



**UCI** Division of Equal Opportunity  
and Compliance

**Annual  
Report**  
2019-20



A close-up photograph of a butterfly with orange and black wings perched on a bright yellow flower. The background is a soft-focus green, suggesting a natural outdoor setting.

# Contents

03	Letter from the Associate Chancellor
04	2019-20 Highlights
05	UCI Privacy
06	Public Records
07	Compliance
09	Administrative Policies & Procedures
10	Whistleblower
12	Campus Climate
13	Accessibility
14	Affirmative Action
17	Investigations & Resolutions
20	Sexual Violence, Harassment, & Discrimination
22	Education & Training
23	Appendices



## DEAR ANTEATERS,

The 2019-20 academic year has been a year like no other for the University and the rest of the world. In the midst of an ongoing global pandemic, members of our University have worked tirelessly to provide a continued network of support and resources to our campus community. Higher education may have temporarily pivoted the modality by which we educate our students and manage research, administrative, and operational functions, but our steadfast commitment to the University's mission and principles of community have not changed.

What I have learned throughout the course of this past year is that our campus is not only strong, but undeniably resilient. This annual report demonstrates the Division of Equal Opportunity and Compliance's (DEOC) commitment to continued excellence in these unprecedented times, as we diligently respond to public record requests, reports of misconduct, policy questions, ADA inquiries, and changes in laws and regulations. In this report, you will find an overview of Title IX, Discrimination, and Whistleblower complaints resolved by DEOC; summaries of the campus workforce representation and public records requests; as well as highlights of major changes within our division and campus policies.

As always, DEOC cannot support the University's mission without the collaboration of campus partners and contributions from individual members of our community. Thank you for your efforts in supporting our mission of equal opportunity, nondiscrimination, and compliance for the University. I look forward to our continued partnership in the coming year.

Sincerely,

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



# 2019-20 HIGHLIGHTS

## Campus Privacy Official Now Official

In 2019-20, Associate Chancellor Quanbeck officially appointed Thea Bullock, Director of the Public Records Office, to serve as UCI's Campus Privacy Official. Thea had been serving in this role on an interim basis since the end of 2018. Additionally, PRO Senior Analyst Carolyn Ponoroff was named Assistant Campus Privacy Official to support UCI's campus privacy program. Both Thea and Carolyn also retain their roles related to public records.

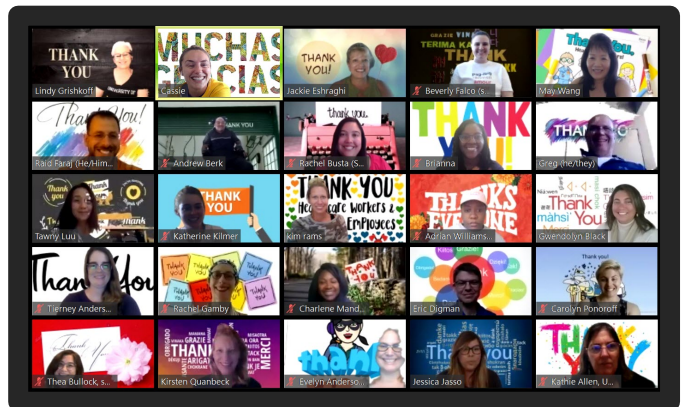
The Campus Privacy Official is responsible for the collaborative development, implementation, and administration of a unified privacy program for the campus. This includes:

- working with the Information Security Officer and other members of the Information Security and Privacy Committee to educate the campus community to protect privacy,
- advising campus leadership and departments regarding identifying and managing privacy risks,
- properly handling privacy breaches, and
- resolving conflicting privacy interests.

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

## Expanded work at UCIMC

OED implemented the UC Clinical Guidance for Responding to Reports of Sexual Harassment and Misconduct in the Patient Care Setting, including establishing the Incident Response Team (IRT), the triage team for responding to reports at the UCI Medical Center.



DEOC thanks UCI and UCIMC employees on the front lines working to keep our campus and community safe.

---

# UCI PRIVACY

The University of California values privacy. It plays an important role in human dignity and is necessary for an ethical and respectful workplace. The right to privacy is declared in the California Constitution. At the same time, the University must balance its respect for both types of privacy with its other values and with legal, policy, and administrative obligations.

The University is committed to providing individuals with a reasonable degree of control over the collection, use, and disclosure of information about themselves. Therefore, the University commits itself to the following principles:

- Privacy by design
- Transparency and notice
- Choice
- Information review and correction
- Information protection
- Accountability

The Campus Privacy team in the DEOC guides the campus community in adhering to privacy principles. The team provides training and consultation on privacy matters, works with the Information Security team on appropriate actions and notifications when a data breach has occurred, and collaborates with members of the Information Security and Privacy Committee to establish privacy protocols and educational events for the campus community.

Changes to campus operations due to COVID-19 put a spotlight on privacy issues. The Campus Privacy Official's expertise helped the University identify potential risks as UCI rapidly switched to remote instruction and testing, relied more on cloud services and the sharing of data through third-party platforms, and considered daily symptom checking, contact tracing, and immunization mandates.



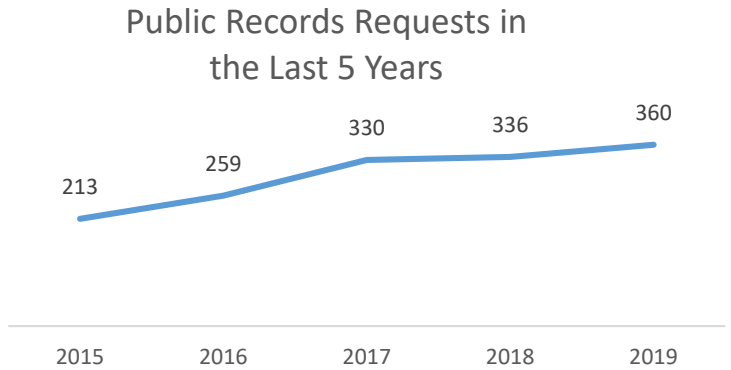
# PUBLIC RECORDS

## By the Numbers

**360**  
Requests  
Received

**74,082**  
Pages  
Released

**133,656**  
Pages  
Reviewed



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.

## Did You Know?

PRO processes requests under the California Public Records Act (CPRA), the California Information Practices Act of 1977 (IPA), and the Family Educational Rights and Privacy Act (FERPA).

---

# COMPLIANCE

It has been an exciting first year for the UCI Compliance Office, which launched in March 2019. The Compliance Office promotes ethical behavior and a culture of compliance by providing overall guidance and oversight for the development, implementation, and administration of a compliance program that is consistent with UC policies, procedures, ethical principles and core values, and applicable federal and state laws and regulations. It works with key compliance areas and partners throughout the University to facilitate collaboration, training, provide guidance, and address compliance concerns.

## 2019-2020 Highlights

### Foreign Influence

Over the past 18 months, there has been increased federal government interest and activity related to foreign influence in higher education. Multiple federal agencies have issued new requirements and guidance in this area. The Compliance Office has been working with UCOP, Office of General Counsel and campus partners to facilitate ongoing compliance with the changing landscape. Pressing issues for the Compliance Office include: Section 117 of the Higher Education Act, contracts and gifts with certain foreign entities of interest, and review of federal funding agency requirements.



---

## Compliance Process Reviews and Guidance

The Compliance Office began conducting compliance process reviews to strengthen and update business practices across the University and mitigate compliance risks. The Compliance Office identifies high risk or emerging areas for review. Sometimes, issues are escalated to the Compliance Office by stakeholders. The Compliance Office works with the business unit to identify compliance gaps and risks, provide suggestions, written procedures or templates for best practices, and other guidance as needed.

