NUFFIELD COLLEGE

Policy and Procedure on Harassment

Introduction

1. Nuffield College does not tolerate any form of harassment or victimisation and expects all members of its community to treat each other with respect, courtesy and consideration. A definition of harassment can be found in Section 2 below, and a description of behaviours associated with harassment is set out in Section 3.

2. Any member of the College who believes that they have been subjected to harassment or bullying by another member of the College, or against whom an allegation of harassment has been made, is strongly encouraged to seek advice and support at the earliest possible opportunity, and, in the case of potentially criminal behavior, to report the matter to the Police if appropriate. The College takes harassment incidents very seriously and will make every reasonable effort to acknowledge promptly reports of harassment and respond in accordance with the procedures described in this document. Any member of the College may contact one of the College’s Harassment Advisors (see Section 1 below), whose role is to listen non-judgmentally to individuals’ concerns and to help them to interpret and implement the processes set out in this Policy. Students may also contact the Senior Tutor, and staff may contact the Bursar. Additional support is available from the College Counsellor, Tamina Oliver, and – in the case of students – from the University’s Director of Student Welfare and Support Services’ office.

3. Any member of the College who has concerns about harassment, but does not necessarily wish to consider pursuing the matter formally is strongly advised to discuss informally their concerns with a Harassment Advisor (College or University).

4. A full list of sources of support and advice available to members of the College is provided at Annex C.

5. 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.

6. 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.
d. Provide a mechanism by which complaints can wherever possible be addressed in a timely way.

7. Members of the College who occupy positions of authority, such as College officers and heads of department, have formal responsibilities under this Policy and are expected to familiarise themselves with this document on appointment. All managers within 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 of work for which they are responsible, and that if they do occur any concerns are investigated promptly and effectively.

8. 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 therefore have a personal responsibility for committing to and complying with this Policy and Procedure and must do so 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 College who feels they have been subject to harassment, including supporting them in making a formal complaint if appropriate.

9. Section 1 below describes the role of the College’s Harassment Advisors, and Sections 2 and 3 provide a definition of harassment and a description of associated behaviours. Section 4 outlines the application of the policy.

10. There are four annexes. Annex A sets out the Procedure for dealing with complaints of harassment against College staff and explains when this Procedure is applicable. Annex B sets out the Procedure for dealing with complaints of harassment against student members of the College and explains when this Procedure is applicable. Annex C sets out sources of support available to members of the College who believe that they have been subjected to harassment or bullying, and Annex D provides guidance for staff on handling cases of sexual assault or sexual violence.

11. This Policy and Procedure, which is based on the University’s Policy and Procedure on Harassment, will be subject to regular review.
Section 1: College Harassment Advisors

12. The Warden, in consultation with the Equality and Diversity Officer and other College Officers as appropriate, shall appoint at least two College Harassment Advisors, including one man and one woman. The College’s aim, subject to the availability of suitably trained individuals, is to appoint up to six Harassment Advisors in total, two students, two fellows, and two staff (one male and one female in each case).

13. The current Harassment Advisors within College are:
   - Professor Ben Ansell
   - Dr Jessica Begon
   - Ms Annette Zimmermann
   - Mr Dingeman Wiertz
   - Mr Edmund Downie

14. Any member of the College may approach a College Harassment Advisor for support or advice. The role of the Harassment Advisor is to listen non-judgmentally to individuals’ concerns and to provide them with support by:
   - Listening to staff and students who believe they are being harassed, to clarify the options open to them and to assist them in resolving the matter informally where possible; and provide similar support to those accused of harassment.
   - Guiding them through the College (and, where applicable, University’s) Harassment Policy and relevant procedures, formal and informal.
   - Where requested, supporting them through a 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, as set out in the College’s Guidelines on Confidentiality in Student Health and Welfare).
   - Referring them to another advisor where necessary or to other agencies or support systems as appropriate.

