



# **AUC policy for instances of harassment, discrimination and sexual violence**

**including protocols, procedures and practical advice**

Adopted by AUC Management Team, 17 October 2022.  
Links and references updated August 2024.

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## **Message from the Dean**

Amsterdam University College is committed to creating and nurturing an inclusive, supportive and safe environment, based on the fundamental belief that everyone has the right to live, study and work in a safe and supportive environment, free from abuse, harassment and/or assault. Our general commitment derives its meaning in the more specific aims, measures and procedures by which it is implemented. This document lays down these implications. It delineates the features of a transparent, robust system for disclosure, reporting and seeking support. It purports to help realise a culture where disclosure is taken very seriously and in which there is no acceptance of sexual harassment, violence or hate crime.

The rules, regulations and protocols described in this document are not goals in themselves. They are meant to secure and promote the features that we take to be crucial features of a well-functioning academic community: to enable frank, open and honest discussion; to build relationships based on trust and respect; and to establish and follow fair and transparent processes.

## 1. Context and objectives

As stated in AUC's Codes of Conduct:

"The AUC Codes of Conduct generally express the standards of behaviour that we expect at all times from all members of the AUC community. For AUC students, the Codes of Conduct express in more detail our expectations with regard to respect for the integrity of the academic process, individual integrity and self-respect, respect for the freedoms and rights of others, and respect for university facilities and resources and the property of others, while at the same time respecting the rights of students to conduct their own personal lives. The importance of the Codes of Conduct as the expression of our guiding principles means that breaches are taken seriously and may result in sanctions."

AUC Social and Academic Codes of Conduct

Amsterdam University College (AUC) acknowledges that harassment, discrimination and sexual violence are forms of social misconduct pervasive throughout society and higher education is no exception to this.

This document and its appendices are written in recognition of the fact that no academic institution is exempt from hosting such abuses, and seeks to redress this by making explicit the expectations of AUC staff, students and visitors; defining relevant transgressions on behalf of AUC; and addressing AUC's response to the occurrence of these transgressions. This document also aims to ensure that effective and consistent support is provided to those affected by harassment, discrimination, or sexual violence. AUC is committed to taking the necessary steps to prevent a culture of harassment, discrimination, or sexual violence, and diligently respond to complaints of such behaviours.

This policy document is part of a broader series of actions AUC is taking to uphold a diverse and inclusive academic environment. It outlines AUC's commitment to prevention, awareness of, and intervention in instances of harassment, discrimination, or sexual violence through continual investment, education and training. More generally, AUC encourages everyone to cultivate an awareness of the effects of their actions on others and to treat all within the community with compassion and respect.

The **objectives** of this document are as follows:

- Promoting the safety and well-being of all within the AUC community;
- Communicating clearly that harassment, discrimination and sexual violence of all forms is unacceptable and should not exist in any social environment;
- To uphold the values of academic freedom, procedural fairness, individual rights and dignity;
- Ensuring that the appropriate procedures and protocols are in place to respond to instances of harassment, discrimination or sexual violence in an effective and ethical manner;
- Ensuring that those who complain about instances of harassment, discrimination or sexual violence as well as bystanders of such instances have access to confidential and non-judgmental support services.

## 2. Scope

The policy, protocols and procedures described in this document are aimed at all members of the AUC community including staff, students and visitors. They concern the responsibility of all staff, students and visitors for their conduct undertaken as members of the AUC community. This includes their conduct on the academic campus of AUC; at officially sanctioned events of AUC; within the student residences (dorms) of AUC; or through online media when aimed at members of the AUC community and identifiable as conduct of a member of the AUC community.

With regards to 'students' and 'staff', this policy document applies to students, staff, faculty, volunteers, and all other programme participants and alumni. With reference to 'visitors', it also extends to independent contractors and other representatives who conduct business with AUC and on AUC premises.

This document will be applied in a non-discriminatory way to all, irrespective of age, disability, gender identity or expression, race, religion, belief, sexual orientation, or other status. Although any persons can be subjected to experiences of harassment, discrimination or sexual violence, research shows that these experiences disproportionately affect women, people of colour and LGBTQ+ people. This policy document and its appendices are written in recognition of these facts.

For reasons of simplicity and transparency, this document focuses on the way in which incidents that are in breach of AUC's own codes, regulations and guidelines are handled internally within AUC. This also includes an outline of the (first) steps that are taken internally within AUC in case of incidents that subsequently have to be handled under the procedures of UvA, VU or other institutions/employers.

However, AUC's codes do not limit the applicability of the codes of the UvA and VU and national codes, nor of the codes of the employer of someone working in the AUC building. Appendix 1 gives an overview of potentially relevant codes, regulations and guidelines. It is difficult to bring complete transparency and simplicity to this picture, or to determine in detail and in advance the routes that people might choose to use in case of an incident of unacceptable or undesirable behaviour. Students or staff members may make direct use of university-level and national codes and in certain circumstances escalation to university level may in any case be required in accordance with university crisis protocols (e.g. in case of criminal acts, or where the most severe sanctions such as suspension of a student need to be imposed).

### 3. Definitions

AUC recognises that many terms in this document are not socially or legally defined and that language is subject to change over time. For the purpose of this document the following definitions apply:

- i. AUC: Amsterdam University College.
- ii. Complainant: For the purpose of this document a complainant is defined as a person(s) who has been the subject of or witness to an act of harassment, discrimination or sexual violence. Any person working in the AUC building or working with AUC students or staff, any AUC student and any visitor can make a complaint.
- iii. Respondent: The person(s) whose behaviour is alleged to amount to an incident of harassment, discrimination or sexual violence. Any member of staff, student or visitor can be a respondent.
- iv. Witness: A witness is defined as a person(s) who has seen, heard or felt behaviour occur which amounts to an act of harassment, discrimination or sexual violence. Any member of staff, student or visitor can be a witness.
- v. Complaint Panel: a group of individuals selected to address a complaint (see appendix 4 for the composition of the Complaint Panel for internal AUC procedures regarding behaviour of an AUC student).
- vi. The Management Team: The AUC management team chaired by the Dean.
- vii. The AUC Board: AUC's governing board, which consists of the Dean of the VU Science faculty and the Dean of the UvA Science faculty.
- viii. Consent: agreement by choice to engage in an activity with full consciousness and mutual understanding, actively and voluntarily given without pressure, coercion or manipulation from anyone involved. Consent can be withdrawn at any time, cannot be assumed from previous instances or given on behalf of someone else, and cannot be obtained by taking advantage of the incapacitation of another. Any sexual act occurring without consent is sexual assault.
- ix. Social probation: Social probation is a sanction that may be imposed on a student who has breached the AUC Social Code of Conduct.

In this policy document, inappropriate behaviours are as listed:

- i. Sexual violence: Sexual violence is a broad term that encompasses any sexual approach, request for sexual favours or other sexually explicit verbal, non-verbal or physical behaviour that is experienced as undesirable and that is committed, threatened or attempted without the other person's consent. This definition encompasses sexual assault, intimate partner violence, sexual harassment or sexual misconduct. It includes behaviours such as catcalling, sexual harassment on social media or other behaviours that may reasonably be considered as part of sexual violence.
- ii. Harassment: Harassment refers to unwelcome conduct, whether verbal, non-verbal, physical or through online media, including intimidation, ridicule, insults, comments, threats of violence or physical conduct, that is based on an individual's characteristics (such as listed under Discrimination) and/or is aimed at or results in a threatening, hostile, insulting, humiliating or offensive situation. Hazing and stalking are forms of harassment.
- iii. Aggression and violence: Verbally, mentally or physically harassing, threatening or attacking others.

