



UCI

Division of Equal Opportunity
and Compliance

Annual Report 2020-21



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University of California, Irvine photo (cover, above)

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DEAR ANTEATERS,

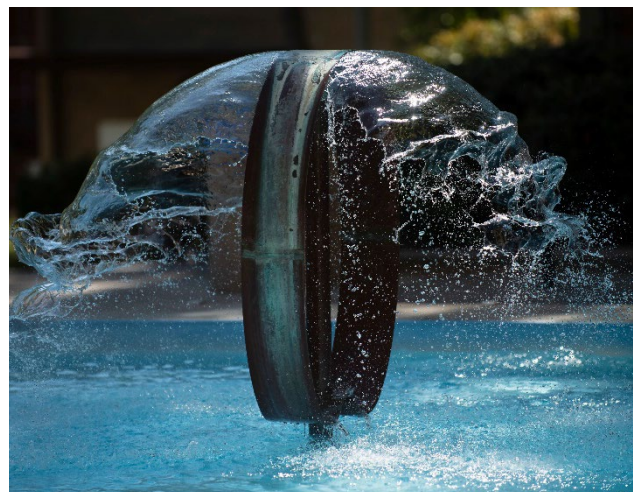
The 2020-21 academic year continued to show us how resilient we are and how we can pivot to meet changing circumstances as the need arises. As the COVID-19 pandemic continued throughout this year, we as a campus community continued to work and learn remotely (where possible) and practice non-pharmaceutical interventions (masking, physical distancing, frequent washing of hands and surfaces). The Division of Equal Opportunity and Compliance adjusted as well and continued to serve the university community through the limitations we all faced, conducting investigative interviews through Zoom, communicating with campus partners through Microsoft Teams and email, and processing public records requests using VPN and OneDrive. Our reliance on technology hit bumps along the way with fierce competition for bandwidth, reminders to “unmute” and checking our settings to figure out why our video, microphone or speaker was not working. Through it all, we persevered to meet our mission.

And although it seemed that most of life as we knew it had paused, the demands on the units in the DEOC did not, as reflected in this annual report. Increased use of technology kept our privacy team busy with privacy assessments of online services and apps that collect personal data, public records requests grew in number and complexity, and compliance responsibilities expanded in scope. Additionally, we were able to move forward with campuswide initiatives, such as working with Emergency Management on the implementation of a grant-funded project for evacuation chairs to assist individuals with mobility disabilities to safely exit buildings and collaborating with campus partners to support requests from units to add gender inclusive restrooms to their locations.

As a division, as a campus, as the University of California, Irvine, we rose up to meet the challenges offered by 2020-21 and found ourselves adopting new ways of accomplishing our mission. Thank you for your partnership in supporting equal opportunity, nondiscrimination, accessibility, and compliance at UCI.

Sincerely,

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



University of California, Irvine photo

UCI PRIVACY

Privacy plays a role in human dignity and is necessary for an ethical and respectful workplace. The California Constitution offers privacy as an inalienable right. The University of California, as outlined in its Statement of Privacy Values, continually strives for an appropriate balance to:

- promote privacy practices through its policies and practices
- nurture an environment of openness and creativity for teaching and research
- be an attractive place to work
- honor its obligation as a public institution to remain transparent, accountable, and operationally effective and efficient
- safeguard information about individuals and assets for which it is a steward

Privacy Values

UC respects the privacy rights of individuals

Privacy Principles

Autonomy Privacy – Allows an individual to make personal decisions or conduct personal activities without observation or intrusion

Information Privacy– Protects sensitive and confidential information from misuse or disclosure

Campus Privacy Program

The **Information Security and Privacy Committee** is charged with evaluating UC Irvine's information security and privacy policies, procedures, and operations to identify potential areas of vulnerability and risk. Membership includes:

- | | |
|--|--|
| 1. Campus Privacy Official, co-chair | 10. Campus Counsel |
| 2. Campus Information Security Officer, co-chair | 11. Designee from UC Irvine Police Department |
| 3. Designee from Wellness, Health and Counseling Services | 12. Chief Information Officer and Associate Vice Chancellor for Office of Information Technology |
| 4. Designee from Human Resources | 13. Designee from Financial Aid and Scholarships |
| 5. Manager for IT Security and Architecture | 14. Information Security Officer for UC Irvine Medical Center |
| 6. Chief Compliance and Privacy Officer for School of Medicine | 15. Designee from Academic Personnel |
| 7. Designee from Research Administration | 16. Designee from Academic Senate |
| 8. Designee from Materiel and Risk Management | |
| 9. Designee from Internal Audit Services | |

The committee provides (1) advice and support to the Campus Privacy Official and Chief Information Security Officer on information security and privacy breaches and incident response, and (2) input on privacy impact analyses to balance academic freedom and research goals against information security and privacy needs.

UCI Privacy Program 2020 Outcomes	Total
Procurement Reviews	16
Privacy Incidents and Investigations	6
Requests for Personal Data Erasure	2
Requests for Access Without Consent of Electronic Communications	6
Other Requests for Assistance (From campus administration and faculty, the campus community, UC Office of the President, other UC campuses, etc.)	55

2020 Privacy Program Highlights

In 2020 the UCI Privacy Program partnered with various campus privacy champions to address needs related remote work and online teaching, pandemic response activities and campus operations.

Privacy Tips for Remote Work

Developed in collaboration with systemwide privacy officials to help UC workforce safeguard sensitive information while telecommuting.

Online Teaching and Learning Support

Addressed remote teaching and learning privacy concerns with Zoom, developed tips for users to safeguard privacy while teaching and learning from home, reviewed proctoring solutions and developed recommendations for Division of Teaching and Learning

Pandemic Response

Supported the UCI Contact Tracing Team, privacy notices for testing and tracing, assisted HR with privacy by design in daily symptom monitoring, COVID Dashboard workgroup, privacy notices for vaccination mandate implementation, collaborated with campus counsel to facilitate data sharing needed for move-in to housing.

Campus Operational Needs

Conducted privacy reviews for software purchases, reviewed policies, UCInetID deactivation pilot, targeted privacy training, incident response, breach analysis, data mapping, and risk assessments.

For more information about campus privacy efforts, go to the [UCI Privacy website](#).

UCI PUBLIC RECORDS OFFICE

The California Constitution gives the public the right of access to information concerning the conduct of the peoples' business. Accordingly, virtually any record held by the University of California, Irvine is subject to request and potential release. The Public Records Office (PRO) helps the University to fulfill this legal obligation by searching out records requested by members of the public, reviewing them for responsiveness and confidentiality, and releasing what is required.

The Public Records Office has seen an ongoing increase in the number, complexity, and sensitivity of requests, with some now requiring hundreds of hours of detailed review by multiple stakeholders. In the past five years the yearly number of requests has grown from 259 to 384 with an annual number of pages reviewed growing to over 99,832 in 2020, even when excluding open requests.

