

**COMPLIANCE AND POLICY  
ANNUAL REPORT**

**2020-21**

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# I. Introduction

At UC Davis, compliance is a shared responsibility. All members of the University community are responsible for adhering to University policies as well as the laws and regulations that apply in our environment. The UC Davis Office of Compliance and Policy promotes ethical conduct and a culture of compliance by educating community members about their compliance responsibilities, responding promptly and effectively to reports of misconduct, maintaining comprehensive and accessible policies, leading key compliance initiatives, and working with compliance partners across the University to coordinate compliance efforts.

Reporting to the Office of the Chancellor and led by Chief Compliance Officer Wendi Delmendo, the Compliance and Policy unit is responsible for:

## **Ensuring campus compliance with:**

- Title IX of the Education Act,
- The Americans with Disabilities Act,
- The Clery Act, and
- Affirmative action regulations.

## **Overseeing responses to reports involving:**

- Sexual violence and sexual harassment,
- Other forms of discrimination, harassment, hate and bias,
- Civilian complaints against police officers, and
- Complaints made under the UC systemwide Whistleblower Policy and Whistleblower Protection Policy.

## **Managing:**

- The campus Policy and Procedures Manual, Personnel Policies for Staff Members, and Delegations of Authority;
- The privacy program for the UC Davis campus;
- The UC Davis risk assessment process;
- The UC Davis compliance committee structure; and
- The annual campus compliance plan.

This report summarizes the key accomplishments of the Compliance and Policy unit during calendar year 2021 and provides an overview of the responses to all complaints filed with the Compliance and Policy unit from July 1, 2020 through June 30, 2021. A detailed list of the following types of reports—sexual harassment, sexual violence, other discrimination and harassment, and hate and bias—is provided in the appendices.

## II. Response to Complaints of Misconduct

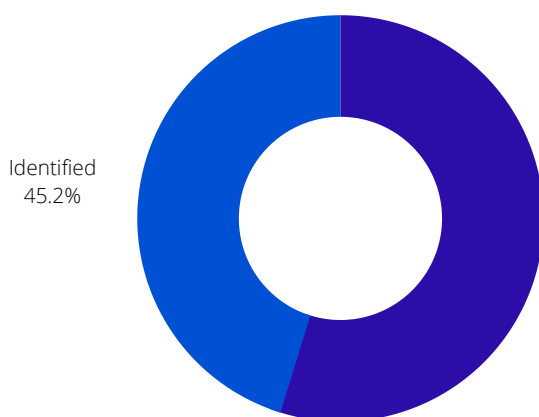
The Compliance and Policy office is responsible for ensuring that the University responds effectively to all reports of sexual violence and sexual harassment, reports of other prohibited forms of discrimination and harassment, civilian complaints against police officers and complaints made under the UC systemwide Whistleblower and Whistleblower Protection Policies. The following sections summarize the applicable complaint resolution processes and provide an overview of the complaints received from July 1, 2020 through June 30, 2021. [1]

### A. Whistleblower Reports

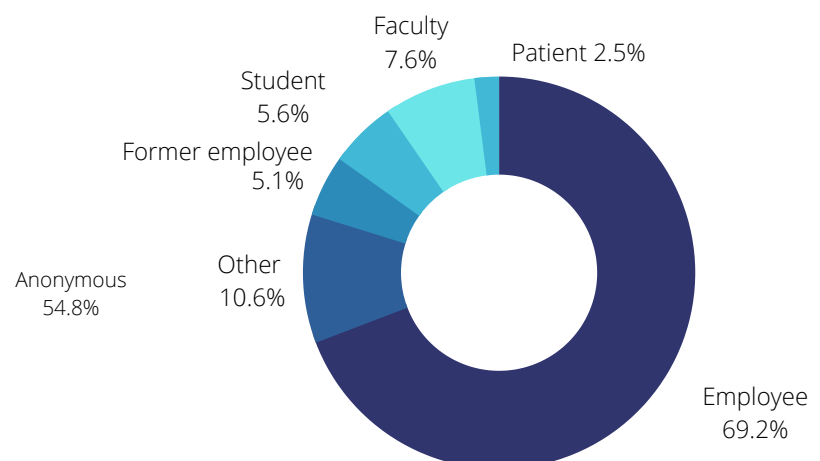
The University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy) governs the reporting and investigation of alleged misconduct by employees at all University locations. A separate Whistleblower Protection Policy establishes procedures for addressing allegations of whistleblower retaliation. UC Davis has a robust process for receiving and responding to whistleblower allegations. UC Davis participates in the systemwide, independently operated whistleblower hotline, which receives whistleblower reports by telephone and on-line on a 24/7 basis. Whistleblower reports also are submitted directly to the Chief Compliance Officer who serves as the UC Davis Locally Designated Official either by the whistleblowers themselves or by University officials who become aware of the allegations. The UC Davis Investigations Workgroup, composed of administrators from UC Davis and UC Davis Health, is responsible for addressing whistleblower reports and meets monthly to coordinate complaint response and resolution. For the 2020-2021 reporting period, UC Davis received 201 whistleblower reports.

The following is a breakdown of complaint sources.

#### Anonymous v. Identified



#### Reported Affiliation of Reporter



[1] This time period for complaint handling was selected to allow sufficient time for closure of most complaints received during this period.

The most often cited categories of whistleblower reports are: workplace misconduct, retaliatory management actions, discrimination/harassment, waste/misuse of University resources, and fraud/theft/embezzlement. However, there were a wide variety of report categories cited encompassing more than 17 different topics and including, but not limited to: health/safety/violence, information security/privacy violations, sexual misconduct, and COVID compliance concerns.

Upon receiving a report, Compliance and Policy unit staff members review the concerns. Depending on the nature of the allegations, investigators within the unit may be charged to conduct a formal investigation. Alternatively, other University offices—such as Employee and Labor Relations, Academic Affairs, Audit and Management Advisory Services, or Health Compliance—may review the concerns. If a complaint does not allege conduct that falls within the Whistleblower or Whistleblower Protection policies, it will be referred to an appropriate department to review and address. If the complaining party has not provided sufficient information about the complaint to proceed, a staff member will request additional information whenever possible.[2]

In 2020-21, the University's Whistleblower reports were resolved as follows:

UC Davis Main Campus	UC Davis Health
81 complaints	117 complaints
40 investigated (3 substantiated, 37 unsubstantiated)	64 investigated (9 substantiated, 55 unsubstantiated)
22 referred	21 referred
13 unable to proceed	21 unable to proceed
6 in process	6 in process
	5 consultation provided

## B. Civilian Complaints Filed Against UC Davis Police Officers

The Police Accountability Board (PAB) is a civilian oversight committee comprised of diverse campus representatives. The PAB receives complaints regarding alleged misconduct by UC Davis police officers. Those complaints are reviewed and investigated by Compliance and Policy office investigators. In 2020-21, 5 complaints were submitted to the PAB. In 1 of these cases, there was sufficient information to conduct an investigation and an investigation was completed. In the remaining 4 cases, the complaints did not proceed to investigation either because the complainant asked for the complaint to be withdrawn, or the complaint was outside the PAB's jurisdiction. The Director of Investigations in the Compliance and Policy office also serves as an ad hoc member of the PAB and a member of the PAB Steering Committee. More information about the PAB, including the 2020-21 PAB Annual Report, is available at: <https://pab.ucdavis.edu/annual-report>.

[2] If an individual has submitted an anonymous complaint via the whistleblower hotline or online portal, staff will submit any follow-up questions through that system. In rare cases where an individual submits an anonymous paper complaint with no contact information, staff may be unable to solicit additional details.

## C. Reports of Sexual Violence, Sexual Harassment, and Other Forms of Prohibited Harassment and Discrimination

The Office of Compliance and Policy oversees the response to all reports involving sexual violence and sexual harassment, other prohibited forms of discrimination and harassment, and hate and bias impacting anyone in the University community, including students, employees, patients and visitors. The office is also responsible for ensuring that the University community receives education regarding the prevention of sexual harassment and sexual violence, as discussed further in the section discussing Title IX compliance efforts.

Effectively responding to reports of all forms of harassment and discrimination is a priority for the University. Compliance has devoted substantial staff resources to this effort:

- The Chief Compliance Officer serves as the Title IX Officer/Lead Discrimination Officer and is responsible for coordinating a prompt and equitable response to all reports of prohibited harassment and discrimination.
- Staff members from the Harassment & Discrimination Assistance and Prevention Program (HDAPP) educate members of the UC Davis and UC Davis Health communities about the prevention of all forms of discrimination and harassment and assist individuals and units in resolving conflicts and complaints related to harassment, discrimination, sexual harassment, sexual violence and hate and bias. HDAPP serves as the central office for receiving reports and maintaining records of these types of complaints.
- Compliance investigators conduct formal investigations involving allegations of sexual violence, sexual harassment and other forms of discrimination and harassment.[3]
- The Response Team Coordinator (“RTC”) is responsible for providing consistent case management and coordination of all sexual violence and sexual harassment reports.

In addition to completing extensive training related to handling SVSH matters, the Compliance staff also participate in several diversity related training programs every year to expand our knowledge and enhance our cultural competency. In 2021, Compliance staff participated in the following diversity-related training programs: (1) Anti-Caste Systems; (2) Disability Awareness; (3) Disability Law and History; (4) Disability Accommodations through COVID; (5) Gender Identity and Gender Inclusive Best Practices for Investigators; (6) Supporting LGBTQIA Survivors for Staff and Faculty; (7) Intercultural Communication Competence; (8) Race Matters: The Intersection of Inclusion, Belonging and Our New Normal; (9) Race-Based Discrimination and Harassment Investigations;

[3] These investigators also investigate whistleblower and whistleblower retaliation complaints and civilian complaints against the UC Davis Police Department on behalf of the UC Davis Police Accountability Board (PAB). In 2021-22 Compliance investigators conducted 36 formal investigations across all complaint categories.

(10) Managing Religious Diversity; (11) Bystander Intervention to Stop Anti-Asian American and Xenophobic Harassment; (12) Understanding Diversity and Social Justice; and (13) Working with Diverse Student Populations.

## **i. How Harassment and Discrimination Complaints are Received**

The University endeavors to eliminate barriers for bringing complaints of sexual violence and sexual harassment, discrimination and harassment, and hate and bias. Complaints can be made directly to HDAPP via phone, email, and in person. There is an anonymous call line for persons who wish to report by phone without disclosing their identities.[4] There are also two online reporting options, one for filing reports of sexual violence [5] and another for reporting discrimination, hate and bias.[6] Both of the on-line portals provide for anonymous reporting.

Complaints may be filed by complainants, witnesses, other concerned parties, or responsible employees.[7] All University employees (including student employees) who, within the course and scope of their employment, learn about sexual harassment or sexual violence involving students or patients are required to report these incidents to the Title IX Office (via HDAPP). Additionally, certain University officials – managers, supervisors, faculty, coaches, department chairs, human resources coordinators, academic personnel coordinators, and student conduct coordinators – are required to report directly to HDAPP all incidents of sexual violence and sexual harassment and discrimination and harassment involving employees.

## **ii. Case Management Teams (CMTs)**

UC Davis takes a collaborative approach to the review and resolution of concerns related to sexual violence and sexual harassment, other forms of discrimination and harassment, and hate and bias. UC Davis implements this collaborative approach through multiple case management teams (CMTs) that review all complaints of sexual violence and sexual harassment, other forms of discrimination and harassment, and hate and bias.

Members of the CMTs include the Chief Compliance/Title IX Officer and representatives of HDAPP and may include the RTC and representatives from the Office of Student Support and Judicial Affairs (OSSJA), Academic Affairs (AA), Employee and Labor Relations (ELR), Campus Counsel, Student Affairs, Diversity, Equity and Inclusion (DEI), the UCD Police Department (UCDPD), and the Center for Advocacy, Resources, and Education (CARE).

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[4] More information about reporting to HDAPP can be found at <https://hdapp.sf.ucdavis.edu/report-incident>.

[5] More information about reporting sexual violence online can be found at <https://sexualviolence.ucdavis.edu/file-report>.

[6] More information about online reporting of incidents of discrimination, hate and bias can be found at <https://reporthatandbias.ucdavis.edu/filing-report>.