## Campus Ethics and Compliance Risk Committee

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. Co-chaired by the Provost/Executive Vice Chancellor and the Campus Ethics and Compliance Officer, CECR is responsible for communicating and identifying potential areas of compliance vulnerability and risks in all aspects of campus operations, developing risk assessment tools for use in identifying and mitigating high-risk compliance areas, and monitoring the effectiveness and consistency of compliance practices throughout the campus.

## Risk Intelligence Committee

The Risk Intelligence Committee (RIC) is a team of subject matter experts that work to ensure the campus has a current and comprehensive understanding and management of risks. It is co-chaired by the Risk Manager and Director of Compliance. RIC reports up to the CECRC and supports and advises CECR on all matters related to the University's enterprise-level risks and the effectiveness of their controls.



---

# ADMINISTRATIVE POLICIES & PROCEDURES

The Office of Administrative Policies and Procedures (APP) published the following major new or revised policies in 2019-20:

- UCI [Sales and Service Activities Interim Policy](#), superseding the Sales and Services Income Guidelines.
- UCI [Recharge Facility and Activity Review and Approval Interim Policy](#), superseding the Recharge Accounts and Rate Review Procedures.
- [UCI Guidance Concerning Disruption of University Activities](#), replacing the UCI Interim Guidance.
- UCI [Emotional Support Animals in Housing Interim Policy](#).
- Revised UCI [Guidelines on Sexual Violence and Sexual Harassment](#).
- Revised UCI [Guidelines on Discrimination and Harassment](#).
- UCI [Policy for Student International Activities](#) and UCI [Procedures for Student International Activities](#).

## Policy Support for COVID-19 Response

When UCI's response to the COVID-19 pandemic first impacted the whole UCI campus in early March, APP supported the Chancellor's Executive Policy Group through the drafting of temporary policies in areas such as travel and gatherings, and worked with a team of campus partners to respond to and triage COVID-19-related issues for the University.

The campus switched focus to managing scaled-back campus operations beyond the initial response to the pandemic, APP then served on the Campus Recovery Implementation Team (CRIT) and in Summer 2020 helped draft executive directives on a number of timely and topical issues, such as face coverings, gatherings, travel, and training.



# 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.

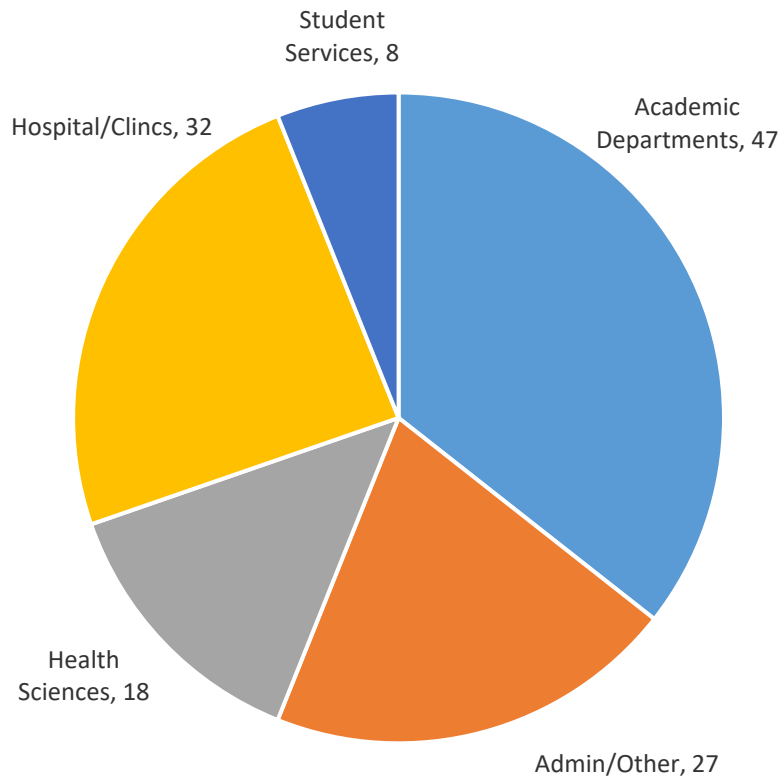
UCI receives most whistleblower complaints through the following modes:

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



## Identity of Reporters

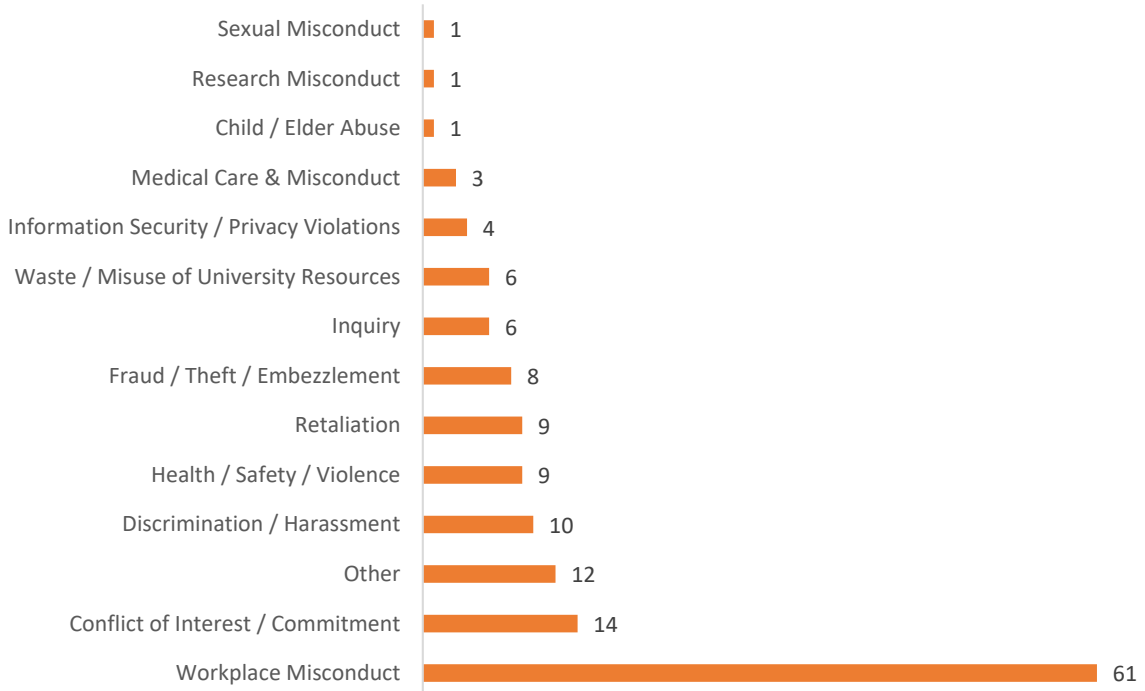
- Anonymous Reports  
**56%**
- Identified Reports  
**44%**