By the Numbers

384

Requests
Received

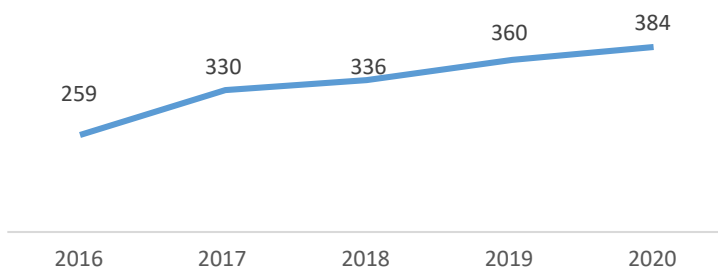
63,460

Pages
Released

99,832

Pages
Reviewed

Public Records Requests in
the Last 5 Years



Did You Know?

The Public Records Office (PRO) processes requests made under the California Public Records Act (CPRA), the California Information Practices Act of 1977 (IPA), and the Family Educational Rights and Privacy Act (FERPA). Each of these laws requires a unique process, timeline, and review, with many requests containing complicated overlapping request types. Simply processing incoming requests before individuals are asked to collect records often requires lengthy detailed analysis.



Visibility, Education, and Efficiency

As the Public Records Office (PRO) helps to facilitate records requests—connecting external requesters with internal records—the role of the PRO frequently requires stakeholder training and preparation. By providing a clear set of expectations and procedures, requesters and record holders alike know what to expect and how to proceed. For the PRO, these efforts take the form of an annually reviewed webpage to ensure clear and appropriate information is available, holding small and large group training sessions for campus record holders, and continuously interacting with stakeholders to describe the request process.

The PRO also engages in other activities to increase the efficiency of the records request process. This has included developing templates with campus record holders that facilitate record review and redaction, ongoing development of online training, and contracting with GovQA as a new records request management platform.

COMPLIANCE

Launched in 2019, the UCI Compliance Office is responsible for promoting ethical behavior and a culture of compliance by providing guidance and general oversight in the development, implementation and administration of a compliance program that is consistent with UC policies and procedures, ethical principles and core values, and applicable federal and state laws and regulations. It collaborates with valued compliance partners across the University to find ways to improve compliance processes and practices. In May 2021, the Office of Administrative Policies and Procedures moved under the Compliance Office, strengthening the natural partnership between policy and compliance.

2020-2021 Highlights

Foreign Influence

Increased federal interest and requirements related to foreign influence in higher education continued to be the trend for 2020-2021. Working with compliance partners across the university, the Compliance Office facilitated improvements to enhance compliance with Section 117 of the Higher Education Act, which relates to foreign contracts and gifts reporting. As the undue foreign influence environment continued to evolve in higher education, the Compliance Office continued its partnership with key stakeholders and campus committees to conduct program and/or process reviews with the goal of reducing risks for the campus. The Compliance Office also continued working with the UC Office of President and Office of General Counsel related to foreign influence issues as needed.



University of California, Irvine photo

Campus Ethics and Compliance Risk Committee (CECR)

The Campus Ethics and Compliance Risk Committee (CECR) is comprised of senior campus leadership responsible for the various areas of compliance risk and is advisory to the UCOP Senior Vice President and Chief Compliance and Audit Officer.



University of California, Irvine photo

Co-chaired by the Provost/Executive Vice Chancellor Hal Stern and the Vice Chancellor of Equal Opportunity and Compliance and Campus Ethics and Compliance Officer Kirsten Quanbeck, [CECR](#) is responsible for identifying potential areas of compliance and risks concerns across campus operations and monitoring the effectiveness and consistency of compliance practices throughout the campus. Standing CECR members represent a broad cross-section of leaders across many units of the university. Recent areas of discussion have included foreign influence, cybersecurity, privacy, data governance, and NCAA compliance.

Risk Intelligence Committee

[RIC](#) is a team of subject matter experts that identify and review the management of risks and compliance issues for the campus. RIC reports to CECR and is co-chaired by the Risk Manager Chris Richmond and Director of Compliance Tawny Luu. RIC conducts an annual comprehensive risk and compliance assessment that is shared with the UC Office of the President, along with other UC campuses.

Child Abuse and Neglect Reporting Act (CANRA) Subcommittee

Formed in February 2021 with the assistance of the Compliance Office, the CANRA Subcommittee brings together key stakeholders and functional experts from across the university to identify gaps, develop guidance and strategies, and lead educational and compliance outreach efforts concerning CANRA implementation at the university. The CANRA Subcommittee meets regularly throughout the year and reports to the Campus Ethics and Compliance Risk Committee.

ADMINISTRATIVE POLICIES & PROCEDURES

The Office of Administrative Policies and Procedures (APP) published the following major new or revised policies in 2020-21:

- Revised UCI [Guidelines on Display of National and State Flags](#)
- Revised UCI [Parking Definitions, Laws, and Enforcement Procedures](#)
- Revised UCI [Zotmail Guidelines](#)
- Revised UCI [Guidelines on Sexual Violence and Sexual Harassment](#)
- Revised UCI [Guidelines on Discrimination and Harassment](#)

In 2020-21, APP continued to serve on the pandemic-related Campus Recovery Implementation Team (CRIT) and served as the official record-keeper for executive directives.

The APP Manager served as the UCI's Conflict of Interest Coordinator, tracking submission of Form 700 by campus officials who are required to disclose personal financial interests annually in accordance with the positions assigned disclosure categories. Reportable economic interests include:

- Investments in business entities (e.g., stock holdings, owning a business, a partnership)
- Interests in real estate (real property)
- Sources of personal income, including gifts, loans and travel payments
- Positions of management or employment with business entities



WHISTLEBLOWER

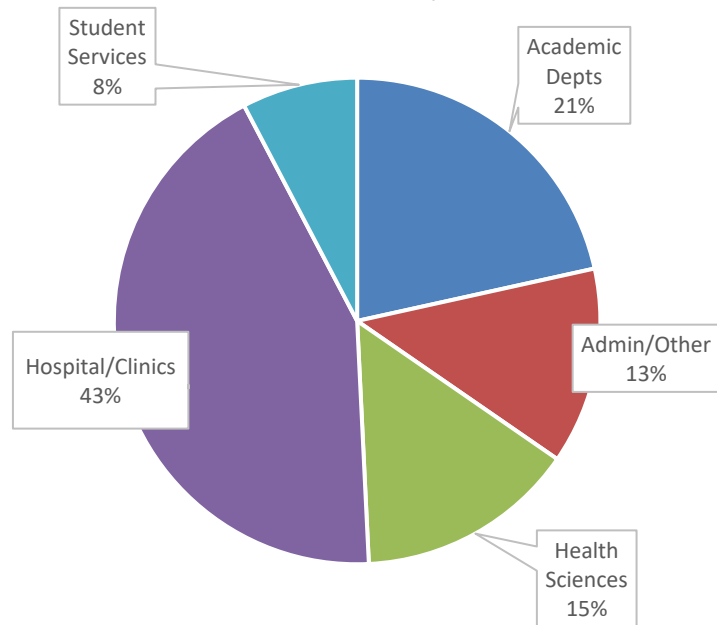
The Whistleblower Policy governs the reporting and investigation of alleged improper governmental activities by employees at all University locations. A separate Whistleblower Protection Policy establishes procedures for addressing allegations of Whistleblower retaliation.

UCI receives most whistleblower complaints through the following modes:

- UC hotline (1-800-403-4744);
- UC online form (<https://secure.ethicspoint.com/domain/media/en/gui/23531/index.html>);
- email (whistleblower@uci.edu).