Harassment advisors cannot:

   - Make statements to the effect that particular behaviour definitely constitutes harassment that will lead to disciplinary action or to the effect that a particular behaviour is not harassment.
   - Approach the alleged harasser in an attempt to mediate or resolve the matter.
   - Act as a representative or advocate.
   - Act as a party to any formal stage of the complaint process, except in the role of providing support.

15. Harassment Advisors appointed by the College must undertake relevant training on appointment and thereafter as appropriate, as provided by the University’s Equality and Diversity Unit.

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1 Although the designation ‘man-woman’ and the pronouns ‘she-he’ are used in this document, the College acknowledges that some people do not identify with binary genders and prefer to use other pronouns.
16. Further information about sources of support and advice available to individuals who believe that they have been the subject of harassment is set out in Annex C below.

Section 2: Definitions

17. The definitions of Harassment set out below are the same as those used by the University in its Policy and Procedures on Harassment.

18. A person subjects another to harassment where s/he engages 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.

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

19. 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 them.

20. 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.

21. The College seeks to protect any member of its 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 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.

Section 3: Behaviours

22. Harassment may involve repeated or one-off forms of unwanted and unwarranted behaviour.

23. 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.

24. Being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for harassment.
25. Harassment can take a variety of forms:

- Through individual behavior:
  - 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 College or the University’s Regulations Relating to the use of Information Technology Facilities.\(^2\)
  - 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.

26. 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:
  - inappropriate body language
  - sexually explicit remarks or innuendoes
  - 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.

27. 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;
- publishing any statement or other material:
  - relating or purporting to relate to a person, or
  - purporting to originate from a person;

\(^2\) See [http://intranet.nuff.ox.ac.uk/Resources/IT/Pages/Rules.aspx](http://intranet.nuff.ox.ac.uk/Resources/IT/Pages/Rules.aspx) and [www.admin.ox.ac.uk/statutes/regulations/196-052.shtml](http://www.admin.ox.ac.uk/statutes/regulations/196-052.shtml).
• 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.

Section 4: Application of the Policy

28. Harassment is a serious offence. Any member of the College community who feels s/he has been subject to harassment can make a complaint via the appropriate Procedure: see Annex A below for the Procedure in relation to complaints about staff, and Annex B for the Procedure in relation to complaints about students.

29. 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. In these cases, students can seek advice from the Senior Tutor and are also encouraged to consult the College Counsellor and/or the University’s Director of Student Welfare and Support Services’ office, and can approach the Police directly. Members of staff within College can seek informal advice from the Bursar, and/or can also approach the Police directly. Staff or students in any doubt about how to proceed are encouraged to consult one of the College’s Harassment Advisors.

30. Further guidance on dealing with cases of sexual assault or sexual violence has been produced by the University and is set out in Annex D below.

31. Incidents of harassment that occur within the University environment – or which concern members or employees of the University who are not members of the College – will normally be dealt with under the University’s Policy and Procedures on Harassment.

32. Any member of the University community (including members of the College) who believes that s/he has been subjected to harassment (or against whom an allegation of harassment has been made) can contact the University Harassment Advisory Service, or a College or departmental harassment advisor, for support and advice, and/or can seek advice from the Senior Tutor (in the case of students) or the Bursar (in the case of staff) or the College Counsellor. A list of sources of help and advice can be found in Annex C, and are available online.

33. 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.

34. 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 strict confidentiality throughout the process. Those involved in advising complainants should 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. Please refer to the College’s Policy on Confidentiality in Student Health and Welfare for further details.

35. In dealing with harassment cases every effort will be made to ensure that there is no conflict of interest (for example, through a close working relationship) affecting the persons involved in investigating and resolving the complaint (including the Bursar, Senior Tutor, College harassment advisors and any mediators/conciliators). Where a conflict of interest occurs, or in case of a complaint being made against one of the responsible persons tasked with resolving the complaint (including the Bursar or Senior Tutor), an alternative lead or mediator will be appointed by the Warden (or by the Senior Fellow, in case of a complaint against the Warden). In all cases of harassment every effort will be made to maintain the impartiality of the responsible persons tasked with investigating and/or resolving the complaint.
Annex A: Complaints of harassment against College 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 College staff (i.e. is an employee of the College), both academic and non-academic. The Bursar will have oversight of all cases, and will take the lead as appropriate in liaising with other parts of the collegiate University. 3

2. Any complaints against staff who hold a University post (but who are not employed by the College) will normally be dealt with under the relevant sections of the University Policy and Procedure.