[7] Responsible Employees are required to contact HDAPP directly via phone or email and may not report a concern using an online reporting option.

When the report involves allegations of sexual harassment or sexual violence against a patient, we convene an Incident Response Team including several representatives from UC Davis Health. A member of a CMT, generally an HDAPP staff member, will initiate contact with the complainant to obtain additional information, provide information about the complaint resolution process, and refer the complainant to support services. Through discussions with the CMT, we determine the appropriate resolution process and take the steps needed to proceed with that resolution. The CMT tracks all complaints through resolution, ensuring the process moves forward in a timely, fair, and thorough manner.

### **iii. Resolution Processes**

Depending on the nature of the allegations (i.e. whether the allegations on their face, if true, would constitute a violation of policy), the wishes of the complainant, and the needs of the University to ensure the safety of the broader University community, complaints will be resolved through informal resolution strategies, alternative resolution, or formal investigation. Whenever possible and where appropriate, the complainant will be informed when a complaint is resolved and, in some cases, what specific resolution came from their complaint.[8]

Informal resolution strategies are used when the allegations suggest concerning behavior that would not yet rise to a level of a policy violation, but nevertheless should be addressed. Informal resolution strategies typically include conducting an administrative review or preliminary inquiry including fact-finding; coordinating a conversation with the respondent with written follow up (i.e. a “documented discussion”); conducting targeted educational programs; and providing remedies or referral to support services for the individual who was harmed.

Most complaints are resolved in this manner, particularly when the University does not have sufficient information to proceed with a formal review (i.e. there is not sufficient information about a party’s identity or a sufficient connection to the University and/or one of its programs).

Alternative resolution is a process available to resolve complaints of sexual harassment and sexual violence between students when the complainant does not wish there to be a formal investigation.[9]

Alternative resolution is a voluntary process entered into by both the complainant and the respondent. The remedies are determined and agreed to by the parties with support from HDAPP. Examples of alternative resolution remedies include: targeted education; separating the parties; referring a party to counselling; negotiating corrective actions; and conducting follow-up reviews to ensure the resolution has been implemented effectively.

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[8] Complainants in formally investigated sexual harassment/sexual violence and other discrimination and harassment complaints are entitled to know the outcome of the investigation, including any corrective action taken with the Respondent. Complainants in other formally investigated complaints are entitled to know the outcome of the investigation, but not any corrective action taken with the Respondent as that remains a confidential personnel or educational action. In matters that are informally resolved, Complainants are typically informed when the matter is resolved.

[9] There are times when an investigation must be commenced against a Complainant’s wishes, particularly when the alleged behavior of the Respondent poses a risk to the broader University community.

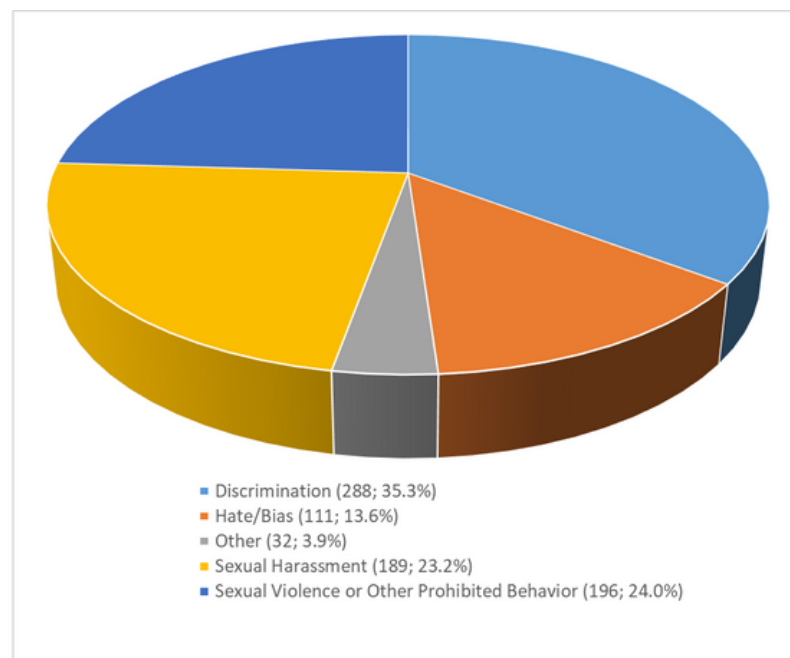


When a complaint is resolved via a formal investigation, a Compliance investigator [10] will be assigned to conduct a fair, prompt, and thorough fact-finding. The investigator will speak to the parties and relevant witnesses, gather and review pertinent documents, and analyze the information consistent with the appropriate policy and investigative framework. Using a preponderance of the evidence standard [11], the investigator will make findings of fact and a determination of whether University policy was violated.

#### **iv. 2020-21 Harassment and Discrimination Case Statistics[12]**

804 complaints were reported to the Title IX Office or HDAPP in 2020-21, a 12.6% increase over reports received in 2019-20. The majority of the complaints (467 cases, or 58%) were at the Davis campus. 327 (41%) of the complaints involved incidents at UC Davis Health. The remainder of the complaints (10 cases, or 1%) involved UC Agriculture and Natural Resources (ANR).

Figure 1 shows the distribution of complaints according to category. Complaints of discrimination comprised just over one third of the total reports received by the Title IX/HDAPP Office while sexual harassment and sexual violence or other prohibited behavior each comprised just under one quarter of the reports received.



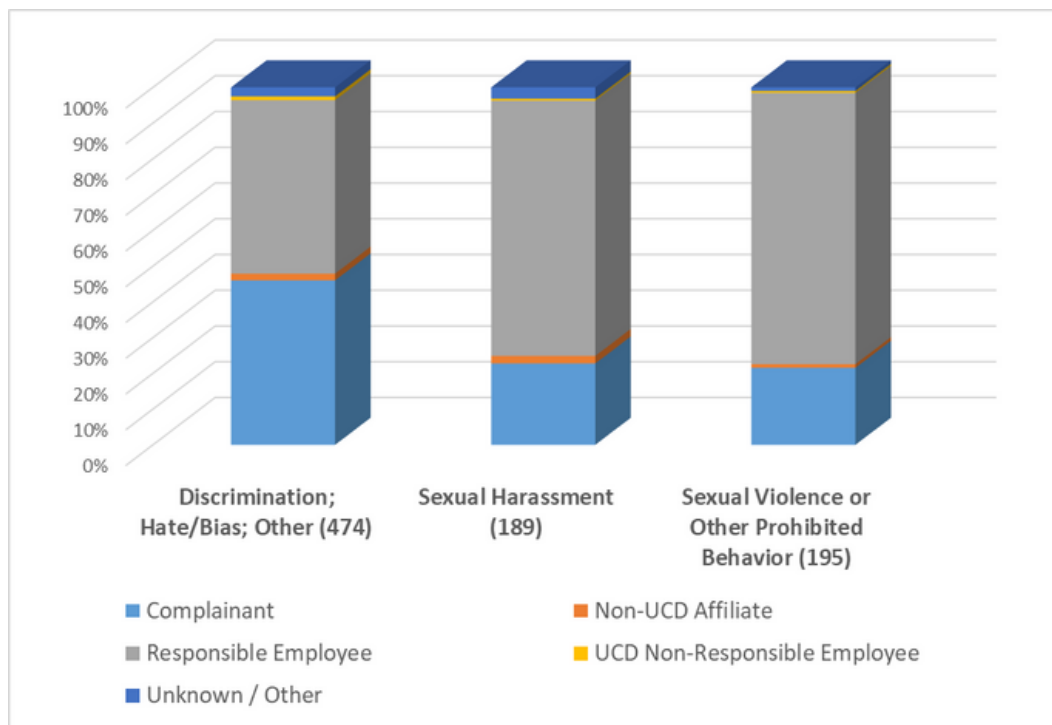
**Figure 1. Complaints received by the Title IX/HDAPP Office in 2020-21, separated by complaint category. Values in parentheses indicate total number and percentage of complaints. Some complaints included allegations in more than one of the categories listed above; those complaints were counted multiple times.**

[10] There are occasions when an outside investigator may be charged at the discretion of the Chief Compliance Officer/Title IX Officer.

[11] The preponderance of the evidence standard of proof means "more likely than not."

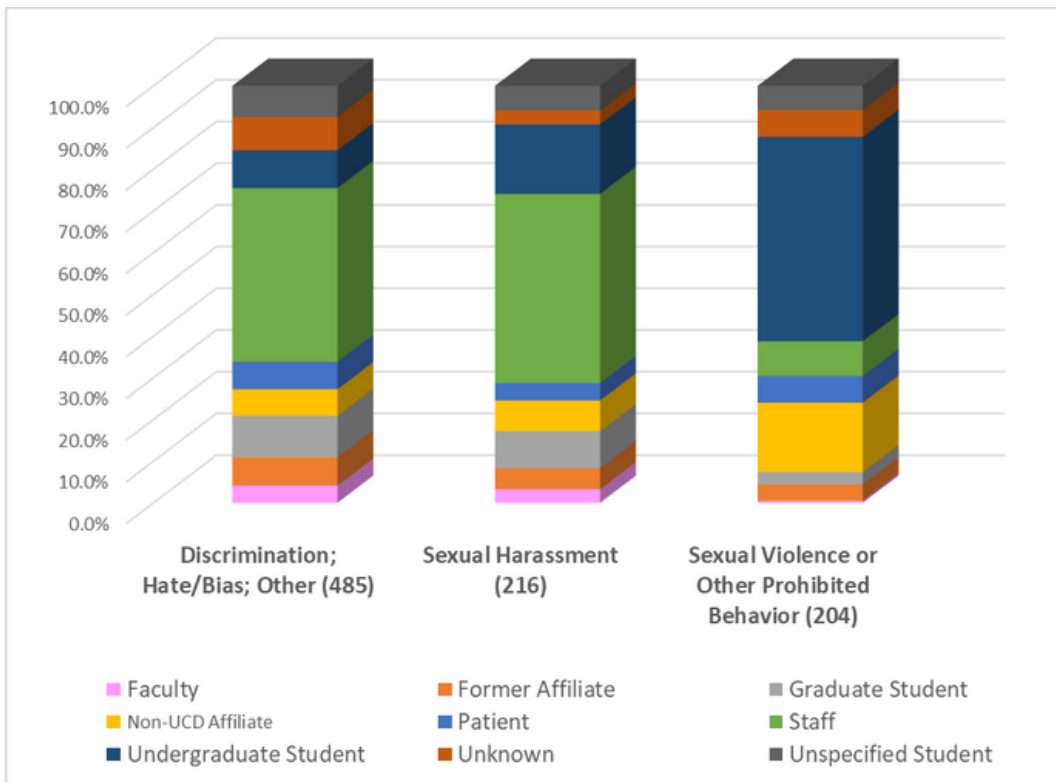
[12] Data represents complaints filed between July 1, 2020 through June 30, 2021.

Figure 2 shows the distribution of the affiliation of the initial reporting party for each complaint, separated by complaint category. Note that, when compared with Figure 1, Discrimination, Hate/Bias, and Other are shown as a single combined category. Over 90% of the discrimination, hate/bias, and other types of complaints were received directly from the Complainant (46.0%) or from a Responsible Employee (48.5%). Complaints alleging sexual harassment were most frequently received from a Responsible Employee or the Complainant (71.4% and 22.8%, respectively). Approximately 3/4 of all complaints alleging sexual violence or other prohibited behavior were reported by a Responsible Employee (75.9%). One fifth of the allegations of sexual violence or other prohibited behavior were received from the Complainant (21.5%).

