

# Research Vessel Harassment Reporting

## Best Practices

### Purpose

This document provides best practices and reporting guidance for addressing harassment, discrimination, sexual misconduct, bullying, or retaliation occurring aboard research vessels operating in multi-institution scientific environments.

Because research vessels routinely host personnel from multiple institutions, employers, organizations and cultural backgrounds, individuals aboard a vessel may be subject to different institutional policies and reporting obligations, and cultural norms related to communication, hierarchy and interpersonal conduct. These differences can influence how behavior is perceived, experienced, and reported. In addition to these cultural considerations, individuals may also be subject to varying institutional requirements, including those related to Title IX, Title VII, and institutional harassment and discrimination policies. In particular, students often have additional protections and may be subject to different reporting requirements due to their trainee status and associated power dynamics. At some institutions, employees are required to report incidents involving students, making it important to understand institutional responsibilities, remain culturally aware, and coordinate an appropriate and respectful response.

This guidance is intended to:

- Clarify reporting pathways aboard vessels
- Support safe and respectful working environments at sea
- Facilitate coordination between vessel operators and home institutions
- Reflect the operational chain of command aboard research vessels

These best practices apply to all individuals embarked on a research vessel, including:

- Ship's crew
- Marine technicians
- Scientific party members
- Students
- Contractors/Vendors
- Visitors or other embarked personnel

**Guidance Note:** This document provides general guidance and a framework for addressing harassment incidents aboard research vessels; it is not intended to cover every possible situation. Individuals and institutions should apply applicable laws, policies, and professional

judgment when responding to specific circumstances. For the purposes of this guidance, “institution” refers not only to academic or research institutions but also to the employer of contractors or vendors, ensuring that all embarked personnel are covered, regardless of affiliation.

## Definitions

For the purposes of this guidance, the following definitions apply.

**Bullying:** Repeated or severe conduct that is intimidating, degrading, humiliating, or abusive, and that interferes with an individual’s ability to perform their work or participate in the research environment.

**Bystander:** Any individual who observes or becomes aware of harassment, discrimination, or other misconduct but is not the complainant or respondent.

**Complainant:** An individual who reports or is alleged to have experienced harassment, discrimination, sexual misconduct, bullying, or retaliation.

**Criminal Allegations:** Refer to behavior that constitutes a violation of local, federal, or international law. Examples include physical assault, sexual assault or abuse, threats of violence, theft, vandalism, or other criminal offenses aboard the vessel. These allegations require law enforcement involvement (including USCG when applicable) in addition to any institutional investigation. Institutional investigations may proceed in parallel but do not replace required reporting or criminal procedures.

**Harassment:** Unwelcome conduct based on characteristics (such as sex, gender, race, national origin, religion, disability, or other protected categories) that creates an intimidating, hostile, or offensive working or learning environment.

**Home Institution:** The organization, university, or employer with which an individual aboard the research vessel is formally affiliated. The home institution typically retains responsibility for conducting formal investigations, disciplinary actions, and reporting related to harassment, discrimination, or misconduct involving its personnel, in accordance with its policies and applicable laws.

**Interim Measures:** Temporary operational actions taken to maintain safety, prevent further harm, or stabilize the working environment while a report or investigation is pending.

**Non-Criminal Allegations:** Refer to reports of behavior that may violate institutional or vessel policies but does not rise to a civil or criminal offense under law. Examples include harassment (verbal, written, or visual), bullying, discrimination, or retaliation. **Even if behavior is non-**

**criminal, the responsible entity may be required by law (e.g., Safer Seas Act SEC. 11609) to report certain incidents, including sexual harassment or assault, to the U.S. Coast Guard.**

Investigations are generally internal or administrative and handled through institutional HR or Title IX procedures, though operational and legal reporting obligations may also apply.

**Respondent:** An individual who is alleged to have engaged in harassment, discrimination, sexual misconduct, bullying, or retaliation.

**Responsible Employee:** An individual designated by their home institution (often faculty, supervisors, or staff) who is required to report disclosures of harassment, discrimination, or sexual misconduct to their institution's Title IX or Human Resources office. Responsible employees must inform individuals of this obligation and cannot guarantee confidentiality.

**Responsible Entity:** An individual or office designated under law (e.g., 46 USC §10104, Safer Seas Act SEC. 11609) to receive, document, and report complaints or incidents of harassment, sexual harassment, or sexual assault aboard a research vessel. Responsible entities, such as the Captain or Marine Superintendent, ensure reports are made in accordance with federal law, institutional policies, and operational procedures, and may coordinate with HR, Title IX offices, and home institutions as appropriate.

**Retaliation:** Adverse action taken against an individual for reporting misconduct, participating in an investigation, or supporting another person in making a report.

**Safer Seas Act:** A U.S. federal law that strengthens requirements for reporting incidents of sexual assault, sexual harassment, and harassment aboard vessels, including research ships. Under the Safer Seas Act, certain incidents that violate employer policies or laws must be reported to the U.S. Coast Guard, even if the behavior does not rise to a criminal offense, through specified reporting channels. The Act includes provisions for mandatory initial and follow-up reporting, disclosure requirements, and associated penalties for failure to report.

**Sexual Misconduct:** A broad term that may include sexual harassment, sexual assault, dating or domestic violence, stalking, or other behavior of a sexual nature that violates institutional policies or applicable law.

**Trusted Supervisor:** a leader who has earned the confidence, respect, and loyalty of their team through consistent, honest, and supportive actions. They are viewed not just as a boss with authority, but as a mentor and advocate who fosters a psychologically safe work environment, allowing employees to be engaged and creative without fear of unfair judgment.

**Vessel Operator:** The institution responsible for the management, staffing, and operation of the research vessel.

## **Guidance Note: Dual Reporting Responsibilities**

Individuals aboard research vessels may be subject to multiple reporting obligations. For example, a faculty member or supervisor may be considered a Responsible Employee under their home institution's policies while vessel leadership (e.g., Captain, Marine Superintendent) serve as Responsible Entities under federal law such as the Safer Seas Act.