3. Where the complainant is a student, support during this process may be sought from the Senior Tutor, and students are also encouraged to contact the College’s College Counsellor. The Senior Tutor may seek confidential advice from the University’s Director of Student Welfare and Support Services’ office throughout the process (and will do so without disclosing or compromising the student’s identity, unless his or her consent to do so has been obtained). Students themselves can also choose to contact that University’s Director of Student Welfare and Support Services’ office directly; contact details are available here.

Initial action

4. The Procedure below assumes that the individual has not first been able to resolve the issue through an informal approach. If the complainant wishes to seek informal resolution, s/he should approach in the first instance the Senior Tutor (if s/he is a student) or the Bursar (if s/he is a member of staff), to ask for help in achieving a resolution of the problem.

5. At no time should a student or staff member feel obliged to approach an alleged harasser, and it is important to note that informal action may not be appropriate in serious cases, or in cases where an individual wishes to make a formal complaint of harassment straightaway (see below for details of the formal complaints process).

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 (see below), 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 Bursar. In the case of a complaint involving a member of staff and a student, the Bursar will consult the Senior Tutor concerning the appointment of a mediator or conciliator, and may also consult the University’s Director of Student Welfare and Support Services (who may also be consulted by the Senior Tutor). The person appointed will normally 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

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3 For example, in the case of joint appointments (e.g. academic staff employed both by the College and a University department) co-ordination with the University may be sought as appropriate.
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 strict 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 the Bursar. If any of the parties considers that the Bursar has a conflict of interest in the complaint, or if the Bursar is the subject of the complaint, the complaint may be referred to another member of the College’s Governing Body (who has no previous involvement with the case), who will be appointed by the Warden. Complainants may seek advice about the process from the College’s Harassment Advisors, and/or from the University’s Harassment Line. Student complainants may also seek support from the Senior Tutor (who may be able to liaise with the Bursar on their behalf) and/or from the University’s Director of Student Welfare and Support Services.

Submission of the complaint

10. In submitting the complaint, the complainant should set out as clearly and succinctly as possible:

   a. the nature of the behaviour that s/he is concerned about;
   b. the effect of this behaviour on her/him; and
   c. the resolution s/he is seeking.

The complaint submitted should also 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 and where appropriate, have been made to resolve the difficulties and the outcome s/he is seeking.

11. 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 College (and where appropriate, University) in achieving that result.

12. Both parties to the complaint have the right to be accompanied and supported by a trade union representative or by a colleague of his or her choice from within the College 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 College, or a member of staff from OUSU’s Student Advice Service. These people must maintain strict confidentiality throughout the process, in line with the College’s Guidelines on Confidentiality in Student Health and Welfare.

13. There may be circumstances in which an aggrieved party is not willing, or able, to make a formal complaint but the Bursar (or other member of the Governing Body appointed in his/her place) considers that the implications for the aggrieved person or others actually or potentially affected are serious. This may include

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4 Information on recognised trade unions at the University is available at www.admin.ox.ac.uk/personnel/staffinfo/joint.
cases where other parties, but not the aggrieved party, have made a complaint. In this case, the Bursar will consult the Warden, and in the case of a student complainant, the Senior Tutor (who may in turn consult the University's 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 taken on receipt of a complaint**

14. On receipt of a complaint, the Bursar (or other member of the Governing Body acting in his or her place) will take such steps as s/he thinks necessary or appropriate to understand the nature of the complaint and the outcome sought including:

- 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 (and reminding each party of their right to be accompanied);
- speaking to other relevant people on a confidential basis; and/or
- obtaining further relevant information.

