



UCI Equal Opportunity and Compliance

Annual Report

2018-2019



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DEAR CAMPUS COMMUNITY,

I am pleased to share with you the UCI Equal Opportunity and Compliance 2018-2019 Annual Report. This new expanded report includes the activities of all our Equal Opportunity and Compliance units: Administrative Policies and Procedures, Compliance, Office of Equal Opportunity and Diversity, Public Records Office, and the Whistleblower Office.

This report reflects a pivotal time for our campus and the nation as we all bear witness to the rise of the #MeToo movement, changes to Title IX guidance by the federal government and the University of California Office of the President, affirmative action as a mainstay in headlines, and greater focus nationally on universal accessibility. In this report, you will find an overview of the types and numbers of Title IX/Discrimination complaints and whistleblower reports resolved by the EOC team; a summary of the workforce representation, public records requests, and major University policy changes; and sexual harassment/sexual violence prevention and discrimination statistics. It also acknowledges the many crucial campus partners that work with EOC, day in and day out, to prevent discrimination, sexual harassment and sexual violence, enhance a culture of inclusiveness and diversity, and promote transparency and fair processes.

I am grateful to the staff, faculty and students that work so earnestly in their commitment to further our EOC mission of equal opportunity, nondiscrimination, and compliance for the university. I look forward to our continued partnership.

Sincerely,

Kirsten K. Quanbeck
Associate Chancellor
Campus Ethics and Compliance Officer (CECO)
Whistleblower Locally Designated Official (LDO)
ADA Compliance Officer



2018-19 HIGHLIGHTS



Reducing Risk & Enhancing Compliance

In 2019, Tawny Luu joined the EOC team as the Director of Compliance. In this role, Tawny is working with campus partners to develop and support a comprehensive UCI compliance program to promote a culture of ethics and compliance that is consistent with UC policies and values, and applicable laws and regulations. As part of this effort, a new [UCI Compliance Website](#) has been developed to serve as a resource for compliance and ethics related matters. Establishing a strong compliance program improves the working and learning environment for all members of our community and enhances the UC's commitment to teaching, learning and public service.

Improving Inclusion And Access For Individuals With Disabilities

OEOD continues to work with our many partners toward increasing access and inclusion for individuals with disabilities. Andrew Berk has been appointed as UCI's new ADA Coordinator. Andrew serves as our subject matter expert on accommodations and accessibility and works to facilitate coordination and collaboration across offices and committees, including the Disability Infrastructure Workgroup and the IT Accessibility Workgroup.

<https://accessibility.uci.edu/index.php>

Improving Our Processes Through Data

OEOD annually analyzes workforce data for the University in compliance with the federal affirmative action regulations as a federal contractor. Vice Chancellors and Deans receive utilization analysis for their respective division/school planning purposes. Chief Personnel Officers and Human Resources Talent Acquisition Managers use this analysis and resulting placement goals to inform their outreach efforts in academic and staff recruiting.

In 2018-2019 Kim Rams, principal research analyst, joined the EOC team to lead and expand the affirmative action data analysis; allowing EOC to provide more in-depth and longitudinal assessments of workforce demographics in retention, recruitment and advancement. This analysis will be shared with the UCI leadership for planning future initiatives to address areas of continued underutilization of minorities, women, individuals with disabilities, and protected veterans.

EOC IN THE COMMUNITY

EOC participated in over 75 campus events



2018-19 University Partnerships

- Academic Senior Managers
- Advisory Council on Campus Climate, Culture, & Inclusion (ACCCI)
- ACCCI Constructive Engagement Work Group
- Audit Committee
- Campus Climate Triage Workgroup
- Campus Ethics & Compliance Risk Committee
- Chancellor's Advisory Committee on Intercollegiate Athletics
- Chancellor's Advisory Council
- Chancellor's Cabinet
- Consultation Team
- Coordinated Community Response Team
- Council on Faculty Welfare, Diversity & Academic Freedom
- Disability Infrastructure Workgroup
- Emergency Operations Center
- Foreign Influence Workgroup
- Free Speech Policy Workgroup
- Information Security & Privacy Committee Policy Workgroup
- International Relations Council
- IT Accessibility Workgroup
- Public Safety Advisory Committee
- Risk Intelligence Committee
- Speech Policy Committee
- SVSH Case Management Team
- UCI Health Executive Compliance Committee
- UCI Safety & Security Advisory Committee
- Whistleblower Investigations Workgroup

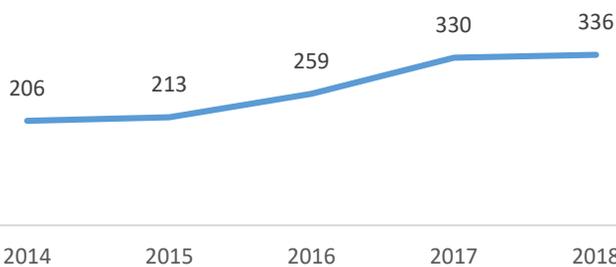
Did you know?

UCI has a new parenting and pregnancy website: [Parenting](#)

PUBLIC RECORDS OFFICE

The California Constitution gives the public the right of access to information concerning the conduct of the peoples' business. The Public Records Office helps the University of California, Irvine fulfill this obligation by searching out records requested by the public, reviewing for responsiveness, safeguarding confidentiality, and releasing records to requesters.

Public Records Requests in the Last 5 Years



By the Numbers

NUMBER OF REQUESTS RECEIVED:

336

NUMBER OF PAGES RELEASED:

57,390

NUMBER OF PAGES REVIEWED:

89,777



Did You Know?

- Anyone, regardless of their relationship to the campus, can make a public records request.
- If requested, the University is obligated to provide releasable documents to be in compliance with federal and state laws.
- Any request for records may be forwarded to [Public Records](#) for assessment and processing.

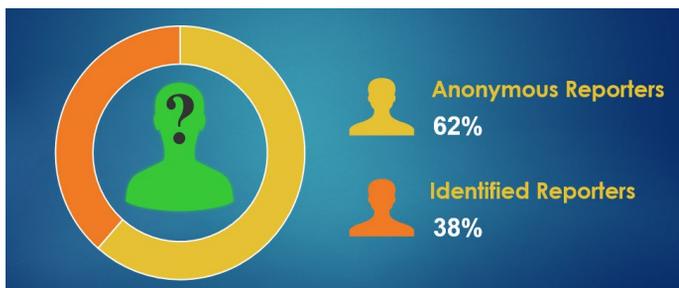
WHISTLEBLOWER OFFICE

The University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy) governs the reporting and investigation of alleged misconduct by employees at all University locations. A separate Whistleblower Protection Policy establishes procedures for addressing allegations of Whistleblower retaliation.

