

Exhibit I2



Campus HR Operations

May 22, 2019

TO: Woods Hole Oceanographic Institution

FROM: [REDACTED] 

SUBJECT: Marion Rise Cruise February 21 through March 28, 2019

Between February 21, 2019 and March 28, 2019, a scientific research cruise lead by Chief Scientist, Dr. Henry Dick, of the Woods Hole Oceanographic Institution (WHOI) was conducted in the Indian Ocean aboard the *RV Thomas G Thompson* (TGT). This project was funded by the National Science Foundation (NSF) through a ship operations grant and cooperative agreement with the University of Washington's (UW) School of Oceanography ("the School"); a few days were funded directly by WHOI. The TGT is scheduled under an arrangement with the University National Oceanographic Laboratories System (UNOLS). As part of the cooperative agreement, the School is responsible for scheduling and employing personnel to support marine operations during scheduled cruises.

Following the recent cruise, identified in the UNOLS scheduling system as TN365, the School received multiple written statements from the crew expressing concerns about unprofessional behavior and conduct by Dr. Dick prior to and during the cruise. Following receipt of this information, I initiated an investigation of the concerns. The memo summarizes my investigation findings and themes and provides examples of the reported concerning behaviors.

Applicable Policy: University of Washington Executive Order No. 31:

Non-Discrimination and Non-Retaliation

Prohibitions include but are not limited to:

- Discrimination or harassment against a member of the University community because of sex.
- Any member of the University community from discriminating against or unlawfully harassing a member of the public (on the grounds of sex) while engaged in activities directly related to the nature of their University affiliation.

Woods Hole Oceanographic Institution

May 22, 2019

Page 2

Background

The School provided the following UW employees for the TN365 cruise:

- Captain
- Chief Mate

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In addition, [REDACTED] hired by UNOLS as the [REDACTED], who is not a UW employee.

Of the total 24 crew members, 15 provided written statements about their TN365 cruise experience. Nine experienced first-hand or witnessed the conduct referred to in this summary. Of the other six employees who submitted statements, two shared information they heard indirectly about Dr. Dick's behavior, however, and those were not considered as evidence and are not referenced in this summary.

Our Port Captain, who is responsible for many aspects of ship operations, also provided a statement regarding her interactions with Dr. Dick regarding cruise planning and port logistics. This is included in a separate section of this report.

Pre-Cruise Planning and Port Logistics

To ensure smooth mobilization and that the goals of a science party are understood, the female UW Port Captain and male [REDACTED] meet with a science party at specific intervals prior to the cruise: 6 months, 3 months, 1 month and any other meetings as necessary. At these meetings, the Chief Scientist or an appointee will discuss cruise objectives, plans, gear, required permits, hazardous materials, power needs, deck plans,

Woods Hole Oceanographic Institution

May 22, 2019

Page 3

berthing plans, etc. The Port Captain is solely responsible for in-port logistic to include port entry, shore cranes, forklifts and weight of gear. She is also the conduit for providing information to the TGT Captain, Chief Mate, Chief Steward and Chief Engineer so they can plan for the arrival of the science party.

The Port Captain reported that this cruise was very difficult to plan in terms of receiving information, communication and planning overall. The following timeline shows the lack of communication on the part of the Chief Scientist. It also provides several dates when Dr. Dick had to be redirected and told to engage with the Port Captain.

- August 29, 2018 – Dr. Dick was sent an email with the link to the UW's cruise planning webpage and instructed which forms needed to be completed as soon as possible. Specifically, we requested completion of the Cruise Planning Form but it was never received.
- October 2, 2018 – Second cruise meeting was held, but no cruise plan was submitted.
- January 9, 2019 – As of this date Dr. Dick has not submitted the Cruise Planning, Berthing Plan or the Deck Plan forms. [REDACTED] contacts Dr. Dick to request the forms.
- January 16, 2019 – A cruise planning meeting is held this day, and no plans are submitted. The Port Captain requests that Dr. Dick send the information to her by January 18. Dr. Dick said he had been busy with grant proposals, and acknowledged the request.
- January 17, 2019 – Dr. Dick sent the Berthing Plan to the [REDACTED] instead of to the Port Captain as requested.
- January 18, 2019 – The Port Captain forwarded a Deck Plan to Dr. Dick for his input and approval. She receives no response.
- January 22, 2019 – Dr. Dick emails a brief description of the work to be conducted during the cruise to the [REDACTED]. The email is forwarded to the Port Captain and she replies to Dr. Dick with further instructions.
- January 23 2019 – A cruise planning meeting is held less than one month before the cruise starts. Dr. Dick has not yet provided the remaining required forms and information. He is notified that not having this information may negatively impact his cruise mobilization in Durban, South Africa. Dr. Dick said, "I am old and we used to not have to fill out all of these forms." The Port Captain reiterated the information is required and implored him to get the information in to her as soon as possible.