In cases where the complainant is a student, before taking any of the steps outlined above the Bursar will consult the Senior Tutor (who may in turn consult the University's Director of Student Welfare and Support Services).

15. The Bursar (or other member of Governing Body acting in his or her place) 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.

16. The Bursar (or other member of Governing Body acting in his or her place) may also determine that immediate interim action is necessary pending the outcome of a formal process.

**Investigation**

17. The purpose of an investigation is to establish the relevant factual evidence in connection with the allegation(s) made by the complainant.

18. As a general rule, the investigator must not have had previous involvement with the issues in the case nor have a conflict of interest through a working or personal relationship with either individual. 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 Bursar (or another member of Governing Body acting in his or her place), make recommendations on possible courses of action.

19. The Bursar (or another member of Governing Body acting in his or her place) 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) the action she or he intends to take; and (iii) the reasons for any such action.

20. The Bursar (or another member of Governing Body acting in his or her place) 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

21. Depending on the nature of the complaint and the evidence found, including the findings of any investigation report, the Bursar (or another member of Governing Body acting in his or her place), in consultation with the Warden (and in the event of a student complainant, the Senior Tutor) 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 concerning the organization of a College department that require management attention.

or

iii. Institute disciplinary proceedings where the Bursar (or another member of Governing Body acting in his or her place) is reasonably satisfied that there is evidence to support allegations of harassment that should be further examined through the disciplinary process. In this event, the Bursar (or other person acting in his or her place) will determine what intermediate measures are necessary, including any re-allocation of duties, in consultation as appropriate with the relevant University department.

or

iv. In rare cases disciplinary action may be instituted against the complainant if the Bursar (or another member of Governing Body acting in his or her place) is satisfied that the complaint of harassment is unfounded and not made in good faith.

Appeals

22. If either party does not accept the outcome of the complaint (including any judgment that the complaint was vexatious), s/he may invoke the relevant College grievance or complaint procedure within the time scales specified in that procedure save that where the decision is to refer the matter for disciplinary

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5 The College’s grievance procedures for non-academic staff can be found in the College Staff Handbook. Academic staff should consult the College’s statutes and by-laws.
action, any matters of dispute will usually be considered as part of that person’s response to the disciplinary proceedings.

Confidentiality

23. Information concerning allegations of harassment must be held in strict confidence by those to whom it is divulged (and, in the case of students, in line with the College’s Guidelines on Confidentiality in Student Health and Welfare). Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a strictly 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, within certain University departments and offices, or to external bodies. In such cases, the consent of the individual in question will always be sought, in line with the guidelines linked to above.

24. 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

25. The University and all those involved in this process must comply with the principles of the Data Protection Act 1998. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

26. 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.

27. The Warden, and if the student is a complainant, the Senior Tutor, should be consulted about filing and retaining any notes and documents, all of which must be held in confidence.

Investigations

28. 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.

6 The University’s Data Protection policy is available at: www.admin.ox.ac.uk/councilsec/compliance/dataprotection. The College Policy is available at: http://intranet.nuff.ox.ac.uk/Administration/HR/Policies%20procedures%20and%20forms/Dataprotection.pdf.
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. The author of the report may check relevant sections in draft with the parties before it is finalised.

g. The report will be forwarded to the Bursar (or other person acting in his or her place), usually with a copy to the Warden, and, if the complainant is a student, normally to the Senior Tutor. The Senior Tutor, in consultation with the University’s Director of Student Welfare and Support Services, will ensure that appropriate support is available to students during an investigation and following it.
Annex B: Complaints of harassment against students—the Student Procedure

1. This Procedure is designed to deal with complaints of harassment that arise within the College context and are made about Nuffield students by other students (from Nuffield or elsewhere within the collegiate University). Complaints of harassment against students which arise purely within the University environment will normally be dealt with under the University Policy and Procedure on Harassment. Complaints of harassment occurring within the College environment which are brought by students against College staff (including joint University employees e.g. jointly appointed academic staff) will be dealt with under the staff Procedure described in Annex A; in those cases, students may be supported by the Senior Tutor and/or the University’s 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 the College’s disciplinary procedures. In the first instance, a member of staff who intends to make a complaint of harassment against a student should seek support and guidance from the Bursar or (where applicable) from the head of his or her University department.

