



SIMONS LAUFER
MATHEMATICAL
SCIENCES INSTITUTE

SLMath Collegiality Statement: On-site Activities

The Simons Laufer Mathematical Sciences Institute (SLMath) strives to provide a welcoming and supportive environment for all. Among the primary benefits of attending SLMath programs and activities are meeting new mathematicians, and enjoying collaborations both with old friends and new colleagues.

SLMath is committed to fostering a community of respect, collegiality, and trust. The study of mathematics is challenging; even mildly uncollegial behavior can have detrimental effects on another's ability to focus. In most situations, simple common sense and good judgment should suffice as guidance, but we appreciate that some questions of appropriate behavior can be more complex and subtle. We encourage staff, participants, and members to be respectful and supportive of one another.

Fostering Collegiality

Here are some ways you can help foster collegiality at SLMath:

- Reach out to people in the program whom you do not know, and actively build new connections.
- Encourage mutual respect for similarities and differences—in background, expertise, opinions, judgments, and assigned responsibilities, with the goal of establishing mutual trust between colleagues.
- Avoid demeaning others or aggressively challenging their competence or mathematical abilities.
- Refrain from promoting bias and stereotypes about personal characteristics.
- Understand that behavior can have an adverse impact on others, even in the absence of malicious intent.

If a participant's unprofessional or non-collegial behavior is disrupting the atmosphere of an event, or the ability of others to participate, it is the event organizers' duty to act to address the situation. Such action may involve excluding the participant causing the disruption from that event. In such cases, the organizer must notify SLMath's administration of their action promptly, so that the matter can be reviewed. Repeated violations, bullying, or intimidating behavior will result in consequences such as exclusion from a seminar, workshop or program, or expulsion from SLMath. If the Directorate or the organizers feel that a longer-term action (such as dismissal from a program) is necessary, such an action can only be taken by the SLMath Directorate.

Reporting Procedures / Contacting the SLMath Ombuds

If you have experienced or witnessed uncollegial behavior or if you do not feel comfortable with the way you are being treated, we urge you to contact the SLMath Ombudsperson by email at ombuds@slmath.org or by calling or texting +1-510-274-1748. If you prefer anonymity, you may use the portal established to facilitate anonymous contact with the ombudsperson

at <https://www.lighthouse-services.com/ombuds>. The ombudsperson is not a mandated reporter and can keep the reported information confidential, unless a physical threat to safety is imminent.

If the reporting person wishes to file a formal complaint, the Ombudsperson will notify the appropriate person at SLMath about the report and the resolution procedure below will be followed.

Procedure for Resolving Issues of Collegiality

SLMath is committed to ensuring that all collegiality concerns are addressed in a fair, impartial, thorough, and thoughtful manner. We will make all reasonable efforts to promptly initiate a confidential inquiry into formal allegation(s) and conclude it in a timely fashion.

Upon learning of an occurrence, SLMath will initiate an inquiry into incidents of non-collegial behavior, according to the following general guidelines:

- The organization will designate the appropriate point person to speak with both sides of the conflict, and any witnesses identified by the parties, with the goals of:
 - Trying to understand what happened
 - Listening without passing judgment
 - Finding ideas on an appropriate resolution
 - Finding ideas on how the situation could have been avoided or how the behavior can be prevented going forward
- Either side may refuse to meet with the designated point person or to comment on some aspects of the inquiry. In such a case, the inquiry will continue based on the other available information.
- Once the facts are gathered, the point person will meet with a committee of appointees (as deemed appropriate). During the fall and spring semesters, the committee consists of the Deputy Director, the HR representative from each program, SLMath's Ombudsperson, and the Operations Manager. During the summer session, the committee consists of the Deputy Director, the appropriate program director/ organizer, SLMath's Ombudsperson and the Operations Manager. The committees will meet to review what happened, discuss how best to respond, and determine what action should be taken.
- The point person, together with a member of the Directorate, will meet with both parties to convey the decision about any action that will be taken.
- SLMath will follow-up with others who witnessed or were affected by the conduct as appropriate.
- Should a preliminary inquiry demonstrate that the issue more appropriately falls under the **Anti-Discrimination and Harassment Policy** (see link below), the investigative procedure of that policy will be followed.

Please note that since the inquiry is a confidential process, while it is happening it may not be obvious to the reporter that serious actions are being taken.

View the Institute's Anti-Discrimination and Harassment Policy at <https://www.slmath.org/anti-discrimination-and-harassment-policy>.