Woods Hole Oceanographic Institution

May 22, 2019

Page 4

- January 25, 2019 – The Port Captain learns that Dr. Dick has been emailing cruise details to the TGT Captain, and has not included her on the communication.
- February 13, 2019 – Dr. Dick emails the [REDACTED] about Durban in-port logistics. To save time, the [REDACTED] provides information on behalf of the Port Captain and directs Dr. Dick to contact the Port Captain for future questions.
- February 18, 2019 – The Port Captain asks Dr. Dick to keep her copied on communications between U.S. Customs and a [REDACTED]. The TGT Captain also requested Dr. Dick to keep the Port Captain informed but she never receives communication from Dr. Dick about the matter. This [REDACTED] was on the cruise and her [REDACTED] caused problems and required her home embassy to get involved at the end of the cruise.
- February 28, 2019 – A [REDACTED] of the science party had to be medically evacuated off the ship. The Port Captain emailed with Dr. Dick to work out details of the evacuation but her emails went unanswered.
- March 28, 2019 – This was the last day of the cruise and the ship arrived in Cape Town. After the ship cleared customs, Dr. Dick was on the pier with his bags waiting for the shuttle. The Port Captain approached him, introduced herself and began asking him about the [REDACTED] who was evacuated and, in particular, who would cover the costs. Dr. Dick told her that if she sent him the invoice it would never get paid, so the Port Captain should work directly with the [REDACTED].

Dr. Dick's conduct towards [REDACTED]

Multiple witnesses confirmed that Dr. Dick repeatedly engaged in disrespectful and unprofessional conduct toward a [REDACTED].

On the night of March 3, 2019, the Captain, the [REDACTED] and Dr. Dick made a plan to begin dredging at 4:00am on March 4. Callouts were made thirty minutes in advance of dredge operations and they arrived at the dredge site thirty minutes early. Dr. Dick arrived in the computer lab at 3:25am and began yelling at the [REDACTED] for not starting dredging early. [REDACTED] informed Dr. Dick that he should talk to the Captain if there was a problem, and that things were on schedule to get the dredge in the water at the planned time of 4:00am. The [REDACTED] witnessed Dr. Dick's behavior. He stated he walked into the lab at 3:30am and saw Dr. Dick "red in the face screaming" and "had his finger pointed square in [REDACTED] face in very close proximity." The [REDACTED] stepped in and reminded Dr. Dick of the plan that was set the night before to dredge at 4:00am and that they were executing it on schedule.

Woods Hole Oceanographic Institution

May 22, 2019

Page 5

The [REDACTED] referenced above reported that a second incident involving Dr. Dick occurred on March 11, 2019. [REDACTED] reported [REDACTED] was on the back deck when the dredge was in the water and on the way to the surface. Dr. Dick ducked under the safety line and walked to the stern without the Proper Personal Equipment (PPE) of a hardhat and life vest. [REDACTED] called the bridge on [REDACTED] radio to inform them of the safety violation and to let them know [REDACTED] was going to ask him to leave the back deck. Normally [REDACTED] would do this without making a call to the bridge, however, [REDACTED] was "uncomfortable not having anyone present because of how aggressive he has been in the past". [REDACTED] stated that when [REDACTED] approached him and asked him to leave the area because he was not wearing PPE and operations were in progress he "proceeded to berate me for asking him to leave the operation area". He informed [REDACTED] "if this was a safety issue I would have been aware of it. The dredge is not even under tension right now so it is not a safety hazard. I just want a picture of the birds." [REDACTED] further stated that Dr. Dick "continued to threaten me by saying he would 'write a report to UNOLS about you and this ship and how you all treat everything as an overblown safety issue.'" Dr. Dick finally left the back deck after approximately 5 minutes of raising his voice at the [REDACTED] and using aggressive body language. After the incident, the [REDACTED] went to the bridge and the male Third Mate on watch informed [REDACTED] that he saw the aggressive body language and would report that there was an incident to the Captain.