UCI takes all reports of improper governmental activity seriously. Reports are reviewed for potential misuse of University resources or activity in violation of law or policy. Although the majority of reports are made anonymously, it greatly helps any investigation to have the contact information of the reporter for follow-up. The reporter's name is kept confidential to the greatest extent possible, and the University has a retaliation policy to help protect those who report in good faith.

Reports Closed by Location
Fiscal Year 20/21



Identity of Reporters

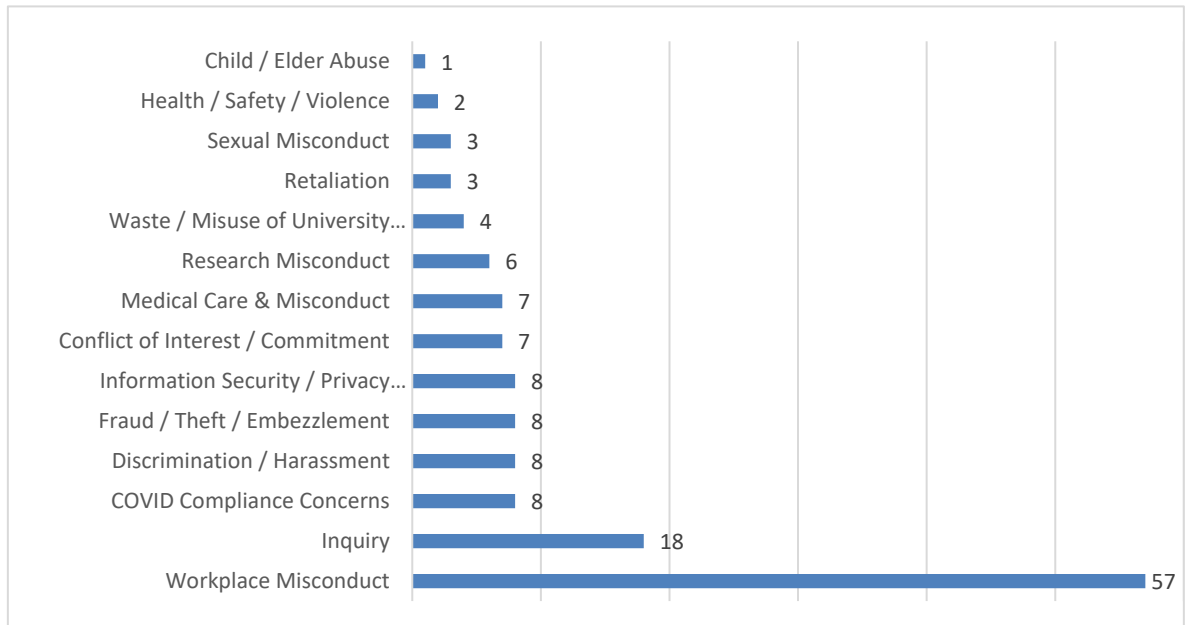
Anonymous Reports
60%

Identified Reports
40%

Whistleblower Report Data

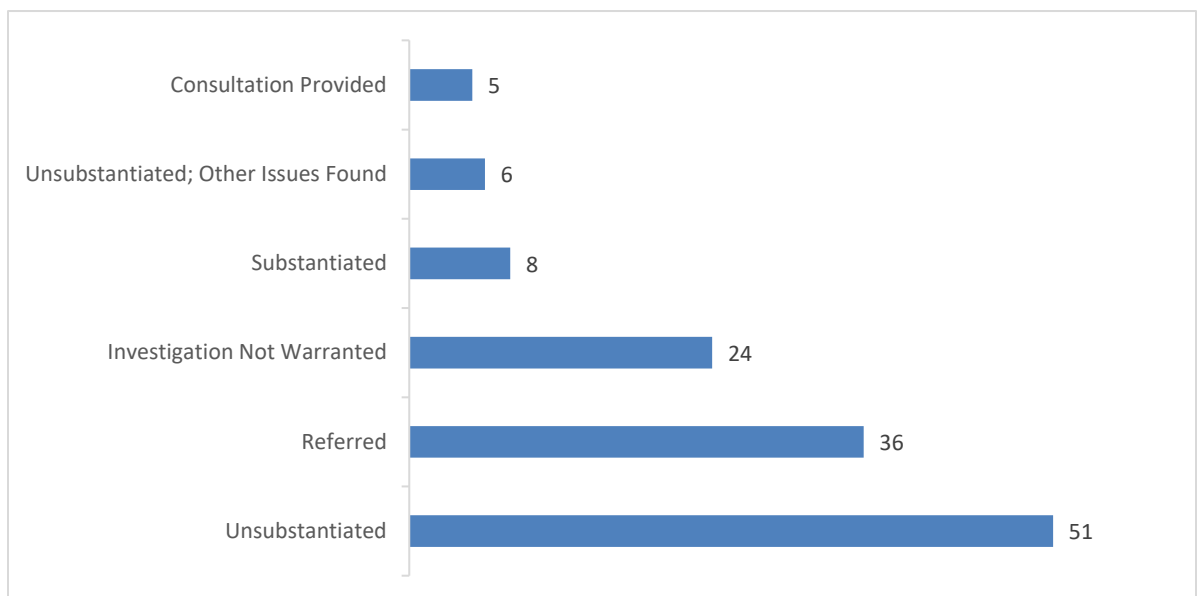
For the 2020-21 reporting period, UC Irvine received **140** whistleblower reports.

Cases Opened By Issue Type



For the 2020-21 reporting period, UC Irvine completed reviews of **130** whistleblower reports.

Primary Case Outcome FY 20/21



Campus Climate Reports of Non-Criminal Acts of Hate, Bias, or Intolerance



University of California, Irvine photo

UCI's Principles of Community value a learning climate free of expressions of bigotry, abusive behavior, discrimination, physical abuse, threats of violence, or conduct that threatens the health and safety of any person on University property.

If you experience or observe behavior that is inconsistent with our Principles of Community, please report it.

https://ucsystems.ethicspointvp.com/custom/ucs_cc/c/ (Anonymous reporting available.)

This site is also accessible through the "Report Acts of Intolerance" link on the Office of Equal Opportunity and Diversity home page.

For the 2020-21 reporting period, there were 34 reports of hate, bias, and intolerance.* Methods for collecting reports include reports using the on-line system, phone, or email.

The table below displays the summary of incidents for the 2020-21 Fiscal Year.

Issue Type	Total
Bias Incident/Stereotyping	5
Hate Crime	1
Hate Speech/Hateful Writing	10
Hostile Climate/Demeaning Behavior/Failure to Invite Others	3
Intimidation, Bullying or Physical Violence	15
Total	34

*This report does not include reports of sexual violence or sexual harassment, hate crimes, or employment discrimination, harassment or retaliation, as these are reported separately.

ACCESSIBILITY

UCI strives to be a fully integrated and accessible university, inclusive of all members of our community, including those with disabilities. This vision requires moving beyond mere compliance with disability laws and regulations to plan, design, and construct through the lens of universal design and providing meaningful access. The infrastructure of UCI includes not just the physical structures and paths of travel, but also the digital environment and programming.

The ADA Coordinator, a member of the Office of Equal Opportunity and Diversity, monitors campus compliance with the ADA and state disability laws and regulations, while proactively advising committees, departments, and leaders on the University's obligations and opportunities to provide meaningful access.

