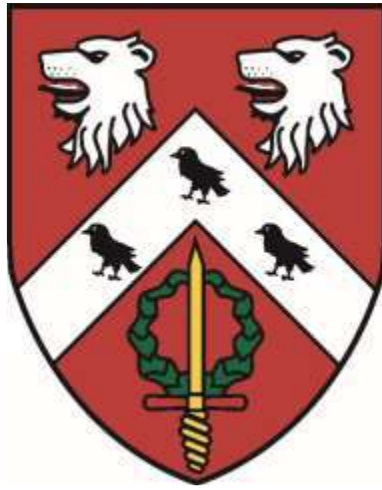


# **St. Anne's College Harassment Policy**



**2020**

# Harassment Policy

## Introduction

1. St Anne's College does not tolerate any form of harassment or victimisation and expects all members of the College community, its visitors and contractors to treat each other with respect, courtesy and consideration.
2. The College 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 College community are respected.
3. The aims of the College 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 College 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 within the College have formal responsibilities under this Policy and are expected to familiarise themselves with the Policy and Procedures on appointment. All members of the College have a duty to implement this Policy and to make every effort to ensure that harassment and victimisation do not occur in the areas for which they are responsible or in which they are operating and that, if they do occur, any concerns are made known and then investigated promptly and effectively.
5. All members of the College community have the right to expect professional behaviour from others, and a corresponding responsibility to behave professionally towards others. All members of the College 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; and
  - c. Supporting any member of the College who feels they have been subject to harassment, including supporting them to make a formal complaint if appropriate.
6. This Policy and associated Procedures are designed to deal with harassment which occurs primarily within the College environment. Incidents of harassment that occur outside the college environment and/or solely within the University environment will normally be dealt with under the appropriate University procedure.<sup>1</sup> If there is doubt as to whether the college or University procedure applies, you are advised to seek advice from the relevant

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<sup>1</sup> [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/)

college officers described in this Procedure, the Office of the Director of Student Welfare and Support Services or the University's Harassment Line.

7. This Policy and associated Procedures should be read alongside other St Anne's College policies and procedures, including College Staff-Students Relationships Policy, Equal Opportunities, Safeguarding, Disciplinary Policy and Privacy Policy. These can be found at: <https://www.st-annes.ox.ac.uk/policies/>

8. Any member of the College community who feels they have been subject to harassment can also contact the University Harassment Advisory Service, or their local Harassment Officer, 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 at: [www.admin.ox.ac.uk/eop/harassmentadvice.shtml](http://www.admin.ox.ac.uk/eop/harassmentadvice.shtml)

## Definitions

9. A person subjects another to **harassment** where they engage in unwanted and unwarranted conduct which has the purpose or effect of:

- violating another person's dignity, or
- creating an intimidating, hostile, degrading, humiliating or offensive environment for another person.<sup>2</sup>

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

10. Freedom of speech and academic freedom<sup>3</sup> 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 them.

11. **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.

12. The College seeks to protect any member of the College community from **victimisation**, which is a form of misconduct which may itself result in a disciplinary process. The College will regard as victimisation any instance where a person is subjected to detrimental treatment because they have, in good faith:

- a) made an allegation of harassment, or
- b) indicated an intention to make such an allegation, or
- c) assisted or supported another person in bringing forward such an allegation, or
- d) participated in an investigation of a complaint, or
- e) participated in any disciplinary hearing arising from an investigation, or
- f) taken any other steps in connection with this Policy and associated Procedures, or
- g) is suspected of having done so.

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

<sup>3</sup> Freedom of Expression Policy: <https://www.st-annes.ox.ac.uk/policies/>

## Behaviours

13. Harassment may involve repeated forms of unwanted and unwarranted behaviour, but a one-off incident can also amount to harassment.

14. 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.

15. Being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for harassment.

16. Harassment can take a variety of forms:

- a) Through individual behaviour
  - 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 of the university's regulations: <https://governance.admin.ox.ac.uk/legislation/it-regulations-1-of-2002>
  - directly to the person concerned, or to a third party
- b) 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.