3. The University’s Director of Student Welfare and Support Services’ office can provide support to students, and advice to staff (i.e., relevant College officers) requiring guidance on cases involving students.

4. 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 environment of the collegiate University. However, it also includes the procedure for informing and receiving support from the College and the University in cases where there is police involvement.

5. This procedure is separate from Statute XI on University Discipline, and from the College’s own disciplinary procedures. 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 the College’s disciplinary code and/or under the University’s Statute XI.

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7 See the relevant section on Disciplinary and Complaints procedures in the Student Handbook.
**Stage 1 – Informal action**

6. 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 it is not the intention of this Policy 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.

7. Before taking any informal action, the student could discuss the situation with a College or departmental harassment advisor. If the student does not feel comfortable contacting a local advisor in the College or in their department, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or e-mail harassment.line@admin.ox.ac.uk).

8. Within College, other sources of advice when considering informal resolution include the College Counsellor, and JCR welfare representatives. Sources outside of College include Student Peer Supporters, and OUSU’s Student Advice Service (Tel. 01865 288466 or e-mail advice@ousu.org).

9. The sources of support and advice described above are also available to students who have been accused of harassment.

**Stage 2 – Referral to the Senior Tutor**

10. If informal action does not succeed in resolving the situation, or would not be appropriate given the nature of the behaviour, the student who believes that s/he is being harassed should contact the Senior Tutor, who will provide support and advice. In doing so, the Senior Tutor may seek guidance (in an anonymised way, without disclosing or compromising the student’s identity, unless his or her prior consent has been obtained) from the University’s Director of Student Welfare and Support Services’ office.

11. If the student has not already made contact with a College Harassment Advisor, the Senior Tutor will refer him or her to one, and that person 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. Actions taken by the College Harassment Advisor 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).

The Senior Tutor will oversee all cases which come to his/her attention, and will advise and take action as appropriate. Actions taken by the Senior Tutor 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 Senior Tutor. 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 strict confidentiality, in line with the College’s Guidelines on Confidentiality in Student Health and Welfare.

- Referring a case to the relevant University department or office, if it transpires that the alleged harassment did in fact take place purely within the University environment.
- Ensuring that relevant members of staff within the collegiate University are informed of the case if appropriate and with the student’s consent, and having due regard for obligations of confidentiality owed to others, as set out in the College’s Guidelines on Confidentiality in Student Health and Welfare.

12. Students against whom complaints of harassment have been made may also seek support from the Senior Tutor or from the University’s Director of Student Welfare and Support Services’ office. 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 Senior Tutor (or the University’s 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.

13. Support from the Senior Tutor and the University’s 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 set out in Annex A above.

14. 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 1998. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.8

Stage 3—Formal written complaint

15. 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 College Dean. In some cases, it will be appropriate to proceed directly to this stage, and in these cases, the Dean will normally seek consent from the complainant to refer her/him to the Senior Tutor (where contact has not already been made), so that s/he can be offered appropriate support from a trained member of staff (which may include a College Harassment Advisor or someone from the University’s Director of Student Welfare and Support Services’ office).

16. 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.

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8 The University’s Data Protection policy is available at: www.admin.ox.ac.uk/councilsec/compliance/dataprotection. The College Policy is available at: http://intranet.nuff.ox.ac.uk/Administration/HR/Policies%20procedures%20and%20forms/Dataprotection.pdf.
17. 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. 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.

