one man and one woman. Their details will be featured on noticeboards and websites, and those experiencing or accused of harassment are encouraged to contact their local advisor for support in the first instance.
- 3. If a local advisor is not available or it would not be appropriate to contact them (for example, if the individual were a close colleague or manager or supervisor) the central Harassment Line will provide details of another advisor, in confidence. Contact: (2)70760, or <u>harassment.line@admin.ox.ac.uk</u>.
- 4. The role of a harassment advisor is to listen non-judgementally to individuals' concerns and provide them with support by:
 - Guiding them through this Policy and relevant procedures, clarifying the options open to them and assisting them to resolve the matter informally where possible;
 - Where requested, supporting them through the resolution process, whether formal or informal;
 - Dealing with all cases with the utmost confidentiality except where there is an unacceptable risk to a student, a member of staff or to the institution; and
 - Referring them to another advisor where necessary or to other agencies or support systems as appropriate.
- 5. Harassment advisors do not:
 - Approach the alleged harasser in an attempt to mediate or resolve the matter;
 - Act as a representative or advocate; or
 - Act as a party to any formal stage of the complaint process, except in the role of providing support.

Full details may be found at www.admin.ox.ac.uk/eop/harassmentadvice .

- 6. Members of staff may also contact local trade union representatives for support details may be found at www.admin.ox.ac.uk/personnel/staffinfo/joint .
- 7. Students may also contact:
 - The Director of Student Welfare and Support Services' office director.swss@admin.ox.ac.uk
 - The relevant college Welfare Officer

- OUSU's Student Advice Service is independent from the University and provides impartial advice and guidance <u>ousu.org/advice/student-advice-service</u> E-mail: <u>advice@ousu.org</u> Telephone: 01865 288466
- The Proctors' Office
 <u>www.admin.ox.ac.uk/proctors/contact</u>
 <u>proctors.office@proctors.ox.ac.uk</u>
 01865 (2)70090
- The Student Counselling Service
 <u>www.ox.ac.uk/students/welfare/counselling</u>
 <u>counselling@admin.ox.ac.uk</u>
 01865 270300
- Student Peer Supporters in the relevant college or department
- Nightline <u>users.ox.ac.uk/~nightln</u> 01865 270 270 Skype: 'oxford nightline'
- 9. Other sources of general help, and information on how the Harassment Service is monitored and evaluated, can be found at: www.admin.ox.ac.uk/eop/harassmentadvice.shtml.

Further guidance on resources in cases of sexual assault or sexual violence is available at www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure.

Annex D—Guidance for staff on handling cases of sexual assault or sexual violence

- The University Policy and Procedures on harassment may not be applicable where the allegations are of behaviours that may attract criminal sanction. In such cases, student members can seek advice from the Director of Student Welfare and Support Services' office and/or approach the Police directly; and staff members can seek advice from the Director of Human Resources and/or approach the Police directly.
- 2 The student harassment Procedure states that in the first instance such allegations will normally be a matter for police investigation and action, but that support for any student affected by such an incident may be sought from the office of the Director of Student Welfare and Support Services. This guidance gives further information to staff on support and contacts for handling cases of sexual assault or sexual violence, and guidance on dealing with such cases.
- 3. If you are approached by an individual for advice and support in relation to any behaviour which was unwanted and which might have amounted to sexual assault or sexual violence, you should support him or her in contacting a staff or student advisor with particular welfare responsibilities. These include:

Specially trained <u>Harassment Advisors</u> ¹⁵ <u>harassment.line@admin.ox.ac.uk</u> 01865 270760	The Director of Student Welfare and Support Services' office <u>director.swss@admin.ox.ac.uk</u>	OUSU Student Advice Service ¹⁶ advice@ousu.org 01865 288466
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- 4. All information concerning sexual assault and sexual violence should be treated in confidence as far as possible and unnecessary disclosure may give rise to disciplinary action. Information should only be shared on a need-to-know basis. If you are concerned for an individual's immediate safety you should discuss this with them before any confidential information is disclosed to a third party. You will need to explain to the individual that they would need to agree to certain information being disclosed to a limited number of University and college staff in order for support to be put in place. This support may include making arrangements to limit contact between the parties concerned.
- 5. There may be circumstances in which confidentiality cannot be maintained, for example where in your opinion the complainant or other members of the community may be in serious or immediate danger. The individual's consent would normally be sought if disclosure is to be made, and a decision on disclosure would be made at a senior level. A member of staff might also be called to court in proceedings arising from an allegation of sexual assault or sexual violence, and might be obliged to provide evidence to the court.
- 6. These caveats to confidentiality should be explained to the individual concerned. If they are unwilling to accept these caveats, you should support the individual to contact support agencies that will deal with individuals on an anonymous basis:

