

## **University Resources for Discussing and/or Reporting Concerns about Unethical Conduct, Harassment, or Discrimination**

### **Introduction**

As conveyed in RIT's honor code and core values, RIT faculty, staff, and students are committed to conducting themselves with high standards of integrity and ethics in the university's diverse and dynamic learning, working, and living environments. Further, as stated in the policy prohibiting discrimination and harassment (C 6.0), RIT will not discriminate in terms and conditions of employment and prohibits discrimination and harassment on campus, or at any RIT activities off campus, by its administrators, faculty, staff, students and student organizations, and external organizations and individuals in their operations with RIT.

The university realizes that these statements of commitment and policy, while necessary, are not sufficient to fully ensure the environment we all desire. Because the effects of unethical conduct, harassment, or discrimination are so damaging to individuals and the university, a wide variety of organizational resources have been established for faculty, staff, and students to engage regarding concerns about these negative behaviors. Moreover, all faculty, staff, and students have the obligation to report observations of unethical conduct, harassment, or discrimination for follow-up and investigation. As a result, while circumstances *may* allow confidentiality to be maintained, no individual in the RIT community can ever guarantee, or be guaranteed, absolute confidentiality when discussing such matters.

With this understanding in mind, the university also is committed to providing multiple resources for members of the community to discuss and report concerns about unethical conduct, harassment, or discrimination. The following chart and its explanatory notes are designed to provide information to faculty, staff, and students about the many offices available as resources, as well as individuals who have a designated role to play.

## Explanatory Notes

### Types of Functions and Processes:

#### **Advice and Counsel**

Assists individuals by listening and providing advice, counsel, and coaching on how to handle the situation and/or provides information on what procedural steps to take next

#### **Conflict Resolution**

Facilitates communication between involved parties to assist in informal resolution of conflict

#### **Internal Investigations**

As self-initiated, or at request of individual, conducts investigation and issues report of findings to appropriate administrator for decision-making and follow-up action as warranted

### Informal vs. Formal Processes and Functions:

#### **Informal**

Contact with this office/role generally does not result in formal action under policies or procedures

#### **Informal and Formal**

Some functions and processes of this office/role are informal, some are formal. Engaging an informal function or process of this office/role may result in formal action if required for legal or policy compliance

#### **Formal**

Contact with this office will result in formal action.

### Degree of Control for Person with Concern:

#### **High**

Once contact is made, person with concern can maintain or withdraw contact from office/role at will.

#### **Medium**

Once contact is made, person with concern may or may not be able to maintain or withdraw contact with the office/role depending on the circumstances communicated

#### **Low**

Once contact is made, person with concern relinquishes control to the office/role for further action.

**University Resources for Discussing and/or Reporting Concerns about Unethical Conduct, Harassment, or Discrimination**

<i>Office or Role</i>	<i>Types of Issue Handled</i>	<i>Functions and Processes</i>	<i>Formal or Informal</i>	<i>Degree of Control for Person with Concern</i>	<i>Comments</i>
<b><i>Ombuds Office</i></b>	All	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal	High	<p>Designated in Policy C 6.0 as resource for advice and counsel on the related procedures.</p> <p>An independent, impartial conflict resolution and complaint resource providing consultation, conflict coaching, informal mediation, shuttle diplomacy, referrals, policy assistance. Supports fair process for individuals and groups; provides upward feedback to university officials concerning recurring university issues.</p>
<b><i>Chief Diversity Officer/ Office</i></b>	Student and Faculty/Staff Conduct	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal and Formal	Medium	<p>Designated in Policy C 6.0 as resource for advice and counsel on the related procedures</p> <p>Provides advice, counsel, and conflict resolution services in situations that do not require formal investigation.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>