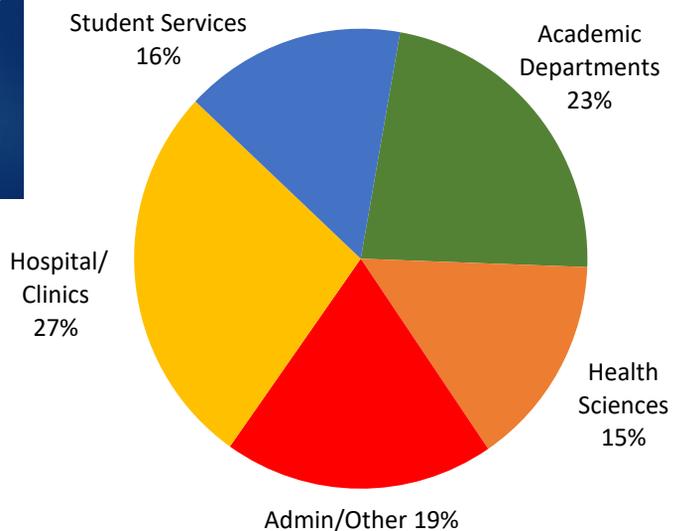
UC Irvine has a robust process for receiving and responding to whistleblower allegations. UC Irvine participates in the systemwide, independently operated whistleblower hotline, which receives whistleblower reports on-line and by telephone on a 24/7 basis. Whistleblower reports also are submitted directly to the UC Irvine Locally Designated Official either by the whistleblowers themselves or by University officials who become aware of the allegations.

The UC Irvine Investigations Workgroup, composed of administrators from UC Irvine and UC Irvine Health, is responsible for addressing whistleblower reports and meets regularly to coordinate complaint response and resolution.

Identity of Reporters



Reports by Location



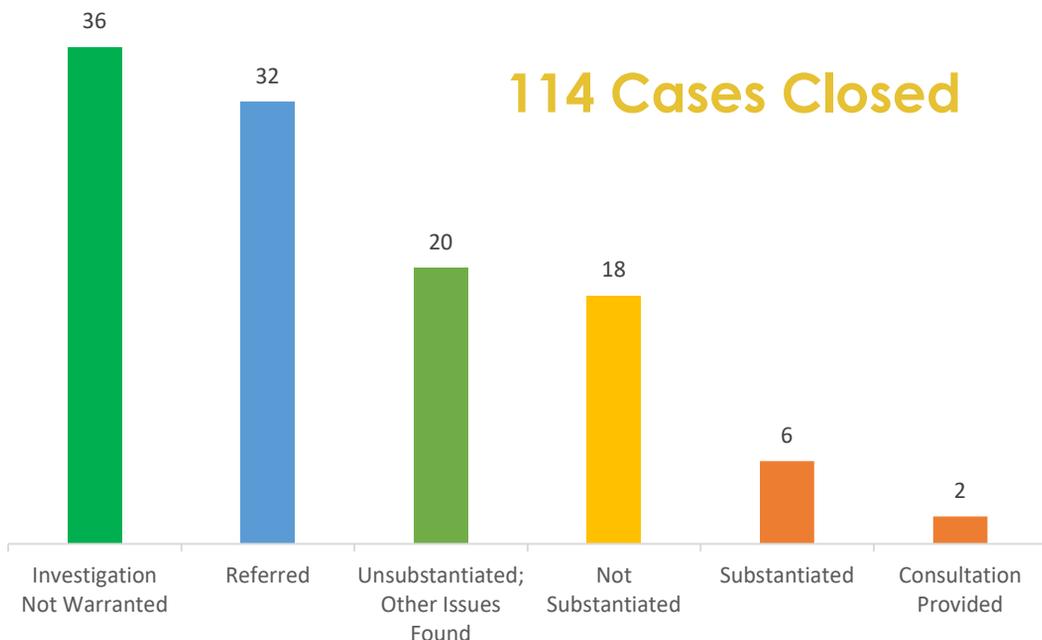
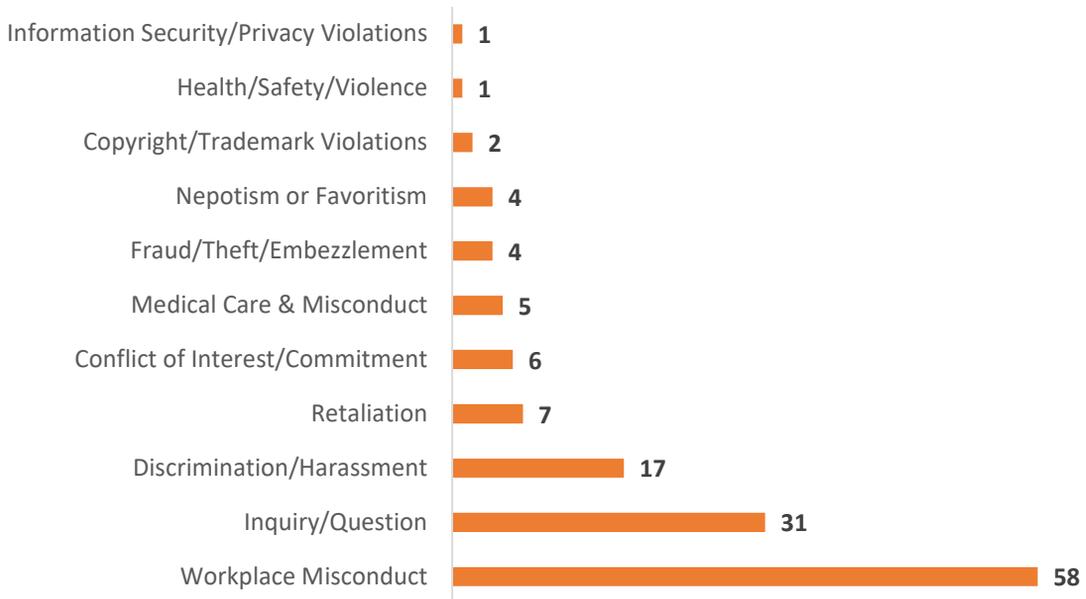
Did you know?

Some of the most commonly reported activities include travel expenditures, workplace misconduct, and improper use of University resources.

Whistleblower Report Data

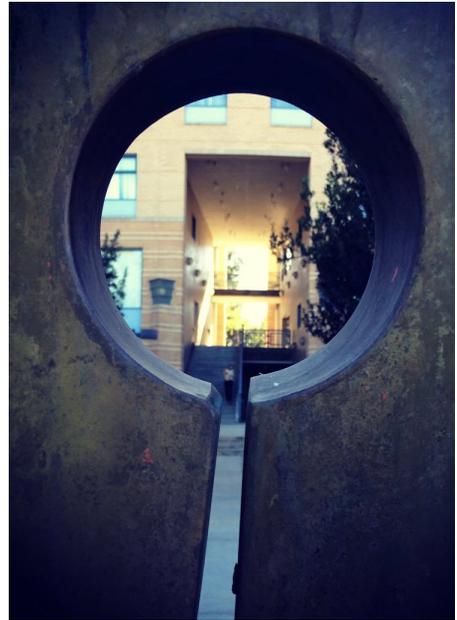
For the 2018-2019 reporting period, UC Irvine received **135** whistleblower reports.