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SLMath Anti-Discrimination and Harassment Policy

The Simons Laufer Mathematical Sciences Institute (SLMath) is dedicated to advancing our mission of fostering and communicating mathematical research, developing mathematical talent and cultivating a sense of belonging and engagement, and inspiring an appreciation of the power, beauty, and joy of mathematics. As such, SLMATH is committed to maintaining a welcoming community where all employees and participants in Institute activities can work and learn together in an atmosphere free of discrimination, harassment, and retaliation based on any characteristics protected by the organization's Equal Employment Opportunity policy or applicable law.

Equal Employment Opportunity (EEO) Policy

SLMath is an equal opportunity employer and makes employment decisions in compliance with all applicable equal employment opportunity ("EEO") laws.

SLMath prohibits unlawful discrimination on the basis of race (including traits historically associated with race), color, creed, religion, sex (including pregnancy, childbirth, breastfeeding, or related medical conditions), national origin, ancestry, age (40 and over), alienage or citizenship status, physical or mental disability (actual or perceived), medical condition including genetic characteristics, AIDS/HIV status, family care status, military or veteran status, marital status or registered domestic partner status, sexual orientation, gender identification or expression, height, weight, status as a victim of domestic violence, sexual assault or stalking, arrest record, or taking or requesting statutorily protected leaves, or any other basis protected by federal, state of California, or local laws.

SLMath will provide reasonable accommodations to individuals who submit a written request for an accommodation so long as the accommodation would not impose an undue hardship on SLMATH, and would enable the individual to apply for, or perform the essential functions of, the position in question. A healthcare practitioner's certification which substantiates and clarifies the limitations may be required. All reasonable accommodations should be directed to, managed by, and granted or denied by the Operations Manager.

Employees of SLMath will receive a handbook with employee-specific policies, including California Civil Rights Department and federal Equal Employment Opportunity Commission (EEOC) information.

View the Institute's Disability and Accommodations Statement at <https://www.slmath.org/disability-accommodation-statement>.

Policy Against Harassment, Discrimination, and Retaliation

SLMath is committed to ensuring a work environment that upholds the dignity and worth of each individual by providing a workplace that is free of sexual harassment or harassment, discrimination, and retaliation based on any characteristics protected by the organization's Equal Employment Opportunity policy or applicable law. Employees will be required to complete a mandatory sexual harassment prevention training every two years in compliance with California law.

Discrimination, harassment, and retaliation are unlawful and violate both the spirit of equal opportunity and the rights of the individual. This behavior undermines the integrity of the employment relationship and can destroy the morale and commitment of the individuals involved. Even if an employee's conduct does not violate local, state, or federal law, such conduct may be found to have violated SLMath's policy against harassment, discrimination, and retaliation and appropriate corrective action may include termination.

Discriminatory harassment, including sexual harassment, will not be tolerated. This policy prohibiting harassment, discrimination, and retaliatory conduct covers all employees (including, but not limited to, all supervisors and leaders within the organization), applicants, interns, volunteers, members, participants, consultants, contractors, and any person or third-party providing services to the organization. It also prohibits harassment, discrimination, and retaliation based on the perception that anyone has any of the protected characteristics or is associated with a person who has or is perceived as having any of those characteristics.

The SLMath Operations Manager is responsible for the implementation of this policy, and any questions or concerns should be directed to them.

Understanding Harassment: Definitions

Harassment includes verbal, physical, and visual conduct that creates an intimidating, offensive, or hostile environment or that interferes with performance. Such conduct constitutes harassment when (1) submission to the conduct is made either an explicit or implicit condition of employment or Institute activity participation; (2) submission to or rejection of the conduct is used as the basis for an academic or employment

decision; or (3) the harassment interferes with an employee or activity participant's performance or creates an intimidating, hostile, or offensive work environment. In cases of sexual harassment, it is important to be aware that an individual may experience sexual harassment from a person of the same or opposite sex.

Prohibited harassment can include, but is not limited to, the following behaviors:

- Retaliation for reporting or threatening to report harassment;
- Verbal conduct such as epithets, derogatory jokes or comments, slurs or unwanted sexual advances, invitations or comments;
- Visual displays such as derogatory and/or sexually-oriented postings, photography, cartoons, drawings or gestures;
- Physical conduct including assault, unwanted touching, intentionally blocking normal movement or interfering with work;
- Threats and demands to submit to sexual requests as a condition of continued employment or activity participation, or to avoid some other adverse action, and offers of employment benefits in return for sexual favors;
- Communication via electronic or social media of any type that features any of the examples of harassment above, or any other actions that violate state or federal anti-harassment laws, e.g. offensive email jokes, graphics, messages, etc.

