### Process for Resolving Complaints Against Faculty, Other Academic Appointees, and Postdoctoral Researchers under the Policy on Harassment, Discrimination, and Sexual Misconduct

#### Filing a Complaint

**Complaint**
- Complaint received and initial meeting with Associate Provost for Equal Opportunity Programs (or designee).
- Associate Provost then meets with the respondent and notifies Chair, Panel on Unlawful Harassment (“Faculty Chair”).

**Fact-gathering**
- Associate Provost (or designee) conducts fact-gathering. Complainant invited to submit a written complaint, and the respondent a written response to the complaint.

**Process decision**
- Associate Provost consults with the Faculty Chair regarding the complaint. The Faculty Chair may decide that the complaint be handled administratively, which the Faculty Chair must approve.

#### Resolving a Complaint

**Administrative Resolution**
- After considering the available information, the Associate Provost determines if the respondent violated the Policy and, if so, the recommended sanctions.
- Associate Provost informs the cognizant dean or director of the finding, and provides the dean or director the opportunity to submit a written statement to the Faculty Chair regarding the finding.
- Associate Provost then conveys the finding and, where appropriate, recommended sanction(s) as well as any written statement made by the dean or director to the Faculty Chair.
- Faculty Chair reviews the finding, recommended sanction(s), and/or any supporting materials and will accept or reject the finding, and accept, reject, or modify the sanction.
- Faculty Chair provides parties with simultaneous written notification of the outcome and, where appropriate, any sanction(s), including information about how to request review, no later than seven days after the Panel hearing concludes.
- The Faculty Chair’s decision is transmitted to the Provost and the cognizant dean or director (if neither party makes a timely request for review).

**Panel on Unlawful Harassment**
- Associate Provost submits the available information to the Panel on Unlawful Harassment, which includes a report and written statements from the parties.
- The Panel conducts a hearing, which the parties may attend, and then confidentially deliberates to decide whether the respondent violated the Policy, and if so, the appropriate sanction. The Panel’s decision is by majority vote.
- Faculty Chair or designee provides parties with simultaneous written notification of the outcome and any sanction(s), including information about how to request review, no later than seven days after the Panel hearing concludes.
- The Panel’s outcome and any sanction(s) are transmitted to the Provost and the relevant dean or director (if neither party makes a timely request for review).

#### Requesting Review of a Dismissal, Resolution, or Sanction

**Dismissal Review**
- If the Faculty Chair decides to dismiss the complaint, the complainant may submit a request for review, in writing, to the Provost, within fifteen days after the complainant is notified of the decision.

**Administrative Resolution and Panel on Unlawful Harassment Review**
- Either party may submit a request for review of the outcome and/or any recommended sanctions, in writing, to the Provost, within fifteen days after being notified of the decision. The Provost may decide to confirm or reject the finding and/or to reduce, increase, modify, or strike any sanction. The Provost also may request that the Associate Provost or Panel consider new and material information not available at the time of decision. The Provost provides the parties (and Associate Provost) with written notification of the decision, within seven days of making a decision. The President will be notified of the outcome of the review process.
The relevant Policy is the University’s Policy on Harassment, Discrimination, and Sexual Misconduct, [http://harassmentpolicy.uchicago.edu/page/policy](http://harassmentpolicy.uchicago.edu/page/policy). A current list of the members of the Panel on Unlawful Harassment is available at [https://www.uchicago.edu/about/boards_committees_and_councils/unlawful/](https://www.uchicago.edu/about/boards_committees_and_councils/unlawful/).

This overview summarizes the complaint resolution process in situations in which the complainant chooses to move forward with a formal complaint after filing a report with Equal Opportunity Programs (“EOP”). Reporting an incident to EOP is private, and does not mean that the person reporting their experience somehow loses control of the process. EOP is here to provide advice on options regarding anonymity, confidentiality, and University disciplinary processes.

In limited circumstances, the University may have an institutional obligation to respond to a report of sexual misconduct, including sexual harassment, sexual assault, dating violence, domestic violence, and stalking. If a complainant asks that the University refrain from investigating, the investigator in consultation with the Title IX Coordinator for the University, will consider how to proceed, taking into account the complainant’s wishes, the University’s obligation to provide a safe and non-discriminatory environment, and the respondent’s right to have specific notice of the allegations and an opportunity to be heard if the University were to take action that affects them. If the Title IX Coordinator determines that the institution has an obligation to move forward, the complainant will be notified.

The complainant and respondent have a right to a support person’s assistance throughout the process. This person’s role is limited to providing support, advice, guidance, and counsel.

At the request of either party or the Associate Provost or Faculty Chair, the parties may elect to resolve the matter through a mediated process overseen by the Associate Provost. However, the complainant and respondent must voluntarily agree to mediation. Mediation is not an option, even on a voluntary basis, in matters involving allegations of sexual assault, dating violence, domestic violence, or stalking.

In both the processes (Administrative Resolution and Panel on Unlawful Harassment), the decision-makers apply a preponderance of the evidence standard, meaning the decision-maker (e.g., Associate Provost, Faculty Chair, Panel), will decide whether, in consideration of all of the information before them, it is more likely than not that the respondent’s conduct violated the Policy.

Requests for review only may be made on the basis of grounds recognized in the Policy (incorporating by reference the Process for the Investigation of Complaints Made Against Faculty, Other Academic Appointees, and Postdoctoral Researchers).

Support and resources are always available to individuals who make a report or who are involved in the complaint resolution process. The Associate Provost or their designee will have a conversation with individuals who make a report or who are involved in the process regarding available support and resources.

### RESOURCES

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University of Chicago students, faculty, and staff cannot thrive unless each is accepted as an autonomous individual and treated without regard to characteristics irrelevant to participation in the life of the University. By addressing sexual misconduct and other forms of discrimination or harassment and ensuring accessibility, the Office of the Provost’s Equal Opportunity Programs supports UChicago community members as they strive for and uphold academic excellence.