Cases Opened By Issue Type



Whistleblower Investigative Units

The Whistleblower Office reviews every report submitted to the University. During the evaluation process, the LDO and staff, with assistance from the Investigations Workgroup as needed, examines to identify those reports that are sufficiently specific, credible, and timely to warrant the additional allocation of University resources. When the LDO determines a complaint warrants deeper investigation or review, it is assigned to an investigative unit. Not all reports result in formal investigations due to the nature of the issue being reported, e.g., some require following specific grievance processes or simply necessitate a management response



ADMINISTRATIVE POLICIES & PROCEDURES

UC Irvine implements systemwide policies by issuing local guidelines, procedures, and delegations of authority. UC Irvine's [Administrative Policies & Procedures](#) are coordinated by the campus Manager of Administrative Policies, Rachel Gamby.

University activities are primarily governed by systemwide policies. Campus policies are developed to address a specific campus need to promulgate what will or will not be done on the UC Irvine campus under certain circumstances. Members of the campus community are responsible for identifying the institutional need for campus policy and guidelines that address accountability, resourcefulness, and efficiency in meeting the University's teaching, research, and public service obligations.

Did You Know?

Organizational charts for the Chancellor's direct reports have been added to the UCI Administrative Organization Charts. Visit [Charts](#) to view.

Year in Review

MAJOR POLICY ADDITIONS/REVISIONS:

- [Sec. 701-21: Updating Vendor Electronic Fund Transfer \(EFT\) Information](#)
- [Sec. 715-01: Policy on Travel Authorization and Approval](#)
- [Sec. 900-01: Free Speech at UCI Interim Policy](#)
- [Sec. 900-15: UCI Major Events Policy](#)
- [Sec. 900-23: Interim UCI Guidance Concerning Disruption of University Activity](#)
- [Sec. 905-50: Clery Act Compliance Procedure](#)
(First campus in the UC system to create procedures)

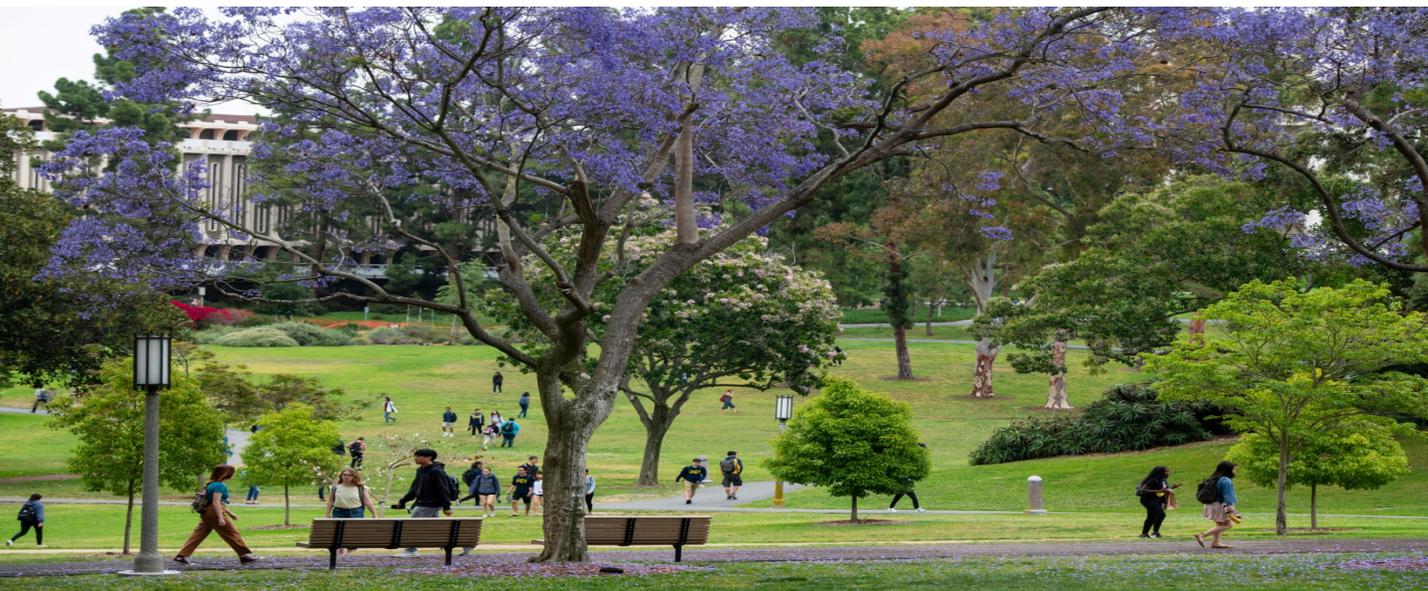


EQUAL OPPORTUNITY/ AFFIRMATIVE ACTION

It is the policy of the University of California to undertake affirmative action, consistent with its obligations as a federal contractor, for minorities and women, for persons with disabilities, and for protected veterans. The University commits itself to apply every good faith effort to achieve prompt and full utilization of minorities and women in all segments of its workforce where deficiencies exist. These efforts conform to all current legal and regulatory requirements, and are consistent with University standards of quality and excellence.