¹⁵ www.admin.ox.ac.uk/eop/harassmentadvice/advisornetwork/

¹⁶ <u>ousu.org/advice/student-advice-service/</u>

Oxford Sexual Abuse & Rape Crisis	Rape Crisis England and	<u>SurvivorsUK</u> ¹⁹
Centre ¹⁷	Wales ¹⁸	0845 122 1201
01865 726 295 (24 hour	Freephone 0808 802 9999	(Monday & Tuesday 7.00pm-
answerphone) or freephone 0800	(Every day 12.00pm-2.30pm	9.30pm and Thursday
783 6294	and 7.00pm-9.30pm)	12.00pm–2.30pm)
(Monday & Thursday 6.30pm- 9.00pm, Friday 11.30am-2.00pm and Sunday 6.00pm-8.30pm)	A free telephone helpline which can provide advice to women and men.	A free and confidential telephone helpline for men and boys who are dealing with the effects of sexual violence
support@osarcc.org.uk A free and confidential telephone helpline, email support and support groups for women and girls who are dealing with the effects of sexual violence, and supporters of all genders.	Independent Sexual Violence Advocate (ISVA) ²⁰ 01865 725311 isva@osarcc.org.uk Provides emotional and practical advice and support for women over 18 who have experienced rape, sexual abuse or any other type of sexual violence at any time in their lives.	effects of sexual violence.

A: Handling the disclosure

Let the individual stay in control

- 7. The pace and direction of your support should always be led by the individual. Sexual abuse or sexual violence can make an individual feel powerless and not in control. Individuals need to feel they can be in charge of their lives again and it is important to resist the temptation to take over by arranging and doing things that you think are best. Instead, let the individual talk about how they feel, while aiming to support them in any decision they need to take.
- 8. Individuals are often afraid of how others will react to what has happened to them. They may fear not being believed, embarrassment, having their experiences minimised or trivialised, or even rejection. It is important that your interaction does not prevent them from seeking further support, and you should avoid questions that could be seen as accusatory such as: "Why didn't you fight back/scream?", "Why didn't you do/say something sooner?".
- 9. It is important to remember that the reaction to sexual assault will vary from person to person; the individual may be angry, numb or have feelings of guilt. It is helpful not to have any preconceived expectations of how they will look and act, as this could affect your ability to empathise fully. Individuals will have differing priorities: some will want to report to the police, others will be concerned about pregnancy or sexually transmitted infection (STI). They might come to you in the immediate aftermath or want to discuss a historic case.
- 10. It is possible that the student will not have labelled their experience as 'sexual assault' or 'sexual violence' (or as 'harassment' or 'stalking'). It is important that you do not ask or prompt them to do this, but rather allow the student to come to this point in their own time. Given the distressing nature of these experiences, delayed labelling and responses more generally are common. If it has taken the student a long time to label their experience, or to realise that

¹⁷ www.oxfordrapecrisis.net

¹⁸ www.rapecrisis.org.uk

¹⁹ www.survivorsuk.org

²⁰ <u>osarcc2.d7.ox4.org/content/advocacy-advice</u>

they wish to seek help, this does not mean that the student is any less likely to be honest or in need of help. Given there is no formulaic pathway of support, below are practical considerations you should be aware of.

In the event of a recent incident of sexual violence

11. If relevant, let the individual know that there are external personnel who are trained to gather early medical evidence, and inform them that early evidence may be crucial if they want to proceed with a prosecution at any later stage. As well as gathering evidence, important medical treatment can be offered. The individual has two options:

<u>Sexual Assault Referral Centre²¹</u> - if the individual does not want to contact the police immediately

SARCs have specially trained experienced professionals who can give medical help and advice. They can store forensic results until the individual makes up their mind whether or not to report to the police and can support them through the immediate trauma.

You should always contact the SARC before travelling; whilst they operate a 24 hour service they do need to ensure the relevant staff are available.

You will need to accompany the individual to a SARC or arrange for someone else to do so, and ensure that the individual does not need to pay for transport. The nearest SARCs are:

Swindon Sanctuary ²²	Solace Centre ²³ – Bletchley	<u>Solace Centre</u> – Slough
The Gables	Sherwood Drive	NHS Upton Park Hospital
Shrivenham Road	Bletchley	Albert Street
South Marston	Milton Keynes	Slough
Swindon SN3 4RB Tel: 0808 168 0024 (24 hour helpline)	MK3 6TP Tel: 0845 519 7638	SL1 2BJ Tel: 01753 821441

<u>Specially Trained Officers (STOs) at Thames Valley Police</u>²⁴ - if the individual does want to make a report to the Police immediately.

Non-emergency telephone 101; emergency telephone 999.

Note that approaching the Police binds the Police to investigate if they believe a crime has been committed.

The STOs will facilitate the care of the individual from initial report, through medical examination, interview and subsequent investigation. They will then identify and engage the most appropriate methods of support.

