



OFFICE OF THE VICE-PRESIDENT —
AGRICULTURE AND NATURAL RESOURCES

OFFICE OF THE PRESIDENT
1111 Franklin Street, 10th Floor
Oakland, California 94607-5200

November 15, 2016

Transmitted via electronic mail

ANR DIRECTORS and UNIT LEADERS
UCOP Franklin Building and ANR Building

RE: UC ANR Internal Communications Guidelines for Reporting of Serious Incidents or Matters

Dear Colleagues:

An essential aspect of effective management within Agriculture and Natural Resources (ANR) relies on communication of critical information to higher levels of administration when needed. There are two primary reasons for this:

- First, reporting can bring additional expertise or resources to bear on difficult issues. It supports local decision-making authority and provides assistance for matters requiring special attention. Reporting information gives ANR management, at all levels, confidence that all available resources are involved in decisions and actions, and that such issues are managed in a consistent manner.
- Second, some situations are so critical or potentially volatile that senior management must be apprised immediately. The guidelines below are intended to assist unit managers in determining what constitutes a serious or potentially serious matter:
 1. The incident or matter is likely to receive media or other public attention harmful to the reputation of the University, its employees, or its agents (volunteers).
 2. The incident or matter involves the misuse of University resources.
 3. The incident or matter creates University exposure to a significant liability.
 4. The incident or matter is significant, sensitive, or illegal, such as allegations involving embezzlement, harassment, or molestation.
 5. The incident or matter falls under whistleblower guidelines (see “UC Whistleblower” at <http://www.ucop.edu/uc-whistleblower/>).

I realize that guidelines cannot be absolute. Communication within ANR relies on managers exercising appropriate judgment in deciding which matters need to be discussed with a higher level of management. However, there are some matters, such as criminal conduct, or suspected abuse of minors, which must always be reported to higher level management for investigation and potential reporting to criminal authorities. For other matters, caution is urged to err on the side of disclosure and reporting to the next level of administration. Manager accountability for reporting is vital to the success of this communication effort. It is important to note

that a decision not to report reflects a determination that the matter can be resolved under the manager's own decision authority and does not – or will not – warrant the attention of senior management.

ANR personnel should bring potential serious incidents or matters to the attention of their supervisor, and that information should then flow upward to the unit manager. If the unit manager determines that a given matter should be forwarded to the ANR Office of the Vice President, they should communicate the item to Controller Jake McGuire, cell: 510-390-1015 or jake.mcguire@ucop.edu. If the issue has the potential to create public and/or media attention, the Director of Strategic Communications Michael Janes, cell: 530-304-9956 or mejanes@ucanr.edu, should be advised concurrently. Please note, only representatives of the ANR Strategic Communications team should make statements to the media regarding serious incidents or matters. Additional external communication protocols are currently under development and will be shared when available.

In the course of such communication, the University must take all reasonable precautions to preserve the privacy rights of others. Accordingly, it may be best to communicate such sensitive and/or confidential information via telephone, rather than via electronic mail. If e-mail is used, the writer should avoid naming any individuals involved. Additionally, distribution of such e-mails should be limited to the absolute minimum number of people possible, solely on a need-to-know basis.

Please note that less serious issues involving theft, loss, or damage to University resources or injuries to volunteers, program participants or visitors should, be reported to ANR's office of Risk & Safety Services via an Incident Report (<http://ucanr.edu/incidentreport>). The Incident Report should also be used for issues such as auto accidents when driving on University business (regardless of whether driving a University, County, or personal vehicle).

In the event of an injury to ANR employees, first get appropriate medical care, then report the injury as soon as possible to Human Resources (for both academics and staff), using the process described at: <http://ucanr.edu/injury>. Serious workplace injuries – including fatality, amputation, or an injury that requires an overnight hospital stay - should also be reported as soon as possible to Risk & Safety Services Director Brian Oatman at 530-304-2054 or baotman@ucanr.edu, in addition to Human Resources.

The attached guideline provides additional information to help identify the types of issues or events that should be reported, and includes a chart with contact names, e-mail addresses, and phone numbers. We suggest programming the urgent contact numbers into your cell phone for easy access if the need arises. A wallet card with contact information is also attached. I ask you to share these guidelines, as appropriate, with all unit managers under your direction.

Thank you for your attention to this important matter.

Sincerely,



Glenda Humiston

Vice President

Agriculture and Natural Resources

Attachments:

c: Associate Vice President Powers
Associate Vice President Tran