17. Examples of behaviour which **may** amount to harassment under this Policy include (but are not limited to) the following:

- a) unwanted physical contact, ranging from an invasion of space to an assault, including all forms of sexual harassment, such as:
  - i. inappropriate body language
  - ii. sexually explicit remarks or innuendoes
  - iii. unwanted sexual advances and touching
- b) offensive comments or body language, including insults, jokes or gestures and malicious rumours, open hostility, verbal or physical threats: these include all forms of harassment and abuse on the grounds of disability, race or sexual orientation
- c) insulting, abusive, embarrassing or patronising behaviour or comments
- d) humiliating, intimidating, and/or demeaning criticism
- e) persistently shouting at, insulting, threatening, disparaging or intimidating an individual
- f) constantly criticising an individual without providing constructive support to address any performance concerns
- g) persistently overloading an individual with work that they cannot reasonably be expected to complete
- h) posting offensive comments on electronic media, including using mobile communication devices
- i) threatening to disclose, or disclosing, a person's sexuality or disability to others without their permission

- j) deliberately using the wrong name or pronoun in relation to a transgender person, or persistently referring to their gender identity history
- k) isolation from normal work or study place, conversations, or social events
- l) publishing, circulating or displaying pornographic, racist, homophobic, sexually suggestive or otherwise offensive pictures or other materials.

18. **Stalking may** also be a form of harassment and may be characterised by any of the following repeated and unwanted behaviours:

- a) Following a person;
- b) Contacting, or attempting to contact, a person by any means;
- c) Publishing any statement or other material –
  - i. Relating or purporting to relate to a person, or
  - ii. Purporting to originate from a person;
- d) Monitoring the use by a person of the internet, email or any other form of electronic communication;
- e) Loitering in any place (whether public or private);
- f) Interfering with any property in the possession of a person;
- g) Watching or spying on a person including through the use of CCTV or electronic surveillance.

## Contacts

College officers who may be contacted for advice and guidance are listed on the following page of our website: [Meet the Welfare Team - St Anne's College, Oxford](#)

Advice external to College:

- **The Harassment Line**  
To speak with an advisor entirely unconnected with your department, faculty, or college, you can call 01865 270760 or email [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)
- **Welfare and Wellbeing**  
To access a range of services from the Student Welfare and Support Services (SWSS) <https://www.ox.ac.uk/students/welfare>
- **The Counselling Service**  
Advisors who will provide confidential support for personal, emotional, social and academic problems. The Service also offers a variety of supportive resources including workshops, advice, and individual and group counselling, further information is available on their website <https://www.ox.ac.uk/students/welfare/counselling?wssl=1>.  
Call 01865 270300 or email [counselling@admin.ox.ac.uk](mailto:counselling@admin.ox.ac.uk)
- **The Student Union's Student Advice Service**  
The service provides a confidential and impartial listening and advice service. Whether you feel you are being harassed currently, or that you have been in the past, the service allows you to talk through your feelings and experiences with an

advisor, more information can be found on their website  
<https://www.oxfordsu.org/wellbeing/student-advice/>  
Call 01865 288452 or email [enquiries@oxfordsu.ox.ac.uk](mailto:enquiries@oxfordsu.ox.ac.uk)

- **Director of Student Welfare and Support Services Office**

In cases where informal action has not succeeded, or would not be appropriate, or when it is not clear where to take a harassment concern, you can contact the Director of Student Welfare and Support Services Office. That Office will ensure that students can access appropriate support in cases involving University staff and other students, including through the formal complaint stage, if appropriate. Support is also available to students accused of harassment. Email [supportservice@admin.ox.ac.uk](mailto:supportservice@admin.ox.ac.uk)

### **Application of the Policy**

19. Harassment is a serious offence. Any member of the College community who feels they have been subject to harassment can make a complaint via the appropriate Procedure: see **Annexe A for the Procedure in relation to complaints about staff**; and **Annexe B for the Procedure in relation to complaints about students**.