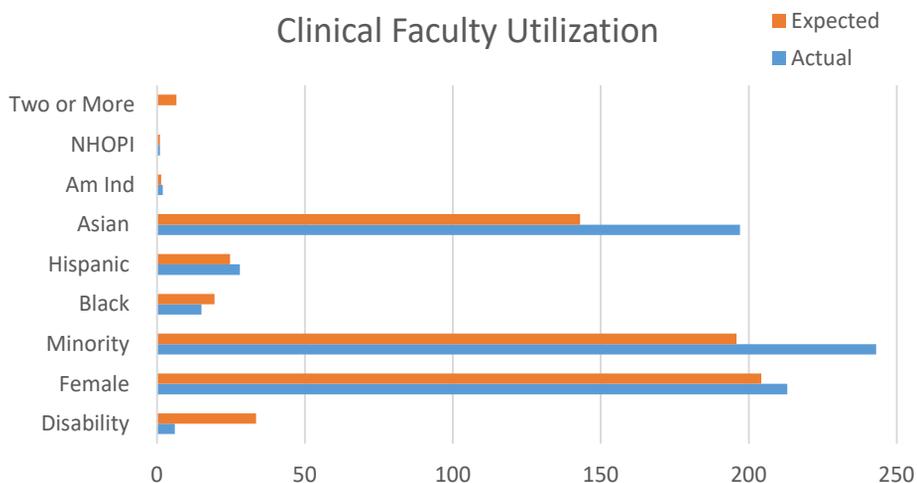
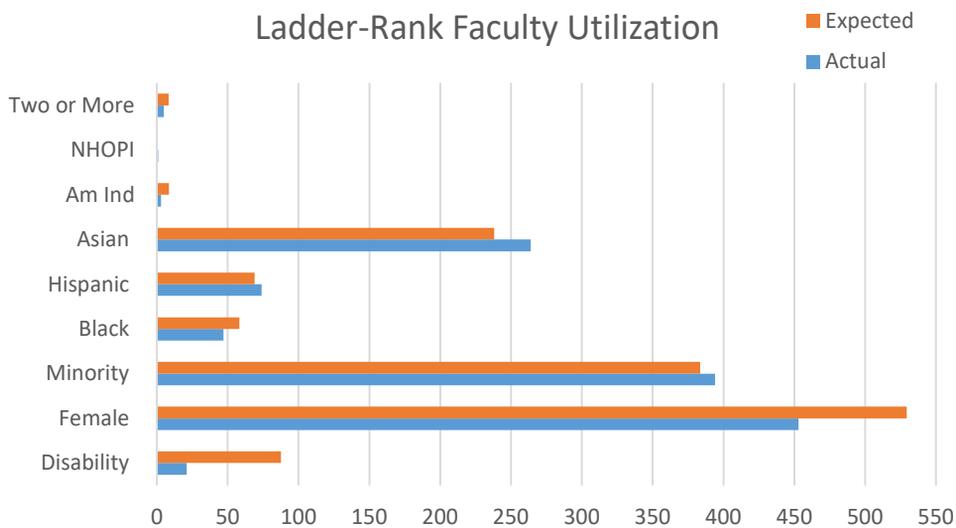
Our obligations in this area stem from not only adherence to various state and federal regulations, but also from our commitment to create a culture of inclusiveness and diversity where members of our community thrive and are able to reach their full potential.

The Equal Opportunity/Affirmative Action team within the Office of Equal Opportunity and Diversity provides support for the management of the University's affirmative action programs, including the annual preparation of the federal affirmative action plan. Additionally, this unit provides consultation services to UCI constituents on EO/AA considerations in employment, outreach, programs and policies, and is one of the institutional points of contact for federal and state agencies for equal opportunity and affirmative action compliance inquiries and compliance confirmation.

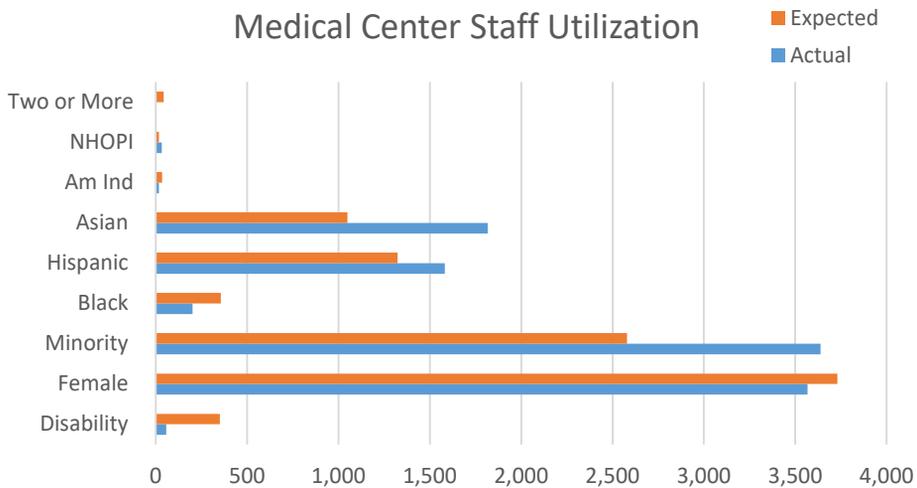
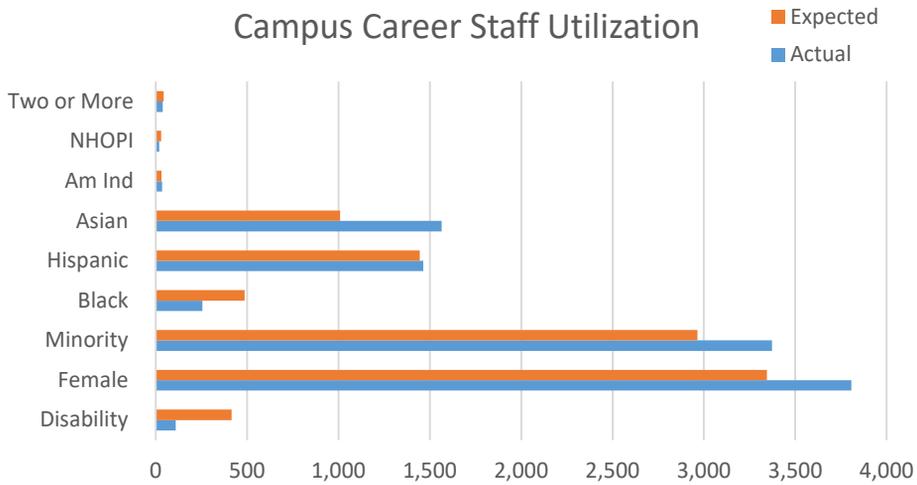


Affirmative Action Data

As a federal contractor, UCI is required to conduct an analysis of its workforce each year. For the annual Affirmative Action Plan, the analysis is conducted by job group and unit and provided to UCI’s senior leadership for action. The charts that follow reflect a summary at the enterprise level of the actual and expected representation (utilization) of women, minorities, and individuals with disabilities in the ladder-rank and clinical faculty workforces as of October 31, 2018. More detailed analyses for these and other groups of employees are available for review in the Office of Equal Opportunity and Diversity during regular business hours.



NOTE: NHOPI = Native Hawaiian/Other Pacific Islander. “Two or more” includes people who identified with more than one of the racial/ethnic groups listed. Minority = all racial/ethnic groups except those who only indicated White/Caucasian or whose race/ethnicity is unknown.



NOTE: NHOPI = Native Hawaiian/Other Pacific Islander. "Two or more" includes people who identified with more than one of the racial/ethnic groups listed. Minority = all racial/ethnic groups except those who only indicated White/Caucasian or whose race/ethnicity is unknown.

OEOD INVESTIGATIONS & RESOLUTIONS

The Office of Equal Opportunity and Diversity is much more than an investigative unit. The majority of inquiries to OEOD request information and guidance for community members and interventions in the form of education and training.

Many people who seek assistance from OEOD request that their concerns be resolved informally. OEOD works with parties to determine the best way to resolve the situation. This can include facilitated discussions, educational conversations, mutual no-contact orders, and/or training for units or individuals.