## Did you know?

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

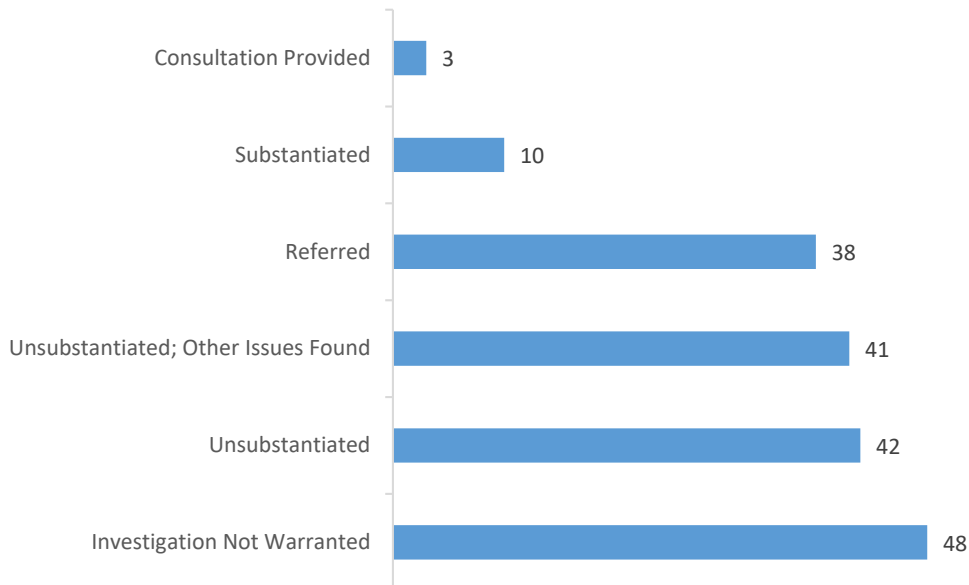
# Whistleblower Report Data

For the 2019-20 reporting period, UC Irvine received **145** whistleblower reports.



## Cases Opened By Issue Type

For the 2019-20 reporting period, UC Irvine completed reviews of **182** whistleblower reports.



## Primary Case Outcome FY 19/20

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



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/](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 2019-20 reporting period, there were 60 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 2019–20 Fiscal Year.

Issue Type	Total
Bias Incident/Expression of Bias	2
Intimidation, Bullying or Physical Violence**	47
Graffiti/Vandalism	2
Offensive Speech	4
Other including Hostile Climate, Demeaning Behavior, Mockery, Failure to Invite, Teasing	5
<b>Total</b>	<b>60</b>

\*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.

\*\*One incident was reported to the hotline with 44 separate reports.

---

# 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 2019-20, the ADA Coordinator worked closely with the Disability Infrastructure Work Group (DIWG) to develop a five-year plan to improve accessibility at UCI and garner a financial commitment of \$4 million from the University to address priorities identified by the DIWG. Additionally, the campus issued an interim policy on Emotional Support Animals in Housing.

In partnership with Emergency Services, UCI applied for a \$500,000 grant from the state. The state awarded UCI the full amount for the purchase and installation of evacuation chairs. The grant also covered an assessment for strategic placement of the chairs and the training of employees on their proper use. The evacuation chair project serves as part of a more comprehensive emergency plan for individuals with disabilities under development.

With the onset of the COVID-19 pandemic, our focus turned toward accessibility needs in a remote work and learning environment.

The ADA Coordinator provided expert consultation to members of the Emergency Operations Center's Logistical Support Team with the transition to remote operations, and the IT Accessibility Work Group expanded its research and assessment of captioning services. Discussions related to returning to onsite operations included accessibility and accommodation considerations.