- iv. Discrimination: Discrimination refers to the differential treatment or proposed differential treatment of different categories of people especially on the grounds of their race, ethnicity, national origin, culture, language, sex (including pregnancy and gender expression), marital and parental status, sexual orientation, religious beliefs, political beliefs, genetic information, age and ability.
- v. Stalking: Stalking is unwelcomed, unwanted, obsessive and/or repeated behaviours that make an individual distressed or fearful. Stalking encompasses a range of perpetrator activities, but is commonly conducted by someone known to the recipient.
- vi. Intimate partner violence: An incident or a repeated set of controlling incidents of coercion, violence, threatening acts, or abuse between individuals who have an intimate relationship. This includes, but is not limited to psychological, physical, sexual, financial and emotional abuse. There are overlaps with other forms of violence including sexual violence.
- vii. Hazing: Any action taken or situation created that, intentionally or unintentionally, produces mental or physical discomfort, embarrassment, harassment or ridicule, as a condition for an individual to be admitted into or feel an accepted member of a particular organisation or community, regardless of the willingness of the individual to participate.

## 4. Disclosure and complaints

AUC encourages students, staff or visitors to make a formal complaint if they have experienced or witnessed harassment, discrimination or sexual violence. We distinguish between a *disclosure* and a *complaint* of harassment, discrimination or sexual violence.

Whilst we aim to minimise the amount of times an individual has to disclose their experiences, after a *disclosure* a written *complaint* will usually need to be made to trigger a formal complaints procedure.

**Disclosure:** An individual informs another that they have experienced or witnessed harassment, discrimination or sexual violence. This may be the only step a disclosing party takes.

In this instance, a student may choose, for example, to disclose information to a member of staff for support or guidance. Or a member of staff may confide in a colleague. The discloser is not required to report an incident and/or make a complaint about harassment, discrimination or sexual violence in order to access support services. Equally, a verbal disclosure is not sufficient to create a formal complaint. However, a disclosure may trigger (or be legally required to trigger) an investigation in some circumstances (for instance in the case of sexual violence if a minor is involved).

At AUC, the discloser is treated with dignity and respect; informed about resources and services; has the right to decide whether to access services; has the right to decide whether to report to police; or whether reasonable and necessary action is taken to prevent further unwanted contact with the respondent.

**Complaint:** An individual may choose to file a written report of harassment, discrimination or sexual violence and trigger a formal complaints procedure.

Whilst formal complaints can be made anonymously, it is often difficult to take specific or formal action on the basis of an anonymous complaint. However, there are circumstances where action can be required upon an anonymous complaint if it is deemed necessary to protect staff, students or visitors.

See section 6 for more information on the (formal) complaints procedure at AUC for incidents involving the behaviour of an AUC student or of a staff member.

AUC or a third party (e.g. a confidential adviser of the UvA or VU) can assist the complainant in the process of filing a formal complaint. A complaint can be made immediately following the occurrence of harassment, discrimination or sexual violence or whenever the complainant wishes to do so.

A complainant has the right to withdraw the complaint at any time, but the institution or employer handling the complaint may still have a legal obligation to continue with the procedure, including taking necessary action on the incident, despite the withdrawal of the complaint.

See appendix 2 for protocols and practical advice on responding to disclosures of harassment, discrimination or sexual violence.

## 5. Confidentiality and information sharing

Whilst recognising and upholding the importance of privacy in cases of harassment, discrimination or sexual violence, certain members of staff have a wider duty of care resulting in unavoidable limits to confidentiality.

Limits to confidentiality include:

- The discloser or complainant is in physical danger;
- The discloser or complainant is at risk of self-harm;
- There are reasonable grounds to be concerned for future violence;
- The case involves the suspected abuse of someone under the age of 18; and
- If others are at risk it may need to be reported to the police.

At AUC, discretion will continue to be maintained and information will only be shared with the necessary parties to prevent further harm. The names of persons will not be publicly shared without their consent.<sup>1</sup>

In case of a complaint by and/or against an AUC student, the AUC tutors of the complainant and/or the respondent may be informed that a formal complaint has been filed, in order to allow measures of support to be taken for one or both parties with respect to their continuing academic progress.

Actions and support on behalf of AUC should only be given with the complainants' informed consent. There should be no pressure, force or persuasion involved – all action/inaction is at the discretion of the discloser. Building trust with the complainant and within the wider AUC community is of central concern, and all information on services and support must be immediately and freely given.

Disclosures may also be made to students, for example a student might make a disclosure to another student who is a Peer Supporter. While students are not subject to limits to confidentiality in the same way as staff in formal positions, it is recommended that they adhere to a similar protocol for the safety and protection of all those involved.

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<sup>1</sup> AUC may cumulate annual statistics on disclosed and reported incidents on campus for the purpose of community education and legislated reporting. These data will not include any information that would identify any community members', but may include number of times, details of support and services offered, and accommodations relating to the incident.



## **6. The formal complaints procedure within AUC**

### **What to do as a complainant?**

As a complainant, it is important to remember your experience up until now is not your fault and your next steps are your choice. You should not feel obligated to act in any certain way.

There are a number of support services that AUC recommends for students, staff and visitors. (See appendix 3 for more details.) You can access these support services whether you choose to file a formal complaint or not.

If you are an AUC student and have a complaint or want to talk to someone about making a complaint you can always contact one of AUC's Student Life Officers, a confidential adviser (*vertrouwenspersonen*) of the UvA, or the Ombudsperson of the UvA. You can file a formal complaint with AUC through the [AUC Complaints/Reporting Form for Harassment, Discrimination and Sexual Misconduct](#), which will be forwarded in the first instance to the Student Life Officer. If the complaint is about the behaviour of a staff member or visitor, the Student Life Officer will forward the complaint to the Dean. See below for more information on how AUC responds to formal complaints, if you choose to make one, and the actions which can be taken. If you need help or guidance through the process, please contact the Student Life Officer or feel free to contact other relevant support services.

If you are a staff member or visitor you can always contact the Dean, one of the confidential advisers (*vertrouwenspersonen*) of the UvA, or the Ombudsperson of the UvA if you have a complaint or want to talk to someone about making a complaint. You can file a formal complaint with AUC through contacting the Dean. If the complaint is about the behaviour of an AUC student, the Dean will forward the complaint to the Student Life Officer. See below for more information on how AUC responds to formal complaints, if you choose to make one, and the actions which can be taken. If you need help or guidance through the process, please contact the Dean or feel free to talk to your supervisor (*leidinggevende*) or to contact other relevant support services.

Formal complaints can also be made anonymously though, as noted in Section 4 above, the number of actions that can be taken in response to an anonymous complaint may be more restricted.

To find out more about how the information you provide in the complaint will be used or shared, please see section 5 on confidentiality and information sharing.

The police will not be contacted without the consent of the complainant. If the complainant decides to proceed with a police report, information and advice on this process can be obtained from the relevant support services (see appendix 3).

### **What to do as a witness?**

If you witness an act of harassment, discrimination or sexual violence taking place, it is important to follow the emergency protocol as listed in appendix 2(A) Emergency response to instances of harassment, discrimination or sexual violence. If safety is compromised it is important to contact the appropriate emergency service by calling 112. Then follow the guidelines as listed.

You may wish to file a complaint about what you have witnessed after the incident has occurred. An AUC student can do so through the [AUC Complaints/Reporting Form for Harassment, Discrimination and Sexual Misconduct](#). A staff member or visitor can do so through contacting the Dean. If the subject of the incident is identified, AUC will contact them for support and their consent to take action.

If you are involved in/have witnessed trauma it is advised that you seek support from a counsellor or other professionally trained person (see appendix 3 for more information on support services).