20. 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 relevant College contact: [Meet the Welfare Team - St Anne's College, Oxford](#) and/or approach the Police directly; staff members can seek advice from the HR Manager, Senior Tutor or Harassment Officer and/or approach the Police directly. Further guidance on dealing with cases of sexual assault or sexual violence is available from the University at: <https://www.ox.ac.uk/students/welfare/supportservice?wssl=1>

21. Incidents of harassment that occur outside of the college environment and within the University environment will normally be dealt with under the appropriate University procedure. These procedures can be found at: [Harassment advice | Equality and Diversity Unit \(ox.ac.uk\)](#)

22. 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.

23. 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.

24. This Policy and associated Procedures will be subject to regular review by the Equal Opportunities committee and/or HR committee.

# St Anne's College

## Annexe A: Complaints of harassment against College staff

1. The Procedure below applies in all cases where the person who is the subject of the complaint is a member of College staff, or who has an association with a particular college, short of an employment contract. The Human Resources Manager will have oversight of all cases, and will take the lead as appropriate in liaising with the relevant College Officer with responsibility for that member of College staff, and/or other parts of the collegiate University.
2. Where the complainant is a student, welfare support during this process will be provided to the student by the Dean of Welfare.
3. Where the complainant is a staff member, welfare support during this process will be provided by their line manager or another member of staff as appropriate. In addition, the College offer access to a 24/7 hour confidential Employee Assistance Program for independent support. Details are available from the HR department.

### **Initial actions – Informal Approach: to be taken if appropriate**

4. It is sometimes possible and appropriate to resolve a complaint informally. The HR Manager and relevant College Officer will explore with the complainant and with the subject of the complaint whether the matter can be resolved informally. If this does not happen, or is not successful, or it is not appropriate for an informal approach to be taken, the Formal Complaints Procedure below will apply.
5. 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. 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 HR Manager. Where the member of staff is a joint appointment between the College and the University, advice may be sought from the University's Director of Human Resources. 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 but 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.

### **The Formal Complaints Procedure**

6. If informal action described above does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the complainant should make a formal written complaint. If the complainant is a member of staff, the complaint should be submitted to the HR Manager or the College Officer with responsibility for the subject of the complaint (the alleged harasser). If the complainant is a student, the complaint should be submitted to the Senior Tutor who will then liaise with the HR Manager and relevant Manager/College

Officer in charge of that department. A student complainant may at any time seek welfare support from the Dean of Welfare. 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 HR Manager or relevant College Officer or Senior Tutor, or wishes to make a complaint against one of these office holders, advice may be sought from another College Officer. Students and staff can also seek advice from College Harassment Officers for Staff and for Students throughout the complaints process. If the student or staff member does not feel comfortable contacting a College Harassment Officer, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or email [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)).

### **Submission of the complaint**

7. In the submission to the HR Manager, College Officer or Senior Tutor (as appropriate), the complainant should set out as clearly and succinctly as possible:

- a) the nature of the behaviour that they are concerned about;
- b) the effect of this behaviour on them; and
- c) the resolution they are 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 they are seeking.

8. Every effort will be made to achieve a prompt resolution to the complaint – the aim being to conclude the investigation 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 College in achieving that result. In exceptional cases, an investigation may take longer than six weeks, and both parties will be kept updated about the progress of the investigation.

9. Both parties to the complaint have the right to be accompanied and supported by a trade union representative if applicable, or by a colleague of their choice from within the College, at any meeting held under this procedure. Students making complaints may be accompanied at any meetings by another student member of the College or a member of the College's welfare team, a senior member of the College, or a member of staff from OUSU's Student Advice Service. These people must maintain appropriate confidentiality.

10. There may be circumstances in which an aggrieved party is not willing or able to make a formal complaint, but the HR Manager in consultation with the College Officer or Senior Tutor 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 HR Manager may initiate an investigation and make a decision on further action on the basis of such evidence as is available.



## **Action by the College on receipt of a complaint**

11. On receipt of a complaint, the most appropriate person to investigate the complaint initially will be identified. This will usually be the HR Manager, the College Officer in charge of the department in which the staff member who is the subject of the complaint works, or the Senior Tutor.