Reporting Harassment

SLMath has adopted a firm policy against harassment, discrimination, and retaliation and will take every step to prevent it from occurring. If an employee or activity participant believes that they or a colleague are being subjected to harassment, discrimination, or retaliation in violation of this policy, or have observed or otherwise become aware of any violation of this policy, they are strongly urged to promptly report the incident(s) to the Operations Manager so that their complaint can be resolved quickly and fairly.

While SLMath will address all such concerns, whether raised orally or in writing, it requests that, if possible, the specific concerns be addressed in writing to allow the organization to properly address any issues. If, at any time, an employee or activity participant feels it would be unreasonable to use this procedure, the employee may also raise their concerns with the Director.

In addition to this internal complaint procedure, employees of SLMath will receive a handbook with employee-specific policies, including California Civil Rights Department and federal Equal Employment Opportunity Commission (EEOC) information.

Internal Complaint Procedure

When possible, the employee or activity participant should talk directly with the person committing the offensive behavior and tell them to stop. If the employee or activity participant cannot resolve things with the person committing the behavior, and/or if the employee or activity participant is not comfortable confronting the person, then they should notify the Operations Manager, and/or a member of the Directorate as soon as possible. The employee or activity participant should be prepared to provide as many details of the perceived harassment as possible, as well as the names of any individuals involved and/or witnesses. Supervisors or program and/or workshop organizers will refer all harassment complaints to the Operations Manager, and/or the Director. SLMath will treat all aspects of the procedure confidentially to the extent reasonably possible.

The organization will promptly undertake an effective, thorough, and objective investigation of the harassment allegations. In some cases, an outside investigator may be utilized to conduct the investigation. Upon completion of the investigation, the organization will resolve the complaint and take appropriate remedial measures appropriate to the circumstances if misconduct or a policy violation is discovered during the investigation. Remedial actions may include, but are not necessarily limited to, oral or written counseling, referral to formal counseling, disciplinary suspension or probation, and/or termination (for an employee) or expulsion (for an activity participant).

In circumstances where a finding/determination of a violation, administrative leave or action of a U.S. National Science Foundation (NSF) principal investigator (PI) or Co-PI occurs, SLMath will report such information to the NSF per NSF grantee obligations.

SLMath will not tolerate or permit retaliation of any kind against anyone filing a complaint of harassment. Retaliation is a serious violation of this policy and should be reported immediately. Sexual harassment, as well as retaliation for opposing sexual harassment or participating in investigations of sexual harassment, is illegal. Harassment on the basis of membership in a protected class, e.g. age, race, disability, etc. (see EEO policy above) also is illegal. Employees of SLMath may reference their employee handbook for additional details.

A complainant and/or person receiving a complaint may consult with the Institute's Ombuds in an effort to achieve an appropriate resolution.

Contacting the SLMath Ombuds

The Ombuds is an informal, independent, neutral, and confidential resource for all members of the SLMath community. If you would like to speak about any conflict,

concern or issue anonymously or confidentially, you may contact the SLMath Ombuds by email or phone. The Ombuds will listen, discuss options with you, and help you determine the next steps to take.

You may contact the Ombuds by email at ombuds@slmath.org or by calling or texting +1-510-274-1748. If you prefer anonymity, you may use the portal established to facilitate anonymous contact with the ombudsperson at <https://www.lighthouse-services.com/ombuds>.

For more information, see <https://www.slmath.org/ombudsperson>.

Law Enforcement

Reports to law enforcement can be made to UC Berkeley's police department (UCPD) for on-campus incidents or to the local department where the crime occurred. In an emergency, dial 911, or to reach UCPD's emergency line call 510-642-3333.

Reports to UCPD can be made in person at 1 Sproul Hall, or by phone through the non-emergency line at 510-642-6760.

NSF Policy on Sexual Harassment, Other Forms of Harassment, or Sexual Assault

As the primary funding agency of fundamental science and engineering research in the U.S., the National Science Foundation (NSF) is committed to promoting safe, productive research and education environments for current and future scientists and engineers.

NSF will not tolerate harassment or assault within the agency or at awardee organizations, field sites or anywhere science or education is conducted. NSF is committed to ensuring a culture free from sexual assault and harassment not only for those conducting research but also those in supportive roles, such as NSF federal employees, contractors and affiliates who work in support of NSF or whose work is funded by the agency.

As a recipient organization that receives NSF funding, SLMath is responsible for fully investigating complaints and for compliance with federal non-discrimination laws, regulations, and executive orders.

For additional details, visit <https://www.nsf.gov/stopping-harassment>.