Disability inclusive icon set

## Did you know?

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

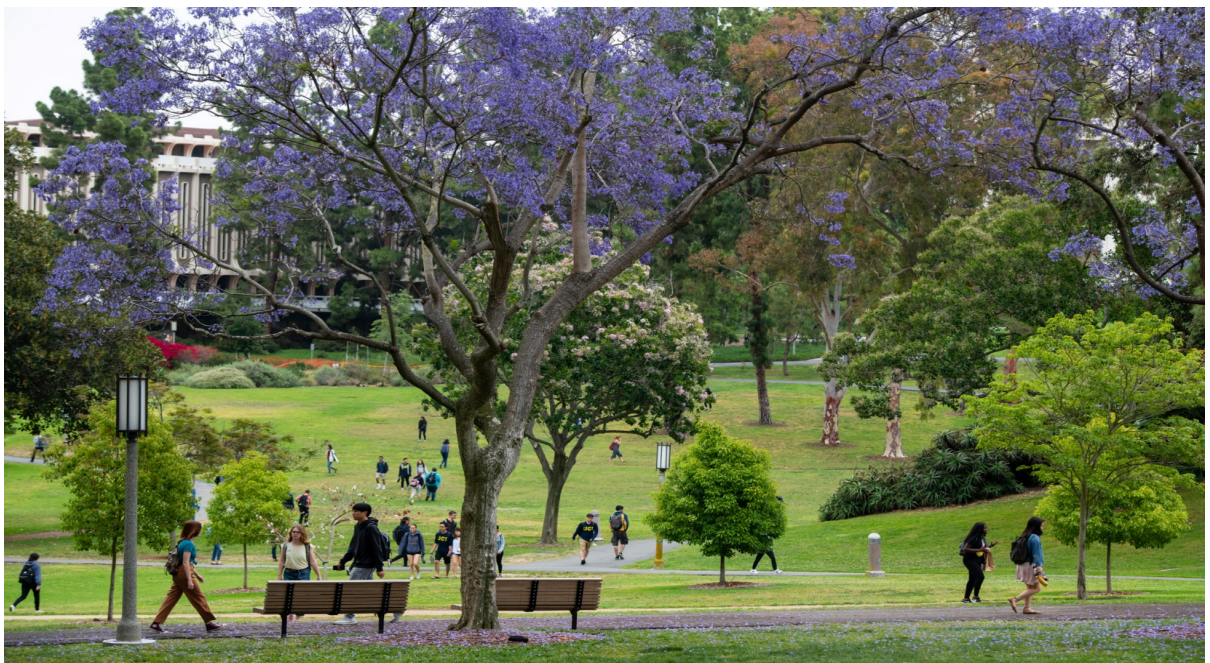
---

# 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.

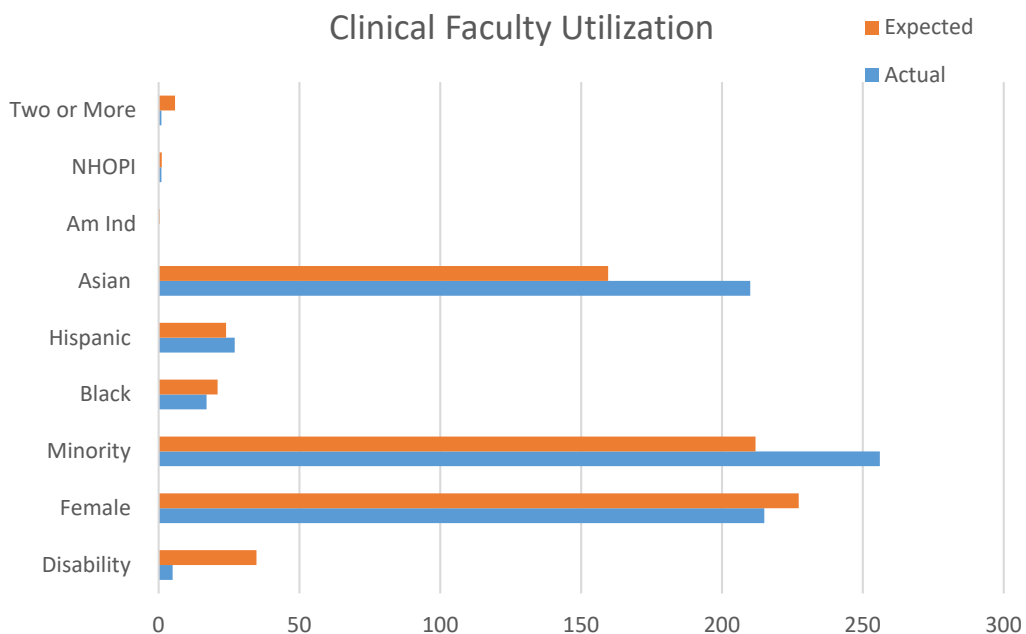
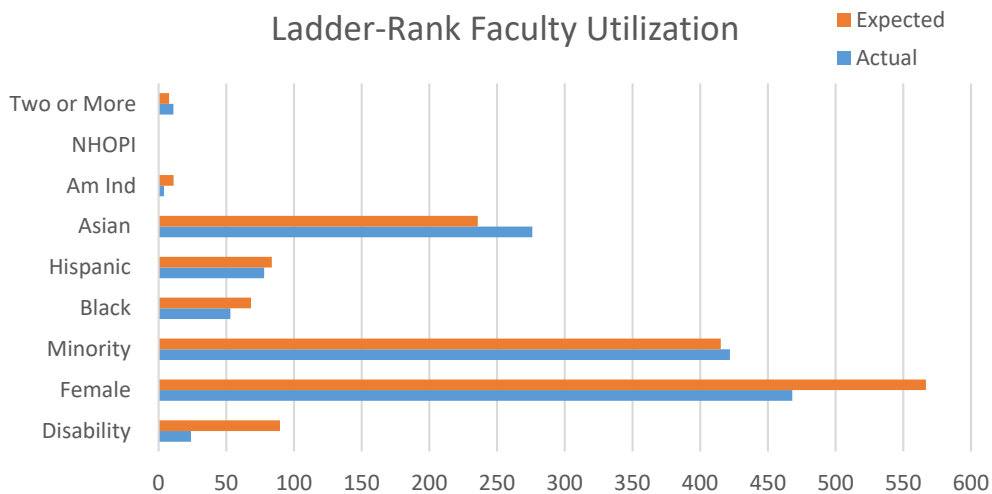
Our obligations in this area stem from not only adherence to various state and federal regulations, but also from our commitment to create a culture of inclusiveness and diversity where members of our community thrive and are able to reach their full potential.

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.

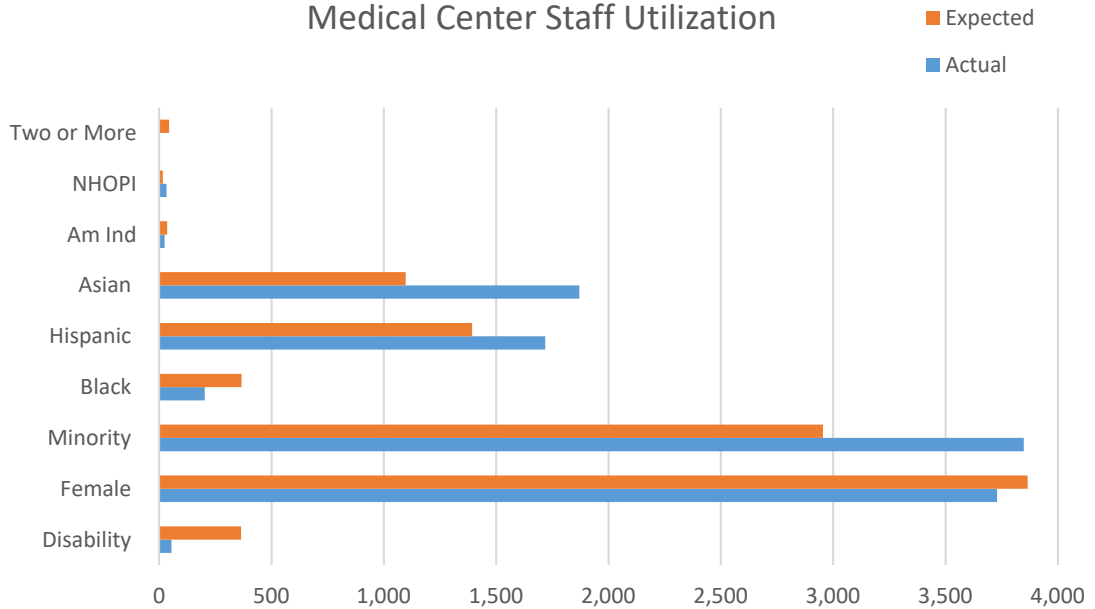


# AFFIRMATIVE ACTION DATA

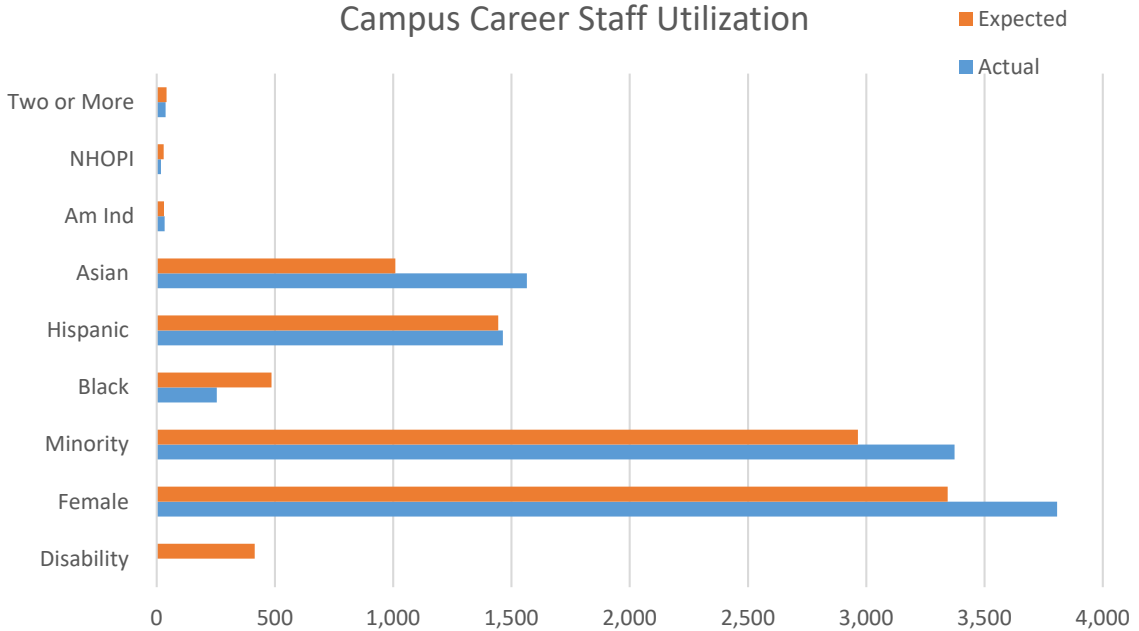
As a federal contractor, UCI is required to conduct an analysis of its workforce each year. For the annual Affirmative Action Plan, the analysis is conducted by job group and unit and provided to UCI's senior leadership for action. The charts that follow reflect a summary at the enterprise level of the 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, 2019. 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.



## Medical Center Staff Utilization



## Campus Career Staff Utilization



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.



# INVESTIGATIONS & RESOLUTIONS

The 2019-2020 year was full of transition. Locally, case law within our circuit impacted student adjudication processes, leading to a revision of [PACAOS-Appendix-E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for Non-DOE-Covered Conduct](#). The UC system also implemented guidance to address sexual misconduct in the clinical setting. Nationally, the rescission of prior Department of Education guidance led to the implementation of new regulations, requiring revisions to University policies and procedures. Further, race relations rose to the forefront of the nation's consciousness following the highly-publicized deaths of multiple Black Americans due to police violence. Finally, the global COVID-19 pandemic completely shifted the administration of classes and work, including OEOD investigations and complaint resolution processes.