These roles are distinct but complementary, and the same incident may require reporting through both institutional and federal channels. Individuals with reporting obligations should ensure compliance with both their institutional requirements and vessel/operator reporting procedures.

Additional federal reporting requirements applicable to vessel operations are outlined in the U.S. Coast Guard (USCG) Reporting Requirements section below.

## **U.S. Coast Guard (USCG) Reporting Requirements**

Under **46 U.S.C. §10104** and the Safer Seas Act, certain incidents of harassment, sexual harassment, or sexual assault occurring aboard vessels must be reported to the U.S. Coast Guard.

### **Applicability**

These requirements apply to designated "responsible entities," including the Captain (Master) and vessel operator (e.g., Marine Superintendent), on U.S.-flagged vessels or when otherwise required by law.

### **Reporting Requirements**

Responsible entities must:

- Submit an initial report immediately upon receiving a report of harassment, sexual harassment, or sexual assault incidents, regardless of whether the behavior constitutes criminal activity
- Submit a follow-up report within 10 days

### **Report Content Must Include:**

- Name, role, and contact information of the reporting individual
- Vessel name and official number
- Date, time, and geographic location of the incident
- Brief description of the alleged conduct

### **Approved Reporting Methods:**

- **National Command Center (NCC - 24/7)** Phone: (202) 372-2100
- Email: CGISTIPS@uscg.mil
- CGIS Tips mobile app

**Important Note:** USCG reporting requirements are separate from and do not replace institutional reporting, Title IX processes, or law enforcement actions.

## Core Principles at Sea

The following principles guide response and reporting practices aboard research vessels:

- **Safety overrides hierarchy:** Protection of individuals aboard the vessel takes priority when responding to harassment or misconduct concerns.
- **Vessel operator authority:** The Captain, Marine Superintendent, and/or vessel operator serve as responsible entities under federal law and must ensure required reports are made to the USCG (see USCG Reporting Requirements section).
- **Home institutions retain investigative authority:** Individuals aboard research vessels remain subject to the policies and procedures of their home institutions. Those institutions typically retain responsibility and authority for conducting formal investigations.
- **Immediate interim measures may be enacted:** The Captain, Marine Superintendent and/or vessel operator may take interim steps to ensure safety or prevent further harm while institutional processes proceed.
- **No retaliation is permitted:** Retaliation against individuals who report misconduct or participate in a report or investigation is prohibited.

## Roles and Responsibilities

Because research vessels operate in a multi-institutional environment, multiple individuals share responsibility for maintaining a safe and respectful workplace at sea.

### **Captain / Master of the Vessel**

The Captain has overall responsibility for the safety and operation of the vessel and all personnel aboard.

Responsibilities include:

- Maintain a safe working and living environment aboard the vessel
- Receive reports of misconduct when brought to their attention
- Take immediate operational actions if safety concerns arise
- Implement interim measures when necessary to protect individuals aboard the vessel

- Serve as a “responsible entity” and ensure compliance with applicable USCG reporting requirements (see USCG Reporting Requirements section).
- Notify the Marine Superintendent or vessel operator when reports occur
- Support coordination with institutional officials as appropriate

If the Captain is the respondent, reports should be directed to the Marine Superintendent or vessel operator representative.

### **Marine Superintendent / Vessel Operator**

The Marine Superintendent and/or Vessel Operator is the shore-based authority responsible for supporting vessel operations, ensuring safety and compliance, and serving as a liaison between the vessel and operating institution.

Responsibilities may include:

- Support the Captain in maintaining a safe and professional working environment aboard the vessel
- Receive and coordinates reports
- Coordinate notification with the vessel operator’s Human Resources or Title IX office
- Serve as a “responsible entity” and ensure compliance with applicable USCG reporting requirements (see USCG Reporting Requirements section).
- Facilitate communication between the vessel operator and the home institutions of the complainant and respondent
- Assist with documentation and logistical coordination of video and audio evidence if an investigation requires
- Provide guidance on vessel operator policies and procedures
- Support institutional investigators with relevant operational information when requested

If the Marine Superintendent or vessel operator representative is the respondent, reports should be directed to the vessel operator’s Human Resources or Title IX office or to the reporting individual’s home institution.

### **Chief Scientist**

The Chief Scientist is responsible for leadership and coordination of the scientific mission and scientific party.

Responsibilities include:

- Promote professional conduct within the scientific party
- Receive concerns or reports from scientific personnel

- Encourage individuals to utilize appropriate reporting channels
- Inform the Captain and/or Marine Superintendent when a report is received, unless they are the respondent
- Support implementation of interim measures that affect scientific operations

If the Chief Scientist is the respondent, reports should be directed to the Captain, Marine Superintendent, or another appropriate authority.

### **Home Institutions**

The home institutions of embarked personnel generally retain responsibility for formal investigations and disciplinary processes under their institutional policies.

Responsibilities may include:

- Receive reports from vessel operators or individuals directly
- Conduct investigations consistent with institutional policies and federal requirements
- Communicate with vessel operators regarding operational considerations when necessary

### **All Personnel Aboard the Vessel**

Everyone aboard a research vessel shares responsibility for maintaining a respectful and professional environment.

Individuals are encouraged to:

- Treat others with professionalism and respect
- Report concerning behavior when it occurs
- Support colleagues who raise concerns
- Participate honestly in reporting or investigative processes when requested

## **Reporting Channels Onboard**

Personnel aboard vessels are encouraged to report concerns as soon as possible so that appropriate support and response actions can occur. Reports may be made verbally or in writing.

Additional reporting information is available in [UNOLS Module III](#) training materials and vessel posters, which identify onboard reporting resources.