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<b><i>Women's Center</i></b>	Student and Faculty/Staff Conduct	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal and Formal	Medium	<p>Designated in Policy C 6.0 as resource for advice and counsel on the related procedures.</p> <p>Provides advice, counsel, and conflict resolution services in situations that do not require formal investigation.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>
<b><i>RIT Ethics Hotline</i></b>	Unethical faculty/staff conduct, including fraud and abuse, regulation and policy non-compliance, and conflicts of interest	<ul style="list-style-type: none"> <li>• Internal Investigations</li> </ul>	Formal	Low	<p>Although degree of control for person with concern is low, all contact through the RIT Ethics Hotline remains anonymous.</p> <p>Individuals responsible for follow up on reports submitted via the RIT Ethics Hotline determine what actions can or will be taken based on information provided. Anonymous correspondence between report recipient and reporter often occurs, which can greatly assist in issue resolution.</p>

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<b><i>Supervisors</i></b>	All except legal	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> <li>• Internal Investigations</li> </ul>	Informal and Formal	Medium	<p>As indicated in policy C 6.0, individual faculty and staff members can seek assistance from <u>any</u> RIT supervisor, not only the supervisor to whom they report.</p> <p>Can conduct formal investigation on his or her own or request appropriate authorized office/role to do so.</p>
<b><i>Public Safety</i></b>	Student and Faculty/Staff Conduct	<ul style="list-style-type: none"> <li>• Internal Investigations</li> </ul>	Formal	Low	<p>First-responder to on-campus incidents involving conduct that jeopardizes individuals' safety.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, initiates and conducts.</p> <p>Depending on nature of conduct, may involve external law enforcement agency.</p>
<b><i>Human Resources</i></b>	Faculty/Staff Conduct	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> <li>• Internal Investigations</li> </ul>	Informal and Formal	Medium	<p>Provides advice, counsel, and conflict resolution services in situations that do not require formal investigation.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, initiates and conducts.</p>

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<b><i>Student Employment</i></b>	Student and Faculty/Staff Conduct	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal and Formal	Medium	<p>Handles issues of conduct in situations in which students are employees of the university.</p> <p>Provides advice, counsel, and conflict resolution services in situations that do not require formal investigation.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>
<b><i>Peers</i></b>	All except legal	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal and Formal	Medium	<p>Individual members of the RIT community are expected to report observations of inappropriate conduct, but are not authorized to conduct internal investigations.</p> <p>A peer may or may not be able to provide accurate advice and counsel or effective conflict resolution.</p>
<b><i>Staff Advocate</i></b>	Staff Conduct and Employee Relations	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> </ul>	Informal and Formal	Medium	<p>The staff advocate role is being piloted 7/09-6/10. The advocate seeks out, and responds to, staff and supervisors to better understand individual and organizational issues; facilitates and/or participates in solutions.</p> <p>The advocate determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>

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<b><i>Institute Audit, Compliance &amp; Advisement</i></b>	Faculty/Staff Fraudulent and Unethical Conduct	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Internal Investigations</li> </ul>	Informal and Formal	Medium	<p>Initiates and conducts formal fraud investigations as warranted.</p> <p>Can provide advice and counsel. When a formal fraud investigation is not warranted or applicable, provides information on alternative reporting options.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>
<b><i>Center for Student Conduct and Conflict Management Services</i></b>	All Student Non-academic Misconduct; Mediation and Restorative Conferencing for Faculty/Staff/Students	<ul style="list-style-type: none"> <li>• Advice and Counsel</li> <li>• Conflict Resolution</li> <li>• Internal Investigations</li> </ul>	Informal and Formal	Medium	Faculty/staff can seek advice regarding conflict resolution and request mediation or restorative conferencing.
<b><i>Office of Legal Affairs</i></b>	Legal	<ul style="list-style-type: none"> <li>• Internal Investigations</li> </ul>	Formal	Low	<p>Can provide advice, counsel and information on alternative reporting options.</p> <p>As an office-of-notice, determines if seriousness of situation requires formal investigation. If so, engages authorized office/role to conduct.</p>

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