### **AUC's response to formal complaints**

AUC encourages members of our community to speak out against abuses and will take any report of harassment, discrimination, or sexual violence in good faith.

Once made, formal complaints about the behaviour of an AUC student will be directed to the Student Life Officer (SLO). Upon receiving a formal complaint, the SLO will follow the guidelines for handling formal complaints (appendix 4).

Formal complaints about the behaviour of a staff member or visitor will be directed to the Dean. Upon receiving a formal complaint, the Dean will follow the guidelines in appendix 5.

The outcome of the procedure may be that certain measures are decided or sanctions imposed.

If the respondent should choose not to abide by the proposed measures or repeats the behaviour, a new complaint may be made and a new complaint procedure initiated. If either complainant or respondent wishes to appeal a decision, they can use the standard procedures defined within the complaint procedure being followed (e.g. decisions of the Dean arising from an internal AUC procedure can be appealed to the AUC Board and ultimately to the Executive Boards of the VU and UvA).

A complainant has the right to withdraw the complaint at any time, but there may still be a legal obligation to continue with the procedure, including taking necessary action on the incident, despite the withdrawal of the complaint. If a criminal investigation is underway, the complaints procedure may have to be suspended until the criminal investigation has concluded.

Written requests for retraction should be sent to the body or person to which the original formal complaint was addressed.

## **7. Support services**

AUC is committed to supporting individuals affected by these issues and encourages the concerned parties to reach out to the recommended support services.

AUC underscores the importance of providing information on support resources for the complainant, respondent, witnesses and all others affected by issues of harassment, discrimination or sexual violence.

Please see appendix 3 for details of support services available.

## **8. Updating and amendment of this document**

This document and its appendices will be updated annually. The Dean delegates to the Student Life Officer (SLO) the responsibility for initiating the update, and for seeking advice on changes and adjustments from persons with relevant expertise, and for proposing and implementing those changes in the document. The updated document is submitted to the AUC Management Team for feedback, revised as necessary, and then submitted to the participatory governance bodies (*medezeggenschap*) for advice and approval where so required. The final version of the document is subsequently adopted by the Management Team.

## Appendix 1 Potentially relevant codes, regulations and guidelines

As indicated in section 2, AUC has its own codes, regulations and guidelines that can be considered as specifications of university-level and national codes. Where possible, breaches are handled internally within AUC. But the existence of AUC's own codes, regulations and guidelines does not limit the applicability of the codes of the UvA and VU and national codes, nor of the codes of the employer of someone working in the AUC building. In this appendix we give an overview of potentially relevant codes, regulations and guidelines that may be relevant in case of incidents of discrimination, harassment or sexual violence at AUC, but please be aware it is not exhaustive.

### A1a. For students

In general, the relevant codes, regulations and guidelines for AUC students (listed below) are AUC's own. However, students or staff members can also make direct use of (for example) UvA procedures in relation to UvA codes for an incident involving an AUC student. In certain circumstances, escalation to university level may in any case be required in accordance with university crisis protocols (e.g. in case of criminal acts, or where the most severe sanctions need to be imposed). Where the legal protection of students is involved this can mean escalation to the VU rather than the UvA.

- [AUC Academic Standards and Procedures](#), also accessible via [student.auc.nl](http://student.auc.nl)
- Student information published on <https://student.auc.nl>
- [AUC Social and Academic Codes of Conduct](#), also accessible via [student.auc.nl](http://student.auc.nl)
- AUC Student Association Code of Conduct Signed by AUUSA and AUC, each hold a copy.
- UvA social safety (in [English](#) and [Dutch](#))
- [UvA Code of Conduct](#)
- [UvA policy and regulations \(codes of conduct and social safety\)](#)
- [UvA-wide Framework for House Rules and Code of Conduct in Relation to UvA Buildings and Campuses](#)
- [Code for Good Governance in Dutch Universities](#)
- [UvA Codes of Conduct Relating to Teaching](#): including [UvA Code of Conduct Governing Foreign Languages at the University of Amsterdam](#); [UvA Code of Conduct for International Students in Dutch Higher Education](#)
- [UvA Regulations for Employee and Student Complaints Procedures at the University of Amsterdam](#)
- [UvA Gedragscode 'Promotie- en kennismakingstijd van studentenverenigingen te Amsterdam'](#) (code of conduct for the promotion and introduction activities of student associations in Amsterdam)
- VU, limited information on complaints procedures on [publicly available webpages](#) (also in [Dutch](#))

- DUWO tenancy regulations (provided to all student tenants)  
<https://www.duwo.nl/en/i-search/duwo-university-housing-1/duwo-university-housing-location-amsterdam/amsterdam-university-college>

### **A1b. For staff**

Staff employed directly by AUC are UvA employees, therefore the relevant codes, guidelines and regulations for AUC staff are those of the UvA. Staff employed on an UvA Jobservice contract are generally treated the same as an UvA employee, and the relevant codes, guidelines and regulations will often be the same as those for AUC/UvA staff (category A1b1 below). But their employer is legally UvA Jobservice and the contract is a secondment. There could therefore be circumstances under which staff on an UvA Jobservice contract would have to be considered as non-UvA employees (category A1b2 below), and the complaint would have to be passed to UvA Jobservice to be handled under their codes and procedures (if, for example, the staff member might potentially need to be suspended, or their contract ended). Staff who are not AUC/UvA employees fall under the codes, guidelines and regulations of their employer.

#### **A1b1. For AUC/UvA employees:**

- UvA social safety (in [English](#) and [Dutch](#))
- [UvA Code of Conduct](#)
- [UvA policy and regulations \(codes of conduct and social safety\)](#)
- [UvA-wide Framework for House Rules and Code of Conduct in Relation to UvA Buildings and Campuses](#)
- [UvA Codes of Conduct Relating to Teaching](#)
- [UvA Regulations for Employee and Student Complaints Procedures at the University of Amsterdam](#)
- [UvA Regulations Concerning the Confidential Adviser at the University of Amsterdam](#)
- [UvA Regulations for the Protection of Academic Integrity at the University of Amsterdam](#)

#### **A1b2 For non-UvA staff:**

Everyone working at AUC is expected to observe the spirit of the codes of conduct, regulations and guidelines that apply at AUC. Those mentioned under A1b1 formally only apply to staff whose contract of employment is with AUC/UvA. For codes and procedures of employers other than AUC/UvA, e.g. notably the VU, we refer to the information provided by these employers.

## **Appendix 2 Responding to disclosures of harassment, discrimination, or sexual violence**

### **(A) Emergency response to instances of harassment, discrimination or sexual violence**

This section outlines the protocol to follow for emergency situations when the safety of yourself, or another is compromised. It includes options for immediate assistance following the incident. Options will differ depending on the individual case.

#### **If you *witness* an instance of harassment, discrimination or sexual violence:**

1. **Ensuring safety:** Ensure the safety of yourself and other (address immediate safety first, followed by ongoing safety). Walk away if the situation is unsafe and call 112 (Emergency Services).
2. **Being an active bystander:** As long as you are confident that neither your safety nor that of others will be compromised, you are encouraged to raise the concern with the respondent, making it known that comments or conduct are unwelcome and you wish it to stop immediately. Only do so if **appropriate and safe**.
3. **Keeping calm:** Experiences of harassment, discrimination or sexual violence can be stressful and traumatic for those involved. If you feel capable, provide ongoing support to the subject of abuse during the emergency using skills of active listening to help others feel supported. Ask if they would like to contact a friend, guardian or colleague for additional support.

If you have witnessed a traumatic incident it is advised that you seek support from a counsellor. Please see details of support services available (appendix 3).