## UCI's Response to the COVID-19 Pandemic (March 2020)

Due to the COVID-19 pandemic, UCI instituted measures and precautions to protect its students and employees from exposure to the coronavirus. Beginning in January 2020, UCI engaged in comprehensive efforts to inform the campus community regarding resources and updates related to COVID-19. On March 13, 2020, the UCI campus community transitioned to remote work and learning, including OEOD operations.

The OEOD team conducted interviews, intakes, and other complaint resolution processes remotely via Zoom and telephone calls. In doing so, OEOD staff worked to honor the University's commitment to trauma-informed practices, with special attention to the reality that community members might be participating in complaint resolution processes from home or other locations where privacy could not be guaranteed. OEOD recognized that staying at home and experiencing social isolation and stressors related to the COVID-19 pandemic may create additional risk and may be dangerous for some members of UCI's community, especially ones experiencing relationship violence. Thus, OEOD, along with campus partners, worked to create an emergency housing protocol for students impacted by relationship violence, and sent out messaging to the UCI community about confidential remote resources available during the pandemic.



OEOD staff developed creative solutions with the UCI Medical Center to interview patients in accordance with the new systemwide clinical guidance. As remote work impeded the ability to meet and work together in person, OEOD collaborated with campus partners and other UC campuses to create online training and networking opportunities and deliver presentations and workshops for various departments and UCI communities.

## Race Relations in the US

In 2019 and 2020, race relations in the United States became a focal point. From anti-Asian sentiments spurred by rhetoric on the origins of the coronavirus to continued litigation surrounding the federal government's rescission of DACA, to the growth of Black Lives Matter protests and movements in the aftermath of highly publicized and criticized police actions that resulted in the deaths of Black Americans, UCI grappled with how best to support its community.

### What's trending?

OEOD saw a significant rise in complaints relating to Gender (58%), Race (100%), and Relationship Violence (73%) for the 2019-20 reporting period.

OEOD saw a marked rise in the number of inquiries and complaints received regarding discrimination on the basis of race. In particular, community members contacted OEOD for assistance with identifying on- and off-campus resources as well as requests for OEOD's assistance in resolving concerns at the earliest stage possible.

## Top 3 Bases for Complaints Against Respondents by Demographic

### Faculty Respondents

- 27** Race/Color
- 25** Gender/Sex
- 16** Sexual Harassment

### Student Respondents

- 49** Sexual Harassment
- 27** Sexual Assault
- 23** Relationship Violence

### Staff Respondents

- 44** Sexual Harassment
- 37** Race/Color
- 20** Gender/Sex

## Changes in Case Law and Department of Education Title IX Regulations

In 2019, in response to California case law, UC reviewed its practices for investigation and adjudication for student Respondents. In August 2019, UCI implemented the new student adjudication model, which featured an altered hearing process. OEOD updated UCI's local implementing procedures, specifically the Guidelines on Sexual Violence and Sexual Harassment and Guidelines on Discrimination and Harassment. OEOD also participated on a systemwide committee to revise the policy and procedures in anticipation of Summer 2020 changes to federal Title IX regulations. OEOD staff participated in extensive internal and external trainings in preparation for the new regulations and changes to University policy and procedures. Further, OEOD staff created and presented trainings for campus partners and the campus community regarding the implementation of both the new Title IX regulations and UC's interim SVSH policies and procedures.

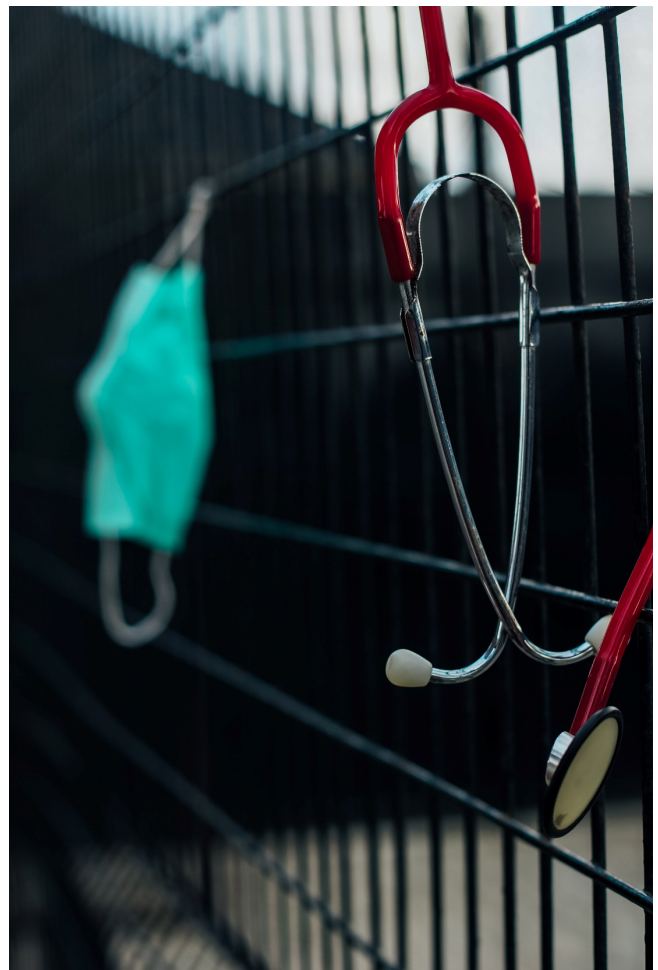
---

## UC Clinical Guidance

Nationally, multiple high-profile cases involving sexual misconduct by physicians in the clinical setting prompted a shift in attention and interpretation of Title IX within medical environments. The UC system created guidance on definitions of sexual misconduct specific to the clinical setting and implementation of the SVSH policy within the medical sector. This guidance, implemented at a particularly challenging but important time just prior to the COVID-19 pandemic, instituted a collaborative response team to address patient reports of sexual misconduct.

A large portion of this academic year was dedicated to implementing the clinical guidance related to responding to and investigating sexual misconduct in the context of patient care. OEOD worked with partners at UCI Medical Center to establish the Incident Response Team (IRT), a triage team comprised of OEOD, the Chief Medical Officer, the Chief Nursing Officer, along with Risk Services and Campus Counsel, with support from CARE, Respondent Services, the UCI Police Department, Human Resources, and Academic Personnel. Additionally, OEOD provided guidance on the UCI Medical Center and the UCI Student Health Center websites to include information for patients seeking to report sexual misconduct. OEOD conducted trainings related to the clinical guidance for the UCI health community.

Due to intensified training and tailored information provided to UCI Medical Center staff, OEOD received an increase of reports resulting in formal investigations. OEOD worked collaboratively with UCIMC staff to schedule interviews with patients, including the utilization of iPads for video conferences, telephone calls, and both in-person and telephonic language translation services.