Individuals may report concerns to any of the following:

- Captain / Master of the Vessel
- Chief Scientist

- Marine Superintendent / Vessel Operator Representative
- Designated Harassment Contact (if assigned)
- Home Institution Human Resources (HR) Office / Title IX Office
- Anonymous institutional hotline (if available)
- Another trusted supervisor or responsible authority aboard the vessel

**USCG Reporting Requirement:** See *U.S. Coast Guard (USCG) Reporting Requirements* section.

Individuals designated as Responsible Employees by their home institution are expected to fulfill reporting obligations in accordance with institutional policies, in addition to applicable vessel and federal reporting requirements.

If immediate physical safety is at risk, individuals should notify the highest ranking officer aboard or designated person ashore immediately.

### **Training Considerations:**

Vessel operators and participating institutions are encouraged to ensure that designated reporting contacts, including the Captain, Marine Superintendent, Chief Scientist, and any other assigned personnel (such as those identified in vessel-specific Module III materials), receive appropriate training on how to receive and respond to reports of harassment or misconduct. This includes handling sensitive information, maintaining privacy as appropriate, and understanding how to initiate next steps in accordance with institutional policies. Training may be provided through a variety of formats, including institutional Title IX or Human Resources programs, responsible employee or supervisor training, bystander intervention training, or external professional harassment prevention programs. These programs often include scenario-based guidance on receiving reports, managing sensitive information, and taking appropriate follow-up actions.

At the same time, individuals may choose to report concerns to any trusted person aboard the vessel. If a report is made to someone without formal training, that person should promptly consult trained institutional resources (such as HR or Title IX offices) to ensure the report is handled appropriately.

## **Chain of Command Considerations**

Research vessels operate under a defined operational chain of command. Individuals may choose to report concerns through this structure, but reporting is not limited to the chain of command, and individuals may bypass any person if they are uncomfortable reporting to them.

If the individual who would normally receive the report is the alleged respondent, the report should instead be directed to the next appropriate person in the command or reporting structure.

For example:

- If the Chief Scientist is the respondent → report to the Captain or Marine Superintendent
- If the Captain is the respondent → report to the Marine Superintendent or the operator's HR/Title IX office
- If the Marine Superintendent is the respondent → report to the operator's HR/Title IX office or the reporting individual's home institution

Individuals should never be expected to report misconduct to the person alleged to have committed it.

**USCG Reporting Requirement:** Reporting obligations apply regardless of chain of command (see USCG Reporting Requirements section).

## Notification and Institutional Coordination

When a report is received aboard a research vessel, the following steps are recommended to ensure safety, proper documentation, and compliance with institutional and legal requirements:

### Step 1: Initial Notification

- The individual receiving the report should notify the Marine Superintendent as soon as practicable, unless that person is the respondent.
- The Marine Superintendent serves as the primary operational coordinator for reports involving multi-institution personnel or foreign-affiliated individuals.

### Step 2: Operator Coordination

- The Marine Superintendent should notify the vessel operator's Human Resources or Title IX office, consistent with institutional policies.
- USCG Reporting Requirement: Responsible entities must comply with federal reporting requirements (see USCG Reporting Requirements section).

### Step 3: Institutional Coordination

- The respondent's home institution generally leads the investigation, consistent with its policies.
- The complainant's home institution may be notified to support transparency, guidance, and operational coordination.

- Coordination is facilitated by the Marine Superintendent to avoid conflicts of interest and maintain confidentiality.
- For personnel from non-UNOLS or foreign institutions, the Marine Superintendent may assume the coordinating role to ensure investigations are conducted appropriately, including compliance with U.S. law and vessel safety requirements. Foreign institutions may participate where feasible, but the vessel operator retains operational authority.

#### **Step 4: Investigation**

- Investigations may occur in parallel with law enforcement, including USCG, even if the incident does not rise to a criminal offense, particularly for credentialed mariners (MMC holders).
- Interim measures on the vessel continue to ensure safety and minimize interaction between parties while the investigation proceeds.
- Investigation leadership generally follows this hierarchy:
  1. Respondent's home institution (or vessel operator institution if the respondent is affiliated)
  2. Coordination with the complainant's institution as needed
  3. In multi-national or non-affiliated situations, the vessel operator ensures proper handling and USCG reporting.

#### **Step 5: Support and Documentation**

- The Marine Superintendent and vessel leadership assist investigators with operational information, witness coordination, and documentation.
- Documentation must be factual, objective, and confidential, shared only with responsible authorities.
- Interim operational actions taken aboard the vessel should also be documented.

## **Documenting the Incident**

Proper documentation ensures an accurate record of the incident, supports safety decisions onboard, and provides information for institutional investigations.

Documentation should support required USCG reporting (see USCG Reporting Requirements section).

#### **Responsibilities:**

- **Individual Receiving the Report:**

- Document the report as soon as possible after it is received, including the date, time, location, involved parties, and a summary of the allegation.
- Record whether the report was verbal or written.
- Notify the Captain and Marine Superintendent (unless one of them is the respondent; see reporting chain).

● **Captain / Marine Superintendent:**

- Documentation should support required reporting to the USCG (see USCG Reporting Requirements section).
- Maintain a secure record of the incident and any immediate actions or interim measures taken aboard the vessel.
- Ensure the documentation is forwarded to the appropriate HR or Title IX offices of the vessel operator and involved home institutions.

● **Home Institutions:**

- Maintain official records of the complaint and any investigative steps taken in accordance with institutional policies.

**Timing:**

- Documentation should occur immediately after the report is received to preserve details.
- Interim measures or operational actions should also be documented as they occur.
- Updates to the documentation should be added as additional information becomes available, including notifications to home institutions and investigation outcomes.

**Key Points:**

- Documentation should be factual and objective, avoiding judgment or opinion.
- Confidentiality must be maintained; records should only be shared with a responsible authority.
- Documentation supports safety, operational decision-making, and institutional investigations.

## Post Report Steps

After an incident is reported aboard a research vessel, the next steps follow a structured chain of response designed to ensure safety, proper documentation, and coordination with institutional authorities.