In 2020-21, the ADA Coordinator worked closely with the Disability Infrastructure Work Group (DIWG) to implement the first year of a five-year plan developed by the DIWG to improve accessibility at UCI with a \$4 million commitment from the University.

In partnership with Emergency Services, UCI rolled out the first phase of the \$500,000 grant from the state in 2020 for the purchase and installation of evacuation chairs. The evacuation chair project serves as part of a more comprehensive emergency plan for individuals with disabilities under development.

The ADA Coordinator, working closely with the IT Accessibility Workgroup, supported UCI web administrators by conducting website input sessions. These sessions provided the opportunity

for people maintaining UCI websites to learn about the basic principles of digital accessibility and resources for their websites directly from the ADA Coordinator and members of the IT Accessibility Workgroup. Many of these web administrators joined the IT Accessibility Workgroup, further strengthening the campuswide community that supports each other in furthering digital accessibility.



Disability inclusive icon set

Did you know?

UCI supports students, staff, faculty, and visitors with accessibility. To learn more, visit <https://accessibility.uci.edu/>

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.

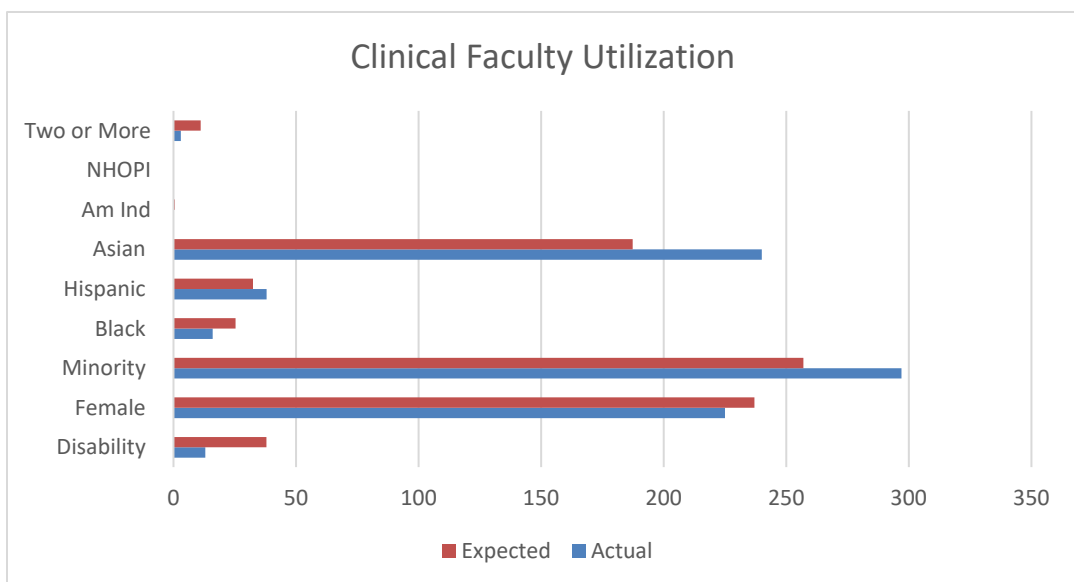
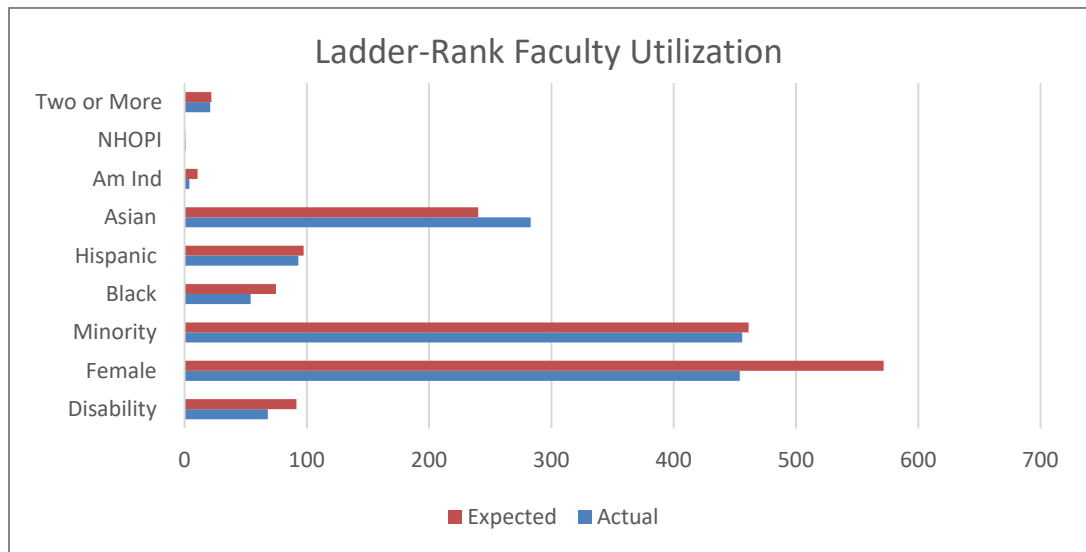