12. The person initially investigating the complaint (the 'Initial Investigator') will take such steps as deemed necessary and appropriate to understand the nature of the complaint and the outcome sought. Actions will include:

- a) informing the person against whom a complaint has been made of the allegations against him or her;
- b) meeting separately with the complainant and the alleged harasser (both parties can be accompanied if they so wish, as described above);
- c) speaking to other relevant people on a confidential basis; and/or
- d) obtaining further relevant information.

13. The Initial Investigator will then decide how to proceed and will inform the parties in writing. Where circumstances preclude them from concluding the matter in a timely fashion at this stage of the process, they may commission a further, more detailed, Formal Investigation by an Investigating Officer.

14. An Investigating Officer will be identified and appointed by the Initial Investigator. This person should not have had previous involvement with the case and could be drawn from the staff of the College or from outside the College as appropriate to the case in question.

15. The Initial Investigator may also determine that immediate interim action is necessary pending the outcome of a longer formal process.

## **Formal Investigation**

16. The purpose of a Formal Investigation is to establish again the relevant factual evidence in connection with the allegation(s) made by the complainant.

17. The investigation should be concluded as soon as is reasonably practicable. The Investigating Officer will prepare a report and may, if specifically requested to do so by the College, make recommendations on possible courses of action.

18. The HR Manager, or Initial Investigator if different, as appropriate, will inform the complainant and the person who is the subject of the complaint in writing (i) of the conclusions the Investigating Officer has reached having reviewed the evidence, including any investigation report; (ii) of the action the College intends to take; and (iii) of the reasons for any such action.

19. The Initial Investigator will also inform any other parties who have been asked to participate in an investigation that the investigation has been concluded.

## **Formal Investigation procedure**

20. The procedure for an investigation will normally be as follows, but may be adapted by the Investigating Officer to meet the needs of the case:

- a. The Investigating Officer 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 Investigating Officer has.
- c. The Investigating Officer will interview, where reasonably practicable, individuals identified by the complainant as having relevant evidence.
- d. The Investigating Officer will meet the person complained against to hear their response to the complaint and any further evidence that has come to light.
- e. The Investigating Officer 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 Investigating Officer will prepare a written report of their findings, in relation to which they may check relevant sections in draft with the parties before finalising.
- g. The report will be forwarded to the complainant, the person who is the subject of the complaint, and the HR Manager or Initial Investigator, if different, as appropriate. A copy will usually also be sent to the Principal and relevant College Officer (if they have not already received the report). In cases involving students, consent should be sought from the complainant to inform their department if appropriate according to the circumstances of the case.

### **Possible outcomes of a complaint**

21. Depending on the nature of the complaint and the evidence found, including the findings of any investigation, the HR Manager, in consultation with the relevant College Officer(s), will either:

- a) Take no further action, other than, where appropriate, implementing or suggesting steps that would help to restore reasonable professional relationships between the parties. or
- b) Initiate resolution of the issues (e.g. by requiring that certain individuals undergo specific training, or implementing practical arrangements to improve professional relationships or minimise contact between staff member and student). If a successful resolution is achieved the case will be closed, but the situation will be monitored for an appropriate period. or
- c) Institute disciplinary proceedings where the HR Manager 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 HR Manager in liaison with the relevant College Officer will determine what intermediate measures are necessary, including any re-allocation of duties, in consultation as appropriate with the relevant department. or
- d) In rare cases disciplinary action may be instituted against the complainant if the HR Manager is satisfied that the complaint of harassment was unfounded and not made in good faith.

## **Appeal process**

22. If either party does not accept the outcome of the complaint (including any judgement that the complaint was vexatious), they may invoke the relevant grievance or complaint procedure within the time scales specified. For staff see the College Appeals procedure and for students see the College procedure.

23. If a student complainant is not satisfied with the outcome following the investigation of the formal written complaint, and they have exhausted all College and University appeal procedures, they may be able to apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. Any such application must be made within one year of the date of the Completion of Procedures letter.