18. The Dean, or another member of the College’s Governing Body appointed by him or her (and who has no supervisory relationship with the student involved, or previous involvement with the issues of the case), will investigate the case to establish the relevant factual evidence and decide on any actions which should be taken. This may include holding separate meetings with both the complainant and the alleged harasser, and speaking to other relevant people on a confidential basis (in line with the College Guidelines on Confidentiality in Student Health and Welfare). 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.

19. 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.

20. 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.

21. 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.

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

- Deciding that the alleged harasser should face disciplinary procedures under the College’s disciplinary procedures.
- Recommending actions to be taken by the College or by the relevant department or faculty, which might include making arrangements to limit contact between the parties concerned. The Senior Tutor or Warden will normally have responsibility for implementing and monitoring any actions, and for reporting to the Dean that action has been taken. Advice on these procedures will be available from the University’s Director of Student Welfare and Support Services.
- Referring either or both parties to appropriate support services.
- Referring a case back to the Senior Tutor, or 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 University department or office, if it transpires that the alleged harassment did in fact take place purely within the University 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.

23. 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.

Referrals

24. On occasion, complaints of harassment which should be considered under this Procedure may be made to staff other than the Senior Tutor. In this situation, staff should explain the Procedure, and ask the complainant if they would like the case referred to the Senior Tutor, so that support can be arranged, or whether they would like it referred to the Dean as a formal written complaint.

25. If a student does not wish to seek support and advice, or to make a complaint, as described under stages 2 or 3 of this Procedure, or if there are queries about the procedure to be followed, staff can contact the Senior Tutor or the University’s Director of Student Welfare and Support Services’ office for advice on a confidential basis (and should do so without disclosing or compromising the identity of relevant individuals, in line with the College guidelines on Confidentiality in Student Health and Welfare). Any member of the University can also contact the Proctors for advice and information on any matter (but should take steps to ensure that confidentiality is not compromised).

26. 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 Senior Tutor considers 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 Senior Tutor may ask the Dean to initiate an investigation and make a decision on further action on the basis of such evidence as is available. The individual’s consent will be sought if disclosure is to be made, and a decision on disclosure would only be made after consultation with the Warden. In these rare cases, information would be disclosed on a strictly need-to-know basis, and in line with the College’s Guidelines on Confidentiality in Student Health and Welfare.

Potentially criminal misconduct

27. 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.

28. Support for any student affected by such an incident may be sought from the Senior Tutor or the office of the University’s Director of Student Welfare and Support Services.
29. In addition, the Senior Tutor or the University’s 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 necessary. Further guidance on cases of sexual assault and sexual violence, including support available, is available on the University website and can be found in Annex D below. Issues including but not limited to those around teaching, examinations and accommodation/social activity may need to be considered.

Confidentiality

30. 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 strictly 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 certain other colleges, or to external bodies. All parties involved must comply with the College’s Guidelines on Confidentiality in Student Health and Welfare.

31. 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 or 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

32. The College and all those involved in this Procedure must comply with the principles of the Data Protection Act 1998. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

33. Those interviewed in the course of any investigation by the Dean 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 at least until such time as the College’s (and where applicable, University’s) internal processes and any external processes are concluded.

34. The Warden should be consulted about filing and retaining any notes and documents related to this Procedure, all of which must be held securely and in strict confidence.

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9 See the relevant section on Disciplinary and Complaints procedures in the Student Handbook. The powers of the Proctors in relation to University action pending the outcome of criminal proceedings are laid down in Statute XI: University Discipline.

10 The University’s Data Protection policy is available at: www.admin.ox.ac.uk/councilsec/compliance/dataprotection. The College Policy is available at: http://intranet.nuff.ox.ac.uk/Administration/HR/Policies%20procedures%20and%20forms/Dataprotection.pdf.
Annex C: Sources of Advice

1. Any member of the College who believes that they have been subjected to harassment or bullying by another member of the College is strongly encouraged to seek advice and support at the earliest possible opportunity, and to report the matter to the Police if appropriate. Students may contact the Senior Tutor in the first instance, and staff may contact the Bursar. Any member of the College may contact one of the College’s Harassment Advisors, whose role is to listen non-judgmentally to individuals’ concerns and to help them to interpret and implement the processes set out in this Policy. Additional support is available from the College Counsellor, Tamina Oliver, and – in the case of students – from the University’s Director of Student Welfare and Support Services’ office.

