A Summary of the University’s Investigative, Disciplinary and other Responsive Procedures in Cases That Involve Employee and other Non-Student Respondents

1. How to report incidents of discrimination, harassment, sexual assault, stalking, relationship violence or related retaliation (collectively, “discriminatory misconduct”) that involve an employee respondent or other non-student University community member respondent

Complainants can report concerns about discriminatory misconduct to the University of Minnesota’s Office of Equal Opportunity and Affirmative Action (EOAA). Complainants can make an appointment with an EOAA staff member by emailing, calling or visiting the EOAA office.

EOAA
274 McNamara Alumni Center
200 Oak Street SE
Minneapolis, MN 55455
Office: 612-624-9547
Email: eoaa@umn.edu

In cases of sexual assault, sexual harassment, stalking and relationship violence, (“sexual misconduct”), advocates from The Aurora Center are available to assist complainants through these meetings and processes.

Aurora Center for Advocacy & Education
Appleby Hall
128 Pleasant St. SE
Minneapolis, MN 55455
Office: 612-626-2929
Email: aurora@umn.edu

Complainants can also report concerns about discriminatory misconduct to Human Resources representatives and supervisors (Unit Representatives). In cases of sexual assault, stalking and relationship violence, Unit Representatives will forward those reports to EOAA. In other situations, Unit Representatives may address the reports themselves, but in cases of sexual harassment, Unit Representatives will inform EOAA about the reports.

Unit Representatives also can report discriminatory misconduct to EOAA or consult with EOAA about discriminatory misconduct about which they are aware.

Reports involving potential crimes can also be made to the University of Minnesota Police Department or local police departments.

University of Minnesota Police Department
Transportation and Safety Building
511 Washington Ave SE
Minneapolis, MN 55455
2. Summary of the University’s potential responses to discriminatory misconduct reports

Upon receiving a discriminatory misconduct report, EOAA will assess the report to determine how to respond to the report, including whether to respond to the report through informal problem solving or a formal investigation process. In making this determination, EOAA may consider, among other factors: (1) the nature and severity of the reported conduct; (2) whether the conduct has been previously addressed with the respondent; (3) academic freedom and free speech protections; (3) the potential for recurrence of the conduct; (4) the actual and potential impact of the conduct; (5) the potential impact of using investigative or problem-solving approaches to address the report; (6) the preferences of the complainant; and (7) whether the respondent is an employee, student or third party.

A. Informal problem solving

Based on the facts and circumstances of each case, EOAA may use informal problem solving to respond to a report. Among other things, informal problem solving may include: (1) conducting an initial inquiry to gather additional information about the report; (2) providing education or coaching to the respondent or complainant; (3) providing resources or recommendations to the respondent, a supervisor, or human resources representative; (4) providing relevant information to the individuals involved; or (5) making changes to an employee’s workflow or work location; or (6) establishing a plan for monitoring future misconduct. In an informal problem solving process, EOAA does not determine whether or not the respondent has violated University policy. However, EOAA may provide resources to help resolve the conflict and make recommendations for responsive action, including actions aimed at preventing conflict or discriminatory misconduct from occurring.

B. Formal investigation

1. EOAA investigates reports of discriminatory misconduct in order to determine whether it is more likely than not that relevant University policies have been violated. This is also known as a preponderance of the evidence standard.

2. At the close of the investigation, EOAA will email the parties a draft report containing preliminary factual findings. The parties will have five business days to review and respond in writing to the report if they choose to do so.

3. EOAA subsequently provides a final written report to the parties that includes factual findings and a determination of whether relevant University policies have been violated.

4. In most cases, EOAA will send a copy of the report and recommendations for responsive action, if any, to the University Authority. For employees, the University Authority is the respondent’s supervisor, and/or Human Resources representative.
For other non-student respondents, the University Authority is the University official responsible for retaining or overseeing the respondent.

5. The University Authority will determine which responsive actions, if any, will be implemented. The University Authority will notify the respondent of the responsive actions that directly impact the respondent, if any, and will document those actions in the respondent’s University file. The University Authority or other appropriate person will notify the complainant about the responsive actions taken that may impact the complainant.

3. Possible recommendations for responsive action for employees

EOAA will send recommendations for responsive action to the University Authority if the respondent violated relevant policies. EOAA may also send recommendations for responsive action to the University Authority in other cases, such as in cases where the respondent engaged in concerning conduct, even if the respondent did not violate relevant University policies. Recommended responsive action might include, but is not limited to: coaching, training on issues of equity and diversity or policy compliance, other professional development training, probation, written letter of expectations, progressive disciplinary action, change in job duties or responsibilities, decrease in salary, demotion, paid or unpaid suspension, or termination from employment.

4. Review of decision or disciplinary action

Either party may ask the EOAA Director to review EOAA’s written findings. The request for such a review must be made in writing to the EOAA Director, and must include the party’s specific concerns regarding the findings. In addition, depending on an employee’s job classification, other review or grievance procedures related to the written findings or disciplinary action may be available including, for example:

- Bargaining unit employees should contact their union representative and/or refer to the [applicable collective bargaining agreement](#).

- Faculty members should refer to Chapter 14 of Board of Regents Policy: *[Faculty Tenure]*. Faculty members may contact the Office of the Provost for more information about processes under this policy:

  Office of the Provost
  234 Morrill Hall
  100 Church Street SE
  Minneapolis, MN 55455
  provost@umn.edu
  612-625-0051

- Civil Service and Professional and Administrative employees (including faculty) who are not represented by a union should refer to the University’s [conflict resolution](#).
process for employees. These employees may contact the Office for Conflict Resolution for more information:

Office for Conflict Resolution
662 Heller Hall (West Bank)
271 19th Avenue South
Minneapolis, MN 55455
612-624-1030
http://ocr.umn.edu/
ocr@umn.edu

5. **Student employees**

Discriminatory misconduct by student employees may be addressed through the procedures described above, and may also be addressed through the student conduct procedures applicable to student respondents.

*Revised 01/10/2018*
Relevant University Policies and Procedures

Policies prohibiting sexual assault, sexual harassment, stalking, relationship violence and related retaliation

Administrative Policy: *Sexual Harassment, Sexual Assault, Stalking and Relationship Violence*
https://policy.umn.edu/hr/sexharassassault

Board of Regents Policy: *Sexual Harassment, Sexual Assault, Stalking and Relationship Violence*
https://regents.umn.edu/sites/regents.umn.edu/files/policies/Sexual_Harassment_Sexual_Assault_Stalking_Relationship_Violence.pdf

Policy prohibiting discrimination and harassment

Board of Regents Policy: *Equity, Diversity, Equal Opportunity and Affirmative Action*
https://regents.umn.edu/sites/regents.umn.edu/files/policies/Equity_Diversity_EO_AA.pdf

Policy prohibiting retaliation

Administrative Policy: *Retaliation*
https://policy.umn.edu/operations/retaliation