### Step 1: Immediate Safety and Interim Measures

Captain / Chief Scientist / Marine Superintendent assess immediate risk and take necessary action to protect the safety of all onboard.

Examples include:

- Separating involved parties
- Adjusting duties or watch schedules
- Changing berthing arrangements
- Removing an individual from the vessel if necessary

No waiting for an investigation is required to implement safety measures.

### **Step 2: Internal Vessel Notification**

The person receiving the report notifies vessel leadership (Captain, Chief Scientist, Marine Superintendent) unless one of them is the respondent, in which case the report is directed to the next appropriate person in the chain. Leadership confirms that documentation begins immediately and ensures the incident is handled confidentially.

**USCG Reporting Requirement:** Responsible entities must make required reports (see USCG Reporting Requirements section).

### **Step 3: Documentation**

The individual receiving the report and/or the Marine Superintendent creates a secure, factual record including:

- Date, time, and location of the incident
- Names and roles of parties involved
- Nature of the allegation or behavior reported
- Immediate actions taken onboard

This documentation is forwarded to the vessel operator HR/Title IX office and the home institutions of the complainant and respondent, as appropriate. Documentation should support required USCG reporting.

### **Step 4: Institutional Notification**

The Marine Superintendent / Vessel Operator coordinates notification to:

- Vessel operator HR/Title IX office (mandatory if the respondent is associated with the operator)
- Home institutions of complainant and respondent (HR/Title IX offices)
- Law enforcement or USCG as appropriate.

Anonymous reports may be assessed by the Marine Superintendent; if a respondent becomes identifiable, the appropriate home institution is notified..

### **Step 5: Investigation**

Respondent's home institution (or vessel operator institution if the respondent is associated with it) typically conducts the investigation under its policies. Investigations may occur in parallel with law enforcement. For incidents involving credentialed mariners (MMC holders), law enforcement or U.S. Coast Guard involvement may be required even for matters that do not rise to the level of criminal behavior. Interim measures on the vessel continue to ensure safety and minimize interaction between parties while the investigation proceeds

### **Step 6: Follow-Up and Resolution**

After the investigation:

- Institutions determine outcomes based on policy, which may include corrective action or sanctions.
- The Marine Superintendent and vessel leadership implement any additional operational measures required to maintain a safe environment.
- Documentation is updated with investigation outcomes, notifications, and actions taken.

## **Interim Measures and Operational Response**

While formal investigations are typically conducted by home institutions, the Captain and vessel operator may implement operational measures to maintain safety and a respectful working environment aboard the vessel.

These measures may include, but are not limited to:

- Separating individuals involved in a report
- Adjusting work assignments or watch schedules
- Changing berthing arrangements
- Restricting access to certain areas of the vessel
- Arranging early disembarkation if operationally feasible

These actions are not disciplinary findings but are intended to maintain safety and stability aboard the vessel while institutional processes proceed.

## Example Reporting Scenarios

The examples below illustrate possible reporting and response scenarios that may arise aboard research vessels operating in multi-institution environments. These scenarios are intended to provide general guidance on reporting pathways, institutional notification, and investigative responsibility.

Because research cruises often involve participants from multiple institutions, the roles of complainant, respondent, bystanders, vessel operators, and home institutions may vary. These examples demonstrate how reporting and coordination may occur under different circumstances.

These scenarios are **illustrative only**. Actual reporting and response procedures may vary depending on:

- Institutional policies and reporting obligations
- Applicable federal or state law
- The location of the vessel (e.g., U.S. waters, international waters, or foreign ports)
- Operational safety considerations aboard the vessel

In all situations, the Captain and vessel operator retain authority to implement immediate safety or operational measures to maintain a safe and respectful environment aboard the vessel.

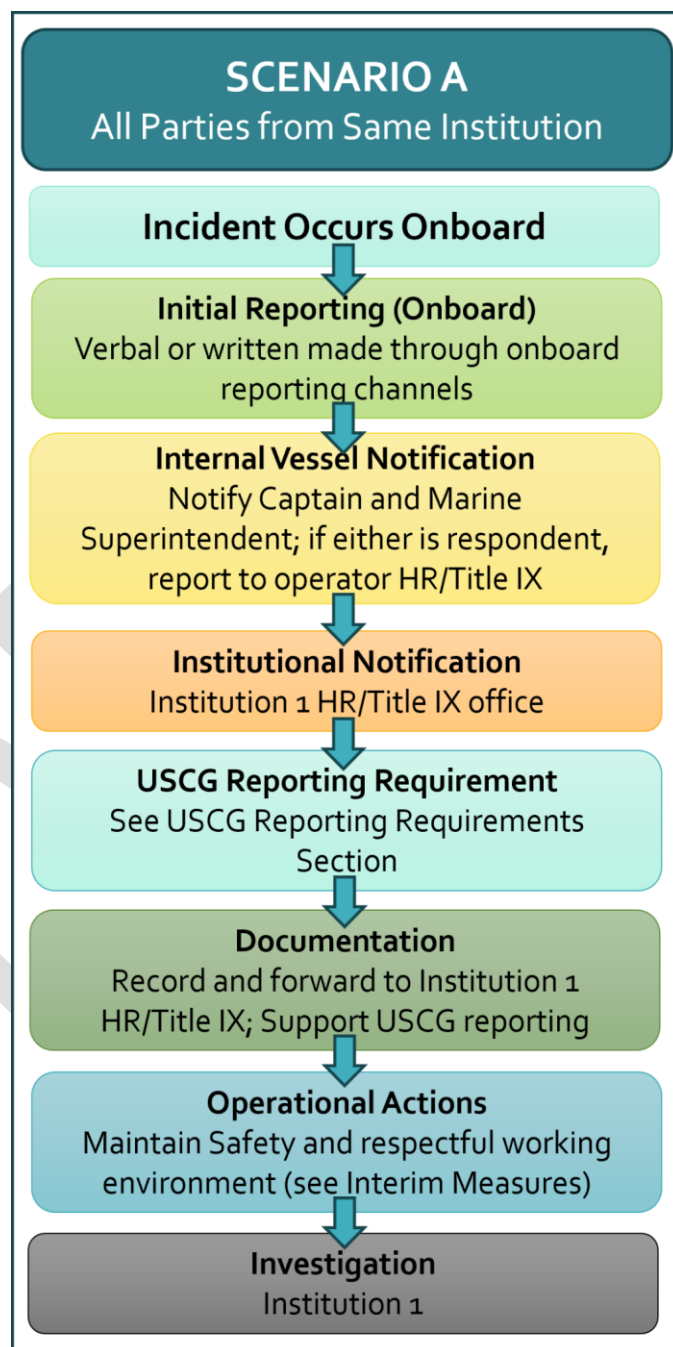
## Research Vessel Harassment Reporting Matrix