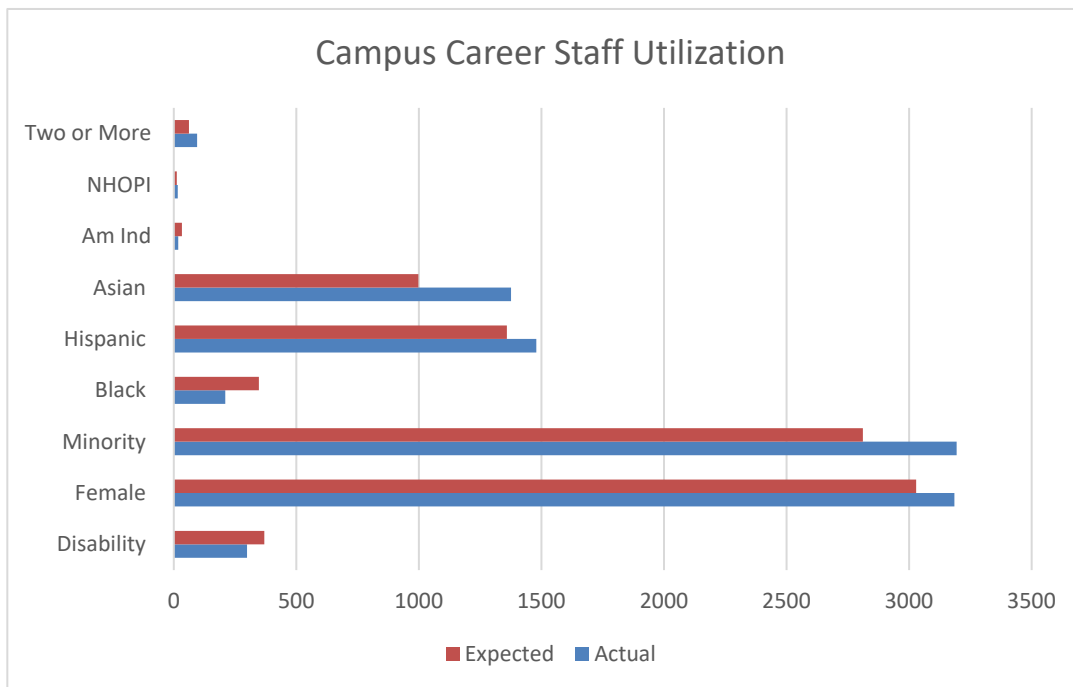
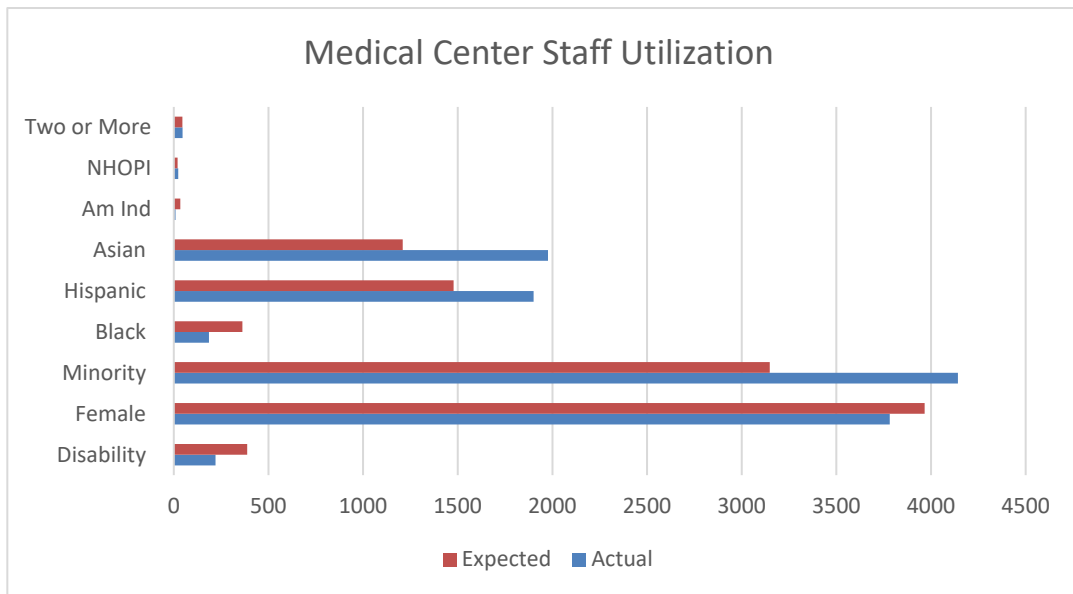
University of California, Irvine photo

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 and the staff workforces as of October 31, 2020. 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

COMPLAINT RESOLUTION

Reports of Discrimination, Sexual Violence & Sexual Harassment

The majority of reporters to OEOD request information, guidance, or consultation on matters of discrimination or sexual harassment. Many students, staff, and faculty choose to have OEOD resolve their concerns informally, including through facilitated discussions, educational conversations with a Respondent, and/or training for individuals or units. In cases in which formal investigations are requested, OEOD investigators conduct fair, thorough, neutral investigations to determine whether University policy was violated. Formal investigations take approximately 60-90 business days and include interviews with parties and witnesses and the gathering of evidence. At the conclusion of the investigation, OEOD forwards the investigative report to the appropriate supervisor or administrator for any necessary action.

Quick Overview

790

Total Reports Received

634

Consultation & Inquiries

117

Alternative & Informal Resolutions

39

Agency & Formal Investigations

9

Policy Violations

Did you know?

RESPONSIBLE EMPLOYEES MATTER.

Almost two-thirds of all reports to OEOD come from Responsible Employees.

Origin of Reports (Percentage)

40%

Campus Partners

39%

Complainants

14%

Responsible Employees

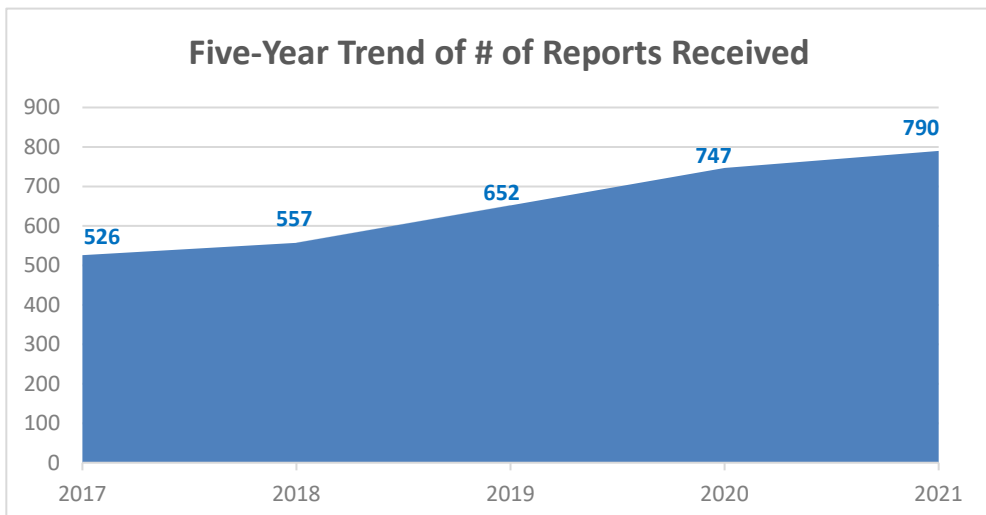
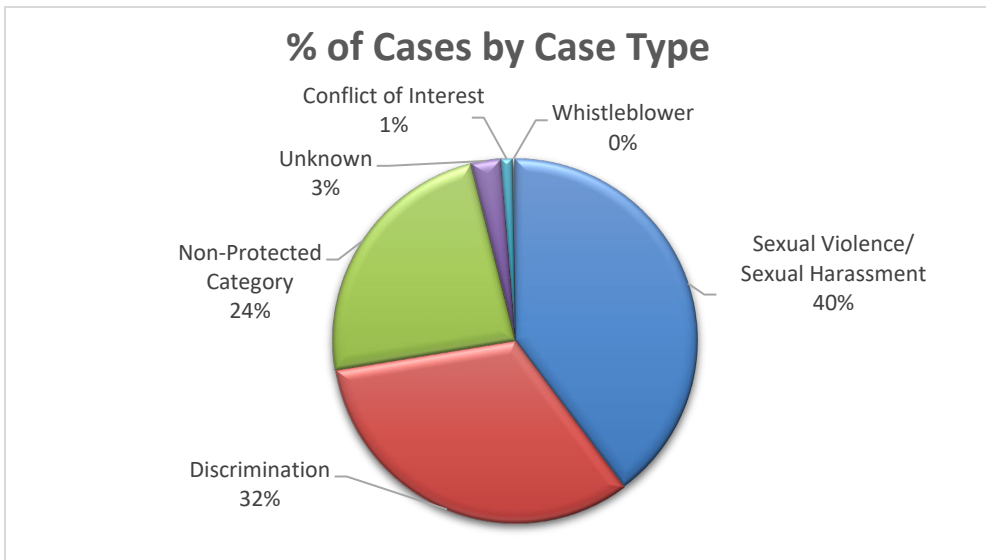
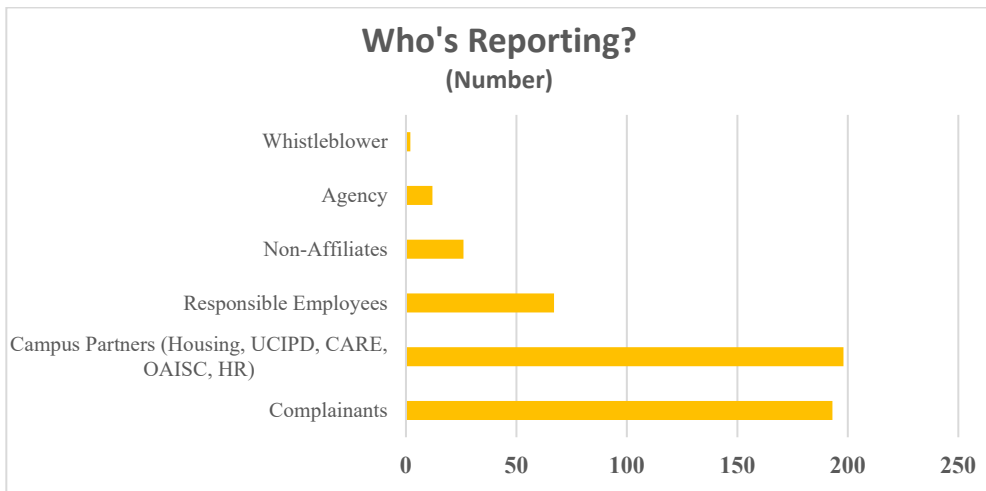
5%