4. **Linking to support services:** Once the situation has been stabilised, contact support services including security, law enforcement, medical care, mental health services and other support services as required/appropriate.

Some people may not want to report the incident to the police immediately or at all – this is perfectly acceptable. Do not pressure the subject of abuse to seek further assistance if they decline to do so. Provide information regarding community and university resources if required/appropriate.

For members of staff, inform the concerning parties of your limitations to confidentiality. See section 5 on confidentiality and information sharing\_for more detail.

5. **Linking to emergency medical care:** If you have the appropriate training/qualifications, provide the subject of abuse with options for medical treatment/assistance to address injuries, preventative treatment for sexually transmitted diseases, emergency contraception and for other health services, but otherwise leave this to emergency medical care professionals. The individual does not have to give details of the incident to the emergency team if they do not wish to, but it is important that they declare quickly to a medical professional if they think they have been given any type of drug and should be tested, or if they could require emergency contraception or medication to prevent infection with HIV, as action has to be taken within a certain time limit to be effective.

### **If you experience an instance of harassment, discrimination or sexual violence:**

1. **Ensuring safety:** Ensure your safety as much as possible (address immediate safety first, followed by ongoing safety). Walk away if the situation is unsafe, where possible, and call 112 (Emergency Services).
2. **Being an active bystander: If appropriate and safe,** individuals who have been harassed or subjected to discrimination are encouraged to raise the concern with the respondent, making it known that comments or conduct are unwelcome and you wish it to stop immediately.  
You are further encouraged to keep a record of the alleged acts including dates, times, locations and potential witnesses.
3. **Seeking support:** Experiences of harassment, discrimination or sexual violence can be stressful and traumatic for those involved. Contacting a friend, guardian, colleague for additional support is recommended.  
It is also advised you seek support from a counsellor or a confidential member of the AUC staff. Please see details of support services available (appendix 3).
4. **Contacting support services:** Once the situation has been stabilised, contact other support services required including security, law enforcement, medical care, mental health services and other support services as required/appropriate.
5. **Contacting emergency medical care:** Think through options for medical treatment/assistance to address injuries, preventative treatment for sexually transmitted diseases, emergency contraception and for other health services. You do not have to give details of the incident to the emergency team if you do not wish to. But it is important that you declare quickly to a medical professional if you think you have been given any type of drug and should be tested, or if you could require emergency contraception or medication to prevent infection with HIV, as action has to be taken within a certain time limit to be effective.

### **(B) Responding to disclosures of harassment, discrimination or sexual violence**

The following steps outline the protocol to follow for responding to a disclosure of harassment, discrimination or sexual violence. It is recommended that all staff, students and visitors follow these guidelines for an appropriate and effective response.

1. **Establishing safety:** If disclosure involves sexual violence or other forms of violence, ensure it takes place in quiet area where privacy is protected. Ask: is your safety at risk? If it is, call **112** and follow emergency protocol. If not, ask the individual if they would prefer to move to a more comfortable/private location.
2. **Informing of limits to confidentiality:** Make the discloser aware that upholding confidentiality is of central concern and you will not share any information without consent to do so.  
For members of staff there exist situationally dependent limitations to this. For more information see section 5 on Confidentiality and information sharing. Students and



visitors are also advised to adhere to these confidentiality and information sharing guidelines.

- 3. Listening non-judgmentally and respectfully:** A supportive and validating initial response to disclosure of harassment, discrimination or sexual violence makes a significant difference for disclosers who may be apprehensive about sharing personal or stressful information.

Use skills of active listening:

- Let the discloser choose the pace of talking and offer breaks.
- Allow them to finish without interruption and acknowledge the courage it takes to break the silence.
- Refrain from asking a person to disclose specific details about the incident.
- Be respectful of physical contact and personal space.
- Create time and space for individual to determine what decisions best suit their needs.
- Don't pressure them about choices to take. Use the terms they do to describe what happened.

- 4. Linking to support services:** Once the situation has been stabilised, contact other support services required including security, law enforcement, medical care, mental health services and other support services as required/appropriate. Provide information regarding community and university resources if required/appropriate. Please see information on support services available (appendix 3).

Some people may not want to report the incident to the police immediately or at all – this is perfectly acceptable and the wishes of the discloser should be respected at all times. Do not pressure the discloser to seek further assistance if they decline to do so.

- 5. Linking to (emergency) medical care:** If you have the training/experience, you can discuss options for medical treatment/assistance to address injuries, preventative treatment for sexually transmitted diseases, emergency contraception and for other health services if needed, but otherwise leave this to the medical professionals. The discloser does not have to give details of the incident to the emergency team if they do not wish to.

## **Appendix 3 Details of support services available**

### **Student Life Officer (SLO)**

*Can provide emotional support and help with safety planning, coordinating accommodation, referral to community agencies and university services, to medical services and/or emergency financial assistance.*

Email: [studentlifeofficer@auc.nl](mailto:studentlifeofficer@auc.nl)

### **Senior Tutor**

*Can help coordinate academic accommodation*

Email: [seniortutor@auc.nl](mailto:seniortutor@auc.nl)

Location: Academic Core teachers room 2.27

### **Emergency Services**

*(Police, Fire Brigade and/or Ambulance)*

Telephone: 112

### **Police (non-emergency)**

*Can put you in contact with a specialist or you can visit the specialised facility immediately to formally report the incident. For more information please visit:*

<https://politie.nl>

Telephone: 0900 8844

Text phone for persons who are deaf or hard of hearing: 0900 1844

Address: Elandsgracht 117, 1016 TT Amsterdam

### **Sexual Assault Centre (SAC)/ Centrum Seksueel Geweld (CSG)**

*SAC is a national organisation that provides guidance, advocacy and support for survivors of sexual assault. In particular, the Centre offers information about help and treatment; case management; forensic, medical and psychological care; and guidance on contacting the police, only if desired. Anyone who has been sexually assaulted, raped or has suffered any other form of sexual assault is assigned a personal case manager. Visit this link for more information (with an anonymous chat option):*

<https://www.centrumseksueelgeweld.nl/csg-en/>

Email: You can email questions to [csg@ggd.amsterdam.nl](mailto:csg@ggd.amsterdam.nl) (this email address should not be used to report assaults).

Telephone: 0800 0188 (available 24/7)

### **GGD (Public Health Service of Amsterdam)**

*Can help connect you with support services, including testing for sexually transmitted infections. Visit this link for more information:*

<https://www.ggd.amsterdam.nl/ggd/contact/>

Telephone: 020 555 5911

Email: [info@ggd.amsterdam.nl](mailto:info@ggd.amsterdam.nl)

Address: Nieuwe Achtergracht 100 1018 WT Amsterdam

### **UvA Confidential Advisers**

*Offer guidance and support to students and staff if they experience discrimination, sexual intimidation, bullying, aggression, violence and/or stalking. Visit this link for more information:*

<https://www.uva.nl/en/shared-content/subsites/extranet/en/a-z/confidential-advisers/confidential-advisers.html>

### **UvA Ombudsperson**

*Offer guidance and support to students and staff if they experience discrimination, sexual intimidation, bullying, aggression, violence and/or stalking. They can also refer you further or have an investigation carried out.*

<https://www.uva.nl/en/about-the-uva/about-the-university/social-safety/ombudsperson/ombudsperson.html>

### **UvA IDEAs**

*UvA IDEAs is a platform run by students with a disability who are committed to creating an accessible and inclusive UvA. Visit this link for more information:*

<https://student.uva.nl/en/topics/uva-ideas>

### **Switchboard**

*An online platform providing free support and services for members of the LGBTQ community in the Netherlands, including information on coming out, sexual identity, gender identity, clubs and events as well as contact with specific services providers such as doctors, lawyers and therapists. Specific times for calling provided on the website, as well as a chat or email option:*

<https://www.switchboard.nl/s/english>

Telephone: 020 623 65 65

Email: [info@switchboard.nl](mailto:info@switchboard.nl)

### **Slachtoffer Hulp Nederland**

*General website concerning help with any kind of victimisation: threats, theft, fraud, intimate partner violence, assault, stalking, traffic accidents, missing persons etc. The website provides basic guidance on legal processes, as well as providing various help-seeking resources and forums for sharing experiences and contacting other survivors of similar occurrences. While the site itself is in Dutch, two specific numbers are provided for help and advice in English (with an anonymous chat option):*

<https://www.slachtofferhulp.nl/gebeurtenissen/discriminatie/>

Telephone for non-Dutch visitors: 116-006 (in the Netherlands) OR +31887460000 (outside of the Netherlands)

General telephone: 0900-0101

### **Dutch Support Services**

These services are provided entirely in Dutch in principle, but some indicate that they can respond in English to those calling the hotline for advice and help.