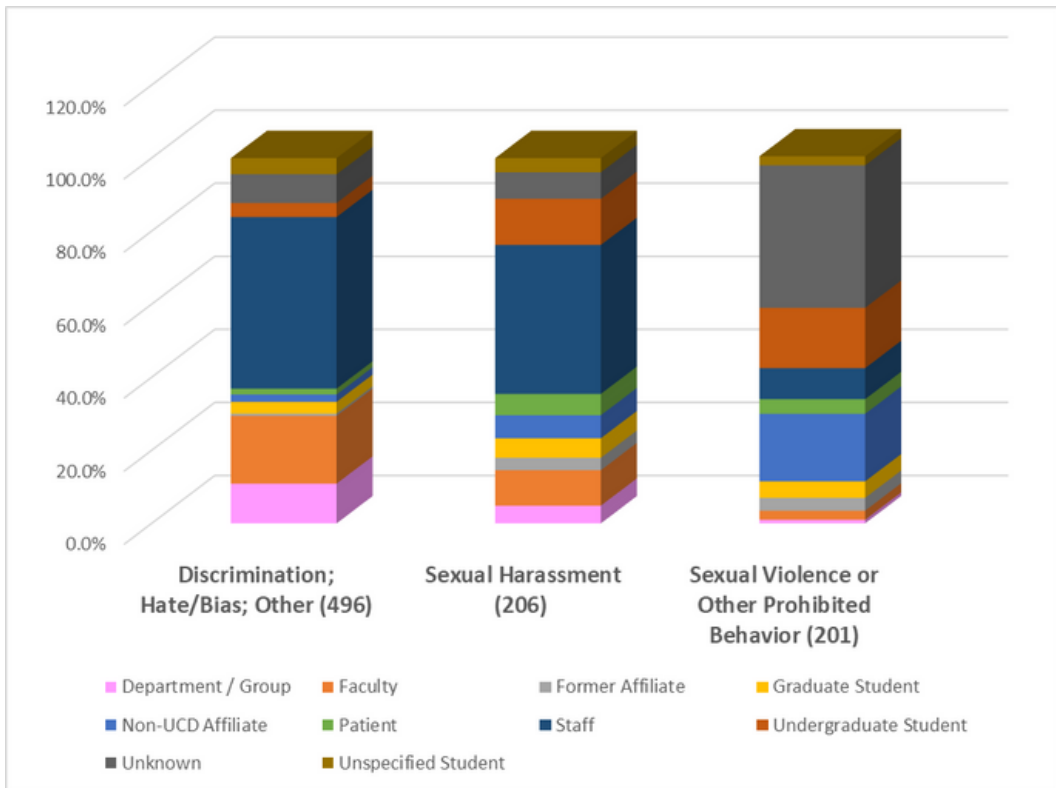


**Figure 2. A column chart showing the affiliation of the reporting parties for complaints received by the Title IX/HDAPP Office in 2020-21, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of complaints received for each category. Some complaints included allegations in multiple categories; those complaints were counted multiple times.**

Figures 3 and 4 summarize the Complainant and Respondent affiliation for each complaint, sorted by complaint category. UCD staff members were the most frequent Complainants and Respondents in discrimination, hate/bias, and other complaints (41.6% and 47.0%, respectively). Staff members also comprised the largest proportions of Complainants and Respondents in reports of sexual harassment (45.4% and 40.8%). Undergraduate students comprised the largest proportion of Complainants for complaints involving sexual violence or other prohibited behaviors (49.0%). The most frequent affiliation for Respondents in incidents alleging sexual violence or other prohibited behaviors was unknown (39.0%) followed by undergraduate students (16.5%).



**Figure 3. A column chart showing the affiliation of the Complainants for complaints received by the Title IX/HDAPP Office in 2020-21, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Complainants represented in each category. Some complaints included multiple Complainants with different affiliations and were counted multiple times.**



**Figure 4. A column chart showing the affiliation of the Respondents for complaints received by the Title IX/HDAPP Office in 2020-21, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Respondents represented in each category. Some complaints included multiple Respondents with different affiliations and were counted multiple times.**

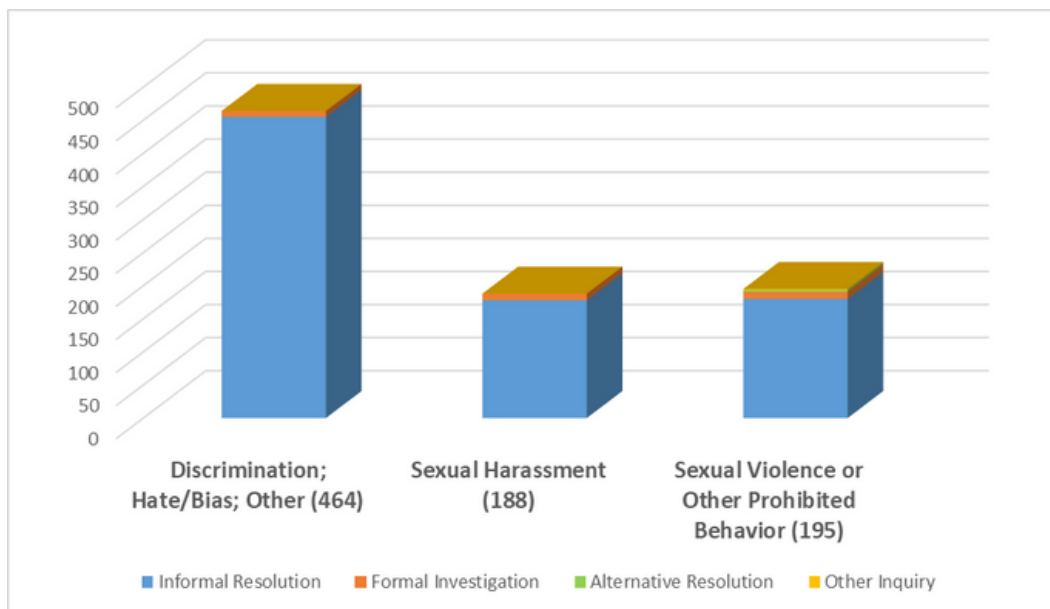
Tables 1a and 1b summarize the bases of the discrimination, harassment, sexual harassment, and sexual violence complaints received, separated by resolution type. Figure 5 shows the frequency of the different complaint resolution types, separated by complaint category.

Protected Identity	Informal Resolution	Formal Investigation
Age	10	0
Ancestry	1	0
Citizenship	4	0
Color	0	0
Disability	31	1
Ethnicity	0	0
Gender	46	2
Gender Identity	25	0
Marital Status	1	0
Medical Condition	40	1
National Origin	36	1
Pregnancy	7	0
Race	177	6
Religion	23	0
Sexual Orientation	22	0
Veteran Status	2	0
Retaliation	4	1
Hate/Bias	6	0
Non-Specific/Other	79	0

**Table 1a. Discrimination, Hate/Bias, and Other complaints received in 2020-21, sorted by complaint and resolution type. Values in each column indicate number of complaints. Some complaints included more than one protected identity; those complaints are counted on the table multiple times. No discrimination, hate/bias or other complaints were resolved using Alternative Resolution, which is only available for sexual harassment and sexual violence complaints.**

Prohibited Behavior	Informal Resolution	Other Inquiry	Alternative Resolution	Formal Investigation
Sexual Harassment (Hostile Environment)	152	0	0	9
Sexual Harassment (Quid Pro Quo)	3	0	0	1
Sexual Harassment (Nonspecific)	20	0	0	0
Sexual Assault (Contact)	23	0	0	3
Sexual Assault (Penetration)	26	1	2	6
Sexual Assault (Nonspecific)	47	0	0	0
Relationship Violence	56	0	0	4
Stalking	28	0	1	1
Violating a No Contact Order or other order of exclusion	0	0	0	0
Indecent Exposure	7	0	0	0
Intercourse with a Minor	1	0	0	0
Invasion of Sexual Privacy	11	0	0	1
Retaliation	4	0	0	0
SVSH (Nonspecific)	0	0	0	0

**Table 1b. Sexual harassment, sexual violence and other prohibited behavior complaints received in 2020-21, sorted by complaint and resolution type. Values in each column indicate number of complaints. Some complaints included multiple prohibited behaviors; those complaints are counted on the chart multiple times.**



**Figure 5. A column chart showing the resolution of complaints received by the Title IX/HDAPP Office in 2020-21, separated by complaint category. Numbers in parentheses show the number of resolutions for each category. Some resolutions included allegations in multiple categories; those resolutions were counted multiple times.**

## Formal Investigation Outcomes

25 formal investigations were completed in 2020-21, including 6 cases received by the Title IX/HDAPP office prior to July 1, 2020. Additionally, 10 cases received by the Title IX/HDAPP Office in 2020-21 were charged for Formal Investigation after July 1, 2021; the results of these cases will be included in the 2021-22 annual report. 11 of the formal investigations completed resulted in a finding that some or all of the alleged behavior constituted a policy violation. Tables 2 and 3 summarize the outcomes of the formal investigations, separated by complaint category.

Investigation Finding	Discrimination	Sexual Harassment	Sexual Violence or Other Prohibited Behavior
No policy violation	6	6	4
Policy violation	2	2	7

**Table 2. A summary of the outcomes of complaints charged and resolved via Formal Investigation in 2020-21, separated by complaint category. Investigations that included allegations in multiple categories were counted multiple times.**

Discipline	Discrimination	Sexual Harassment	Sexual Violence or Other Prohibited Behavior
Academic Suspension (1-2 years)	0	0	3
Employment Suspension (2 – 30 days)	2	0	0
Academic Dismissal	0	0	1
Deferred Dismissal	0	0	1
Letter of Concern	1	0	0
Letter of Expectation	1	2	0
Letter of Warning	0	3	1
Training or Educational Sanction	1	0	1
Respondent Resigned or Retired in Lieu of Termination or Prior to Completion of Investigation	0	2	0
Delay of Graduation or Release of Diploma or Transcripts (2-5 years)	0	0	1

**Table 3. A summary of the final disciplinary outcome of complaints charged and resolved via Formal Investigation in 2020-21 when discipline was assigned. Complaints that included allegations in multiple categories were counted multiple times. Training or Educational Sanction, and Letters of Concern, Expectation, or Warning were issued where there was no finding of a violation of the Sexual Violence and Sexual Harassment Policy or Policy on Discrimination or Harassment but the investigation found other serious concerns. The remaining types of discipline were issued when a violation of one of these policies was found.**

## **D. Complaints Filed with External Agencies**

In addition to responding to complaints and reports filed internally with the University, Compliance responds to all complaints of discrimination or harassment filed with external agencies, including the California Department of Fair Employment and Housing (DFEH), the Equal Employment Opportunity Commission (EEOC), and the United States Department of Education Office of Civil Rights (OCR). In 2020-21, the University received 26 complaints filed with outside agencies. More information about these cases is presented in Appendix 4.

## **III. Compliance Program Responsibilities**

In addition to receiving and responding to the approximately 1,000 reports of misconduct discussed above, the Compliance and Policy office ensures campus compliance with Title IX of the Education Act, the Americans with Disabilities Act, the Clery Act, and affirmative action regulations.

The Compliance and Policy office also coordinates the campus policy process, manages the UC Davis privacy program, supports the UC Davis risk assessment process, and oversees general compliance efforts at UC Davis, including development of an annual compliance plan. The following sections provide more details about each of these responsibilities.

### **A. Title IX**

Title IX compliance includes both responding to reports of sexual harassment and sexual violence (discussed in section II.C, above) and ensuring that the campus has policies and programs in place to prevent sexual misconduct and provide a learning and working environment free of gender-based harassment and discrimination.

#### Sexual Violence and Sexual Harassment Prevention Education

The University is deeply committed to ensuring faculty, staff, graduate and professional students, and undergraduate students are equipped to recognize, prevent, report, and address matters related to sexual violence and sexual harassment. We use a variety of methods and programs to engage the UC Davis community, both on the Davis and Sacramento campuses. This includes in-person, instructor-lead programs, co-facilitated programs in partnership with various units on campus, online programs, and webinars. [13]

All members of the UC community — students, staff, faculty and other academic appointees — are required to receive sexual violence prevention and intervention training and education. All incoming students must complete mandatory sexual violence prevention training within the first six weeks of beginning classes at UC Davis.

Faculty and staff supervisors are legally required to complete two hours of sexual harassment prevention training every two years, and new faculty and supervisors are required to take training within 90 days of hire. Staff and academic appointees who are not supervisors are also required to complete sexual harassment and sexual violence prevention training within the first six weeks of hire and every two years thereafter.

Most of the training for employees is completed through on-line training programs. However, during the reporting period, there were 10 Sexual Harassment/Sexual Violence Prevention training sessions for faculty and staff, reaching approximately 355 employees. Additionally, HDAPP provided educational materials to new employees to the Health campus at bi-weekly New Employee Orientation, reaching approximately 1500 employees. HDAPP also conducted 8 by-request training sessions for undergraduate and graduate students, reaching approximately 337 students.