A third interaction in which Dr. Dick engaged in disrespectful and unprofessional behavior toward the [REDACTED] occurred on March 12, 2019. The [REDACTED] were in the computer lab sitting side-by-side. Dr. Dick came into the lab, pulled the [REDACTED] aside, and began discussing power dredging in questionable weather. Dr. Dick made negative comments about the [REDACTED] to the [REDACTED] even though [REDACTED] was present in the lab and could hear their conversation. The [REDACTED] expressed concern to Dr. Dick that he was treating the [REDACTED] differently than the two [REDACTED]. Dr. Dick responded referring to the [REDACTED] as "a rude bitch." According to the male MT, Dr. Dick said, "it's harder to work with a [REDACTED] because that's how they are" while gesturing with his hands in the [REDACTED]'s direction. After 10 minutes, the [REDACTED] left the room and asked the [REDACTED] to call the Captain to get Dr. Dick's behavior to stop. That evening the Captain, [REDACTED] met with Dr. Dick to discuss his treatment of the [REDACTED].

On March 13, 2019, after getting off watch, the [REDACTED] was eating lunch on the messdeck when Dr. Dick approached [REDACTED] and asked to sit at [REDACTED] table. He sat across from [REDACTED] and according to the [REDACTED], "then proceeds to give me a non-apology about his treatment towards me. Saying that 'I'm sorry that I've been treating you like this...it's just that the other night I fell in my stateroom and cracked my rib and have been in a lot of pain.'" The [REDACTED]

Woods Hole Oceanographic Institution

May 22, 2019

Page 6

did not finish [REDACTED] lunch and [REDACTED] felt uncomfortable. After this date, [REDACTED] ate her lunch in the crews' lounge to avoid further non-operations contact with Dr. Dick.

On March 14, 2019, a [REDACTED] saw Dr. Dick leave one Dove heart chocolate candy at the [REDACTED]'s workstation and he did not leave any for anyone else. When the [REDACTED] found the chocolate and learned who left it, [REDACTED] felt uncomfortable and threw the chocolate away. Between that date and the end of the cruise, Dr. Dick left the same candy at [REDACTED] work station three to four more times. The [REDACTED] felt uncomfortable each time [REDACTED] found a chocolate and threw it away each time. The final time, Dr. Dick left candy for the [REDACTED] and [REDACTED]. There was no communication from Dr. Dick to the [REDACTED] about why he was leaving [REDACTED] the candy.

Notes made by the [REDACTED] while she was on the cruise support her account of Dr. Dick's treatment of her:

- March 12, 2019: "Realizing that just coming into the same lab as Dick makes me anxious."
- March 16, 2019: Dr. Dick "is flat out ignoring me (other than angry looks when he walks into the lab)".

Other Incidents of Unprofessional Conduct by Dr. Dick

Multiple witnesses confirmed that Dr. Dick repeatedly engaged in disrespectful and unprofessional conduct.

- A [REDACTED] witnessed "on several occasions" Dr. Dick staring and standing too close to [REDACTED]. Another male shipmate shared with the [REDACTED] that "in the course of a conversation with him, Dr. Dick bragged about how many times he'd been accused of sexual harassment and gotten away with it." This [REDACTED] stated that "Dr. Dick's attitude towards the [REDACTED], particularly the women, was rude and dismissive to a shocking degree."
- On February 20, 2019, at 11:21pm Dr. Dick, the [REDACTED], the [REDACTED] and one other person were trying to solve a berthing arrangement issue. At that time, Dr. Dick had put the [REDACTED] in the same room as one of the [REDACTED]. Dr. Dick stated to the group that he thought the [REDACTED] had a female name and that is why he put [REDACTED] in that room with the [REDACTED]. Dr. Dick then joked about how the [REDACTED] should wear a dress the entire cruise because Dr. Dick thought [REDACTED] had a female name.

Woods Hole Oceanographic Institution

May 22, 2019

Page 7

- The [REDACTED], who has 10 years of experience as a [REDACTED] and over 10 years in the scientific research community, stated that during the cruise, Dr. Dick made offensive comments and "a constant barrage of jokes", and "wore a t-shirt that said: PETA – 'people eating tasty animals'" that was found to be distasteful. [REDACTED] witnessed Dr. Dick being verbally abusive to the [REDACTED] and the [REDACTED], such as the incident on March 4, 2019 dredging incident at 4:00am that was described earlier.
- The [REDACTED] stated that Dr. Dick changed his mind constantly as to where he wanted to dredge, made assumptions about distance and, on one occasion, "even held a ruler up to the computer monitor to estimate distance". Dr. Dick told the [REDACTED] that he was scared of the Captain and preferred to discuss procedure and plans with a [REDACTED] or [REDACTED].

Dr. Dick's Disregard for Command and Safety

Multiple witnesses confirmed that Dr. Dick repeatedly engaged in unsafe behavior and tried to bypass the Captain's authority.