2. The University operates a confidential harassment advisor network and can provide further information about sources of support in relation to harassment. College members may contact the University’s Harassment Line (Tel. 01865 270760 or email: harassment.line@admin.ox.ac.uk), if they need additional information or if the responsible persons within the College are unavailable.

3. A full list of sources of support and advice within Nuffield College can be found on the College intranet, and in the introduction to the College’s Fitness to Study guidelines.

4. Sources of support and advice within the University are set out in Annex C of the University’s Policy and Procedure on Harassment and can also be found online.

5. A copy of the College’s Guidelines on Confidentiality in Student Health and Welfare is available here, and a copy of the equivalent University document is available here.
Annex D: University's Guidance for staff on handling cases of sexual assault or sexual violence

1. 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:

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:

| **Specially trained Harassment Advisors** | harassment.line@admin.ox.ac.uk | 270760 |
| **The Director of Student Welfare and Support Services’ office** | director.swss@admin.ox.ac.uk | 280444 |
| **OUSU Student Advice Service** | advice@ousu.org | 288466 |

| **Thames Valley Independent Sexual Violence Advisory** | Provide a range of services, including support for those who do not wish to report to the police. | • 0800 221 8186, 0800 221 8186 FREE  
• isvathamesvalley@refuge.org.uk |
<table>
<thead>
<tr>
<th>Service (ISVA) for men and women over 16</th>
<th>Highly-trained specialist staff will work with you to create a tailor-made support plan to suit your needs.</th>
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<tbody>
<tr>
<td>Independent Sexual Violence Advocate (ISVA) for women and girls over 18</td>
<td>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.</td>
</tr>
<tr>
<td>Oxford Sexual Abuse &amp; Rape Crisis Centre for women and girls</td>
<td>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.</td>
</tr>
<tr>
<td>Rape Crisis England and Wales for women and men</td>
<td>A free telephone helpline which can provide advice to women and men.</td>
</tr>
<tr>
<td>SurvivorsUK for men and boys</td>
<td>A free and confidential telephone helpline for men and boys who are dealing with the effects of sexual violence.</td>
</tr>
</tbody>
</table>

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 individual 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 individual 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 individual a long time to label their experience, or to realise that they wish to seek help, this does not mean that the individual 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:

**Sexual Assault Referral Centre** - 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:

<table>
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<tr>
<th>Solace Centre</th>
<th>Sherwood Drive</th>
<th>Bletchley</th>
<th>Milton Keynes</th>
<th>MK3 6TP</th>
<th>0300 130 3036</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solace Centre</td>
<td>NHS Upton Park Hospital</td>
<td>Albert Street</td>
<td>Slough</td>
<td>SL1 2BJ</td>
<td>0300 130 3036</td>
</tr>
</tbody>
</table>

**Specially Trained Officers (STOs) at Thames Valley Police** - 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:

- Use the lavatory or discard underwear or sanitary products
- Wash, shower, bathe or shave
- Wash their hands
- Remove, wash, discard or destroy clothing worn or bedding and towels used at the time of the incident or subsequent to it
- Drink or eat anything, including non-essential medication
- Clean their teeth
- Smoke
- Disturb the scene or allow other people or animals to enter area 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 Clinic | 01865 231231, 01865 231231 | Churchill Hospital  
Old Road  
Oxford  
OX3 7LE |

**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 Act 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 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 Student Counselling Service 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 Occupational Health (e-mail: enquiries@uohs.ox.ac.uk; telephone: 01865 2 82676, 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 harassment.line@admin.ox.ac.uk or the Director of Student Welfare and Support Services’ office: director.swss@admin.ox.ac.uk.