Regarding the Sexual Violence and Sexual Harassment Prevention Education requirement for new students, 9400 undergraduate students who started in Fall 2020 attended one of 21 in-person presentations hosted by CARE. 2400 graduate and professional students who started in Summer or Fall 2020 completed the requirement by attending one of 12 in-person presentations hosted by HDAPP. Live webinars presented by HDAPP and CARE as well as an online course, also created by CARE and HDAPP, were offered as alternatives to new undergraduate and graduate students who could not attend an in-person session. New undergraduate and graduate students who started in Winter or Spring 2021 completed the requirement via the online course.

The mandatory training compliance rate for 2020-21 is: [14]

<b>Supervisors</b>	<b>89%</b>
<b>Non-supervisors</b>	<b>89%</b>
<b>Undergraduate students</b>	<b>100%</b>
<b>Graduate/professional students</b>	<b>100%</b>

#### Coordinated Community Review Team (CCRT)

The CCRT is responsible for developing and maintaining a collaborative approach to preventing and addressing sexual violence. The CCRT is comprised of University and community stakeholders and serves in an advisory capacity to campus leadership about best practices in education, prevention and response to sexual assault, relationship violence, and stalking as well as other behavior prohibited by the University's Sexual

[14] The University monitors training completion. Staff who do not complete the training are not eligible to receive a "fully meets expectations" rating on their annual performance review. Students who do not complete the training cannot register for classes until the training is completed. We are in the process of implementing accountability measures for faculty who do not complete the training



Violence and Sexual Harassment Policy. The CCRT is co-chaired by the Chief Compliance Officer and the Associate Vice Chancellor of Student Affairs and meets quarterly.

#### Title IX Athletics Administrative Advisory Committee (Title IX AAAC)

The Title IX AAAC is advisory to the Chancellor and serves as an oversight and review body, with responsibility for ensuring that the University's intercollegiate athletics program complies with Title IX.

In 2021, the committee was co-chaired by the Chief Compliance Officer and the Associate Athletics Director of Compliance. During this time period, the Title IX AAAC monitored facility improvements, reviewed team rosters, conducted trend analyses based on data submitted under the Equity in Athletics Disclosure Act, assessed services provided to athletes, and ensured effective sexual misconduct prevention education was provided to student athletes, coaches and administrators.

### **B. Americans With Disabilities Act (ADA)**

Making University programs and facilities accessible to students, staff, faculty, and the public is a shared responsibility accomplished through the work of many individuals and departments. The Chief Compliance Officer serves as the ADA Coordinator for the UC Davis campus. In this capacity, the Compliance & Policy unit helps to coordinate accessibility needs and receives reports regarding disability access issues and concerns. Reports received during the relevant period related to academic accommodations, employment accommodations and physical accessibility. These reports were resolved by working with a variety of campus partners including Employee and Labor Relations, Disability Management Services, the Student Disability Center, Deans' offices, Facilities, and Design and Construction Management.

The Chief Compliance Officer chairs the Accessibility Funding Committee, which meets quarterly and designates funds to make important accessibility improvements on the Davis campus. The committee includes representation from Facilities, Design and Construction Management, Student Disability Center and Disability Management Services. In 2021, the Committee provided funds to increase the number of automatic door operators throughout campus, improve restroom accessibility in several buildings, and perform surveys to review additional areas where accessibility improvements could be made. The Compliance unit also maintains a one-stop website for disability resources. [15]

### **C. Affirmative Action**

As a federal contractor, UC Davis is required to complete an analysis of its workforce each year to determine: (1) how the gender and racial composition of our workforce compares with the availability of women and minorities in the workforce in general and (2) at what rate we are hiring individuals with disabilities and protected veterans. Working with Academic Affairs and Human Resources, Compliance coordinates the development and publication of the University's annual Affirmative Action Plan. Compliance also convenes an Affirmative Action Workgroup in partnership with Human Resources that aims to improve the diversity of hiring pools and to enhance the University's affirmative action compliance.

### **D. Clery Act**

The Clery Coordinator works with campus partners, including the UC Davis Police and Fire Departments, the Office of Student Support and Judicial Affairs, Student Housing and Dining Services, Emergency Management and Mission Continuity, Real Estate Services, and Human Resources to develop and publish the Annual Security and Fire Safety Report (ASFSR), which includes information on campus crime statistics, fire safety policies for on-campus residential facilities, and other important safety information.

The 2021 ASFSR was originally issued on September 28, 2021 and then reissued on March 31, 2022. The revised version is available by request or via the UC Davis Clery Act website[16]. The 2021 ASFSR was revised and reissued in response to changes in the revised Interim Sexual Violence and Sexual Harassment Policy, which went into effect on January 1, 2022. In Fall 2020, The Clery Program also began offering in-person training by request for Campus Security Authorities (CSA) as well as online training opportunities for CSAs who are not otherwise associated with UC Davis. Previously, online training was only available to CSAs with UC Davis computing accounts.

### **E. Privacy**

During the relevant time period, the Privacy Officer consulted on numerous privacy questions and issues from various campus units, partnered with IET on management of cybersecurity and privacy incidents and vendor risk assessments, and enhanced campus privacy culture.

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[16] <https://clery.ucdavis.edu/>

More specifically, the Privacy Officer made significant progress in the following:

- Consulting with campus units on privacy compliance questions and issues related to data access, use, and permitted disclosures. These include privacy issues related to UC COVID-19 Vaccine Policy and campus COVID-19 protocols. The Privacy Office provided advice related to campus collection and maintenance of student and employee vaccination records, exception requests for compliance with UC Vaccine Policy, symptom surveys, and testing. Other most common areas of consultation include privacy policy and notice requirements, privacy terms in global agreements, classifying research data, and recording classroom lectures and seminars.
- Swiftly responding to privacy and cybersecurity incidents affecting campus in coordination with the Information Security Office. This includes managing campus response to vendor privacy and security incidents. The Privacy Officer also continues to contribute updates to the campus cybersecurity incident response plan.
- Engaging in consultations on identity theft and how to protect personal information. The Privacy Officer collaborated with the Campus Information Security Officer to provide a training to the UCD Staff Assembly on information protection and steps to take in response to identity theft.
- Partnering with the Information Security Office on vendor risk assessments to provide campus units with data classification guidance and assist with reviews of vendor privacy policies.
- Serving on the Institutional Data Council to answer questions and provide advice on privacy compliance related to collection, use, and sharing of institutional data. The Privacy Officer raises key privacy considerations for inclusion in campus data governance recommendations and reports.
- Keeping the campus informed on updates and new global and domestic privacy laws and regulations. The Privacy Officer has been providing trainings on underlying privacy principles to campus units handling information to address growing awareness surrounding privacy of personally identifiable information.

## **F. Policy**

The Administrative Policy Office oversees the development of campuswide policies in the Policy and Procedure Manual (PPM) and Personnel Policies for Staff Members (PPSM). While the Policy Office establishes policy standards and manages the development, review, and approval procedures for policies, the individual administrative units (the policy owners; responsible departments) are ultimately responsible for promulgating and ensuring the continued accuracy of their policies.

Since 2020, the Policy Office has incorporated a policy equity review into the formal policy review process to help shape the outcome of new and updated policies. Through the equity review process, we consider the impact policy has on under-served and marginalized individuals/groups to enhance policy effectiveness, broaden engagement, and strengthen policy impact in support of the UC Davis Diversity and Inclusion Strategic Vision and the Principles of Community. Much of the feedback provided to policy owners consists of simple terminology or wording changes to provide a positive impact on diverse individuals and groups.

In December 2021, there were a total of 228 policies. Policies must be reviewed every four years to ensure accuracy, continuing applicability, and compliance. The number of policies on the update list and those that were overdue for update decreased from the previous year (32 policies (14%) down from 40 policies (17%) that were on the update list, 17 policies (7.5%) down from 29 policies (13%) that were overdue for update). Many of the policies on the update list are in development (24 out of the 32 policies (75%)) and in progress of being updated. Much of the improvements to these metrics are attributed to the Policy Office conducting regular outreach to each administrative unit by providing update lists, training, resources, development assistance as well as consultation to promote policy development, and updates.

The Campus Policy Coordinator also participates on committees charged to develop key policies. The following policies were newly developed or substantially revised in 2021 (i.e., in response to the pandemic, to align with the transition to UCPath, etc.):

- Interim Section 290-01, Public Health Policy
- Development and Maintenance of Campuswide Administrative Policies (Policy on Policy)
- Section 220-01, Organized Research
- Section 390-30, Disruptive Behavior in the Workplace
- Section 380-13, Near Relatives and Consensual Relationships
- Section 380-09, Visiting Academic Collaborators
- Section 290-85, Electrical Safety
- Section 260-15, Solicitation and Acceptance of Private Support
- Section 400-15, Complaints of Discrimination and Harassment

## **G. Other Compliance Coordination and Oversight**

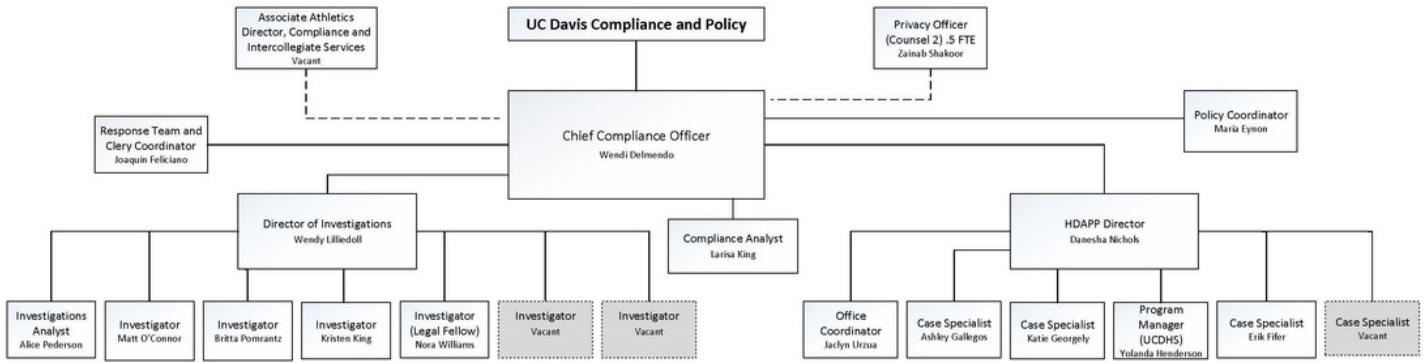
- **Audit, Compliance, Ethics, and Risk Committee (ACERC):** The ACERC is a coordinating and decision-making body responsible to the Chancellor that is charged to promote a culture that encourages all employees to conduct University business in an ethical and compliant manner and to provide executive-level oversight of the University's audit, compliance, and risk functions. ACERC meets three times a year and is jointly coordinated by Audit and Management Advisory Services (AMAS) and the Compliance and Policy unit.
- **Compliance and Risk Council (CRC):** CRC is co-chaired by the Chief Compliance Officer and the Risk Manager. CRC is comprised of subject matter experts from across campus who are charged to coordinate compliance activities, identify University-wide risks and recommend risk mitigation strategies to the ACERC. The CRC is scheduled to meet monthly.
- **Fraud Risk Management Program:** As a result of several recent employee frauds, the University implemented a Fraud Risk Management Program. A new Fraud Risk Management Policy became effective in December 2019 and a website and training materials were released in early 2020. Compliance oversees the Fraud Risk Management Program.
- **Section 117 of the Higher Education Act (HEA):** Compliance coordinates the University's obligation to report funds received from foreign sources under Section 117 of the HEA. Other offices involved in this work include Financial Aid, Office of Research, DEVAR, UC Davis Health, Procurement, Real Estate Services and Global Affairs.
- **NCAA Compliance Partnership:** There is a dotted line reporting relationship between the Associate Athletics Director of Compliance and the Chief Compliance Officer. Additionally, Compliance supports Athletics Compliance by partnering on developing compliance-related training and conducting student athlete credential reviews.