- The Captain was informed by the [REDACTED] and the [REDACTED] that Dr. Dick would go to the Pilot House and ask them directly to either drift dredge or power dredge. Both directed Dr. Dick to clear his request with the Captain. From the Captain, for Dr. Dick to approach the mate on watch and request alternate plans is "incredibly disrespectful to the responsibility that I have to the safety of the vessel" and "is the ultimate high water mark of unprofessionalism on the part of the Chief Scientist." For safety reasons, the Captain had decided not to try either types of dredging and had communicated that to Dr. Dick before Dr. Dick approached the [REDACTED] and [REDACTED] with his request. The Captain reported that he felt it was unprofessional and disrespectful to the responsibility he has for the safety of the vessel for Dr. Dick to go behind his back and approach the [REDACTED] to request that they perform an action that had not been cleared by the Captain.
- Regarding the March 11, 2019 incident on the back deck when Dr. Dick did not have PPE on, he disregarded known safety protocols and substituted his own judgment for that of the crew whose responsibility it was to enforce those protocols. Dr. Dick told the Captain that he wanted to get a picture of an Albatross, and had deemed that there was minimum tension on the wire and decided to walk to the back deck. When questioned further, Dr. Dick explained that since he "had been going to sea for forty-three years he knew what a safe situation was."

Woods Hole Oceanographic Institution

May 22, 2019

Page 8

- The [REDACTED] reported that Dr. Dick "complains loudly and belligerently to the crew, the techs and the science party, that UNOLS safety policies are limiting his ability to work and that they should be disavowed", that "we are too cautious and states that every other ship in the fleet dredges in any direction in 40-60ft seas while it's blowing full gale."
- Dr. Dick made a couple appearances on the bridge when the [REDACTED] was on watch and told [REDACTED] "that the other mates on watch (and other ships he has been on) handle the ship the way he wants, no matter the weather so why can't [REDACTED] do the same". [REDACTED] reminded him twice that it was [REDACTED] "responsibility to not only assist in science operations, but first and foremost to maintain the safety and integrity of the ship, its equipment and all of the crew."

Summary of Concerns

After reviewing the statements of 15 crew members, and speaking with the [REDACTED], I determined that on multiple occasions on this cruise, Dr. Dick engaged in behavior that was disrespectful, unprofessional and showed disregard for the Captain's authority and safety protocols. Dr. Dick created a hostile work environment through his verbal conduct and insistent behavior. Further, on more than one occasion he engaged in disrespectful behavior directed at a [REDACTED] that appeared to be based on [REDACTED] gender, which is inconsistent with the University's Executive Order 31.

Impact

Several crew members have requested not to sail on future cruises on which Dr. Dick may be either the Chief Scientist or a member of the science team.

Dr. Dick's harsh spoken words and aggressive non-verbal behavior were intimidating and created unnecessary strain for our crew, and directly affected their morale.

Dr. Dick's severe lack of communication with our Port Captain made it difficult for her to do her job. By not engaging with the pre-cruise planning or providing the critical planning information when asked, it reduced the success of his project. He also created undue stress on the UW Marine Operations team and the TGT crew who wanted to ensure a successful science cruise. By circumventing required communication with the female Port Captain or completely removing her from the conversation, Dr. Dick's behavior demonstrated disrespect for our Port Captain and indifference to the established communication protocols.

Woods Hole Oceanographic Institution

May 22, 2019

Page 9

Closing

We expect our crew and all individuals who sail on the TGT to demonstrate professional behavior, and to treat others with courtesy and respect at all times. It is our expectation that a Chief Scientist would exhibit and model behavior reflective of the level of respect and responsibility the position warrants. Dr. Dick's conduct during the TN365 Marion Rise Cruise was inappropriate and unprofessional. The situations described and witnessed by our employees are both concerning and alarming. These types of behaviors will not be tolerated.

The University of Washington's School of Oceanography will be seeking to make formal requests to UNOLS and NSF that we will only consider hosting Dr. Dick as a Chief Scientist, or as a member of a science party, only under the following conditions:

1. Dr. Dick will attest to watching the UNOLS's "Shipboard Civility – Fostering a Respectful Work Environment" training video.
2. Dr. Dick will not retaliate against any TN365 crew member whom he believes has provided a statement; in addition, he will not seek to engage with any of the personnel aboard during TN365 to identify who made statements.
3. Dr. Dick will receive, read and agree to adhere to WHOI's policies on harassment.
4. Dr. Dick will attest to viewing the UW's Title IX Office's "Preventing Sex Discrimination and Sexual Harassment in the Work Environment" online video.

The University of Washington's School of Oceanography values the partnership of WHOI's Human Resources in addressing this matter. Thank you for your attention to these concerns.

Cc: University of Washington School of Oceanography
University of Washington College of the Environment