# 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.

## Did you know?

### RESPONSIBLE EMPLOYEES MATTER.

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

## Quick Overview

**724**

Total Reports Received

**432**

Consultations & Inquiries

**124**

Informal Resolutions

**5**

Alternative Resolutions

**45**

Agency Responses & Formal Investigations

**13**

Policy Violations Found

## Origin of Reports

Anteaters Standing Up for Anteaters – Our highest number of reports came from members of the campus community

**62%**

Responsible Employees

**28%**

Complainants

**10%**

Anonymous & 3<sup>rd</sup> Party

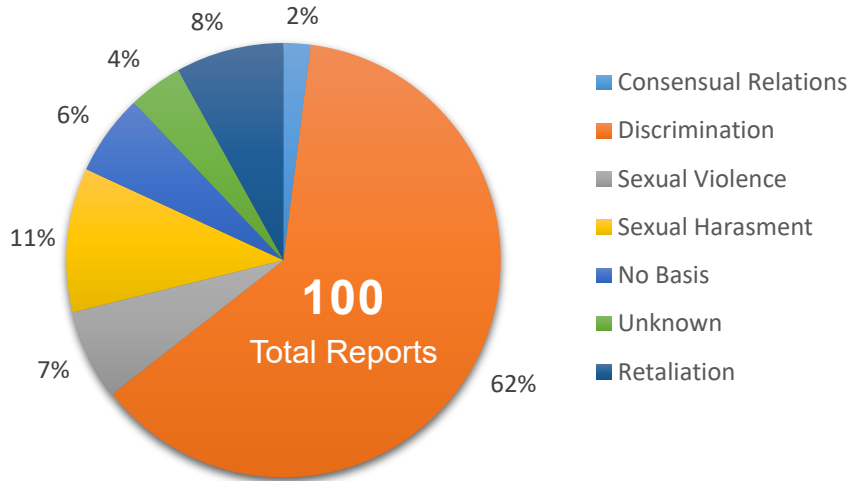
# Complaint Breakdown by Respondent

## Faculty

**13**  
Agency/Formally Investigated

**31**  
Informally Resolved

**57**  
Consultations & Inquiries



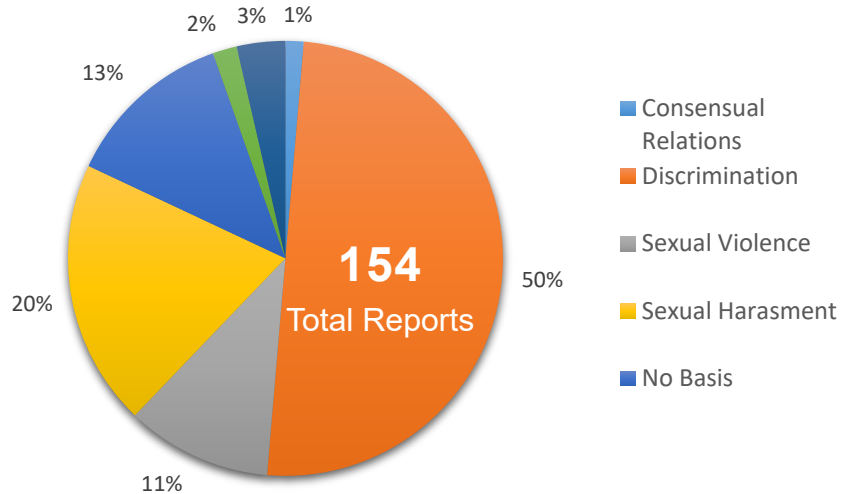
## Staff

**22**  
Agency/Formally Investigated

**44**  
Informally Resolved

**89**  
Consultations & Inquiries

**1**  
Whistleblower



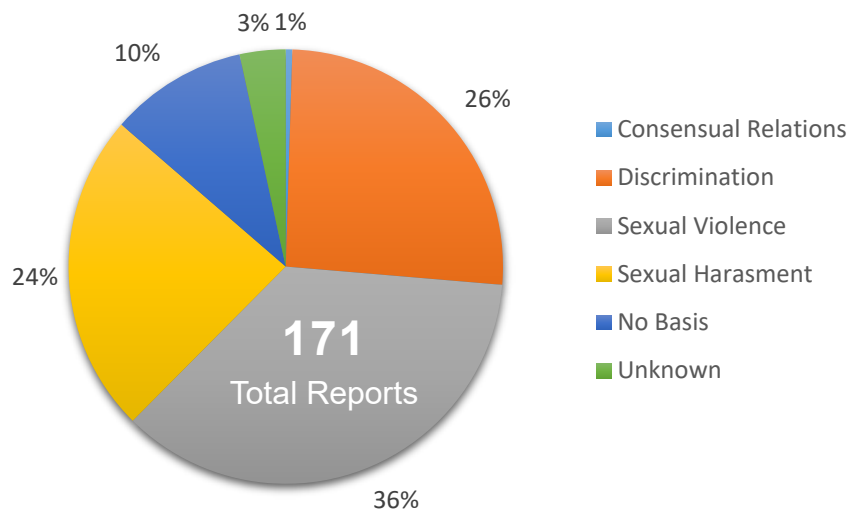
## Student

**7**  
Formally Investigated

**5**  
Alternatively Resolved

**46**  
Informally Resolved

**117**  
Consultations & Inquiries



# EDUCATION & TRAINING

## In-Person Programs

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

32

Total Trainings

83

Faculty

832

Students

264

Staff



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.

### Did you know?

OEOD is still conducting in-person trainings via Zoom. Schedule yours today by emailing [oeod@uci.edu](mailto:oeod@uci.edu).

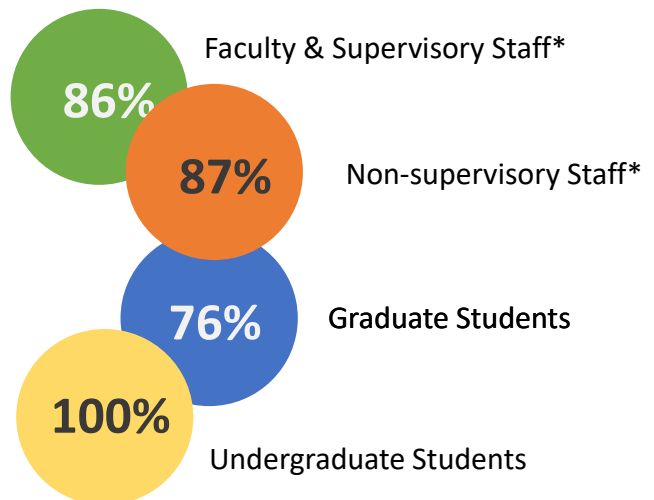
## SVSH TRAINING COMPLIANCE

58,002

Total University Population  
(UCIMC and Main Campus)



\*Compliance rates as of 8/18/2020  
This includes trainings completed through online and in-person trainings.



# Appendices

# Appendix A



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

<b>Complaint Type</b>	<b>Complainant</b>	<b>Respondent</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Recommended Findings</b>	<b>Sanctions</b>
Agency	Staff	Department; Staff; Staff; UC; UCI; UC Regents	Age; Race; Retaliation	Adverse Action; Unequal treatment of an individual or group	Agency took no action; Immediate Right to Sue issued	Not applicable
Agency	Unknown	Faculty	Gender; Sexual Orientation	Unequal treatment of an individual or group	Agency took no action and closed	Not applicable
Agency	Staff	UCIMC	Unknown	Unknown	Agency took no action; Immediate Right to Sue issued	Not applicable
Agency	Staff	Faculty UCI	Retaliation	Adverse Action	Agency closed for insufficient evidence; Right to Sue issued	Not applicable
Agency	Staff	UCIMC	Physical or Mental Disability	Unequal treatment of an individual or group	Agency closed for insufficient evidence; Right to Sue issued	Not applicable
Agency	Staff	Staff; Staff	Age; Gender; Physical or Mental Disability; Race; Retaliation; Sex; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct; Retaliation; Unfair Advancement/Promotion	Pending	Not applicable
Formal	Staff	Staff	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Formal	Staff	Staff; Staff; Staff	Gender; National Origin; Race	Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	No policy violation found	Not applicable
Formal	Student	Staff	Sexual Assault	Contact; Penetration	Violation of UC Policy on Sexual Violence and Sexual Harassment	Resignation Prior to Termination
Formal	Patient	Faculty	Sexual Assault	Contact; Penetration	No policy violation found	Not applicable
Formal	Staff; Staff	Staff	National Origin; Race	Unequal treatment of an individual or group	Investigating	Not applicable
Formal	Student	Staff	Sexual Harassment	Hostile Environment	Violation of UC Policy on Sexual Violence and Sexual Harassment	Termination
Formal	Staff; Staff; Staff; Staff; Staff	Staff	Sexual Harassment	Hostile Environment	Investigating	Not applicable
Formal	Student	Faculty; Faculty; Faculty	Sexual Orientation	Intimidating, hostile or offensive conduct	No policy violation found	Not applicable
Formal	Staff; Staff	Staff	National Origin, Race	Unequal treatment of an individual or group	No policy violation found	Not applicable
Formal	Student; Student	Volunteer	Gender; Gender Expression; Sexual Harassment; Sexual Orientation	Contact; Hostile Environment; Unequal treatment of an individual or group	Violation of UC Policy on Sexual Violence and Sexual Harassment; No Policy Violation for Nondiscrimination Policy Statement for University of California Regarding Student-Related Matters	Pending
Formal	Student	Staff; Staff	Physical or Mental Disability	Unequal treatment of an individual or group	No policy violation found	Not applicable