### **Antidiscriminatiebureau**

*Government body for official complaints, which provides advice and support, and helps in processing this complaint. Can also function as an intermediary body working with the police and other institutions. Site also provides chat and email options as well as an app. Further connected to a specific body for online discrimination.*

<https://www.discriminatie.nl>

Telephone: 0900-2 354 354

Email: [info@discriminatie.nl](mailto:info@discriminatie.nl).

### **Jellinek**

Organisation with expertise about the risks of alcohol and drugs, and which can provide help for almost any kind of addiction.

Telephone: 088 505 1220

**Rozen in Blauw**

*Police contact point specifically for members of the LGBTQ community, aiming to lower the threshold for the provision of information and support in instances of discrimination and violence.*

[rozeinblauw.amsterdam@politie.nl](mailto:rozeinblauw.amsterdam@politie.nl)

Telephone: 088-169 1234 (24 hours a day)

**Luisterlijn**

*Mental health focused organisation aiming to provide a listening ear to people in moments of distress. 24/7 contact via chat, email or phone to talk about topics such as loneliness, depression, mourning, self-harm and eating disorders, or any other topic.*

<https://www.deluisterlijn.nl/>

Telephone: 088 0767 000

## **Appendix 4 AUC protocol for handling complaints of harassment, discrimination, sexual violence/misconduct against an AUC student**

Complaints against an AUC student with regard to harassment, discrimination, sexual violence/misconduct can reach AUC through a variety of routes. All such complaints should be forwarded to the Student Life Officer. In order to trigger a formal complaints procedure, the complaint should be submitted through the [AUC Complaints/Reporting Form for Harassment, Discrimination and Sexual Violence](#).

The procedures described below concern complaints submitted directly to AUC.

### **A. Non-anonymous complaints**

With non-anonymous complaints the names of the complainants are known to AUC but, unless consent was given, not to the respondent.

#### *Initiating complaints procedure*

- I. Upon receiving a formal complaint, via the [AUC Complaints/Reporting Form for Harassment, Discrimination and Sexual Violence](#), the Student Life Officer decides based on the information included whether the complaint merits the initiation of the procedure, would be better dealt with via other means, or should be dismissed. The decision, with motivation, will be communicated to the Dean.<sup>2</sup>
- II. If the Student Life Officer decides the procedure should be initiated, they will then determine and contact the relevant individuals who will form the Complaint Panel<sup>3</sup>, and inform them of the nature of the incident and the parties involved. The Complaint Panel is comprised of the Student Life Officer, a representative of the Management Team, a staff representative, and the Graduate Assistant to the Student Life Officer.
- III. Each member is given time to establish based on these facts whether any circumstances would lead them to withdraw from the Panel, as a result of an inability to judge fairly. If a member withdraws, the Student Life Officer will seek a replacement with similar expertise.
- IV. Once this Panel has been established, a formal response will be sent to the complainant confirming that the process has been initiated. Before any further steps are taken, the respondent must be informed formally that a complaint has been made, and sufficient information provided to enable them to understand the nature of the complaint. All initial communications with the complainant, respondent and any witnesses will be conducted by the Student Life Officer.

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<sup>2</sup> If the SLO receives a complaint about a non-student (e.g. staff member or visitor), the SLO informs the Dean, see appendix 5.

<sup>3</sup> The Complaint Panel is not a legal entity, and is created primarily with the goal of presenting a single primary point of contact, to reduce the pressure on students to resolve such problems themselves. Any measures recommended by the Panel are recommendations to existing bodies within AUC, with no changes made to the limits to duty of care of AUC, the UvA and the VU, or in the role of the UvA and VU in addressing issues of sufficient seriousness and complexity as to be escalated. The bodies within AUC will follow the recommendations of the Panel unless there are compelling reasons not to do so, in which case the decision-making body will report in writing to the Panel on the decision taken and the reasons why.

These initial communications will explain the procedure and explore prospective dates to conduct the first interview with each party.

- V. The respondent is informed that while there are no legal consequences to refusing to cooperate with the interview, this will not halt the procedure. The Complaint Panel will complete the procedure but without the input of the respondent.
- VI. If the Student Life Officer feels it is desirable or necessary, the tutor of the respondent and (if they are also an AUC student) of the complainant may be informed that a formal complaint has been filed, in order to allow measures of support to be taken for one or both parties with respect to their continuing academic progress.
- VII. Finally, both the respondent and the complainant will be given the names of the panel members, with the right to object to the participation of a certain member. They must give the grounds for their objection to the Student Life Officer, who will assess if these are sufficient to ask the panel member to step down.
- VIII. Upon receiving these initial communications, each party will be given at least three working days to respond.

#### *Fact Gathering Process*

- I. Having set dates for initial interviews, to be conducted separately of one another, the Complaint Panel will then convene for these sessions. Both parties are entitled to bring a companion for support during the process.
- II. If the complainant or respondent exhibits distress or trauma in relation to the situation, they can opt for an interview solely with the Student Life Officer.
- III. Clear minutes will be kept of each interview, and the brief discussion to be conducted afterwards, aiming primarily to constitute a clear set of facts. Any other evidence provided by the complainant or respondent will also be reviewed at this time. The minutes are to be stored securely, accessible only to the Complaint Panel during the complaint procedure, and the Student Life Officer and AUC Management Team at any other time. The minutes will be kept only as long as is permitted under data protection legislation.
- IV. Should any witnesses be involved, they are to be mentioned at this time, and a separate interview time scheduled to take their perspective into account.
- V. Based on these initial interviews, the Panel may decide to recommend some interim measures for the safety and well-being of the various parties involved. The Student Life Officer will be responsible for following up on implementation.
- VI. Having completed the interview process, the Panel will select one individual amongst themselves to write a report indicating the facts as established during these sessions, as well as the points of uncertainty.
- VII. This report will then be sent to all Panel members for review, prior to being sent on to the complainant and respondent. Both are given 10 working days to review the document, after which they must provide a formal response to the Student Life Officer, indicating whether they have any additions or points of disagreement. The parties can request an extension with the SLO on the basis of the effects of the trauma or mental load of dealing with the difficult matter.
- VIII. Should they be in agreement, the Panel will go on to their final deliberation. However, if this is not the case, both parties are granted the opportunity to respond to the report in a second interview. After the second set of interviews,

conducted in the same fashion as the first, the Panel will proceed to the final deliberation