# IV. Staff List and Organizational Chart

## Compliance and Policy Staff

- **Wendi Delmendo**, Chief Compliance Officer; (530) 752-9466; [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu)
- **Wendy Lilliedoll**, Director of Investigations; (530) 752-8744; [lilliedoll@ucdavis.edu](mailto:lilliedoll@ucdavis.edu)
- **Matt O'Connor**, Investigator; (530) 754-6792; [mattoconnor@ucdavis.edu](mailto:mattoconnor@ucdavis.edu)
- **Britta Pomrantz**, Investigator; (530) 754-1885; [bpomrantz@ucdavis.edu](mailto:bpomrantz@ucdavis.edu)
- **Kristen King**, Investigator; (530) 752-3949; [kayking@ucdavis.edu](mailto:kayking@ucdavis.edu)
- **Alice Pederson**, Investigations Analyst; (530) 754-0900; [aepederson@ucdavis.edu](mailto:aepederson@ucdavis.edu)
- **Joaquin Feliciano**, Clery Coordinator/Response Team Coordinator; (530) 752-9050; [jbfeliciano@ucdavis.edu](mailto:jbfeliciano@ucdavis.edu)
- **Larisa King**, Compliance Analyst; (530) 752-6550; [loking@ucdavis.edu](mailto:loking@ucdavis.edu)
- **Maria Eynon**, Policy Coordinator; (530) 752-0655; [meynon@ucdavis.edu](mailto:meynon@ucdavis.edu)
- **Nora Williams**, Compliance Legal Fellow; [ndwilliams@ucdavis.edu](mailto:ndwilliams@ucdavis.edu)
- **Zainab Shakoor**, Privacy Officer; 530-752-2407; [zshakoor@ucdavis.edu](mailto:zshakoor@ucdavis.edu)
- **Danéscha Nichols**, Director, Harassment & Discrimination Assistance and Prevention Program (HDAPP); (530) 747-3864; [dnnichols@ucdavis.edu](mailto:dnnichols@ucdavis.edu)
- **Erik Fifer**, HDAPP Education and Case Specialist; (530) 747-3864; [eafifer@ucdavis.edu](mailto:eafifer@ucdavis.edu)
- **Katie Georgely**, HDAPP Education and Case Specialist; (530) 747-3868; [kcbailey@ucdavis.edu](mailto:kcbailey@ucdavis.edu)
- **Ashley Gallegos**, HDAPP Education and Case Specialist; (530) 747-3864; [angallegos@ucdavis.edu](mailto:angallegos@ucdavis.edu)
- **Jaclyn Urzua**, HDAPP Office Coordinator; (530) 747-3864; [jrurzua@ucdavis.edu](mailto:jrurzua@ucdavis.edu)
- **Yolanda Henderson**, HDAPP Program Manager, UC Davis Health; (916) 734-3417; [yehenderson@ucdavis.edu](mailto:yehenderson@ucdavis.edu)

# Compliance and Policy Organizational Chart



5/24/22

## V. Guide to Appendices

- Please keep in mind that all potentially identifying information has been purposefully withheld to protect the privacy of all parties. We have provided the general nature of the allegations, but not the specific allegations to avoid the possibility that any one case can be identified and tracked back to the parties.
- All case resolutions are based on the precise set of facts presented. Each case is reviewed individually and each resolution is specifically tailored to each case.
- Resources provided – In all cases where possible (i.e. when we have contact information for the complainant(s)), we ensure appropriate support resources are provided. When Complainants are non-affiliates, there are times when there are no applicable resources we are able to provide. In many cases, the process does not progress beyond the provision of resources due to (but not limited to) the following reasons:
  - The name or identity of the Respondent has not been provided;
  - The information provided about the allegations is insufficient to move the process forward (i.e. no specific information about the allegations is provided.)
  - The Complainant does not wish to proceed with their complaint, does not reply to outreach efforts, or only requests resources.
  - The Respondent is not affiliated with the University, and/or
  - The University has conducted a preliminary review of the allegations and determines there is insufficient evidence to support moving forward with a formal resolution process.
- There are instances when a Respondent may receive disciplinary action despite there being no formal investigation or finding of a policy violation. When this occurs, it is primarily because the University has determined that the Respondent has engaged in behavior that does not meet the University's expectations even if that behavior does not rise to the level of violating University policy prohibiting sexual violence, sexual harassment or other forms of discrimination or harassment on the basis of a legally protected characteristic.
- There are times when a Complainant requests a specific remedy that the University is able to provide in the context of an informal resolution. When that occurs, the requests are met whenever possible.



- A No Contact Directive is an order issued from the Office of Student Support and Judicial Affairs at the request of a student that another student have no contact with them. No Contact Directives are not the same as restraining orders: the No Contact Directive prohibits contact but does not limit a student's presence on campus.
- A documented discussion is an informal resolution strategy in response to allegations where specific, detailed information has been presented as to Respondent's behavior, and the behavior as alleged is concerning, but does not rise to a level of a policy violation. The Respondent is informed that the behavior alleged may be inconsistent with policy and advised of behavior expectations. A follow up communication (summary letter) is provided documenting the discussion that occurred. Documented discussions are not disciplinary in nature. A record of the communication is retained by HDAPP.
- Some allegations are referred to other campus departments or units when the allegations do not fall under the University's policies prohibiting sexual harassment, sexual violence or other forms of discrimination or harassment.

# Appendix 1

Appendix 1. Summary of the reports received by the Compliance Office In 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Multiple Staff	Responsible Employee	Discrimination	Gender identity -- misgendering, deadnaming	Resources provided; Education for Respondent
Davis	Unspecified Student	Faculty	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information to take further action
Davis	Unspecified Student	Faculty	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information to take further action
Davis	Graduate Student	Unknown	Responsible Employee	Discrimination	Race (Unspecified)	Resources provided; Insufficient information to take further action
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Race (Asian) -- comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Race (Unspecified) -- concerns about educational content	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (female)	Resources provided; Insufficient information to take further action
Davis	Department / Campus Group	Department / Campus Group	Non-UCD Affiliate	Discrimination	Age -- adverse employment action	Resources provided; Preliminary review -- no evidence of policy violation.
Davis	Graduate Student	Department / Campus Group	Complainant	Discrimination	Medical Condition -- failure to accommodate	Resources provided; Preliminary review -- no evidence of policy violation.
Davis	Staff	Multiple Faculty	Complainant	Discrimination	National Origin (unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Former Affiliate; Staff	Staff	Responsible Employee	Discrimination	Race (Asian) -- differential treatment	Resources provided; Insufficient information for further review
Davis	Unknown	Staff	Complainant	Discrimination	Race (Non-White) -- comments; adverse educational actions	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Staff	Responsible Employee	Discrimination	National Origin (unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Department / Campus Group	Responsible Employee	Discrimination	Religion (Christian) -- exclusion	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- use of FMLA	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unknown Undergraduate Student	Faculty; Staff	Responsible Employee	Discrimination	Disability -- failure to accommodate	Insufficient information to provide resources; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	National Origin (unspecified) -- adverse educational action	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Education for Department/Group
Davis	Anonymous Unknown	Faculty	Complainant	Discrimination	Race (unspecified) -- grading disparity	Insufficient information to provide resources; Insufficient information for further review
Davis	Anonymous Unknown	Staff	Complainant	Discrimination	Medical Condition -- adverse action based on FMLA use	Insufficient information to provide resources; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- use of FMLA	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Non-UCD Affiliate	Discrimination	Medical Condition -- use of FMLA	Resources provided; Complainant's request met
Davis	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Disability -- poor performance appraisal and denial of salary increase	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Discrimination	Race (unspecified) -- grading disparity	Resources provided; Complaint withdrawn
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	National Origin (unspecified); Disability -- comments	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Department / Campus Group	Responsible Employee	Discrimination	Unspecified -- adverse educational actions	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Hispanic) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (Female) -- pay disparity	Resources provided; Preliminary review-no evidence of policy violation

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office In 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Former Affiliate	Staff	Responsible Employee	Discrimination	Race (Black); Sexual Orientation (Unspecified) -- comments; workplace harassment	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Department / Campus Group; Faculty; Graduate Student	Responsible Employee	Discrimination	National Origin (unspecified) -- adverse educational actions	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unspecified Student	Responsible Employee	Discrimination	Unspecified--Verbally Aggressive Behavior	Resources provided; Insufficient information for further review
Davis	Faculty	Department / Campus Group	Responsible Employee	Discrimination	Sex/Gender (Female)-- failure to promote	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Race (Unspecified) -- comments	Resources provided; Insufficient information for further review
Davis	Unknown	Unspecified Student	Complainant	Discrimination	Race (Black)-- comments	Insufficient information to provide resources; Freedom of Speech; Noted for climate purposes
Davis	Former Affiliate	Staff	Complainant	Discrimination	Age, Ancestry (Unspecified); Race (Unspecified); National Origin (Unspecified); Retaliation (Unspecified)	Unable to provide resources to non-affiliate complainant; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Non-UCD Affiliate	Discrimination	Age -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Race (Black); Disability -- comments	Resources provided; Verbal Counseling for Respondent
Davis	Former Affiliate	Department / Campus Group	Responsible Employee	Discrimination	Sex/Gender (Female) -- exclusion	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Discrimination	Race (Unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty; Department / Campus Group	Complainant	Discrimination	National Origin (Middle Eastern); Sex/Gender (Female); Race (Bi-Racial); Services in Uniformed Services -- unfair grading, unfair school placement sites, unfair request of transcripts	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Faculty	Complainant	Discrimination	Race (unspecified) -- unspecified	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Department / Campus Group	Responsible Employee	Discrimination	Disability -- application process	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown	Responsible Employee	Discrimination	Disability -- failure to accommodate	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Complainant	Discrimination	Medical Condition; Pregnancy -- use of FMLA	Resources provided; Education for Respondent
Davis	Faculty	Unspecified Student	Responsible Employee	Discrimination	Race (Black) -- visual image	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Staff	Staff	Responsible Employee	Discrimination	National Origin (Unspecified) -- unspecified unfair treatment; Medical Condition -- improper disclosure of information	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Department / Campus Group	Responsible Employee	Discrimination	Disability -- exclusion	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unknown Faculty	Responsible Employee	Discrimination	Disability -- failure to accommodate	Resources provided; Insufficient information for further review
Davis	Staff, Unspecified Student	Staff	Complainant	Discrimination	Gender Identity (unspecified) -- misgendering	Resources provided; Insufficient information for further review; Complaint withdrawn, Complainant's request met
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Unspecified) -- rude treatment	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Race (non-White) -- unfair reporting of academic misconduct	Resources provided; Preliminary review-no evidence of policy violation

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Education for Respondent
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Disability -- unfair grade	(pending)
Davis	Undergraduate Student	Faculty; Graduate Student	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Complaint withdrawn
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- adverse employment action	Resources provided; Preliminary review-no evidence of policy violation
Davis	Department / Campus Group	Department / Campus Group	Responsible Employee	Discrimination	Sex/Gender (Female) -- harsher sanctions	Resources provided; Complainant's request met
Davis	Former Affiliate	Unknown	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Department / Campus Group	Responsible Employee	Discrimination	Disability -- failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	National origin (unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Former Affiliate	Staff	Responsible Employee	Discrimination	Race (Hispanic) -- poor service	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Sexual Orientation -- comments (LGBTQIA); Race (Black) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Complainant	Discrimination	Age -- demotion	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Unspecified Student	Faculty	Complainant	Discrimination	Disability -- failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	Religion (Judaism) -- adverse employment actions	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Race (unspecified) -- exclusion from participation	Resources provided; Insufficient information for further review
Davis	Staff	Department / Campus Group	Responsible Employee	Discrimination	Sex/Gender (Female) -- differential treatment	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Disability -- disclosing medical condition, failure to accommodate	(pending)
Davis	Staff	Department / Campus Group	Complainant	Discrimination	Race (Hispanic) -- unfair work assignments	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Complainant's request met
Davis	Graduate Student	Staff	Respondent	Discrimination	Disability -- unfair grading, failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation
Davis	Faculty	Department / Campus Group	Responsible Employee	Discrimination	Race (Black) -- differential treatment	(pending)
Davis	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (female) -- unfair work assignments	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	National Origin (Iran) -- differential treatment, adverse employment action	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Unspecified Student	Non-UCD Affiliate	Discrimination	Race (Black) -- comments	Resources provided; Respondent no longer affiliated with UC Davis; Freedom of Speech; Noted for climate purposes
Davis	Unspecified Student	Department / Campus Group	Responsible Employee	Discrimination	Medical Condition -- failure to accommodate	Insufficient information to provide resources; Education for Department
Davis	Undergraduate Student	Undergraduate Student	Complainant	Discrimination	Gender identity -- misgendering	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Staff; Undergraduate Student	Complainant	Discrimination	Religion (Judaism) -- exclusion	Resources provided; Education for Respondent