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

<b>Complaint Type</b>	<b>Complainant</b>	<b>Respondent</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Recommended Findings</b>	<b>Sanctions</b>
Formal	Student	Student	Sexual Assault	Contact; Sex with a minor; Penetration	Violation of UC Policy on Sexual Violence and Sexual Harassment	Pending
Formal	Former Staff	Faculty	Relationship Violence; Retaliation	Adverse Action; Conduct that would make a reasonable person in CP's position fear physical violence	No policy violation found	Not applicable
Formal	Student	Student	Sexual Assault; Sexual Harassment	Contact; Hostile Environment; Penetration	Pending	Not applicable
Formal	Patient	Faculty	Sexual Assault	Contact	No policy violation found	Not applicable
Formal	Patient	Staff	Sexual Assault	Contact	No policy violation found	Not applicable
Formal	Sexual Harassment Officer	Student	Sexual Harassment	SH - Hostile Environment	Violation of UC Policy on Sexual Violence and Sexual Harassment	Records Hold; Suspension
Formal	Student; Student; Student; Student; Student; Student; Student; Student; Student; Student; Student; Student	Department	National Origin	Unequal treatment of an individual or group	Investigating	Not applicable
Formal	Student	Faculty; Staff	Citizenship; Color; National Origin; Physical or Mental Disability; Race; Retaliation; Sex	Intimidating, hostile or offensive conduct; Retaliation; Unequal treatment of an individual or group	Investigating	Not applicable
Formal	Faculty	Faculty; Faculty	Age; Retaliation; Sex	Intimidating, hostile or offensive conduct; Retaliation; Unequal treatment of an individual or group	No policy violation found	Not applicable
Formal	Student	Staff	Race	Unequal treatment of an individual or group	Investigating	Not applicable
Formal	Patient	Staff	Sexual Harassment	Hostile Environment	Violation of UC Policy on Sexual Violence and Sexual Harassment	Termination
Formal	Staff; Staff	Staff	Sex; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Violation of UC Policy on Sexual Violence and Sexual Harassment	Pending
Formal	Student	Faculty	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Formal	Non-affiliate	Staff	Age; Color; Gender; Race	Unequal treatment of an individual or group	No policy violation found	Not applicable

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

<b>Complaint Type</b>	<b>Complainant</b>	<b>Respondent</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Recommended Findings</b>	<b>Sanctions</b>
Formal	Staff	Staff	Sexual Harassment	Hostile Environment	Violation of UC Policy on Sexual Violence and Sexual Harassment	Termination
Formal	Student	Student	Sexual Assault; Sexual Harassment	Contact; Hostile Environment	Violation of UC Sexual Violence and Sexual Harassment Policy	Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension
Formal	Staff	Staff	Sexual Harassment; Stalking	Hostile Environment; Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Violation of UC Sexual Violence and Sexual Harassment Policy	Termination
Formal	Staff; Student	Staff	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 expectation of privacy; 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 Policy on Sexual Violence and Sexual Harassment	RS barred from campus offices/work spaces
Formal	Student	Student	Sexual Assault	Contact; Penetration	Violation of UC Sexual Violence and Sexual Harassment Policy	Continuation of No Contact Order; Dismissal
Formal	Staff	Staff; Staff	Age; Race	Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	Complaint withdrawn as part of Settlement Agreement	Not applicable
Formal	Student	Staff	Gender; Race; Sexual Harassment	Hostile Environment; Unequal treatment of an individual or group	Investigating	Not applicable
Formal	Student	Faculty	Sexual Harassment	Hostile Environment; Quid Pro Quo	No policy violation found	Not applicable
Formal	Student	Faculty	Sexual Harassment; Stalking	Hostile Environment; Quid Pro Quo; Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	No policy violation found	Not applicable

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

<b>Complaint Type</b>	<b>Complainant</b>	<b>Respondent</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Recommended Findings</b>	<b>Sanctions</b>
Formal	Staff	Student	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Formal	Faculty	Faculty; Faculty	Age	Unequal treatment of an individual or group	No policy violation found	Not applicable
Formal	Staff; Staff	Staff	Sexual Harassment	Hostile Environment	No policy violation found	Not applicable
Formal	Student	Student	Sexual Assault; Sexual Harassment	Contact; Hostile Environment	Violation of UC Sexual Violence and Sexual Harassment Policy	Continuation of No Contact Order; Disciplinary Probation; Supporting Documents and Follow-up Meeting; Suspension
Formal	Faculty	Faculty	Ancestry; Gender	Unequal treatment of an individual or group	No policy violation found	Not applicable

# Appendix B

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Alternative Resolution	Student	Student	Sexual Assault	Unspecified Sexual Assault	Alternative Resolution: Successful
Alternative Resolution	Student; Student	Student; Student	Relationship Violence; Sexual Harassment; Stalking	Conduct that would make a reasonable person in CP's position fear physical violence; Hostile Environment; Physical violence toward the CP or person who has a close relationship with the CP	Alternative Resolution: Unsuccessful
Alternative Resolution	Student	Student	Relationship Violence; Stalking	Conduct that would make a reasonable person in CP's position fear physical violence; Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Alternative Resolution: Successful; Provided Respondent with Information, Education, and Resources
Alternative Resolution	Student	Student	Relationship Violence; Stalking	Conduct that would make a reasonable person in CP's position fear physical violence; Physical violence toward the CP or person who has a close relationship with the CP; Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Alternative Resolution: Successful; Provided Respondent with Information, Education, and Resources
Alternative Resolution	Student	Student	Stalking	Repeated following, monitoring, observing, surveilling, threatening, communicating, or interfering with property	Alternative Resolution: Successful
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Stalking	Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Gender; National Origin; Race; Religion	Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	Informally Resolved, Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Stalking	Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Informally Resolved; Provided RS with Information, Education, and Resources; Referred to Other Department
Informal	Staff	Staff	Sexual Harassment; Stalking	Hostile Environment; Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Age; Retaliation	Adverse Action; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources
Informal	Student	Faculty	Gender; Race; National Origin	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student Organization	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Unknown	Gender	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Reporter with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student	Student	Stalking	Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Sexual Harassment	Hostile Environment	Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	National Origin	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Assault	Contact	Pending
Informal	Patient	Staff; Staff; Staff	Gender; Sex; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Race	Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	Provided Respondent with Information, Education, and Resources
Informal	Unknown	Faculty	Gender	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Faculty; Student	Faculty; Student	Gender; Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student; Student	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Gender; National Origin	Intimidating, hostile or offensive conduct	Provided Respondent with Information, Education, and Resources
Informal	Student; Student; Student; Student	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources; Referred to Other Department
Informal	Non-affiliate	Student	Sexual Assault	Contact	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Gender	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal		Staff	Sexual Harassment	Hostile Environment; Quid Pro Quo	Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Age; Gender; Race; Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff; Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Staff	Student	Retaliation	Adverse Action	Informally Resolved; Provided Complainant with Information, Education, and Resources; Referred to Other Department
Informal	Staff	Staff	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Department; Student Organization	Student	Gender; National Origin Race; Sexual Harassment; Sexual Orientation	Hostile Environment; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Stalking	Repeated conduct of a sexual or romantic nature or motivation that would cause a reasonable person to fear for their safety or suffer substantial emotional distress	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student Organization	Religion	Intimidating, hostile or offensive conduct	Informally Resolved, Provided Respondent with Information, Education, and Resources
Informal	Student; Student	Student; Student	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Gender	Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Gender Identity; Sexual Orientation	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Department	Physical or Mental Disability	Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources



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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student	Faculty	Gender; Sex	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff; Staff	Faculty	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Unknown	Faculty	Consensual Relationships/Conflict of Interest	Consensual Relations/Conflict of Interest	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff; Staff	Faculty	Pregnancy; Retaliation	Intimidating, hostile or offensive conduct; Retaliation	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Sexual Orientation	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Color; Gender; Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Faculty	Faculty	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Reporter with Information, Education, and Resources
Informal	Non-affiliate; Non-affiliate	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Anonymous	Staff	Consensual Relationships/Conflict of Interest	Consensual Relations/Conflict of Interest	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty; Faculty	Religion	Non-accommodation	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Race; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student; Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student; Student; Student	Faculty	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Retaliation	Adverse Action	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Reporter with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Faculty	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Non-affiliate	Domestic Violence	Bodily Injury or Fear of	Informally Resolved; Provided Complainant with Information, Education, and Resources; Referred to Other Department
Informal	Staff	Staff	Gender; National Origin; Race; Sexual Harassment	Hostile Environment; Unequal treatment of an individual or group	Informally Resolved; Provided Reporter with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources; Referred to Other Department
Informal	Non-affiliate	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff; Student	Consensual Relationships/Conflict of Interest	Consensual Relations/Conflict of Interest	Provided Reporter with Information, Education, and Resources
Informal	Staff	Department	Gender	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources; Referred to Other Department
Informal	Staff; Student	Faculty; Student	Gender; Sexual Harassment	Hostile Environment; Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student	Student	Gender	Unequal treatment of an individual or group	Complainant Does Not Wish to File a Complaint; Provided Complainant with Information, Education, and Resources; Provided Reporter with Information, Education, and Resources
Informal	Staff	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources
Informal	Student	Faculty	Physical or Mental Disability, Race	Unequal treatment of an individual or group	Informally Resolved, Provided Complainant with Information, Education, and Resources, Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Service in the Uniformed Services (Veteran Status)	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Non-affiliate	Faculty	Gender	Intimidating, hostile, and offensive conduct	Provided Reporter with Information, Education, and Resources
Informal	Faculty	Faculty	Gender Expression; Gender Identity	Unequal treatment of an individual or group	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Non-affiliate	Student	Other Prohibited Behavior; Race; Relationship Violence	Conduct that would make a reasonable person in CP's position fear physical violence; Intimidating, hostile or offensive conduct; Physical violence toward the CP or person who has a close relationship with the CP; 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	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Race	Unequal treatment of an individual or group	Informally Resolved; Provided Reporter with Information, Education, and Resources
Informal	Student	Department	Physical or Mental Disability	Non-accommodation	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Non-affiliate	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources; Referred to Other Department
Informal	Student	Department	Gender Transition Status	Unequal treatment of an individual or group	Conducted Department Training; Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Gender	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**

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student; Student	Student; Student	Retaliation	Retaliation	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Gender; National Origin	Intimidating, hostile or offensive conduct	Provided Respondent with Information, Education, and Resources
Informal	Student; Student	Faculty	Gender; Gender Identity; Gender Transition Status; Race; Sex; Sexual Harassment; Sexual Orientation	Hostile Environment; Intimidating, hostile or offensive conduct	Conducted Department Training
Informal	Non-affiliate	Student	Race	Intimidating, hostile or offensive conduct	Informally Resolved, Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Consensual Relationships/Conflict of Interest	Consensual Relations/Conflict of Interest	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Anonymous	Staff; Staff	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	Conducted Department Training
Informal	Student; Student	Faculty; Faculty; Faculty	Race	Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Gender; Race	Intimidating, hostile, and offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Religion	Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Other Prohibited Behavior	Exposing genitals publicly for the purpose of sexual gratification	Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Unknown	Faculty	National Origin	Unequal treatment of an individual or group	Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Faculty	Student	Sexual Harassment	Hostile Environment	Informally Resolved, Provided Respondent with Information, Education, and Resources
Informal	Staff	Department; Faculty	Race	Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student	Student	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	Complainant Does Not Wish to File a Complaint; Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Faculty; Staff; Staff; Staff; Staff; Student	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Faculty	Race; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student; Student; Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student; Student	Student	National Origin; Physical or Mental Disability; Sexual Orientation	Intimidating, hostile or offensive conduct	Informally Resolved Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Gender; Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Anonymous	Faculty	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Unknown	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Anonymous	Staff	Other Prohibited Behavior; Sexual Harassment	Exposing genitals publicly for the purpose of sexual gratification; Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff; Staff; Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; No Follow-Through by Complainant; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student	Faculty	Race	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student; Student; Student; Student; Student; Student; Student	Student	Citizenship; Gender; Physical or Mental Disability; Race; Retaliation; Sexual Harassment	Adverse Action; Hostile Environment; Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Non-affiliate	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources; Referred to Other Department
Informal	Staff; Staff; Staff	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Faculty; Faculty	Citizenship	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Assault; Sexual Harassment	Contact; Hostile Environment	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal		Staff	Gender Transition Status	Intimidating, hostile or offensive conduct	Informally Resolved; Provided Reporter with Information, Education, and Resources
Informal	Student	Faculty	National Origin; Race; Religion; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Provided Respondent with Information, Education, and Resources
Informal	Student	Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Student; Student; Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff; Staff; Staff	Race; Sexual Harassment	Hostile Environment; Intimidating, hostile or offensive conduct	Informally Resolved; Provided Respondent with Information, Education, and Resources
Informal	Staff	Staff; Staff	Sexual Harassment	Hostile Environment	Provided Respondent with Information, Education, and Resources
Informal	Patient	Staff; Staff	Sexual Harassment	Hostile Environment	Informally Resolved; Provided Respondent with Information, Education, and Resources

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

<b>Type</b>	<b>CP</b>	<b>RS</b>	<b>Complaint Basis</b>	<b>Allegation Type</b>	<b>Resolution</b>
Informal	Student; Student	Faculty; Faculty; Faculty; Student	National Origin	Intimidating, hostile or offensive conduct; Unequal treatment of an individual or group	Informally Resolved; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student	Student	Sexual Harassment	Hostile Environment	Informally Resolved; No Follow-Through by Complainant; Provided Complainant with Information, Education, and Resources; Provided Respondent with Information, Education, and Resources
Informal	Student; Student; Student; Student; Student	Student	Sexual Harassment	Hostile Environment	Provided Respondent with Information, Education, and Resources