Non-Affiliates

2%

Agency

Received Cases



Complaint Type & Basis by UCI Repondent

Faculty

7

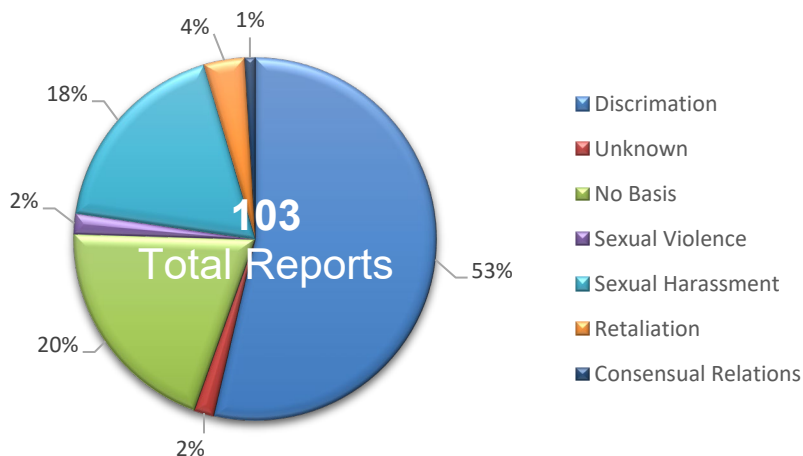
Agency/Formally Investigated

9

Informally Resolved

30

Consultation/Inquiries



Staff

18

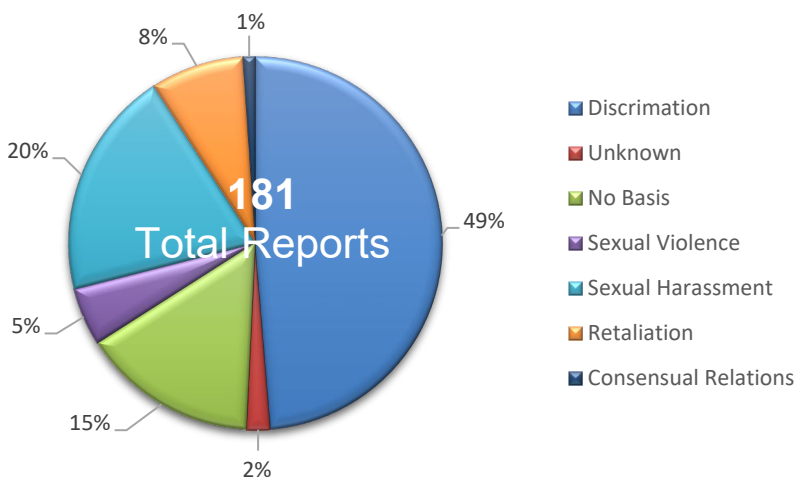
Agency/Formally Investigated

36

Informally Resolved

120

Consultation/Inquiries



Student

10

Formally Investigated

3

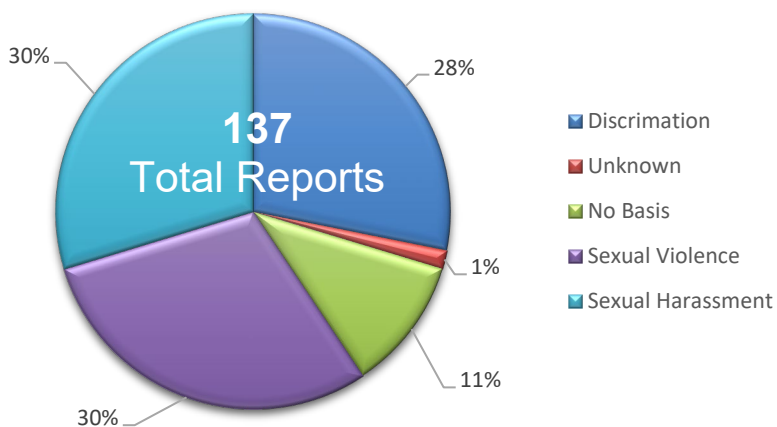
Alternatively Resolved

36

Informally Resolved

89

Consultation/Inquiries



SVSH/DISCRIMINATION PREVENTION

Live Virtual Programs

42

Total Trainings

733

Faculty

1486

Staff

1122

Students



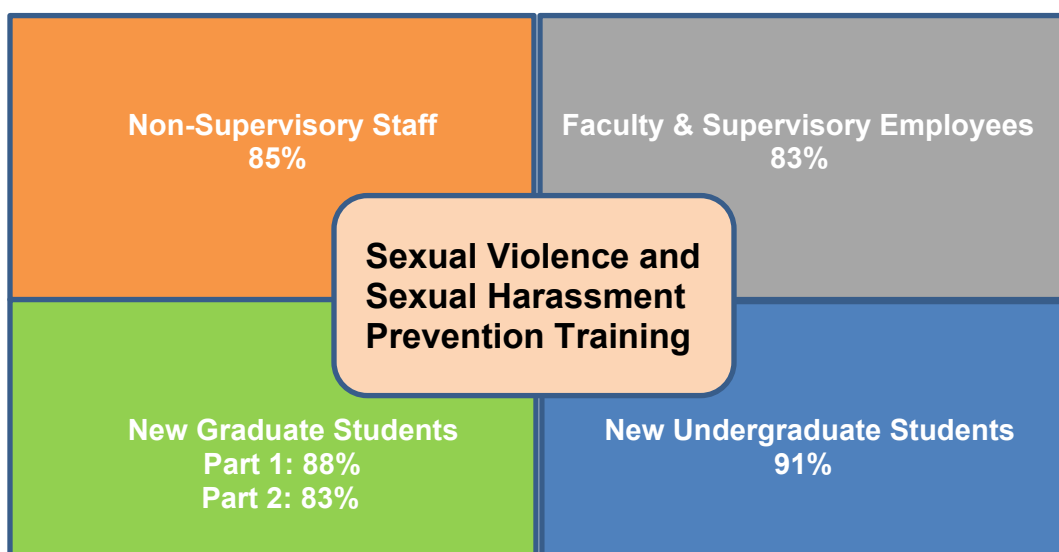
All UCI students, staff, and faculty are provided with educational programming intended to prevent and respond to disclosures of discrimination, harassment, and sexual violence, increasing the University's compliance with policies and law. These programs are designed to be culturally relevant, inclusive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

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

Did you know?