In situations where formal investigations are necessary, OEOD investigators conduct fair, thorough, confidential investigations to determine whether University policy was violated. Formal investigations take approximately 90 business days and include interviews with parties and witnesses and the gathering of evidence. If an investigator determines that a policy has been violated, OEOD forwards the investigative report to the appropriate supervisor or administrator for corrective action.

Additionally, OEOD works with departments to improve University policies and procedures to increase inclusiveness and decrease discrimination. For example, this year OEOD partnered with UCI student housing to implement new procedures for processing religious accommodation requests in housing and conducted trainings for all residential life staff.

Quick Overview

642

Total Reports Received

113

Reports with Unknown Respondents

396

Reports provided with consultation

87

Complaints Informally Resolved
(Alternative Resolution & Informal)

48

Agency & Formally Investigated
Cases

18

Policy Violations Found

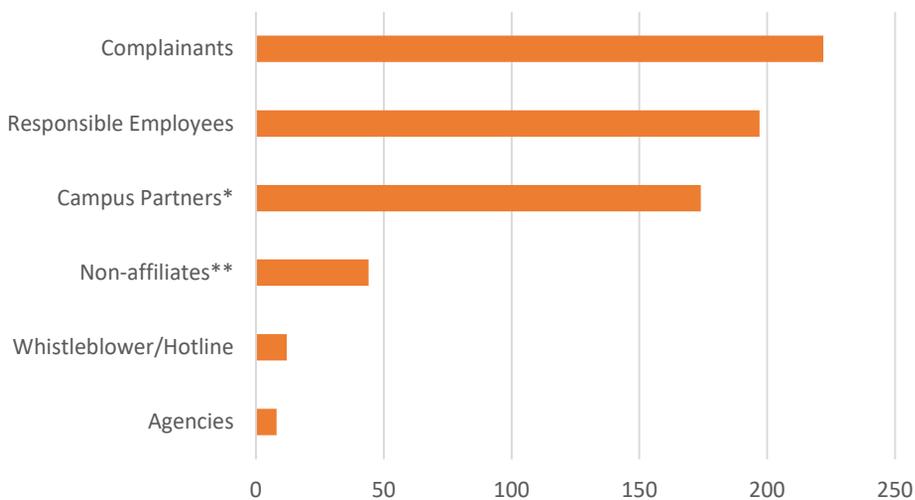
Reports of Discrimination, Sexual Violence & Sexual Harassment

Did you know?

RESPONSIBLE EMPLOYEES MATTER.

A Responsible Employee is any University employee who is not a Confidential Resource. If a Responsible Employee learns, in the course of employment, that a student may have experienced Prohibited Conduct, they must promptly notify the Title IX Officer or designee. This includes resident assistants, graduate teaching assistants, and all other student employees, when disclosures are made to them in their capacities as employees.

WHO'S REPORTING?



*Campus Partners include Housing, Office of Student Conduct and Academic Integrity, and UCI Police Department.

**Non-affiliates are those not associated with the University as a student, staff, or faculty member.

Top 3 Bases of Complaints Reported by Demographic

Faculty Respondents

- 23** Sexual Harassment
- 18** Gender/Sex
- 10** Physical or Mental Disability

Staff Respondents

- 41** Sexual Harassment
- 26** Gender/Sex
- 24** Race/Color

Student Respondents

- 53** Sexual Harassment
- 23** Sexual Assault
- 21** Stalking

Complaint Breakdown by Respondent

200 reports with Unknown and Department Respondents are not included in the totals below.

Faculty

93

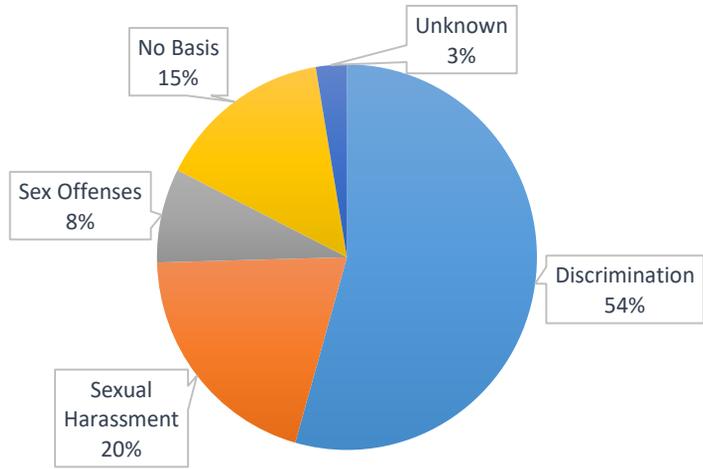
Reports Involving
Faculty
Respondents

7

Formally
Investigated

1

Violation Found



Staff

151

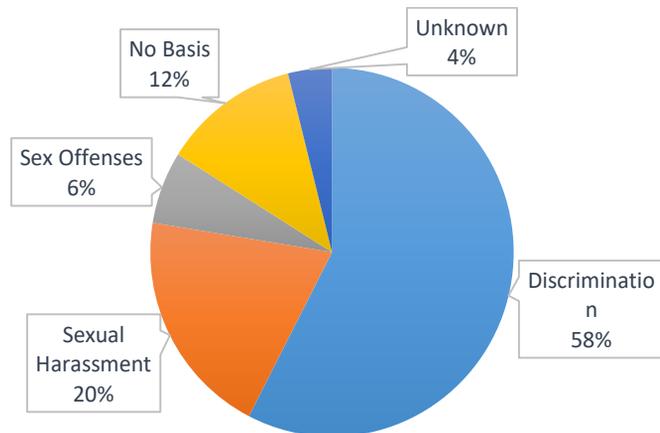
Reports Involving
Staff
Respondents

27

Formally
Investigated

6

Violations Found



Students

135

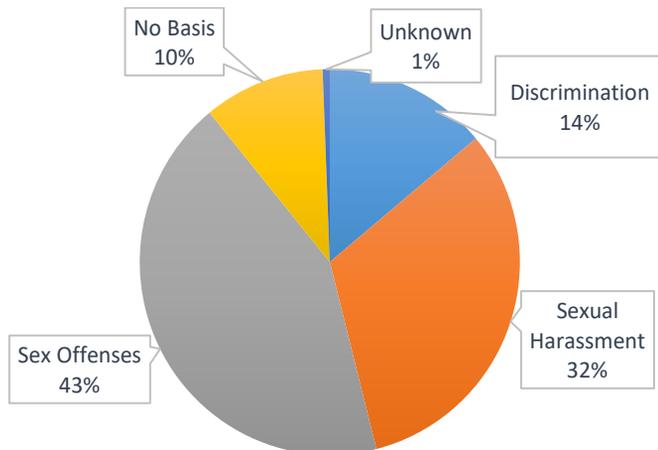
Reports Involving
Student
Respondents

20

Formally
Investigated

11

Violations Found



OEOD EDUCATION & TRAINING

All UCI students, staff, and faculty are provided with educational programming intended to prevent and respond to disclosures of discrimination, harassment, and sexual violence, increasing the University's compliance with policies and law. These programs are designed to be culturally relevant, inclusive and responsive to the entire community, and are informed by research.