### Non-Criminal Allegations

#### Situation A: All Parties from Same Institution

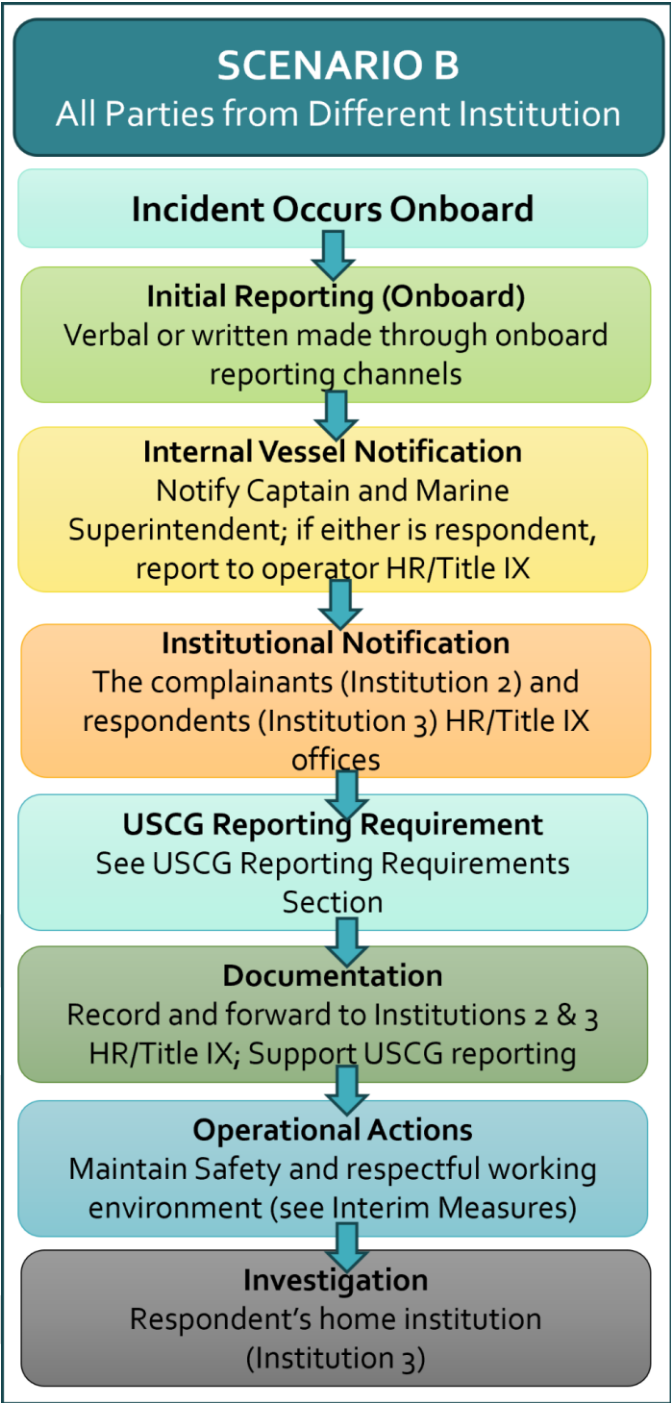
| ROLE                                | INSTITUTION   |
|-------------------------------------|---|
| <b>VESSEL OPERATOR</b>              | Institution 1   |
| <b>COMPLAINANT</b>                  | Institution 1   |
| <b>RESPONDENT</b>                   | Institution 1   |
| <b>BYSTANDER</b>                    | Institution 1   |
| <b>INITIAL REPORTING (ONBOARD)</b>  | A verbal or written report may be made through onboard reporting channels (see <i>Reporting Channels Onboard</i> ).                                       |
| <b>INTERNAL VESSEL NOTIFICATION</b> | Report recipients should notify the Captain and Marine Superintendent. If either is the respondent, report to the vessel operator’s HR / Title IX office. |
| <b>USCG REPORTING REQUIREMENT</b>   | See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.  |
| <b>INSTITUTIONAL NOTIFICATION</b>   | The Marine Superintendent or vessel operator should notify Institution 1’s HR / Title IX office.  |

|                                 |  |
|---------------------------------|--|
| <b>DOCUMENTING THE INCIDENT</b> | The report recipient records date, time, location, involved parties, and a summary; documentation is forwarded to Institution 1 HR / Title IX office.<br>Documentation should support required USCG reporting. |
| <b>OPERATIONAL ACTIONS</b>      | Maintain a safe and respectful working environment (see <i>Interim Measures and Operational Response</i> )   |
| <b>INVESTIGATION</b>            | Institution 1.   |