#### *Final deliberation*

- I. The Panel will reconvene to discuss the report and the established facts, and decide if AUC's Social Code of Conduct has been breached. The aim is that this final deliberation takes place within a month of the complaint being made. Should the majority of the Panel indicate that there has been a breach of the Social Code of Conduct, the Panel will begin deliberation on its recommendations for measures to be taken. If the Panel decides there is insufficient evidence that the Social Code of Conduct has been breached, but the Panel remains concerned for the well-being of the complainant, or concerned by the behaviour of the respondent, they can opt to recommend certain measures, such as alternative living, working or academic arrangement, or further discussions with the SLO.
- II. The aim of the discussion is to reach a consensus on a recommendation for a response and severity of any sanctions. Such recommendations may include but are not limited to:
  - i. Providing alternative living or academic arrangements. This falls within the remit of the SLO, who can approach DUWO (the landlord of the student residences/dorms) should a student need to move rooms. If a student needs to move groups, change classes or take a reduced course load, the SLO can support the student in their discussions with and requests to their tutor, Senior Tutor and/or Board of Examiners.
  - ii. Require the completion of Social Probation. Social probation is aimed at giving back to the community and attempting to repair the damage done to the community by the breach of the Social Code of Conduct. It is usually imposed for one semester and usually involves the student being required to design and implement an educational project within a specified number of hours. Students on social probation are also not able to benefit from certain privileges or represent AUC: they cannot study abroad nor work for AUC, and are strongly discouraged from taking representative positions on, for example, the Student Council.
  - iii. Require the completion of a written apology or statement. This should only be applied in consultation with the complainant. The respondent would be required to write and sign the letter, the content of which would be checked and approved by the SLO, who would also pass the letter to the relevant student (usually the complainant). This letter would be confidential, and only given to the complainant to read, not to take with them.
  - iv. Restrictions from and on campus. In severe cases, it may be deemed necessary to restrict an individual from entering the AUC Academic Building. This lies within the mandate of the Dean of AUC but can only be done in accordance with UvA crisis protocols. DUWO would be informed of any such severe sanction, and may also take action in line with their own regulations.
  - v. Recommended completion of a workshop or attendance of event. Should there be a workshop or event with relevant information that could impact the knowledge and behaviour of the individual, it could be established that the Complaint Panel recommends the student attend.
  - vi. Escalation of complaint to the relevant institution, through the appropriate procedures. Should the complaint be of such magnitude that the Complaint

Panel feels the means available within AUC to address it are insufficient, they can recommend to the Dean that it be escalated to the appropriate authority to be handled through their procedures, for example the VU procedures for instances of inappropriate conduct (legal protection of AUC students lies with the VU).

- vii. After the final deliberation, the decisions/recommendations of the Complaint Panel are communicated to the Dean. The results and measures decided by the Dean are formally communicated on behalf of the Dean to both parties. Should they fail to comply with the measures, the issue may be escalated.

## **B. Anonymous complaints**

Complaints made through the Anonymous Reporting Form are received by the Student Life Officer.

### *Initiating complaints procedure*

- I. Upon receiving an anonymous complaint, the Student Life Officer decides based on the information included whether the complaint merits the initiation of the procedure, would be better dealt with via other means, or should be dismissed. The decision will be communicated to the Dean.<sup>4</sup>
- II. If the Student Life Officer decides the procedure should be initiated, they will then determine and contact the relevant individuals who will form the Complaint Panel<sup>5</sup>, and inform them of the nature of the incident and the parties involved. The Complaint Panel is comprised of the Student Life Officer, a representative of the Management Team, a staff representative, and the Graduate Assistant to the Student Life Officer.
- III. Each member is given time to establish based on these facts whether any circumstances would lead them to withdraw from the Panel, as a result of an inability to judge fairly. If a member withdraws, the Student Life Officer will seek a replacement with similar expertise.
- IV. Before any further steps are taken, the respondent must be informed formally that a complaint has been made, and sufficient information provided to enable them to understand the nature of the complaint. All initial communications with the respondent and any witnesses will be conducted by the Student Life Officer. These initial communications will explain the procedure and explore prospective dates to conduct the first interview with the respondent.
- V. The respondent is informed that while there are no legal consequences to refusing to cooperate with the interview, this will not halt the procedure. The Complaint Panel will complete the procedure but without the input of the respondent.

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<sup>4</sup> The Dean is always informed of complaints received about a non-student (e.g. staff member or visitor), see appendix 5.

<sup>5</sup> The Complaint Panel is not a legal entity, and is created primarily with the goal of presenting a single primary point of contact, to reduce the pressure on students to resolve such problems themselves. Any measures recommended by the Panel are recommendations to existing bodies within AUC, with no changes made to the limits to duty of care of AUC, the UvA and the VU, or in the role of the UvA and VU in addressing issues of sufficient seriousness and complexity as to be escalated. The bodies within AUC will follow the recommendations of the Panel unless there are compelling reasons not to do so, in which case the decision-making body will report in writing to the Panel on the decision taken and the reasons why.



- VI. If the Student Life Officer feels it is desirable or necessary, the tutor of the respondent may be informed that a formal complaint has been filed, in order to allow measures of support to be taken with respect to their continuing academic progress.
- VII. Finally, the respondent will be given the names of the panel members, with the right to object to the participation of a certain member. They must give the grounds for their objection to the Student Life Officer, who will assess if these are sufficient to ask the panel member to step down.
- VIII. Upon receiving these initial communications, the respondent will be given at least three working days to respond.

#### *Fact Gathering Process*

- I. Having set a date for the initial interview the Complaint Panel will then convene for it. The respondent is entitled to bring a companion for support during the process.
- II. Clear minutes will be kept of the interview, and the brief discussion to be conducted afterwards, aiming primarily to constitute a clear set of facts. Any other evidence provided by the respondent will also be reviewed at this time. The minutes are to be stored securely, accessible only to the Complaint Panel during the complaint procedure, and the Student Life Officer and AUC Management Team at any other time. The minutes will be kept only as long as is permitted under data protection legislation.
- III. Should any witnesses be involved, they are to be mentioned at this time, and a separate interview time scheduled to take their perspective into account.
- IV. Based on the initial interview, the Panel may decide to recommend some interim measures for the safety and well-being of the various parties involved. The Student Life Officer will be responsible for following up on implementation.
- V. Having completed the interview process, the Panel will select one individual amongst themselves to write a report indicating the facts as established during the session, as well as the points of uncertainty.
- VI. This report will then be sent to all Panel members for review, prior to being sent on to the respondent. They are given at least 10 working days to review the document, after which they must provide a formal response to the Student Life Officer, indicating whether they have any additions or points of disagreement.
- VII. Should they be in agreement, the Panel will go on to their final deliberation. However, if this is not the case, the respondent is granted the opportunity to respond to the report in a second interview. After the second interview, conducted in the same fashion as the first, the Panel will proceed to the final deliberation

#### *Final deliberation*

- I. The Panel will reconvene to discuss the report and the established facts, and decide if AUC's Social Code of Conduct has been breached. The aim is that this final deliberation takes place within a month of the complaint being made. Should the majority of the Panel indicate that there has been a breach of the Social Code of Conduct, the Panel will begin deliberation on its recommendations for measures to be taken. If the Panel decides there is insufficient evidence that the Social Code of Conduct has been breached, but the Panel remains concerned for the well-being of other parties, or concerned by the behaviour of the respondent,