Education and training opportunities are provided utilizing a multi-pronged approach, including interactive workshops, theater performances, presentations, online interactive modules, and more.

**To request a training for your unit
contact OEOD at 949-824-5594**



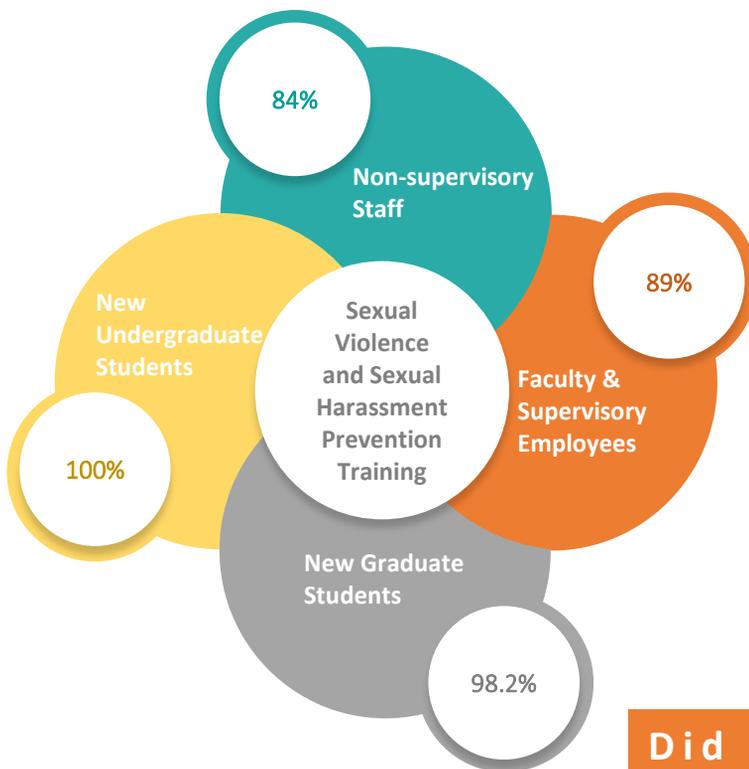
**LIFE THEATRE SCHEDULE
2019-2020**

March 24, 2020

Calit2

10:00 a.m. - 12:00 p.m.

SVSH TRAINING COMPLIANCE



In-Person

Trainings by the Numbers

(Includes SVSH, Diversity, EEO, and Implicit Bias Trainings)

1,690

Students Trained

1,024

Staff Trained

158

Faculty Trained

111

Non-affiliates Trained

51

Trainings Conducted

Did you know?

SVSH Trainings are offered in English, Spanish, Mandarin and Tagalog in UC Learning Center.

Appendix A

Appendix - A
DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE AGENCY AND FORMAL CASES

| Complainant | Respondent | Complaint Type | Basis | Allegation Type | Recommended Findings | Sanctions |
|---------------------|--|----------------|---|---|---|--|
| Staff | Faculty | Agency | Gender; Sex | Intimidating, hostile or offensive conduct | Agency unable to conclude the information obtained establishes violations of the statutes; Immediate right to sue issued | Not applicable |
| Faculty | Department; Staff; Staff; Staff | Agency | Gender; Retaliation; Sex; Sexual Harassment | Adverse Action; Unequal treatment of an individual or group | Agency took no action; Immediate right to sue issued | Not applicable |
| Staff | Department; Department | Agency | Gender; Physical or Mental Disability; Sex; Sexual Harassment | Hostile Environment; Intimidating, hostile or offensive conduct; Non-accommodation; Retaliation | Agency took no action; Immediate right to sue issued | Not applicable |
| Staff | Department; Staff | Agency | Age; Medical Condition; Physical or Mental Disability | Non-accommodation; Unequal treatment of an individual or group | Agency took no action; Immediate right to sue issued | Not applicable |
| Staff | Department; Staff; Staff | Agency | Genetic Information; Medical Condition; Physical or Mental Disability | Non-accommodation | Pending | Not applicable |
| Staff | Department | Agency | Race; Retaliation | Adverse Action; Intimidating, hostile or offensive conduct | Agency unable to conclude the information obtained establishes violations of the statutes; Immediate right to sue issued | Not applicable |
| Staff | Department | Agency | National Origin | Unequal treatment of an individual or group | Pending | Not applicable |
| Student | Department; Department | Agency | Marital Status | Unequal treatment of an individual or group | Agency closed as no cause determination; Right to Sue issued | Not applicable |
| Student | Department | Agency | Physical or Mental Disability | Non-accommodation | Agency closed as no cause determination; Right to Sue issued | Not applicable |
| Student | Student | Formal | Sexual Assault | Contact; Penetration | No policy violation found | Not applicable |
| Staff | Staff | Formal | Sexual Assault | Penetration | Violation of UC Sexual Violence and Sexual Harassment Policy | Termination |
| Faculty | Faculty | Formal | Gender | Intimidating, hostile or offensive conduct | Investigating | Not applicable |
| Staff | Staff; Staff | Formal | Race; Retaliation; Sexual Harassment | Adverse Action; Hostile Environment; Unequal treatment of an individual or group | Respondent 1: Violation of UC Sexual Violence and Sexual Harassment Policy; Respondent 2: No violation found | Additional Sexual Harassment Training; 5-day Suspension without Pay |
| Student; Student | Student | Formal | Other Prohibited Behavior; Stalking | Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property; Using depictions or nudity or sexual activity to extort something of value from a person | Violation of UC Sexual Violence and Sexual Harassment Policy | Pending |
| Staff | Staff | Formal | Gender | Unequal treatment of an individual or group | No policy violation found | Not applicable |