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Former Affiliate	Faculty	Complainant	Discrimination	Race (Unspecified); Sexual Orientation (Unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information for further review
Davis	Staff	Faculty	Complainant	Discrimination	Unspecified -- denied opportunity	Resources provided; Insufficient information for further review
Davis	Graduate Student; Staff	Faculty	Responsible Employee	Discrimination	Sexual Orientation (LGBTQIA) -- comments	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Graduate Student	Staff	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Former Affiliate	Staff	Responsible Employee	Discrimination	Race (Black); National Origin (India) -- misidentify people of same race	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Graduate Student; Undergraduate Student	Responsible Employee	Discrimination	Sex/Gender (Male) -- differential treatment; Disability -- failure to accommodate	Resources provided; Insufficient information for further review; Complaint withdrawn
Davis	Non-UCD Affiliate	Unspecified Student	Responsible Employee	Discrimination	Religion (Judaism) -- unspecified	Resources provided; Insufficient information for further review; Complaint withdrawn
Davis	Former Affiliate	Staff	Responsible Employee	Discrimination	Race (Black) -- denied opportunity	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Discrimination	Religion (Judaism) -- comments	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Complainant	Discrimination	Sexual Orientation (LGBTQIA) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Staff	Responsible Employee	Discrimination	Disability -- denied admission	Resources provided; Insufficient information for further review
Davis	Staff	Department / Campus Group	Responsible Employee	Discrimination	Race (Black) -- differential treatment	Resources provided; Mitigating Measures taken
Davis	Staff	Faculty; Staff	UCD Non-Responsible Employee	Discrimination	Race (Black) -- unsupportive supervisor	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Staff	Non-UCD Affiliate	Discrimination	Race (Asian) -- false allegations, differential treatment	Insufficient information to provide resources; Insufficient information for further review
Davis	Staff	Staff	Complainant	Discrimination	Disability -- failure to accommodate, differential treatment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender Identity -- misgendering	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Faculty	Complainant	Discrimination	Race (Unspecified) -- requested accommodation denied	Resources provided; Preliminary review-no evidence of policy violation; Referred to Academic Affairs
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Race (Asian) -- differential treatment, unfair reporting to OSSJA	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (female) -- exclusion	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Graduate Student	Staff; Unspecified Student	Complainant	Discrimination	Race (Black) -- comments	Resources provided; Insufficient information for further review
Davis	Graduate Student	Staff	Complainant	Discrimination	Sex/Gender (Female); Race (Unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Sexual Orientation (unspecified) -- comments	Resources provided; Complaint withdrawn
Davis	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- comments	Resources provided; Alleged conduct not covered by Policy
Davis	Unknown	Unknown	Responsible Employee	Discrimination	Race (Unspecified)-Racialized emails	Resources provided; Education for Department

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Complainant	Discrimination	Race (White)– Unequal treatment	Resources provided; Preliminary review–no evidence of policy review
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Citizenship (Unspecified); National Origin (Unspecified)– Invasive personal questions	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unknown	Complainant	Discrimination	Race (Unspecified); Sexual Orientation (Unspecified)– Comments on Social Media	Resources provided; Insufficient information for further review
Davis	Unknown	Staff	Complainant	Discrimination	Gender (female); Sexual Orientation (Unspecified); Religion (Muslim)– Comments on Social Media	Resources provided; Freedom of Speech
Davis	Undergraduate Student	Department / Campus Group	Complainant	Discrimination	National Origin (Unspecified)– Unequal treatment	Resources provided; Preliminary review–no evidence of policy violation
Davis	Unknown	Faculty	Complainant	Discrimination	Race (Black)– Comments related to stereotypes	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Complainant	Discrimination	Race (Unspecified)– Comments related to racial stereotypes	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Discrimination	Gender (female); Race (Unspecified); Sexual Orientation (Unspecified)–Rude comments on Zoom	Resources provided; Insufficient information for further review
Davis	Multiple Unspecified Students	Non-UCD Affiliate	Complainant	Discrimination	Race (Unspecified); Religion (Muslim); Sexual Orientation (LGBTQIA)–Name calling	Resources provided; Preliminary review–no evidence of policy violation
Davis	Graduate Student	Unspecified Student	Complainant	Discrimination	Race (Black); Gender (female)– Comments on Social Media	Resources provided; No evidence of policy violation after preliminary review
Davis	Graduate Student	Graduate Student	Complainant	Discrimination	Gender (female)– Rudeness	Resources provided; Education for Department
Davis	Unknown	Staff	Complainant	Discrimination	National Origin (Unspecified)– Favoritism	Insufficient information to provide resources; No evidence of policy violation after preliminary review
Davis	Unknown	Department / Campus Group	Complainant	Discrimination	National Origin (European)–Unequal treatment	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Faculty	Complainant	Discrimination	Unspecified–Pay inequity	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Faculty	Complainant	Discrimination	Gender (Unspecified)– Structural sexism; Medical Condition– Lack of Accommodations; Race (Unspecified)– Structural racism	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unspecified Graduate Students	Complainant	Discrimination	Race (Asian)–Rude drawing	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unspecified Graduate Students	Complainant	Discrimination	Unspecified– Unspecified microaggressions	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Faculty	Complainant	Discrimination	Race (Unspecified)– Unspecified concern	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unknown	Complainant	Discrimination	Medical Condition– Lack of Support during pregnancy	Resources provided; Insufficient information for further review
Davis	Faculty	Department / Campus Group	Complainant	Discrimination	Unspecified	Resources provided; Complaint withdrawn
Davis	Staff	Staff	Complainant	Discrimination	Medical Condition– Rudeness	Resources provided; No evidence of policy violation after preliminary review
Davis	Unknown	Unspecified Student	Complainant	Discrimination	Sexual Orientation– Comments on Social Media	Resources provided; Freedom of Speech

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Unknown	Staff	Complainant	Discrimination	Race (Asian)--Rude comments	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Unspecified Student	Complainant	Discrimination	Nonspecific-- Comments made over text messages	Resources provided; Freedom of Speech
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Black)- Unequal treatment	Resources provided; Complaint withdrawn
Health System	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (Female) -- differential treatment	Resources provided; Education for Respondent; Education for Department/Group
Health System	Staff	Staff	Complainant	Discrimination	Race (Black); Age -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- failure to accommodate	Resources provided; Complainant's request met
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Patient	Staff	Responsible Employee	Discrimination	Race (Black)-- comments	Letter of Warning for Respondent
Health System	Staff	Staff	Responsible Employee	Discrimination	National Origin (unspecified) -- failure to hire	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- harassment related to COVID requirements	Resources provided; Referred to Employee and Labor Relations
Health System	Staff	Staff	Responsible Employee	Discrimination	Disability -- failure to hire	Resources provided; Education for Department
Health System	Staff	Staff	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information to take further action; Referred to Employee & Labor Relations
Health System	Patient	Faculty	Responsible Employee	Discrimination	Race (Black) -- denied treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Documented Discussion and Summary Letter; Training for Department/Group
Health System	Staff	Staff	Complainant	Discrimination	Race (Black) -- unfair scheduling	Resources provided; Preliminary review -- no evidence of policy violation
Health System	Unspecified Student	Staff	Responsible Employee	Discrimination	Race (Asian) -- comments	Resources provided; Education for Department/Group
Health System	Former Affiliate	Staff	Responsible Employee	Discrimination	Disability -- adverse employment action	Resources provided; Preliminary review -- no evidence of policy violation
Health System	Graduate Student	Department / Campus Group	Responsible Employee	Discrimination	Race (Unspecified) -- hostile educational environment	Resources provided; Insufficient information to take further action
Health System	Staff	Staff	Complainant	Discrimination	Race (Asian) -- comments	Resources provided; Education for Respondent
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- failure to hire	Resources provided; Education for Respondent
Health System	Staff	Unknown	Non-UCD Affiliate	Discrimination	Disability -- failure to hire	Resources provided; Insufficient information to take further action
Health System	Staff	Faculty	Complainant	Discrimination	Race (Unspecified) -- denial of work-related requests	Resources provided; Preliminary review -- no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination	National Origin (Filipino) -- failure to hire	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Unspecified) -- comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Non-UCD Affiliate	Discrimination	Disability -- rude treatment, change in duties	Resources provided; Insufficient information for further review; Referred to Employee and Labor Relations
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Unspecified)-- Unequal Treatment	Resources provided; Complaint withdrawn
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- comments, physical contact	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition -- Release from employment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- Comments made during recruitment panel	Resources provided; Corrective action issued for other misconduct
Health System	Staff	Staff	Complainant	Discrimination	Age -- adverse employment action	Preliminary review-no evidence of policy violation

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Staff	Complainant	Discrimination	Race (Non-Black) – unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Unspecified)	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination	Race (Black); National Origin (unspecified) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Age - adverse employment action	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Responsible Employee	Discrimination	Race (unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) – Unequal treatment	Resources provided; Complainant's request met
Health System	Staff	Staff	Responsible Employee	Discrimination	Unspecified	Resources provided; Insufficient information to take further action; Complaint withdrawn
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition	Resources provided; Complainant's request met; Other concerns referred to Employee and Labor Relations
Health System	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Race (Black) – Unequal treatment	Unable to provide resources to non-affiliate complainant; Insufficient information for further review; Education for Department
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- failure to accommodate	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Discrimination	Age – comments	Resources provided; Complainant's request met
Health System	Non-UCD Affiliate	Department / Campus Group	Responsible Employee	Discrimination	Unspecified -- Unequal treatment	Unable to provide resources to non-affiliate complainant; Preliminary review-no evidence of policy violation
Health System	Patient	Department / Campus Group	Complainant	Discrimination	Disability -- failure to accommodate	Resources provided; Education for Department/Group
Health System	Non-UCD Affiliate	Department / Campus Group	Complainant	Discrimination	Disability -- Failure to Accommodate	Unable to provide resources to non-affiliate complainant; Education for Department
Health System	Former Affiliate	Faculty; Staff	Responsible Employee	Discrimination	Race (Black); Retaliation (Unspecified)	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Complainant	Discrimination	Race (Asian) -- comments	Resources provided; Education for Department/Group
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Medical Condition -- threats	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Disability -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Former Affiliate; Patient	Staff	Complainant	Discrimination	Race (unspecified) -- adverse employment action	Resources provided; Insufficient information for further review
Health System	Staff	Faculty	Responsible Employee	Discrimination	National Origin (India); Sex/Gender (Female) – comments, unfair hiring, abusive	Resources provided; Documented Discussion and Summary Letter; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition -- differential treatment, inappropriate disclosure of information	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Age; Sex/Gender (Female); Disability – unspecified bullying	Resources provided; Insufficient information for further review
Health System	Patient	Staff, Unknown	Complainant	Discrimination	Race (Hispanic); Medical Condition -- poor service	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (Male) - unspecified bullying	Resources provided; Insufficient information for further review



# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Patient	Staff	Responsible Employee	Discrimination	Disability-- failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation; Referred to ADA Advisory Committee
Health System	Faculty	Faculty	Responsible Employee	Discrimination	Sex/Gender (Male); National Origin (Lebanon) -- failure to hire	(pending)
Health System	Staff	Staff	Complainant	Discrimination	Disability -- denial of scheduling request	Resources provided; Preliminary review-no evidence of policy violation
Health System	Multiple Faculty	Faculty	Responsible Employee	Discrimination	Race (unspecified)-- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Faculty	Responsible Employee	Discrimination	Race (Unspecified) -- rude treatment	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- failure to accommodate	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- use of FMLA	Resources provided; Insufficient information for further review
Health System	Staff	Unknown Staff	Responsible Employee	Discrimination	Race (unspecified) -- rude treatment	Resources provided; Insufficient information for further review
Health System	Patient	Faculty	Responsible Employee	Discrimination	Gender Transition Status -- unprofessional communication	Resources provided; Training for Department
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition -- promotion denied	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Patient	Staff	Responsible Employee	Discrimination	Disability -- failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Non-Asian) -- unspecified	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination	Retaliation	Resources provided; Respondent no longer affiliated with UC Davis; Complainant's request met
Health System	Former Affiliate	Multiple Staff	Responsible Employee	Discrimination	Disability -- failure to accommodate, rumors, denial of opportunities	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health System	Faculty	Faculty	Responsible Employee	Discrimination	Race (Asian); Sex/Gender (Female) -- space allocation disparity	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Patient	Faculty	Responsible Employee	Discrimination	Race (unspecified) -- exclusion from participation	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition -- job posting concern	Resources provided; Complainant's request met
Health System	Staff	Staff	Responsible Employee	Discrimination	Religion (Catholic) -- comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Health System	Staff	Staff	Complainant	Discrimination	Retaliation	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations; Referred to Disability Management Services
Health System	Staff	Staff	Complainant	Discrimination	Pregnancy -- retaliation for requesting leave	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Non-White); Sex/Gender (Female) -- differential treatment	Resources provided; Insufficient information for further review
Health System	Patient	Staff	Responsible Employee	Discrimination	Race (Hispanic); Sex/Gender (Female) -- comments, differential treatment	Resources provided; Preliminary review-no evidence of policy violation; Education for Respondent
Health System	Graduate Student	Staff	Responsible Employee	Discrimination	Race (Hispanic) Sexual Orientation (LGBTQIA) -- differential treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Responsible Employee	Discrimination	National Origin (India) -- unprofessional tone	Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Responsible Employee	Discrimination	National Origin (unspecified) -- rude treatment	Resources provided; Education for Respondent

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Patient	Patient	Responsible Employee	Discrimination	Race (Black) -- differential treatment	Resources provided; Preliminary review-no evidence of policy violation; Referred to Risk Management
Health System	Staff	Staff	Responsible Employee	Discrimination	Medical Condition -- use of FMLA	Resources provided; Complainant's request met
Health System	Patient	Patient	Responsible Employee	Discrimination	Race (Black); Age -- differential treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Discrimination	Citizenship -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Sexual Orientation (LGBTQIA); Medical Condition -- differential treatment; Retaliation -- comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Asian) -- comments	Resources provided; Respondent no longer affiliated with UC Davis
Health System	Staff	Staff	Responsible Employee	Discrimination	Unspecified -- retaliation	Resources provided; Insufficient information for further review
Health System	Unknown	Unknown	Complainant	Discrimination	Race (unspecified) -- unknown	Insufficient information to provide resources; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (unspecified) -- comments	Resources provided; Complainant's needs met; Insufficient information for further review
Health System	Anonymous Unknown	Staff	Complainant	Discrimination	Race (unspecified) -- failure to hire	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Race (White) -- comments; threats of violence	Resources provided; Education for Department; Insufficient information for further review
Health System	Patient	Faculty	Complainant	Discrimination	Disability -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Department / Campus Group	Responsible Employee	Discrimination	Unspecified -- pay concerns	Resources provided; Complaint withdrawn
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- failure to hire	Resources provided; Insufficient information for further review
Health System	Patient	Unknown	Responsible Employee	Discrimination	Race (unspecified) -- differential treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (Pregnancy) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Anonymous Staff	Unknown Staff	Complainant	Discrimination	Medical Condition -- denial of requested schedule	Resources provided; Complaint withdrawn
Health System	Patient	Multiple Staff; Department / Campus Group	Complainant	Discrimination	Medical Condition -- failure to accommodate	Resources provided; Preliminary review-no evidence of policy violation; Education for Department; Complainant's request met
Health System	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Disability -- failure to accommodate	Insufficient information to provide resources; Insufficient information for further review; Education for Department
Health System	Staff	Unknown	Complainant	Discrimination	Unspecified	Resources provided; Insufficient information for further review
Health System	Faculty, Staff	Patient	Responsible Employee	Discrimination	National Origin (China) -- comments	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination	Race (Non-Black) -- restricted from events	Insufficient information to provide resources; Education for Department
Health System	Staff	Staff	Unknown	Discrimination	Race (Non-Hispanic) -- preferential treatment	Resources provided; Insufficient information for further review
Health System	Staff	Unknown	Complainant	Discrimination	Medical Condition -- harassment due to Workers' Compensation claim	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination	Race (Hispanic) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Patient	Staff	Responsible Employee	Discrimination	National Origin (Unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Staff	Complainant	Discrimination	Race (Black) -- differential treatment	Resources provided; Insufficient information for further review; Referral to Employee and Labor Relations
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- disrespectful treatment	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	National Origin (unspecified); Race (Hispanic) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Faculty	Responsible Employee	Discrimination	Race (unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Patient	Staff	Responsible Employee	Discrimination	Race (Hispanic) -- comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Health System	Former Affiliate	Staff	Complainant	Discrimination	Race (Unspecified); Age	Resources provided; Insufficient information for further review
Health System	Staff	Non-UCD Affiliate	Responsible Employee	Discrimination	Race (Black) -- comments, touching	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination	Sex/Gender (Female) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Race (Black) -- differential treatment, comments;	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Pregnancy -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Unspecified -- comments, differential treatment, reduced hours	Resources provided; Referred to Employee and Labor Relations
Health System	Staff	Staff	Responsible Employee	Discrimination	Unspecified	Resources provided; Referred to Employee and Labor Relations
Health System	Graduate Student	Unspecified Student	UCD Non-Responsible Employee	Discrimination	Unspecified harassment	Resources provided; Insufficient information for further review
Health System	Former Affiliate	Faculty	UCD Non-Responsible Employee	Discrimination	Religion (Judaism) -- visual images	Resources provided; Insufficient information for further review
Health System	Graduate Student	Faculty	UCD Non-Responsible Employee	Discrimination	Race (Black) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Graduate Student	Graduate Student	Complainant	Discrimination	National Origin (Unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Graduate Student	Faculty	Complainant	Discrimination	Sex/Gender (Female) -- comments	Resources provided; Insufficient information for further review
Health System	Unspecified Student	Department / Campus Group	Complainant	Discrimination	Religion (Unspecified) -- unspecified unfair treatment	Resources provided; Insufficient information for further review
Health System	Former Affiliate	Faculty	Complainant	Discrimination	Religion (Unspecified) -- comments	Resources provided; Insufficient information for further review
Health System	Graduate Student	Faculty	Complainant	Discrimination	Service in the Uniformed Services comments	Resources provided; Insufficient information for further review
Health System	Patient	Former Affiliate	Patient	Discrimination	Disability -- failure to accomodate	Resources provided; Complainant's request met
Health System	Patient	Staff	Responsible Employee	Discrimination	Disability -- failure to accomodate	Resources provided; Preliminary review-no evidence of policy violation; Education for Department
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (unspecified) -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition -- use of FMLA	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Complainant	Discrimination	Race (Asian) -- comments, physical violence attempt	Resources provided; Insufficient information for further review; Mitigating measures taken
Health System	Patient	Faculty	Responsible Employee	Discrimination	Age; Sex/Gender (Female) -- comments	Resources provided; Insufficient information for further review
Health System	Faculty	Faculty	Responsible Employee	Discrimination	Religion (Muslim) -- comments	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Faculty	Faculty	Responsible Employee	Discrimination	Race (Black) -- exclusion	Resources provided; Documented Discussion and Summary Letter
Health System	Multiple Staff	Faculty	Responsible Employee	Discrimination	Race (unspecified) -- differential treatment	Insufficient information to provide resources; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (unspecified); Sex/Gender (unspecified); Citizenship (unspecified) -- lowered evaluation	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination	Pregnancy -- differential treatment	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations; Education for Respondent
Health System	Staff	Staff	Responsible Employee	Discrimination	Sex/Gender (Female) -- differential treatment	Resources provided; Letter of Expectation for Respondent
Health System	Staff	Unknown	Responsible Employee	Discrimination	Race (Black) -- Visual image	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient	Patient	Responsible Employee	Discrimination	Race (Black) -- comments	Resources provided; Mitigating measures taken
Health System	Patient	Department / Campus Group	Complainant	Discrimination	Gender identity -- denial of treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Faculty	Complainant	Discrimination	Gender (female) -- Comments made in the workplace	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Pacific Islander) -- Comments made in the workplace	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Medical Condition; Race (Black) -- Unequal treatment	Resources provided; No evidence of policy violation after preliminary review
Health System	Non-UCD Affiliate	Multiple Staff	Complainant	Discrimination	Unspecified-Unequal treatment	Unable to provide resources to non-affiliate; Referred to Patient Relations
Health System	Staff	Staff	Complainant	Discrimination	Disability-Unequal treatment and rudeness	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Non-UCD Affiliate	Unknown	Complainant	Discrimination	Medical Condition -- Lack of Accommodation	Resources provided; Education for Department; Complainant's request met
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Race (Unspecified) -- Rudeness	Resources provided; Education for Respondent
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Race (Hispanic) -- Unequal treatment and yelling	Resources provided; Education for Respondent
Health System	Staff	Non-UCD Affiliate	Complainant	Discrimination	Race (Black) -- Demeaning behavior	Resources provided; Education for Respondent
Health System	Non-UCD Affiliate	Staff	Complainant	Discrimination	Medical Condition -- Unequal treatment	Resources provided; No evidence of policy violation after preliminary review
Health System	Staff	Department / Campus Group	Complainant	Discrimination	Medical Condition -- Adverse Action taken; Gender (male) -- Adverse Action taken	Resources provided; Insufficient information for further review
Health System	Faculty	Unknown	Complainant	Discrimination	Gender (female) -- Unspecified concerns	Resources provided; Insufficient information for further review
Health System	Staff	Multiple Staff	Complainant	Discrimination	Nonspecific -- Bullying	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Staff	Staff	Complainant	Discrimination	Nonspecific -- Unfair treatment	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Staff	Complainant	Discrimination	Race (Black)-Unfair recruitment	Resources provided; No evidence of policy violation after preliminary review
Health System	Staff	Staff	Complainant	Discrimination	Race (Black)-Comments made in the workplace	Resources provided; Documented Discussion and Summary Letter
Health System	Unknown	Staff	Responsible Employee	Discrimination	Nonspecific--Microaggressive Comment regarding POC	Resources provided; Education for Respondent
Health System	Staff	Staff	Responsible Employee	Discrimination	Race (Unspecified)-Comment made in the workplace	Resources provided; Insufficient information for further review
Health System	Unknown	Staff	Responsible Employee	Discrimination	Race (Black)-Comments on Social Media	Unable to provide resources to non-affiliate; Respondent dismissed for other misconduct
Davis	Unspecified Student	Staff	Complainant	Discrimination; Hate / Bias	Religion (Muslim) -- department practice	Resources provided; Education for Department/Group
Davis	Staff	Faculty	Responsible Employee	Discrimination; Hate / Bias	Race (Unspecified)-comments	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination; Hate / Bias	Medical Condition -- adverse employment action	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Discrimination; Hate / Bias	Race (Asian); Sexual Orientation (LGBTQIA) -- comments, differential treatment	Resources provided; Education for Respondent
Health System	Staff	Staff	Responsible Employee	Discrimination; Hate / Bias	Unspecified	Resources provided; Insufficient information for further review; Referred to Employee and Labor Relations
Health System	Graduate Student	Staff	Responsible Employee	Discrimination; Hate / Bias	Gender Transition Status -- comments	Resources provided; Education for Department
Davis	Graduate Student	Faculty	Complainant	Discrimination; Hate / Bias; Sexual Harassment	National Origin (Middle Eastern); Religion (Muslim) -- differential treatment; Hostile Environment -- comments	Resources provided; Preliminary review-no evidence of policy violation
Health System	Unknown	Staff	Complainant	Discrimination; Hate/Bias	Race (Unspecified); Hate and Bias (Unspecified)-- Unequal treatment	Resources provided; Education for Department
Health System	Staff	Staff	Complainant	Discrimination; Hate/Bias	Unspecified; Hate and Bias--Unfair treatment	Resources provided; No evidence of policy violation after preliminary review
Davis	Former Affiliate	Faculty	Complainant	Discrimination; Other	Gender Identity (Unspecified)-- Insufficient gender inclusive restrooms; Poor speaker choices; Lack of support by bystanders	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination; Sexual Harassment	Sex/Gender (transgender) -- deadnaming; Hostile Environment -- comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Faculty; Graduate Student; Unspecified Student	Graduate Student	Complainant	Discrimination; Sexual Harassment	Sex/Gender (transgender, female) -- comments; Sexual Orientation (unspecified) -- comments; Religion (Unspecified) -- comments; Hostile Environment -- comments	Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs
Davis	Unspecified Student	Department / Campus Group	Responsible Employee	Discrimination; Sexual Harassment	Sex/Gender (Female); Hostile Environment -- microaggressions	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination; Sexual Harassment	Race (Black) -- unspecified; Hostile Environment -- unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Department / Campus Group; Faculty; Graduate Student; Unknown	Complainant	Discrimination; Sexual Harassment	Sex/Gender (Female) -- unfair grading; Hostile Environment -- comments	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Graduate Student	Responsible Employee	Discrimination; Sexual Harassment	Race (Asian); Gender Identity (Female); Hostile Environment -- comments	Resources provided; Complainant's request met; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination; Sexual Harassment	Sex/Gender (Female); Hostile Environment -- touching	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination; Sexual Harassment	Gender Identity -- misgendering	Resources provided; Documented Discussion and Summary Letter
Davis	Unspecified Student	Department / Campus Group; Staff	Unknown	Discrimination; Sexual Harassment	Sex/Gender (unspecified); Hostile Environment -- misgendering	Insufficient information to provide resources; Education for Department
Davis	Multiple Unspecified Students	Department / Campus Group	Responsible Employee	Discrimination; Sexual Harassment	Gender Identity (Transgender)	Insufficient information to provide resources; Complainant's needs met
Davis	Undergraduate Student	Department / Campus Group	Complainant	Discrimination; Sexual Harassment	Gender Identity; Hostile Environment -- misgendering	Resources provided; Complaint withdrawn
Davis	Graduate Student	Staff; Unspecified Student	Responsible Employee	Discrimination; Sexual Harassment	Sex/Gender (Female) -- unfair scheduling; Hostile Environment -- comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Discrimination; Sexual Harassment	Race (Black); -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Department / Campus Group	Complainant	Discrimination; Sexual Harassment	Sex/Gender (Female); Medical Condition; Hostile Environment --	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Faculty; Patient	Responsible Employee	Discrimination; Sexual Harassment	National Origin (unspecified) -- comments; Hostile environment --	Resources provided; Documented Discussion and Summary Letter for Faculty respondent; request granted regarding patient respondent
Health System	Unknown Patients	Faculty	Unknown	Discrimination; Sexual Harassment	Gender Identity (Female); Race (Black); Sexual Harassment -- comments	Insufficient information to provide resources; Insufficient information for further review
Health System	Staff	Staff	Complainant	Discrimination; Sexual Harassment	Sex/Gender (Female); Hostile Environment -- comments	Resources provided; Documented Discussion and Summary Letter