OEOD is still conducting in-person trainings via Zoom. Schedule yours today by emailing oeod@uci.edu.

SVSH TRAINING COMPLIANCE



Appendices

Appendix A

Appendix - A

DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE AGENCY AND FORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation Type	Preliminary Determination	Sanctions
Faculty	Faculty, Faculty, Faculty	Agency	Sex/Gender	Unequal Treatment of an Individual or Group	Pending	Not applicable
Student	Staff, Department, Staff	Agency	Religion	Failure to Accommodate	Agency closed; Matter was settled by voluntary mediation	Not applicable
Staff	Organization or Entity, Staff	Agency	Sexual Harassment, Other Prohibited Behavior	Hostile Environment, Retaliation	Agency closed due to insufficient evidence; Right to sue issued	Not applicable
Graduate Student	Faculty, Faculty, Staff	Agency	Disability, Retaliation	Failure to Accommodate, Adverse Action	Agency issued a Dismissal and Notice of Rights	Not applicable
Graduate Student	Organization or Entity	Agency	Religion	Adverse Action	Pending	Not applicable
Staff	Organization or Entity	Agency	Disability	Retaliation	Agency closed due to insufficient evidence; Right to sue issued	Not applicable
Staff	Staff	Agency	Disability, Retaliation	Unequal Treatment of an Individual or Group, Adverse Action	Pending	Not applicable
Staff	Staff, Staff	Agency	Disability, Race, Retaliation, Religion	Failure to Accommodate, Intimidating, Hostile, or Offensive Conduct, Adverse Action, Intimidating, Hostile, or Offensive Conduct	Pending	Not applicable

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

Complainant	Respondent	Complaint Type	Basis	Allegation Type	Preliminary Determination	Sanctions
Staff	Faculty	Formal	Medical Condition, Disability	Unequal Treatment of an Individual or Group	No policy violation found	Not applicable
Student	Staff	Formal	Sexual Violence, Sexual Harassment,	Contact, Hostile Environment, Quid Pro Quo, General Conflict of Interest	Violation of UCI Policy on Conflicts of Interest Created by Consensual Relationships	RS resigned prior to final adjudication
Staff	Staff	Formal	Sex/Gender	Unequal Treatment of an Individual or Group	No policy violation found	Not applicable
Staff	Staff, Faculty, Staff	Formal	Age, Retaliation	Unequal Treatment of an Individual or Group, Adverse Action	No policy violation found	Not applicable
Student	Student	Formal	Sexual Violence	Sexual Assault - Contact	Violation of UC Sexual Violence and Sexual Harassment Policy	Suspension, Continuation of No Contact/Stay Away Order, Disciplinary Probation, Administrative Meeting
Graduate Student	Faculty, Staff, Faculty	Formal	Disability, Race, Retaliation	Failure to Accommodate, Unequal Treatment of an Individual or Group, Adverse Action	No policy violation found	Not applicable
Former Affiliate	Undergraduate Student	Formal	Sexual Violence	Sexual Assault - Contact, Sexual Assault - Penetration	Violation of UC Sexual Violence and Sexual Harassment Policy	Suspension, Continuation of No Contact/Stay Away Order, Other, Disciplinary Probation

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

Complainant	Respondent	Complaint Type	Basis	Allegation Type	Preliminary Determination	Sanctions
Faculty	Faculty, Faculty, Faculty	Formal	Sex/Gender	Unequal Treatment of an Individual or Group	No policy violation found	Not applicable
Student	Student	Formal	Sexual Violence	Stalking	Violation of UC Sexual Violence and Sexual Harassment Policy	Dismissal, No Contact Order, Stay Away Order
Student, Student	Staff	Formal	Sexual Violence, Sexual Harassment	Sexual Assault - Contact, Hostile Environment	No policy violation found	Not applicable
Staff	Faculty	Formal	Other Prohibited Behavior	Indecent Exposure	No policy violation found	Not applicable
Student	Staff	Formal	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Patient	Staff	Formal	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Patient	Staff	Formal	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Non-Affiliate	Undergraduate Student	Formal	Other Prohibited Behavior	Invasion of Sexual Privacy	No policy violation found	Not applicable
Graduate Student	Graduate Student	Formal	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Student, Student	Student	Formal	Sexual Violence,	Sexual Assault - Penetration, Sexual Assault - Contact	Violation of UC Sexual Violence and Sexual Harassment Policy, No policy violation found	Pending
Student, Student, Student, Student	Undergraduate Student	Formal	Sexual Harassment, Sexual Violence	Hostile Environment, Stalking	No policy violation found, Violation of UC Sexual Violence and Sexual Harassment Policy	Pending

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

Complainant	Respondent	Complaint Type	Basis	Allegation Type	Preliminary Determination	Sanctions
Non-Affiliate	Graduate Student	Formal	Sexual Violence, Other Prohibited Behavior	Relationship Violence, Violating a No Contact Order or other exclusion	Violation of UC Sexual Violence and Sexual Harassment Policy	Pending
Alumni	Organization or Entity	Formal	Disability	Failure to Accommodate	No policy violation found	Not applicable
Staff	Staff	Formal	Sex/Gender, Age, Retaliation	Unequal Treatment of an Individual or Group, Unequal Treatment of an Individual or Group, Adverse Action	No policy violation found	Not applicable
Patient	Faculty	Formal	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Student, Student	Student	Formal	Sexual Violence	Sexual Assault - Contact, Sexual Assault - Penetration	Violation of UC Sexual Violence and Sexual Harassment Policy, No policy violation found	Pending
Staff	Staff, Staff	Formal	Disability, Retaliation	Intimidating, Hostile, or Offensive Conduct, Adverse Action	No policy violation found	Not applicable
Undergraduate Student	Undergraduate Student	Formal	Sexual Violence	Sexual Assault - Unspecified	No policy violation found	Not applicable
Staff, Staff	Staff	Formal	Sex/Gender		Formal complaint dismissed	Not applicable
Faculty	Faculty	Formal	Sexual Violence, Sexual Harassment	Stalking, Hostile Environment	Pending	Not applicable
Graduate Student	Staff	Formal	Sexual Harassment	Hostile Environment	Violation of UC Sexual Violence and Sexual Harassment Policy	Pending