## **Potentially criminal conduct**

24. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but not be limited to, cases of serious assault or threat of assault. The HR Manager will decide which procedure is appropriate.

## **Confidentiality**

25. 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 College, the University, or to external bodies.

26. 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 College 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**

27. The College and all those involved in this process must comply with the principles of the General Data Protection Regulations 2018 (GDPR). These include ensuring that personal data is kept accurate and up-to-date, held securely, and is not kept for longer than necessary.

28. Those interviewed in the course of any investigation will be asked to review the notes of their individual discussions with the Initial Investigator and Investigating Officer as soon as is reasonably possible in order to comment on any inaccuracies or omissions.

29. The Data Protection Officer should be consulted about filing and retaining any notes and documents, all of which must be held in confidence.

## **Annexe B: Complaints of harassment against students**

1. This Procedure is designed to deal with student complaints of harassment by other students that arise in a College context. Complaints of harassment brought by students against staff will be dealt with under the College staff procedure above (see Annexe A). If a student is unsure whether a particular instance of harassment falls under the University's procedures or College procedures, they should seek advice from a Harassment Officer for Students, the Dean of Welfare or the Dean.
2. If a member of College staff wishes to make a complaint of harassment against a student, this will normally be considered as a disciplinary issue. In the first instance, the member of staff should seek support and guidance from the HR Manager or the Senior Tutor. As the matter is dealt with as a student disciplinary issue, the Dean will lead the investigation.
3. The Dean of Welfare and the Harassment Officer for Students can provide support to students. For staff requiring advice on cases involving students, the Harassment Officer for Staff is available, as is the Senior Tutor, the HR Manager, and the College Officer with responsibility for the department in which the staff member works. The Dean will have oversight of all cases referred to them under this Procedure (Annexe B), and will take the lead in liaising with other parts of the collegiate University as appropriate. The Dean will also be responsible for the recording and reporting of cases referred to their 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.

### **Stage 1 - Informal action**

5. In some cases, a student who feels that they are being harassed by another student may feel able to approach the person in question to explain what conduct they find 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 College does not wish to suggest that a student who feels that they have been harassed is responsible for rectifying the situation. It may often be appropriate to proceed directly to stages 2 and 3 of the procedure.
6. Before taking informal action, the student could discuss the situation with a College Harassment Advisor for Students, the Dean of Welfare or the Dean. If the student does not feel comfortable contacting a College Harassment Advisor, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or e-mail [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)). 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: [Harassment Advisor Network | Equality and Diversity Unit \(ox.ac.uk\)](#)

7. Other sources of advice when considering informal resolution include relevant College Officers, JCR and MCR welfare representatives, Student Peer Supporters, and OUSU's Student Advice Service (Tel. 01865 288466 or e-mail [advice@ousu.org](mailto:advice@ousu.org)).

8. These sources of support and advice are also available to students who have been accused of harassment. Actions taken will vary depending on the case, but the support will be equivalent to that available to a student who feels that they are being harassed by another student, including referral to appropriate support services. The Dean of Welfare 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.

### **Stage 2 - Mediation or conciliation or referral of the case to another college**

9. If informal action described in stage 1 above does not succeed in resolving the situation, or would not be appropriate given the nature of the behaviour, actions taken by the Dean may include:

- a) Facilitating a mediation or conciliation process between the student complainant and the alleged harasser, if both parties agree. An experienced mediator or conciliator acceptable to both parties will normally be nominated by the Dean. 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;
- b) Referring a case to the University or another College, if it transpires that the alleged harassment took place within a University environment or between students at different colleges where the alleged harasser is at another college;

10. The Dean will ensure that relevant members of staff within the collegiate University are informed of the case as appropriate, with the student's consent, and having due regard for obligations of confidentiality owed to others.

11. 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 General Data Protection Regulations 2018 (GDPR). 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**

12. 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 Dean. In some cases, it will be appropriate to proceed directly to this stage. In these cases, if the complainant has not already been offered appropriate support from a trained member of staff, this will happen.