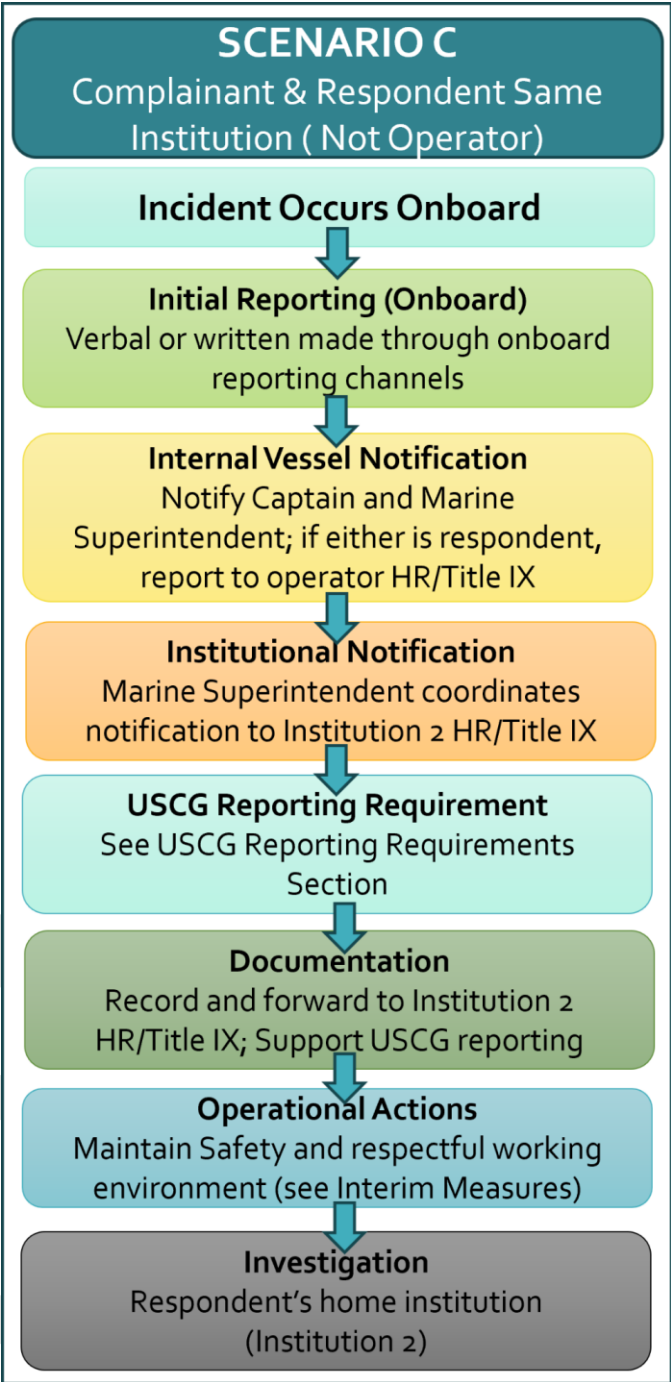
## Situation B: All Parties from Different Institutions

| <b>ROLE</b>                         | <b>INSTITUTION</b>   |
|-------------------------------------|--|
| <b>VESSEL OPERATOR</b>              | Institution 1  |
| <b>COMPLAINANT</b>                  | Institution 2  |
| <b>RESPONDENT</b>                   | Institution 3  |
| <b>BYSTANDER</b>                    | Institution 4  |
| <b>INITIAL REPORTING (ONBOARD)</b>  | A verbal or written report may be made through onboard reporting channels (see <i>Reporting Channels Onboard</i> ).  |
| <b>INTERNAL VESSEL NOTIFICATION</b> | Report recipients should notify the Captain and Marine Superintendent. If either is the respondent, report to the vessel operator's HR / Title IX office.  |
| <b>USCG REPORTING REQUIREMENT</b>   | See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.   |
| <b>INSTITUTIONAL NOTIFICATION</b>   | Marine Superintendent coordinates notification to the HR / Title IX offices of the complainants (Institution 2) and the respondents (Institution 3).   |
| <b>DOCUMENTING THE INCIDENT</b>     | The report recipient records date, time, location, involved parties, and summary; documentation is forwarded to Institutions 2 and 3 HR / Title IX offices.<br>Documentation should support required USCG reporting. |
| <b>OPERATIONAL ACTIONS</b>          | Maintain a safe and respectful working environment. (see <i>Interim Measures and Operational Response</i> )  |
| <b>INVESTIGATION</b>                | Respondent's home institution (Institution 3).   |