Appendix B

Appendix - B

DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Student	Student	Alternative Resolution	Sexual Assault	Contact	Alternative Resolution - Successful, Training for Respondent
Student	Student	Alternative Resolution	Sexual Assault	Stalking	Alternative Resolution - Unsuccessful, Formal Investigation or DOE Grievance Process
Former Affiliate	Student	Alternative Resolution	Sexual Assault	Contact, Penetration	Alternative Resolution - Unsuccessful, Formal Investigation or DOE Grievance Process
Staff, Student	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Organization or Entity (Non-Individual)	Informal	Sex/Gender, Race	Unequal Treatment of an Individual or Group	Informally Resolved
Staff	Organization or Entity (Non-Individual)	Informal	Age, National Origin	Unequal Treatment of an Individual or Group	Informally Resolved
Staff	Unknown	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Patient	Staff	Informal	National Origin , Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Student	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Student	Informal	Gender Identity	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Staff	Informal	Gender Identity	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Student, Non-Affiliate, Student	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Organization or Entity (Non-Individual)	Informal	Race, Ancestry	Intimidating, Hostile, or Offensive Conduct	Informally Resolved
Student	Student	Informal	Sexual Harassment	Hostile Environment, Quid Pro Quo	Documented Discussion, Training for Respondent
Student, Student	Student	Informal	Other Prohibited Behavior	Indecent Exposure	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Unknown	Student	Informal	Religion	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Staff	Informal	Sex/Gender, National Origin	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Student	Informal	Sex/Gender	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Non-Affiliate	Staff	Informal	Sexual Harassment, Sexual Orientation	Hostile Environment, Intimidating, Hostile, or Offensive Conduct, Unequal Treatment of an Individual or Group	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment, General Conflict of Interest	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Organization or Entity (Non-Individual)	Informal	Sex/Gender	Unequal Treatment of an Individual or Group	Not Applicable
Unknown	Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Staff, Student	Staff, Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Non-Affiliate	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Former Affiliate	Staff	Informal	Gender Expression, Gender Identity, Gender Transition Status, Sexual Orientation	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Student	Informal	Disability (physical or mental), Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Unknown	Student	Informal	Other Prohibited Behavior, Sexual Harassment	Indecent Exposure, Hostile Environment	Documented Discussion, Training for Respondent
Student	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Organization or Entity (Non-Individual)	Informal	Disability (physical or mental)	Failure to Accommodate	Informally Resolved
Staff	Faculty, Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Unknown	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Assault	Stalking	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment, National Origin	Hostile Environment, Intimidating, Hostile, or Offensive Conduct	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Assault	Stalking	Complainant requested no investigation
Student	Faculty	Informal	Sexual Harassment, Sexual Orientation	Hostile Environment, Intimidating, Hostile, or Offensive Conduct	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Pregnancy, Race, Sex/Gender	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Student	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Insufficient information to carry out a Resolution Process

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Organization or Entity (Non-Individual)	Informal	Pregnancy	Non-accommodation	Informally Resolved, Pregnancy/Lactation Accommodation
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Patient	Staff	Informal	Color, Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Faculty	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Patient	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Non-Affiliate	Faculty	Informal	Sexual Harassment, Sex/Gender	Hostile Environment, Intimidating, Hostile, or Offensive Conduct	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Disability (physical or mental)	Unequal Treatment of an Individual or Group	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Other Non-Compliance with Policy	Failure to make Responsible Employee report	Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Student	Student	Informal	Sexual Harassment, Retaliation	Hostile Environment, Adverse Action	Documented Discussion, Training for Respondent
Non-Affiliate	Student	Informal	No Basis		Informally Resolved, Documented Discussion, Training for Respondent
Student	Staff	Informal	Disability (physical or mental)	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Unknown	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Faculty, Staff	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Disability (physical or mental), Medical Condition	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Age	Unequal Treatment of an Individual or Group	Informally Resolved, Documented Discussion, Training for Respondent
Faculty, Staff	Staff	Informal	Sex/Gender, National Origin, Sexual Harassment	Intimidating, Hostile, or Offensive Conduct	Documented Discussion, Training for Respondent
Staff	Faculty	Informal	General Conflict of Interest	General Conflict of Interest	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Staff	Staff	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Organization or Entity (Non-Individual)	Informal	Pregnancy	Non-accommodation	Informally Resolved, Pregnancy/Lactation Accommodation
Staff	Staff	Informal	Sexual Harassment	Hostile Environment, Quid Pro Quo	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Disability (physical or mental), Sex/Gender	Unequal Treatment of an Individual or Group	Informally Resolved, Documented Discussion, Training for Respondent
Student	Staff	Informal	General Conflict of Interest	General Conflict of Interest	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Student	Informal	National Origin, Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Referred to Other Department
Non-Affiliate	Student	Informal	Sexual Assault	Penetration	Documented Discussion, Training for Respondent
Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Non-Affiliate	Student	Informal	Race, Other Prohibited Behavior, Sexual Assault, Sexual Assault	Intimidating, Hostile, or Offensive Conduct, OPB - 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, Contact, Penetration	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty, Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty, Faculty	Informal	Gender, Race, Sex, Sexual Harassment	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Training for Department
Former Affiliate	Faculty	Informal	Race	Unequal Treatment of an Individual or Group	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty	Informal	No Basis	N/A	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty, Faculty	Informal	No Basis	N/A	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct, Unequal treatment of an individual or group	Informally Resolved, Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Former Affiliate	Faculty	Informal	Sexual Harassment	Hostile Enviornment	Informally Resolved, Training for Department
Former Affiliate	Faculty, Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Student	Informal	Sexual Harassment	Hostile Enviornment	Training for Department
Former Affiliate	Former Affiliate	Informal	Sexual Harassment	Hostile Enviornment	Training for Department
Former Affiliate	Faculty	Informal	Retaliation	Adverse Action	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Student	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty	Informal	National Origin, Race	Intimidating, Hostile, or Offensive Conduct, Unequal treatment of an individual or group	Informally Resolved, Documented Discussion, Training for Respondent
Former Affilate	Organization or Entity (Non-Individual)	Informal	Sexual Orientation, Gender, Race	Unequal treatment of an individual or group, Intimidating, Hostile or Offensive Conduct	Informally Resolved, Training for Department
Former Affiliate	Faculty, Staff	Informal	Sexual Orientation, Gender, Gender Identity, Sex	Hostile Enviornment	Training for Department
Former Affiliate	Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Former Affiliate	Faculty	Informal	Gender, National Origin, Race	Intimidating, Hostile, or Offensive Conduct, Unequal treatment of an individual or group	Informally Resolved, Documented Discussion, Training for Respondent
Former Affiliate	Faculty	Informal	National Origin, Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student Organization, Student	Faculty	Informal	Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student	Faculty	Informal	Pregnancy	Non-accommodation	Informally Resolved, Pregnancy/Lactation Accommodation
Student	Faculty	Informal	Sexual Harassment	Hostile Environment	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Staff	Staff	Informal	Race	Unequal treatment of an individual or group, Intimidating, Hostile or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Non-Affiliate	Student	Informal	Sexual Assault	Contact	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Disability (physical or mental)	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Staff	Staff	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent

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DISCRIMINATION/SEXUAL HARASSMENT/SEX OFFENSE ALTERNATIVE RESOLUTION AND INFORMAL CASES

Complainant	Respondent	Complaint Type	Basis	Allegation	Resolution
Student	Faculty	Informal	Gender	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Staff, Staff	Staff	Informal	National Origin, Race	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent
Student, Student, Student	Student	Informal	Sexual Harassment	Hostile Environment	Documented Discussion, Training for Respondent
Student	Faculty	Informal	Race, Gender	Intimidating, Hostile, or Offensive Conduct	Informally Resolved, Documented Discussion, Training for Respondent