- they can opt to recommend certain measures, such as alternative living, working or academic arrangement, or further discussions with the SLO.
- II. The aim of the discussion is to reach a consensus on a recommendation for a response and severity of any sanctions. Such recommendations may include but are not limited to:
- i. Providing alternative living or academic arrangements. This falls within the remit of the SLO, who can approach DUWO (the landlord of the student residences/dorms) should a student need to move rooms. If a student needs to move groups, change classes or take a reduced course load, the SLO can support the student in their discussions with and requests to their tutor, Senior Tutor and/or Board of Examiners.
  - ii. Require the completion of Social Probation. Social probation is aimed at giving back to the community and attempting to repair the damage done to the community by the breach of the Social Code of Conduct. It is usually imposed for one semester and usually involves the student being required to design and implement an educational project within a specified number of hours. Students on social probation are also not able to benefit from certain privileges or represent AUC: they cannot study abroad nor work for AUC, and are strongly discouraged from taking representative positions on, for example, the Student Council.
  - iii. Require the completion of a written apology or statement. This is unlikely to be relevant for anonymous complaints.
  - iv. Restrictions from and on campus. In severe cases, it may be deemed necessary to restrict an individual from entering the AUC Academic Building. This lies within the mandate of the Dean of AUC but can only be done in accordance with UvA crisis protocols. DUWO would be informed of any such severe sanction, and may also take action in line with their own regulations.
  - v. Recommended completion of a workshop or attendance of event. Should there be a workshop or event with relevant information that could impact the knowledge and behaviour of the individual, it could be established that the Complain Panel recommends the student attend;
  - vi. Escalation of complaint to the relevant institution, through the appropriate procedures. Should the complaint be of such magnitude that the Complaint Panel feels the means available within AUC to address it are insufficient, they can recommend to the Dean that it be escalated to the appropriate authority to be handled through their procedures, for example the VU procedures for instances of inappropriate conduct (legal protection of AUC students lies with the VU).
  - vii. After the final deliberation, the decisions/recommendations of the Complaint Panel are communicated to the Dean. The results and measures decided by the Dean are formally communicated on behalf of the Dean to the respondent. Should they fail to comply with the measures, the issue may be escalated.

### **C. Reporting**

- I. The relevant documentation of any complaint will be archived in accordance with data protection legislation.

- II. The procedure followed (including a description of the timeline) and outcome concerning any complaint that was taken into further examination will be documented and archived in accordance with data protection legislation.
- III. Annually, a report with aggregated data concerning the number and kind of complaints received, the number of proceedings and the outcomes will be made for the Management Team and, in combination with the information described in Section C of Appendix 5, will be shared with the Student Council and Works Council.

## **Appendix 5 AUC protocol for handling complaints of harassment, discrimination, sexual violence/misconduct against a staff member**

Complaints against a staff member with regard to harassment, discrimination, sexual violence/misconduct can reach AUC through a variety of routes. Except for complaints about the Dean, all such complaints should be immediately redirected to the Dean.

The procedures described below under A and B concern complaints submitted directly to AUC against staff members other than the Dean or the SLO.<sup>6</sup>

In case the complaint is against the SLO, the role of the SLO in the procedures specified below is taken up by the supervisor of the SLO.

The procedures described below do not apply to complaints against the Dean. Such complaints should be submitted to the Executive Boards of both the VU and the UvA. The Executive Board that is responsible for the employment of the Dean will handle the complaint. It is recommended that the complainant consult with a university confidential adviser (*vertrouwenspersoon*) to obtain help and support with submitting their complaint.

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### **A. Non-anonymous complaints**

With non-anonymous complaints the names of the complainants are known to AUC but, unless consent was given, not to the respondent.

#### **A.1 For respondents employed directly by AUC:**

##### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure or if it would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean contacts the supervisor (*leidinggevende*) of the respondent.
- III. Any decision made by the Dean not to initiate a procedure on a complaint that has been received will be reported by the Dean to the AUC Board and the relevant documentation will be archived in accordance with data protection legislation.

##### *Fact gathering process*

- I. Complainants are invited to a meeting with the supervisor of the respondent and the Dean to discuss the complaints and the reported incidents. This meeting should take place within 10 days of the Dean receiving the complaint.

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<sup>6</sup> This protocol does not cover actions if the complaint about the staff member was made directly to the Complaints Committee of the UvA or the ombudsperson or other (external) complaints body, and AUC is subsequently being contacted as part of their complaints process. In that case, we first of all respond to and cooperate with their process. But if appropriate, the AUC Dean can decide to take additional steps in parallel or subsequently to theirs.

- II. The respondent is invited to a meeting with their supervisor and the Dean to be informed about the complaints and given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint.

#### *Final deliberation*

- I. Based on the information obtained from complainants and respondent, the supervisor and the Dean assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the complainants and the respondent are informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.
- II. If the conclusion is that further action that could directly concern the respondent is required, the Dean contacts UvA P&O (HR) and we enter the UvA's procedure for such cases (AUC employees are UvA employees, and further action will fall under UvA regulations). The respondent should be notified of this decision within 30 days of the Dean receiving the complaint.
- III. The complainants are notified of the outcome of the procedure and of AUC's handling of their complaints.

### **A.2 For respondents who are partner faculty (UvA/VU), lecturers employed through Jobservice/Studijob or lecturers seconded from other organisations/institutions:**

#### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure or if it would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean contacts the supervisor (*leidinggevende*) of the respondent at their home institution as well as the Head of Studies responsible for the course to inform them the complaint has been made.
- III. The Dean discusses with the supervisor (*leidinggevende*) and the Head of Studies the steps to be taken.
- IV. In agreement with the supervisor, it is decided if the internal AUC procedure can continue to be followed, or if the procedure of the home institution must be initiated instead. If the procedure of the home institution has to be initiated, the complainants are informed of this decision. If the internal AUC procedure can continue, the following steps are taken.

#### *Fact gathering process*

- I. Complainants are invited to a meeting with the Head of Studies and the Dean to discuss the complaints and the reported incidents. The supervisor of the respondent is also invited to attend the meeting. This meeting should take place within 10 days of the Dean receiving the complaint.
- II. The respondent is invited to a meeting with the Head of Studies and the Dean. The supervisor of the respondent is also invited to attend the meeting. The

respondent is informed about the complaints and is given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint.

#### *Final deliberation*

- I. Based on the information obtained from complainants and respondent, the Head of Studies and the Dean in consultation with the supervisor assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the complainants and the respondent are informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.
- I. If the conclusion is that further action that could directly concern the respondent is required, the Dean and Head of Studies write a brief report with their findings and recommendations, that the respondent's supervisor uses for the follow-up within the appropriate procedures at the respondent's home institution. The respondent should be notified of this decision within 30 days of the Dean receiving the complaint. The complainants are notified of AUC's handling of their complaints including (with agreement of the respondent's supervisor) the outcome thus far.

### **A.3 For respondents who are non-academic staff contracted via Jobservice/Studijob:**

#### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.
- III. A member of the Management Team contacts the agency to inform them a complaint has been made, and discuss the steps to be taken.
- IV. In agreement with the agency, it is decided if the internal AUC procedure can continue to be followed, or if the procedure of the agency must be initiated instead. In case of emergency and need for immediate action, next steps may already be agreed with the agency during this initial contact. If the procedure of the agency has to be initiated, the complainants are informed of this decision. If the internal AUC procedure can continue, the following steps are taken.

#### *Fact gathering process*

- I. The complainants are invited to a meeting with a representative of the agency and the Dean and/or other member of the Management Team to discuss the complaints and the reported incidents. This meeting should take place within 10 days of the Dean receiving the complaint.
- II. The respondent is invited to a meeting with a representative of the agency and the Dean and/or other member of the Management Team to be informed about

the complaints and given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint.

#### *Final deliberation*

- II. Based on the information obtained from complainants and respondent, the Dean, another member of the Management Team, and agency representative assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the complainants and the respondent are informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.
- III. If the conclusion is that further action that could directly concern the respondent is required, the Dean, another member of the Management Team, and agency representative write a brief report with their findings and recommendations, that the agency representative uses for the follow-up within the appropriate procedures at the agency. The respondent should be notified of this decision within 30 days of the Dean receiving the complaint. The complainants are notified of AUC's handling of their complaints including (with agreement of the agency) the outcome thus far.