## Situation C: Complainant & Respondent from Same Institution (Not Operator)

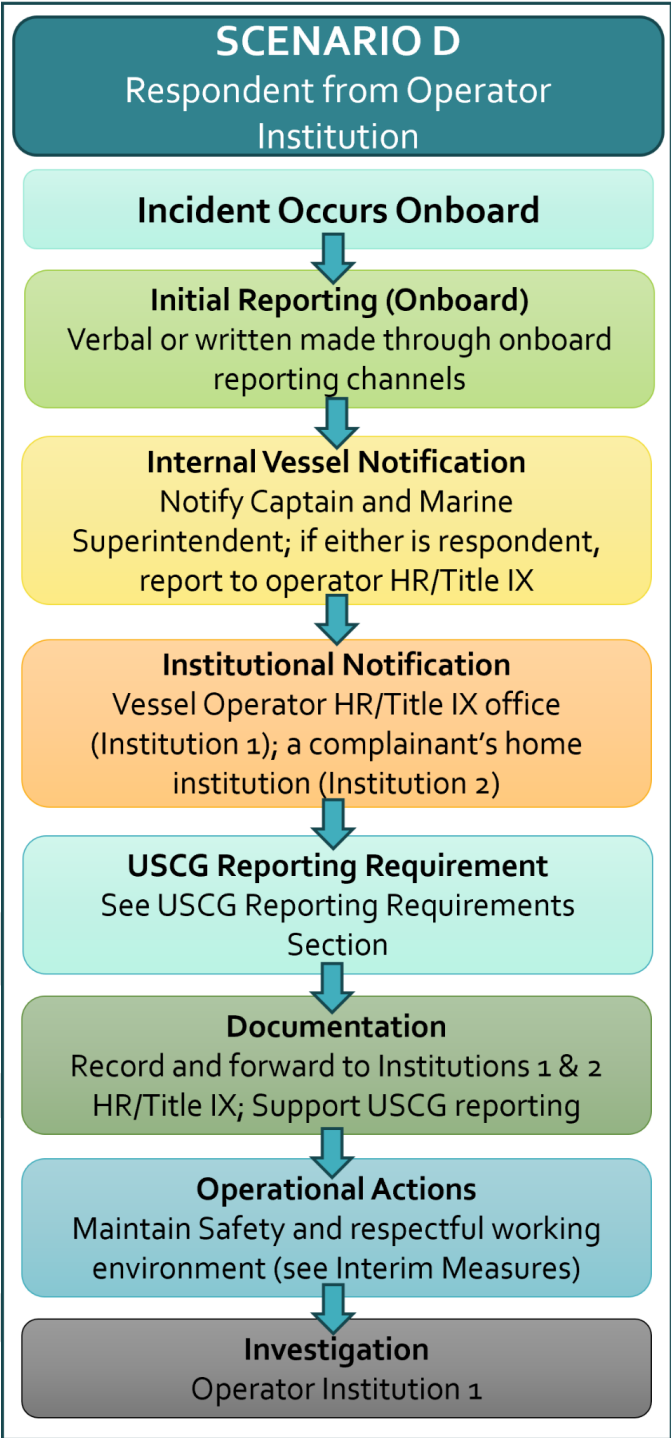
| <b>ROLE</b>                         | <b>INSTITUTION</b>   |
|-------------------------------------|--|
| <b>VESSEL OPERATOR</b>              | Institution 1  |
| <b>COMPLAINANT</b>                  | Institution 2  |
| <b>RESPONDENT</b>                   | Institution 2  |
| <b>BYSTANDER</b>                    | Institution 3  |
| <b>INITIAL REPORTING (ONBOARD)</b>  | A verbal or written report may be made through onboard reporting channels (see <i>Reporting Channels Onboard</i> ).  |
| <b>INTERNAL VESSEL NOTIFICATION</b> | Report recipients should notify the Captain and Marine Superintendent. If either is the respondent, report to the vessel operator's HR / Title IX office.                    |
| <b>USCG REPORTING REQUIREMENT</b>   | See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.   |
| <b>INSTITUTIONAL NOTIFICATION</b>   | The Marine Superintendent coordinates notification to Institution 2 HR / Title IX office.  |
| <b>DOCUMENTING THE INCIDENT</b>     | Report recipient records date, time, location, parties, and summary; forward to Institution 2 HR / Title IX office.<br>Documentation should support required USCG reporting. |
| <b>OPERATIONAL ACTIONS</b>          | Maintain a safe and respectful working environment. (see <i>Interim Measures and Operational Response</i> )  |
| <b>INVESTIGATION</b>                | The respondent's home institution (Institution 2).   |



## Situation D: Respondent from Operator Institution

| <b>ROLE</b>                         | <b>INSTITUTION</b>   |
|-------------------------------------|--|
| <b>VESSEL OPERATOR</b>              | Institution 1  |
| <b>COMPLAINANT</b>                  | Institution 2  |
| <b>RESPONDENT</b>                   | Institution 1  |
| <b>BYSTANDER</b>                    | Institution 3  |
| <b>INITIAL REPORTING (ONBOARD)</b>  | A verbal or written report may be made through onboard reporting channels (see <i>Reporting Channels Onboard</i> ).  |
| <b>INTERNAL VESSEL NOTIFICATION</b> | Report recipients should notify the Captain and Marine Superintendent. If either is the respondent, report to the vessel operator's HR / Title IX office.                      |
| <b>USCG REPORTING REQUIREMENT</b>   | See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.   |
| <b>INSTITUTIONAL NOTIFICATION</b>   | Notify the respondent (Institution 1) and complainant's home institution (Institution 2) HR / Title IX office.   |
| <b>DOCUMENTING THE INCIDENT</b>     | Report recipient records date, time, location, parties, and summary; forward to Institutions 1 and 2 HR/Title IX office. Documentation should support required USCG reporting. |
| <b>OPERATIONAL ACTIONS</b>          | Maintain a safe and respectful working environment. (see <i>Interim Measures and Operational Response</i> )  |
| <b>INVESTIGATION</b>                | Vessel operator / respondent's institution (Institution 1)   |

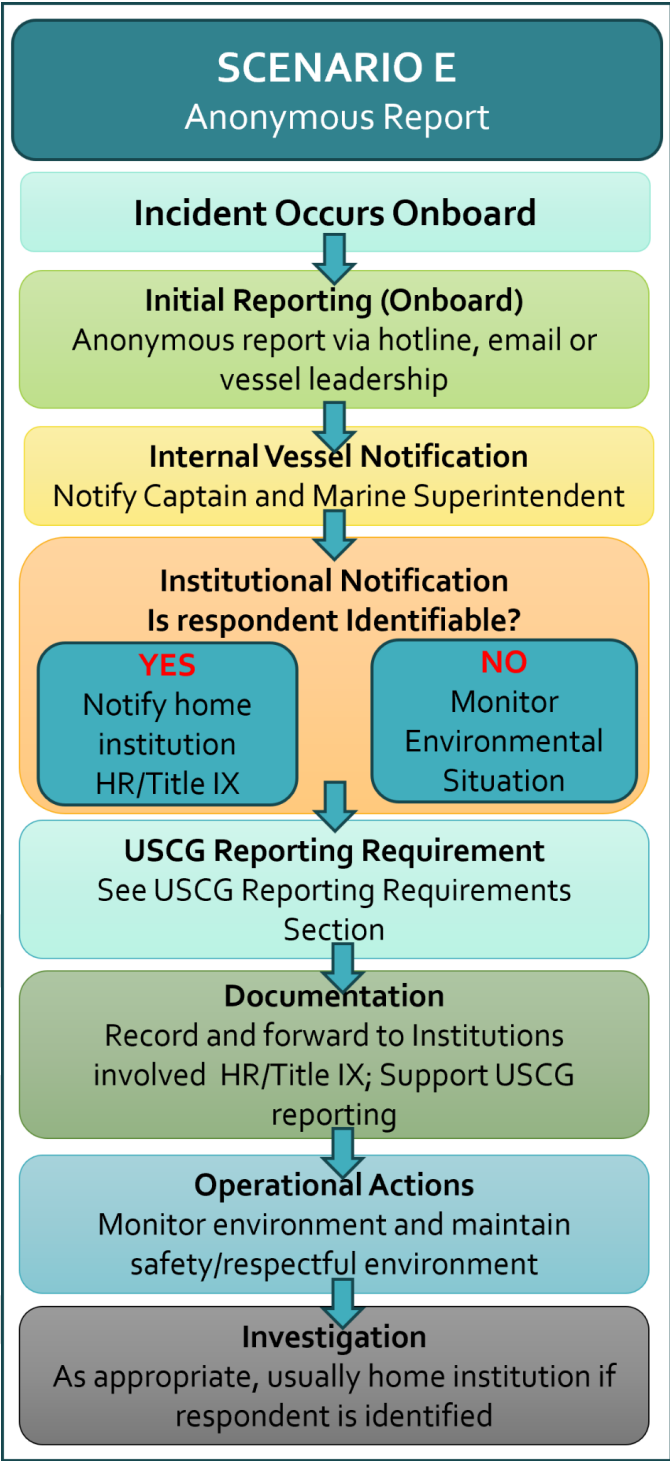
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## Situation E: Anonymous Report