Protect and preserve evidence

12. In either case, in the event of a recent assault, the individual should be advised not to:

- a. Use the lavatory or discard underwear or sanitary products
- b. Wash, shower, bathe or shave
- c. Wash their hands

 $^{^{21}\ \}underline{www.nhs.uk/Livewell/Sexualhealth/Pages/Sexualassault.aspx}$

²² www.swindonsanctuary.co.uk

²³ www.solacesarc.org.uk

²⁴ www.thamesvalley.police.uk/reptcr.htm

- d. Remove, wash, discard or destroy clothing worn or bedding and towels used at the time of the incident or subsequent to it
- e. Drink or eat anything, including non-essential medication
- f. Clean their teeth
- g. Smoke
- h. Disturb the scene or allow other people or animals to enter areas where the incident took place, where possible.

Non-physical evidence, such as relevant texts, social media messages and emails should be preserved.

13. If attending a SARC or police station, it is important to bring any underwear or clothing worn at the time of the incident in a plastic bag, if not being worn for the journey. The place of the incident should be made secure if possible.

In the event of an historic incident

14. The guidance in paragraph 11 applies; however it is advisable to telephone the SARC before making a journey to establish whether they are likely to be able to gather any medical evidence.

If the individual decides not to report

- 15. A decision not to visit a SARC or report to the police is still a valid decision and the individual's wishes should be respected. However it is important that they retain relevant evidence, in so far as this is possible, in case they change their mind in the future.
- 16. An individual who does not want to go to a SARC or the police, is advised to seek medical attention from their college doctor or nurse, local GP or A&E. The local GUM (Genito-Urinary Medicine) Clinic can provide morning-after pills, tests for STIs and anti-retroviral medication.

GUM Clinic²⁵ Churchill Hospital Old Road Oxford OX3 7LE Tel: 01865 231231

Keeping records

17. A member of staff to whom an allegation of sexual assault is made is advised to make a note of what has been disclosed, either in the presence of the individual (with their permission) or as soon as possible thereafter. You may be asked to act as a witness in any criminal proceedings and a contemporaneous note will be valuable. The notes should be stored in accordance with the principles of the Data Protection Act²⁶ and should not normally be disclosed without the individual's permission.

B: Supporting the individual

18. If the alleged perpetrator and the complainant are in the same college or department, contact between them will need to be managed, including contact through teaching, examinations, accommodation and social activity. The Director of Student Welfare and Support Services can advise and make recommendations to the appropriate bodies on such situations, including

²⁵ www.sexualhealthoxfordshire.nhs.uk

²⁶ www.admin.ox.ac.uk/councilsec/compliance/dataprotection

cases where a complaint is not made to the police or, following a police investigation, the alleged perpetrator is not charged.

- 19. You can discuss with the individual how they can be helped to feel safer. This might include making sure that relevant staff members are asked not to disclose an individual's whereabouts or telephone number.
- 20. You can encourage the complainant to contact a specially-trained harassment advisor, the Director of Student Welfare and Support Services' office or OUSU's Student Advice Service for support. If the complainant would like to speak to someone completely outside the University, you can encourage women to contact the Oxford Sexual Abuse & Rape Crisis Centre and men to contact SurvivorsUK. All contact details are given in paragraphs 3 and 6 of this document.
- 21. You can encourage the individual to speak to the <u>Student Counselling Service²⁷</u> where there are professionally trained female and male counsellors, psychotherapists, clinical psychologists and a psychiatrist. Counselling will not erase what has happened, but it may help equip the individual with some new ways to think about what has happened, while helping them mobilize their resources and feel more in control.
- 22. The Director of Student Welfare and Support Services' office is available to advise staff as well as students, and can advise on issues including whether and how to inform relevant University and college staff of the case, and managing contact between the complainant and the alleged perpetrator.

C: Providing long-term support for the individual

- 23. The individual may wish to suspend their studies; every effort should be made to ensure that their academic standing is not adversely affected and that their return to study is as smooth as possible.
- 24. It should be made clear to the individual that all the sources of support described above will be available to them on their return.

D: Sources of support for staff members

25. A member of staff to whom an allegation of sexual assault or sexual violence is made is encouraged to be mindful of their own welfare. Within the University, staff members can contact <u>Occupational Health</u>²⁸ (e-mail: <u>enquiries@uohs.ox.ac.uk</u>; telephone: 01865 2 82676). Outside of the University, staff members can contact the Oxford Sexual Abuse & Rape Crisis Centre, which provides support for supporters as well as survivors.

If you have any comments or questions on this guidance, please contact <u>harassment.line@admin.ox.ac.uk</u> or the Director of Student Welfare and Support Services' office: <u>director.swss@admin.ox.ac.uk</u>.

²⁷ www.ox.ac.uk/students/shw/counselling

²⁸ www.admin.ox.ac.uk/uohs