13. The complaint should normally be made as soon as possible after the event(s) to which the complaint refers, or normally within one month of the completion of any resolution attempts made at stages 1 and 2.

14. The complainant should set out as clearly and succinctly as possible:

- a) the nature of the behaviour that they are concerned about;
- b) the effect of this behaviour on them; and
- c) where possible, the resolution they are 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. 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 Dean may request further information.

15. The Dean or another person appointed by them, will investigate the case to establish the relevant factual evidence and decide on any actions which should be taken. This may include:

- a) informing the person against whom a complaint has been made of the allegations against him or her;
- b) meeting separately with the complainant and the alleged harasser;
- c) speaking to other relevant people on a confidential basis; and/or
- d) obtaining further relevant information.

At all times both parties will have the right to be accompanied at meetings by another student member of the College, a member of the College welfare team, a senior member of the College, or a member of staff from OUSU's Student Advice Service.

16. 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 College 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.

17. At all times both the complainant and the student complained against will be kept informed of proceedings. Both parties will be informed in writing of the outcome of the investigation of the complaint.

18. 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.

19. Investigation of a formal written complaint of harassment may result in:

- Deciding that the alleged harasser should face disciplinary procedures<sup>4</sup>
- Taking actions in College, or recommending to a department/faculty actions to take, including making arrangements to limit contact between the parties concerned.
- Referring either or both parties to appropriate support services
- Referring a case to the University or another college, if it transpires that the alleged harassment did in fact take place outside of the college environment and within the University environment or another college.
- 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.

20. If the complainant is not satisfied with the outcome following the investigation of the formal written complaint, they may be able to appeal this decision using the College appeals procedure or, if they have exhausted all mechanisms of appeal within College, take their case to the University, and if procedures there are exhausted, apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. The complainant should seek advice from Senior Tutor if they are considering taking this action. If applying to the OIA they must do so within three months of the date of the Completion of Procedures letter.

21. Following the outcome of the complaint, the Dean will take such action, including informing others, and arranging for support for all parties following the outcome, as may be appropriate in the circumstances.

22. There may be circumstances in which an aggrieved party is not willing, or able, to make a formal complaint but the Dean 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 Dean may initiate an investigation and make a decision on further action on the basis of such evidence as is available.

## **Referrals**

23. On occasion, complaints of harassment which should be considered under this Procedure may be made to staff other than the Dean. In this situation, staff should explain the Procedure, and ask the complainant if they would like the case referred to the Dean.

## **Potentially criminal misconduct**

24. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but not be limited to, cases of serious assault or threat of assault. Where the complaint is of potentially serious criminal behaviour by a

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<sup>4</sup> Disciplinary Policy: <https://www.st-annes.ox.ac.uk/policies/>

student, the college should consider whether it would be appropriate for the University to investigate, given the University's access to experienced external investigators. Further guidance on cases of sexual assault and sexual violence, including support available, is available from the University at: [Harassment advice | Equality and Diversity Unit \(ox.ac.uk\)](https://www.st-annes.ox.ac.uk/equality-diversity). Issues including but not limited to those around teaching, examinations and accommodation/social activity may need to be considered.

25. Support for any student affected by such an incident may be sought from the Dean of Welfare, Harassment Officers and other relevant College Officers.

26. In addition the Dean of Welfare in consultation with the Dean 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 necessary.

### **Confidentiality**

27. 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 College, the University, or to external bodies.

28. 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 College 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**

29. The College and all those involved in this Procedure must comply with the principles of the General Data Protection Regulations 2018 (GDPR)<sup>5</sup>. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

30. Those interviewed in the course of any investigation by the Dean or their representative will be asked to review the notes of their individual discussions 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 College's internal processes and any external processes are concluded.

31. The Data Protection Officer should be consulted about filing and retaining any notes and documents related to this Procedure, all of which must be held in confidence.

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<sup>5</sup> Information Security policy: <https://www.st-annes.ox.ac.uk/policies/>