| ROLE                                | DESCRIPTION   |
|-------------------------------------|---|
| <b>VESSEL OPERATOR</b>              | Institution 1   |
| <b>COMPLAINANT</b>                  | Unknown   |
| <b>RESPONDENT</b>                   | Unknown or Unidentified   |
| <b>BYSTANDER</b>                    | Unknown   |
| <b>REPORTING METHOD</b>             | Anonymous report through institutional hotline, email, or vessel leadership (Captain, Chief Scientist, Marine Superintendent).  |
| <b>INTERNAL VESSEL NOTIFICATION</b> | Marine Superintendent notified of the report; captain monitor environment and onboard safety.   |
| <b>USCG REPORTING REQUIREMENT</b>   | If sufficient information exists to identify a reportable incident, <b>USCG</b> See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.                                |
| <b>INSTITUTIONAL NOTIFICATION</b>   | If a respondent becomes identifiable, the appropriate home institution may be notified.   |
| <b>DOCUMENTING THE INCIDENT</b>     | Captain, Marine Superintendent or designated contact records date, time, location, summary and any actions taken. Documentation should support required USCG reporting.           |
| <b>OPERATIONAL ACTIONS</b>          | Vessel leadership may monitor the environment and maintain a safe and a respectful working environment aboard the vessel. (see <i>Interim Measures and Operational Response</i> ) |
| <b>INVESTIGATION</b>                | As appropriate, usually home institution if the respondent is identified.   |

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# Criminal Allegations

## Situation F: Criminal Allegation

### *Vessel in a U.S. Port*

| ROLE  | DESCRIPTION  |
|---|--|
| <b>VESSEL OPERATOR</b>                                | Institution 1  |
| <b>COMPLAINANT</b>                                    | May be any embarked individual   |
| <b>RESPONDENT</b>                                     | May be any embarked individual   |
| <b>BYSTANDER</b>                                      | May be any embarked individual   |
| <b>INITIAL REPORTING (ONBOARD)</b>                    | Verbal or written report (see <i>Reporting Channels Onboard</i> )  |
| <b>INTERNAL VESSEL NOTIFICATION</b>                   | Notify the Captain and Marine Superintendent immediately; ensure safety of all individuals involved.   |
| <b>INSTITUTIONAL AND LAW ENFORCEMENT NOTIFICATION</b> | Marine Superintendent notifies the relevant institutions. Contact local law enforcement (local, federal, or USCG) as appropriate. See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section.                                   |
| <b>DOCUMENTING THE INCIDENT</b>                       | Captain, Marine Superintendent or designated contact record date, time, location, parties, and safety actions taken; forward to institutions and law enforcement as appropriate. Documentation should support required USCG reporting. |
| <b>OPERATIONAL ACTIONS</b>                            | Ensure immediate safety, and implement interim measures as necessary.  |
| <b>WHO INVESTIGATES</b>                               | Institutional investigation may proceed in parallel with law enforcement investigations.   |

### *Vessel in International Waters or a Foreign Port*

| ROLE  | DESCRIPTION   |
|---|---|
| <b>VESSEL OPERATOR</b>                                | Institution 1   |
| <b>COMPLAINANT</b>                                    | May be any embarked individual  |
| <b>RESPONDENT</b>                                     | May be any embarked individual  |
| <b>BYSTANDER</b>                                      | May be any embarked individual  |
| <b>INITIAL REPORTING (ONBOARD)</b>                    | Verbal or written report (see <i>Reporting Channels Onboard</i> ).  |
| <b>INTERNAL VESSEL NOTIFICATION</b>                   | Notify the Captain and Marine Superintendent immediately; ensure safety of all individuals involved.  |
| <b>INSTITUTIONAL AND LAW ENFORCEMENT NOTIFICATION</b> | Marine Superintendent notifies the relevant institutions. Contact the U.S. Department of State, local U.S. Embassy, port state authorities, flag state authorities or U.S. Coast Guard, when applicable. See <i>U.S. Coast Guard (USCG) Reporting Requirements</i> section. |
| <b>DOCUMENTING THE INCIDENT</b>                       | Captain, Marine Superintendent or designated contact record date, time, location, parties, and safety actions taken; forward to   |

institutions and port/flag authorities as appropriate. Documentation should support required USCG reporting.

**OPERATIONAL  
ACTIONS**

Ensure immediate safety and implement interim measures as necessary.

**INVESTIGATION**

Institutional investigation may proceed in parallel with law enforcement processes, depending on jurisdiction.

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