#### **A.4 For respondents from companies contracted by UvA Facility Services to work at AUC (cleaners, security staff, technicians):**

##### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.
- IV. A member of the Management Team contacts UvA Facility Services to inform them a complaint has been made, and discuss the steps to be taken. In case of emergency and need for immediate action, next steps may already be agreed with UvA FS during this initial contact. More usually, a meeting of the Dean and/or another member of the Management Team with the UvA FS cluster manager and/or contract manager will be held and next steps agreed. In general, UvA FS has to pass the complaint to the company, and the company then handles it further under their own protocols. UvA FS and/or the company may request further information from the complainants. The identities of the complainants will only be revealed to UvA FS and the company with the complainants' consent; if the complainants do not wish to reveal their identities then the Dean will designate an AUC staff member to relay the questions and answers. The company would be expected to report the outcomes of their procedure and any actions taken to UvA FS and AUC, so that they can be relayed to the complainants.

## **A.5 For respondents from other companies:**

### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.
- III. The Dean or another member of the Management Team contact the company to inform them a complaint has been made, and discuss the steps to be taken. In case of emergency and need for immediate action, next steps may already be agreed with the company during this initial contact. More usually, a meeting of the Dean and/or another member of the Management Team with a company representative will be held and next steps agreed. In general, the company will handle such complaints further under their own protocols. The company may request further information from the complainants. The identities of the complainants will only be revealed to the company with the complainants' consent; if the complainants do not wish to reveal their identities then the Dean will offer to designate an AUC staff member to relay the questions and answers. The company would be expected to report the outcomes of their procedure and any actions taken to AUC, so that they can be relayed to the complainants.

## **B. Anonymous Complaints**

Whilst formal complaints can be made anonymously, it is often difficult to take specific or formal action on the basis of an anonymous report. However, there are circumstances where action can be required upon an anonymous report and if this is deemed necessary to protect staff, students or visitors.

### **B.1 For respondents employed directly by AUC:**

#### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, they contact the supervisor (*leidinggevende*) of the respondent.

#### *Fact gathering process*

- I. The respondent is invited to a meeting with their supervisor and the Dean to be informed about the complaints and given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint.

#### *Final deliberation*

- I. Based on the information in the complaint and the meeting with the respondent, the supervisor and the Dean assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean



receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the respondent is informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.

- II. If the conclusion is that further action that could directly concern the respondent is required, the Dean contacts UvA P&O (HR) and we enter the UvA's procedure for such cases (AUC employees are UvA employees, and further action will fall under UvA regulations). The respondent should be informed of this decision within 30 days of the Dean receiving the complaint.

## **B.2 For respondents who are partner faculty (UvA/VU), lecturers employed through Jobservice/Studijob or lecturers seconded from other organisations/institutions:**

### *Initiating complaints procedure*

- I. Based on the information supplied and on the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, they contact the Head of Studies responsible for the course to inform them the complaint has been made.
- III. The Dean contacts the supervisor (*leidinggevende*) of the respondent at their home institution to inform them a complaint has been made, and discuss the steps to be taken.
- IV. In agreement with the supervisor, it is decided if the internal AUC procedure can continue to be followed, or if the procedure of the home institution must be initiated instead. If the internal AUC procedure can continue, the following steps are taken.

### *Fact gathering process*

- I. The respondent is invited to a meeting with the Head of Studies and the Dean. The respondent's supervisor may also attend the meeting. The respondent is informed about the complaints and is given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint.

### *Final deliberation*

- I. Based on the information in the complaint and the meeting with the respondent, the Head of Studies, the Dean and the respondent's supervisor assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the respondent is informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.
- II. If the conclusion is that further action that could directly concern the respondent is required, the Dean, the Head of Studies and the respondent's supervisor write a brief report with their findings and recommendations, that the respondent's supervisor uses for the follow-up within the appropriate procedures at the respondent's home institution. The respondent should be informed of this decision within 30 days of the Dean receiving the complaint.

### **B.3 For respondents who are non-academic staff contracted via Jobservice/Studiejob:**

#### *Initiating complaints procedure*

- I. Based on the information supplied and the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.
- III. A member of the Management Team contacts the agency to inform them a complaint has been made, and discuss the steps to be taken.
- IV. In agreement with the agency, it is decided if the internal AUC procedure can continue to be followed, or if the procedure of the agency must be initiated instead. In case of emergency and need for immediate action, next steps may already be agreed with the agency during this initial contact. If the internal AUC procedure can continue, the following steps are taken.

#### *Fact gathering process*

- I. The respondent is invited to a meeting with a representative of the agency and the Dean and/or another member of the Management Team to be informed about the complaints and given the opportunity to respond. This meeting should take place within 20 days of the Dean receiving the complaint

#### *Final deliberation*

- I. Based on the information in the complaint and the meeting with the respondent, the Dean, another member of the Management Team and agency representative assess whether follow-up steps would be appropriate. This assessment should be completed within 24 days of the Dean receiving the complaint. If the conclusion is that no further action is required, or if any such action does not directly concern the respondent, the respondent is informed of this conclusion. This notification should be given within 30 days of the Dean receiving the complaint.
- II. If the conclusion is that further action that could directly concern the respondent is required, the Dean, another member of the Management Team and the agency representative write a brief report with their findings and recommendations, that the agency representative uses for the follow-up within the appropriate procedures at the agency. The respondent should be informed of this decision within 30 days of the Dean receiving the complaint.

### **B.4 For respondents from companies contracted by UvA Facility Services to work at AUC (cleaners, security staff, technicians)**

#### *Initiating complaints procedure*

- I. Based on the information supplied and the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.

- III. A member of the Management Team contacts UvA Facility Services to inform them a complaint has been made, and discuss the steps to be taken. In case of emergency and need for immediate action, next steps may already be agreed with UvA FS during this initial contact. More usually, a meeting of the Dean and/or another member of the Management Team with the UvA FS cluster manager and/or contract manager will be held and next steps agreed. In general, UvA FS has to pass the complaint to the company, and the company then handles it further under their own protocols. The company would be expected to report the outcomes of their procedure and any actions taken to UvA FS and AUC.

## **B.5 For respondents from other companies:**

### *Initiating complaints procedure*

- I. Based on the information supplied and the relevant codes and regulations, the Dean decides whether the complaint merits initiation of the procedure, would be better dealt with via other means, or should be dismissed.
- II. If the Dean decides the procedure should be initiated, the Dean informs the Management Team that a complaint has been made.
- III. The Dean or another member of the Management Team contacts the company to inform them a complaint has been made, and discuss the steps to be taken. In case of emergency and need for immediate action, next steps may already be agreed with the company during this initial contact. More usually, a meeting of the Dean and/or another member of the Management Team with a company representative will be held and next steps agreed. In general, the company will handle such complaints further under their own protocols. The company would be expected to report the outcomes of their procedure and any actions taken to AUC.

## **C Reporting**

- I. Any decision made by the Dean not to initiate a procedure on a complaint that has been received will be reported by the Dean to the AUC Board and the relevant documentation will be archived in accordance with data protection legislation.
- II. The procedure followed (including a description of the timeline) and outcome concerning any complaint that was taken into further examination will be documented and archived in accordance with data protection legislation.
- III. Annually, a report with aggregated data concerning the number and kind of complaints received, the number of proceedings and the outcomes will be made for the Management Team and, in combination with the information described under Section C of Appendix 4, will be shared with the Student Council and Works Council.