Appendix - A
DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE AGENCY AND FORMAL CASES

| Complainant | Respondent | Complaint Type | Basis | Allegation Type | Recommended Findings | Sanctions |
|---|---------------------------------|----------------|---|--|---|--|
| Student | Student | Formal | Sexual Assault | Penetration | Violation of UC Sexual Violence and Sexual Harassment Policy | Continuation of No Contact and Stay Order; Suspension |
| Student; Student; Student; Student | Student; Student; Student | Formal | Other Prohibited Behavior; Sexual Assault; Sexual Harassment; Stalking | Contact; Hostile Environment; Penetration; Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property; Using depictions or nudity or sexual activity to extort something of value from a person; Without a person's consent, making photographs (including videos) or audio recordings, or posting, transmitting, or distributing such recorded material depicting that person's nudity or sexual acts in a place where that person has a reasonable expect; Without person's consent, watching or enabling others to watch that person's nudity or sexual acts in a place where that person has a reasonable expectation of privacy | Investigating | Not applicable |
| Patient | Faculty | Formal | Sexual Assault | Contact | No policy violation found | Not applicable |
| Student | Student | Formal | Stalking | Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Violation of UC Sexual Violence and Sexual Harassment Policy | Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension |
| Faculty; Faculty | Faculty | Formal | Gender | Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Investigating | Not applicable |
| Student | Student | Formal | Dating Violence | Bodily Injury or Fear of | Violation of UC Sexual Violence and Sexual Harassment Policy | Suspension (Records Hold) |
| Staff | Staff | Formal | National Origin; Race | Intimidating, hostile or offensive conduct | Violation of UC Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment | Pending |
| Staff | Faculty | Formal | Sexual Harassment | Hostile Environment | No policy violation found | Not applicable |
| Staff | Staff; Staff | Formal | Age; Ancestry; National Origin; Physical or Mental Disability; Race; Retaliation | Adverse Action; Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Investigating | Not applicable |
| Staff | Staff | Formal | Sexual Harassment | Hostile Environment | Violation of UC Sexual Violence and Sexual Harassment Policy | Pending |
| Faculty | Staff | Formal | Age; Gender; Retaliation | Adverse Action; Unequal treatment of an individual or group | No policy violation found | Not applicable |

Appendix - A
DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE AGENCY AND FORMAL CASES

| Complainant | Respondent | Complaint Type | Basis | Allegation Type | Recommended Findings | Sanctions |
|---------------------|-------------------------------------|----------------|--|--|--|---|
| Non-affiliate | Staff | Formal | Sexual Assault | Contact | Violation of UC Sexual Violence and Sexual Harassment Policy | Termination |
| Student | Non-affiliate | Formal | Sexual Assault; Sexual Harassment | Contact; Hostile Environment; Penetration | No policy violation found | Not applicable |
| Staff | Staff | Formal | Age; Gender; Retaliation | Adverse Action; Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Investigating | Not applicable |
| Staff | Staff; Staff; Staff; Staff | Formal | Physical or Mental Disability; Race; Retaliation | Adverse Action; Intimidating, hostile or offensive conduct; Retaliation; Unequal treatment of an individual or group | No policy violation found | Not applicable |
| Student | Staff; Staff | Formal | National Origin; Race | Intimidating, hostile or offensive conduct | No policy violation found | Not applicable |
| Student; Student | Student; Student | Formal | Dating Violence | Bodily Injury or Fear of | Respondent 1: No policy violation found; Respondent 2: Violation of UC Sexual Violence and Sexual Harassment Policy | Respondent 1: Not applicable; Respondent 2: Disciplinary Probation |
| Staff | Staff | Formal | Gender; National Origin; Race; Religion | Unequal treatment of an individual or group | No policy violation found | Not applicable |
| Student | Faculty; Student | Formal | Other Prohibited Behavior; Retaliation; Sexual Harassment; Stalking | Adverse Action; Hostile Environment; Quid Pro Quo; Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | No policy violation found | Not applicable |
| Staff; Staff | Staff | Formal | Sexual Harassment | Hostile Environment | Violation of UC Sexual Violence and Sexual Harassment Policy | Termination |
| Student | Student | Formal | Sexual Assault; Sexual Harassment | Hostile Environment; Penetration | No policy violation found | Not applicable |
| Student | Student | Formal | Consensual Relationships/Conflict of Interest; Sexual Harassment | Consensual Relations/Conflict of Interest; Hostile Environment; Quid Pro Quo | Violation of UC Sexual Violence and Sexual Harassment Policy | Pending |
| Student | Student | Formal | Sexual Assault; Sexual Harassment | Contact; Hostile Environment; Penetration | No policy violation found | Not applicable |
| Staff | Staff | Formal | Sexual Harassment | Hostile Environment | No policy violation found | Not applicable |
| Staff | Staff; Staff | Formal | Retaliation; Service in the Uniformed Services (Veteran Status) | Adverse Action; Unequal treatment of an individual or group | No policy violation found | Not applicable |

Appendix - A
DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE AGENCY AND FORMAL CASES

| Complainant | Respondent | Complaint Type | Basis | Allegation Type | Recommended Findings | Sanctions |
|---|-------------------------------------|-----------------------|--|--|--|---|
| Staff; Student | Student | Formal | Other Prohibited Behavior | Without a person's consent, making photographs (including videos) or audio recordings, or posting, transmitting, or distributing such recorded material depicting that person's nudity or sexual acts in a place where that person has a reasonable expect | Violation of UC Sexual Violence and Sexual Harassment Policy | Continuation of No Contact/Stay Away Order; Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension |
| Student | Student | Formal | Sexual Assault | Contact; Penetration | Violation of UC Sexual Violence and Sexual Harassment Policy | Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension |
| Student; Student; Student; Student | Student | Formal | Other Prohibited Behavior; Sexual Assault; Sexual Harassment | Contact; Hostile Environment; Without person's consent, watching or enabling others to watch that person's nudity or sexual acts in a place where that person has a reasonable expectation of privacy | Violation of UC Sexual Violence and Sexual Harassment Policy | Disciplinary Probation; Education; Supporting Documents and Follow-up Meeting; Suspension |
| Student; Student; Student; Student; Student; Student; Student; Student; Student | Faculty | Formal | Sexual Assault; Sexual Harassment | Contact; Hostile Environment | Violation of UC Sexual Violence and Sexual Harassment Policy | Termination without Emeritus Status |
| Staff | Staff | Formal | Age; Race | Unequal treatment of an individual or group | No policy violation found | Not applicable |
| Staff | Staff; Staff; Staff; Staff | Formal | Race | Intimidating, hostile or offensive conduct | No policy violation found | Not applicable |
| Student; Student | Student | Formal | Stalking | Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Violation of UC Sexual Violence and Sexual Harassment Policy | Continuation of No Contact/Stay Away Order; Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension |
| Student; Student | Student; Student | Formal | Other Prohibited Behavior; Sexual Assault | Contact; Failing to comply with NCO, suspension, or any order of exclusion issued under these Guidelines; Penetration | Violation of UC Sexual Violence and Sexual Harassment Policy | Continuation of No Contact/Stay Away Order; Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension |

Appendix B

**Appendix B
DISCRIMINATION/SEXUAL HARASSMENT/SEXUAL VIOLENCE ALTERNATIVE RESOLUTION AND INFORMAL CASES**

| Complainant | Respondent | Complaint Type | Basis | Allegations | Resolution |
|---------------------------------|-------------------|------------------------|---|--|---|
| Alumni; Student; Student | Student | Alternative Resolution | Sexual Assault; Sexual Harassment | Contact; Hostile Environment | Alternative Resolution Complete |
| Student | Student | Alternative Resolution | Stalking | Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Alternative Resolution Complete |
| Staff | Faculty | Alternative Resolution | Sexual Harassment | Hostile Environment | Alternative Resolution Complete |
| Student | Student | Alternative Resolution | Sexual Harassment | Hostile Environment | Alternative Resolution Complete |
| Student | Student | Alternative Resolution | Sexual Assault; Sexual Harassment | Contact; Hostile Environment; Penetration; Quid Pro Quo | Alternative Resolution Complete |
| Student; Student | Faculty | Informal | Race | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education and Resources |
| Student; Student; Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Department | Informal | Race | Intimidating, hostile or offensive conduct | Informally Resolved |
| Staff | Staff; Staff | Informal | Medical Condition; Physical or Mental Disability | Failure to engage in interactive process; Unequal treatment of an individual or group | Informally Resolved |
| Faculty | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Race; Sex | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Age | Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources; Referred to Other Department |
| Student | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Gender Expression; Gender Identity | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Department | Informal | Physical or Mental Disability | Non-accommodation | Informally Resolved |
| Student | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Staff | Informal | Sex | Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources; Referred to Other Department |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Non-affiliate | Faculty | Informal | Sex | Intimidating, hostile or offensive conduct | Provided Reporter with Information, Education, and Resources |

**Appendix B
DISCRIMINATION/SEXUAL HARASSMENT/SEXUAL VIOLENCE ALTERNATIVE RESOLUTION AND INFORMAL CASES**

| Complainant | Respondent | Complaint Type | Basis | Allegations | Resolution |
|---------------------|-------------------|-----------------------|---|---|--|
| Staff | Staff | Informal | Other Prohibited Behavior; Sexual Harassment | Hostile Environment; Without person's consent, watching or enabling others to watch that person's nudity or sexual acts in a place where that person has a reasonable expectation of privacy | Provided Reporter with Information, Education, and Resources |
| Staff | Department | Informal | Sexual Harassment | Hostile Environment | Provided Reporter with Information, Education, and Resources |
| Student; Student | Faculty | Informal | Race | Intimidating, hostile or offensive conduct | Informally Resolved |
| Faculty | Staff | Informal | Sexual Orientation | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff; Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff; Student | Staff | Informal | Gender Expression; Gender Identity | Unequal treatment of an individual or group | Informally Resolved |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Physical or Mental Disability | Non-accommodation | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Sexual Orientation | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Unknown | Informal | Citizenship; National Origin; Race | Intimidating, hostile or offensive conduct | Informally Resolved |
| Student | Unknown | Informal | Unspecified Sexual Violence/Sexual Harassment | Unspecified Sexual Violence and Sexual Harassment | Informally Resolved |
| Student | Staff | Informal | Consensual Relationships/Conflict of Interest; Sexual Harassment | Consensual Relations/Conflict of Interest; Quid Pro Quo | Informally Resolved |
| Applicant | Faculty | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Alumni | Faculty | Informal | Gender | Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Retaliation; Sexual Harassment | Adverse Action; Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Gender | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Physical or Mental Disability | Failure to engage in interactive process; Non-accommodation; Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources |

**Appendix B
DISCRIMINATION/SEXUAL HARASSMENT/SEXUAL VIOLENCE ALTERNATIVE RESOLUTION AND INFORMAL CASES**

| Complainant | Respondent | Complaint Type | Basis | Allegations | Resolution |
|--------------------|---------------------------|-----------------------|---------------------------------------|--|--|
| Staff | Staff | Informal | Gender | Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources |
| Student | Department | Informal | Gender; Sex | Unequal treatment of an individual or group | Informally Resolved |
| Staff | Faculty | Informal | Sexual Harassment | Intimidating, hostile or offensive conduct | Informally Resolved |
| Student | Faculty | Informal | Physical or Mental Disability | Non-accommodation | Informally Resolved |
| Student | Faculty | Informal | Race; Sex; Sexual Harassment | Hostile Environment; Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Staff | Informal | Color; Race | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Age; Religion | Unequal treatment of an individual or group | Informally Resolved |
| Staff; Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Department | Informal | Sex | Intimidating, hostile or offensive conduct | Informally Resolved |
| Staff | Staff; Staff | Informal | Race | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff; Faculty | Faculty | Informal | Gender; Sex | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Sex | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Sexual Harassment | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Age | Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff; Staff; Staff | Informal | Race; Sexual Harassment | Hostile Environment; Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Informally Resolved |
| Student | Department | Informal | Gender Expression; Gender Identity | Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group | Informally Resolved |
| Student | Student | Informal | Sexual Harassment; Stalking | Hostile Environment; Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Informally Resolved |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |

**Appendix B
DISCRIMINATION/SEXUAL HARASSMENT/SEXUAL VIOLENCE ALTERNATIVE RESOLUTION AND INFORMAL CASES**

| Complainant | Respondent | Complaint Type | Basis | Allegations | Resolution |
|--------------------|--------------------------|-----------------------|---|--|--|
| Student | Student; Student | Informal | Sexual Harassment | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Staff | Informal | Gender; Sex; Sexual Harassment | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Department | Informal | Physical or Mental Disability | Failure to engage in interactive process | Informally Resolved |
| Student | Student | Informal | Other Prohibited Behavior | Without a person's consent, making photographs (including videos) or audio recordings, or posting, transmitting, or distributing such recorded material depicting that person's nudity or sexual acts in a place where that person has a reasonable expect | Informally Resolved |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Sexual Harassment; Sexual Orientation | Hostile Environment; Intimidating, hostile or offensive conduct | Informally Resolved |
| Student | Student | Informal | Sexual Harassment; Stalking | Hostile Environment; Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | National Origin | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Non-Affiliate; Alumni | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Faculty | Informal | National Origin; Race | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Student | Staff | Informal | Race | Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sex; Sexual Harassment | Hostile Environment; Intimidating, hostile or offensive conduct | Provided Respondent with Information, Education, and Resources |
| Staff | Student; Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff; Staff | Informal | Consensual Relationships/Conflict of Interest | Consensual Relations/Conflict of Interest | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |

Appendix B
DISCRIMINATION/SEXUAL HARASSMENT/SEXUAL VIOLENCE ALTERNATIVE RESOLUTION AND INFORMAL CASES

| Complainant | Respondent | Complaint Type | Basis | Allegations | Resolution |
|--------------------|---------------------|-----------------------|-----------------------------|--|---|
| Student | Student | Informal | Sexual Harassment, Stalking | Hostile Environment; Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property | Provided Respondent with Information, Education, and Resources |
| Student | Student; Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Student | Student | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff; Staff | Staff | Informal | Age | Unequal treatment of an individual or group | Provided Respondent with Information, Education, and Resources; Referred to Other Department |
| Staff | Staff | Informal | Sexual Harassment | Hostile Environment | Provided Respondent with Information, Education, and Resources |
| Staff | Staff | Informal | Retaliation | Adverse Action | Informally Resolved |