



OFFICE OF THE VICE-PRESIDENT —
AGRICULTURE AND NATURAL RESOURCES

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

October 26, 2017

Transmitted via electronic mail

Directors
Unit Leaders

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/text: 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/text: 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, alternates, e-mail addresses, and phone numbers. We suggest programming the urgent contact numbers into your cell phone for easy access if the need arises. 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:

cc: Associate Vice President Powers
Associate Vice President Tran

Additional Communication Guidelines for Reporting of Serious Incidents or Matters

As outlined in a memorandum from the Vice President, ANR, some events or situations are so critical or potentially volatile that senior management must be apprised immediately. This document is intended to provide additional guidance on the types of incidents or matters that should be reported.

Events or situations that should be reported immediately include the following:

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).

This could include serious incidents or events of other types as described below, or UC ANR actions that affect volunteers, cooperators, or other stakeholder groups that could result in negative media or community attention.

2. The incident or matter involves the misuse of University resources.
3. The incident or matter creates University exposure to a significant liability.

This may include serious injury, property damage, financial loss, or other liability to employees, volunteers, or others, related to a UC ANR activity or agent. This could also include regulatory or compliance issues that may have a significant penalty or other major impact on programs or operations.

4. The incident or matter is significant, sensitive, or illegal, such as allegations involving embezzlement, harassment, or molestation.

This includes regulatory or compliance matters that have mandatory reporting requirements, including allegations of child abuse, criminal acts, environmental releases, etc.

5. The incident or matter falls under whistleblower guidelines (see "UC Whistleblower" at <http://www.ucop.edu/uc-whistleblower/>).

Other types of events or activities that should be reported

- Natural or other disasters that could affect ongoing operations of your facility
- Workplace violence (or threats of violence)
- Social (cultural climate) issues such as religious conflict, racial issues, discrimination
- Critical or extended utility outages
- Data (security) breaches, cyber-terrorism
- Research tampering
- Protests / demonstrations
- Widespread outbreak of disease or illness (in workplace or in UC ANR programs, such as 4-H)
- If you are contacted by an attorney - contact Jake McGuire (jake.mcguire@ucop.edu) or Catherine Montano (catherine.montano@ucop.edu)

Additional Communication Guidelines for Reporting of Serious Incidents or Matters

Serious incidents or matters should be reported to ANR senior managers as soon as possible. Examples of serious incidents or matters include: matters that are likely to receive media or other public attention harmful to the reputation of the University; incidents involving the misuse of University resources; issues that expose the University to a significant liability; or matters that are significant, sensitive, or illegal, such as allegations involving embezzlement, harassment, or molestation.

Serious/Urgent Incidents:

Subject Matter	Contact Person	e-mail	Phone
Compliance, Risk, Whistleblower	Jake McGuire Controller	jake.mcguire@ucop.edu	Cell/text: 510-390-1015 Office: 510-987-9052
	Alternate: Brian Oatman Director, Risk & Safety	baoatman@ucanr.edu	Cell/text: 530-304-2054 Office: 530-750-1264
Media Relations	Mike Janes Director, Strategic Communications	mejanes@ucanr.edu	Cell/text: 530-304-9956 Office: 530-750-1204
	Alternate: Pam Kan-Rice Assistant Director, News and Information Outreach	pam.kanrice@ucanr.edu	Cell/text: 510-206-3476 Office: 530-750-1221

Employee injuries or other incidents should be reported as follows:

Employee Injuries:

Contact	Help Desk	Phone
ANR Human Resources	https://ucanrhelptest.zendesk.com	Jodi Rosenbaum: 530-750-1315 Fax: 530-756-1180
For more information and forms: http://ucanr.edu/injury Safety Note #123: http://safety.ucanr.edu/files/1369.pdf		

Incidents/Insurance Claims (property loss, damage, non-employee injuries):

Contact Person	e-mail	Phone
Linda Harris	olharris@ucanr.edu	Office: 530-750-1263 Fax: 530-756-1113
Brian Oatman	baoatman@ucanr.edu	Cell/text: 530-304-2054 Office: 530-750-1264
For more information: http://ucanr.edu/incidentreport Safety Note #163: http://safety.ucanr.edu/files/120537.pdf		