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Former Affiliate	Unknown	Non-UCD Affiliate	Discrimination; Sexual Harassment	Sex/Gender (Female); Hostile Environment – comments	Resources provided; Insufficient information for further review
Health System	Unknown	Faculty	Responsible Employee	Discrimination; Sexual Harassment	Sex/Gender (Female);	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health System	Staff	Patient	Responsible Employee	Discrimination; Sexual Harassment	Race (Black) -- comments; Hostile Environment – comments; Race (Asian) – comments	Resources provided; Respondent no longer affiliated
Davis	Former Affiliate	Former Affiliate	Complainant	Discrimination; Sexual Violence or Other Prohibited Behavior	Sex/Gender (Female); Gender Expression (unspecified); Gender Identity	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Complainant	Hate / Bias	Unspecified	Resources provided; Referred to Academic Affairs
Davis	Graduate Student	Graduate Student	Responsible Employee	Hate / Bias	National Origin (China) – comments	Resources provided; Education for Respondent
Davis	Anonymous Graduate Student	Faculty	Complainant	Hate / Bias	National Origin (African); Race (unspecified) – comments made during lecture	Insufficient information to provide resources or for further review
Davis	Unknown	Department / Campus Group	Responsible Employee	Hate / Bias	Race (Black) -- comments, visual image	Insufficient information to provide resources; Education for group
Davis	Department / Camus Group; Undergraduate Student	Department / Campus Group	Responsible Employee	Hate / Bias	Religion (Judaism) – comments; unfair policy application	Resources provided; Policy issue addressed
Davis	Former Affiliate	Faculty	Complainant	Hate / Bias	Sex/Gender (unspecified); Hostile Environment -- unspecified	Unable to provide resources to non-affiliate complainant; Referred to Academic Affairs
Davis	Undergraduate Student	Faculty	Complainant	Hate / Bias	No protected category – general rudeness	Resources provided; Outside scope of HDAPP Policies; Referred to Academic Affairs
Davis	Undergraduate Student	Unknown	Complainant	Hate / Bias	Unspecified – threats	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate / Bias	Race (Unspecified); Gender (female)– comments	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Graduate Student	Department / Campus Group	Responsible Employee	Hate / Bias	Unspecified	Resources provided; Insufficient information for further review
Davis	Unknown	Faculty	Complainant	Hate / Bias	Unspecified	Insufficient information to provide resources; Insufficient information for further review
Davis	Unknown	Undergraduate Student	Complainant	Hate / Bias	Unspecified-- comments	Insufficient information to provide resources; Freedom of Speech; Noted for climate purposes
Davis	Anonymous Unknown	Unspecified Student	Complainant	Hate / Bias	No protected characteristic specified -- concerning social media posts	Insufficient information to provide resources; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Hate / Bias	Race (Black) -- comments	Unable to provide resources to nonaffiliate complainant; Adverse educational action for Respondent based on other misconduct
Davis	Graduate Student	Department / Campus Group	Responsible Employee	Hate / Bias	Gender Expression-- deadnaming	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Unknown	Unspecified Student	Complainant	Hate / Bias	No protected characteristic specified -- disruptive behavior by student	Insufficient information to provide resources; Insufficient information for further review
Davis	Anonymous Unspecified Student	Undergraduate Student	Complainant	Hate / Bias	No protected characteristic specified -- disruptive behavior by student	Insufficient information to provide resources; Alleged conduct not covered by Policy
Davis	Undergraduate Student	Unknown	Responsible Employee	Hate / Bias	Religion (Jewish) -- graffiti	Resources provided; Graffiti removed

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Hate / Bias	Sexual Orientation (LGBTQIA) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Hate / Bias	Race (Native American) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Unknown	Unspecified Student	Complainant	Hate / Bias	Unspecified	Insufficient information to provide resources; Matter addressed by Class Instructor
Davis	Unspecified Student	Unspecified Student	Complainant	Hate / Bias	Bullying	Insufficient information to provide resources; Matter addressed by Class Instructor
Davis	Unknown	Staff	Complainant	Hate / Bias	Race (Asian) -- comments	Insufficient information to provide resources; Freedom of Speech; Respondent not affiliated with UC Davis
Davis	Unknown	Unknown	UCD Non-Responsible Employee	Hate / Bias	Medical Condition -- comments	Unable to provide resources to unknown complainant; Freedom of Speech; Noted for climate purposes
Davis	Unspecified Student	Faculty	Complainant	Hate / Bias	Race (Black) -- comments	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Unspecified Students	Faculty	Complainant	Hate / Bias	Race (Black) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	Responsible Employee	Hate / Bias	Pregnancy -- comments	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Complainant	Hate / Bias	Sex/Gender (Female) -- adverse educational actions	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unspecified Student	Responsible Employee	Hate / Bias	Sexual Orientation (LGBTQIA) -- comments	Insufficient information to provide resources; Education for Respondent
Davis	Unspecified Student	Multiple Undergraduate Students	Complainant	Hate / Bias	Race (Black, Asian) -- comments; Sexual Orientation (LGBTQIA) -- comments	Resources provided; Complainant's request met; Noted for climate purposes
Davis	Unspecified Student	Undergraduate Student	Complainant	Hate / Bias	Religion (Judaism); Race (Black) -- concerning memes on social media	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Staff	Staff	Responsible Employee	Hate / Bias	Race (Black) -- comments	Resources provided; Complainant's request met
Davis	Anonymous Staff	Faculty	Complainant	Hate / Bias	Medical Condition -- comments	Insufficient information to provide resources; Documented Discussion and Summary Letter
Davis	Unspecified Student	Unspecified Student	Complainant	Hate / Bias	Race (unspecified); Sex/Gender (Female); Sexual Orientation (unspecified) -- comments	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Staff	Unknown	Complainant	Hate / Bias	Sexual Orientation (LGBTQIA) -- comments	Freedom of Speech; Noted for climate purposes
Davis	Staff	Unknown	Complainant	Hate / Bias	Sex/Gender (female) -- rude treatment	Resources provided; Insufficient information for further review
Davis	Unknown	Faculty	Unknown	Hate / Bias	Religion (Non-Christian); Race (People of Color) -- hostility	Insufficient information to provide resources; Insufficient information for further review
Davis	Graduate Student	Staff	Complainant	Hate / Bias	Sexual Orientation (LGBTQIA) -- comments; Race (Black, Native American) -- comments	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	Complainant	Hate / Bias	Unspecified	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Graduate Student	Faculty	Responsible Employee	Hate / Bias	Race (Black); Sexual Orientation (LGBTQIA) -- comments	Insufficient information to provide resources; Insufficient information for further review
Davis	Staff	Staff	Complainant	Hate / Bias	Medical Condition -- differential treatment	(pending)



# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office In 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Hate / Bias	Gender Identity – misgendering	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Faculty	Complainant	Hate / Bias	Race (White) – comments	Insufficient information to provide resources; Freedom of Speech; Noted for climate purposes
Davis	Unspecified Student	Unknown	Complainant	Hate / Bias	National Origin (Indonesia) – rude treatment	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Department / Campus Group	Complainant	Hate / Bias	Race (White, Non-Asian) – comments	Resources provided; Freedom of Speech; Noted for Climate Purposes
Davis	Unspecified Student	Department / Campus Group; Graduate Student; Undergraduate Student; Unspecified Student	Complainant	Hate / Bias	Medical Condition – failure to accommodate	Resources provided; Complaint withdrawn
Davis	Staff	Staff	Responsible Employee	Hate / Bias	Race (unspecified); Sexual Orientation (unspecified) – comments	Resources provided; Complaint withdrawn
Davis	Unspecified Student	Department / Campus Group	Complainant	Hate / Bias	Unspecified – Cops Off Campus email	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Staff	Department / Campus Group	Complainant	Hate / Bias	Unspecified – Cops Off Campus email	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Unknown	Unspecified Student	Unknown	Hate / Bias	Unspecified – online harassment	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Department / Campus Group	Complainant	Hate / Bias	Unspecified – Cops Off Campus email	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Graduate Student	Department / Campus Group	Complainant	Hate / Bias	Unspecified – Cops Off Campus email	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Multiple Anonymous Faculty	Department / Campus Group	Responsible Employee	Hate / Bias	Race (Black and unspecified) – microaggressions, differential treatment, concerns with curriculum	(pending)
Davis	Staff	Unspecified Student	Responsible Employee	Hate / Bias	Sexual Orientation (unspecified) – comments	Insufficient information to provide resources; Insufficient information for further review
Davis	Staff	Faculty	Complainant	Hate / Bias	Race (unspecified) – comments, visual images	Resources provided; Freedom of speech
Davis	Unknown	Graduate Student	Complainant	Hate / Bias	Gender Identity – misgendering	Insufficient information to provide resources; Documented Discussion and Summary Letter
Davis	Multiple Unspecified Students	Undergraduate Student	Complainant	Hate / Bias	Race (Black) – comments	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Unspecified Student	Unknown	Responsible Employee	Hate / Bias	Race (Asian) – comments	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unspecified Student	Responsible Employee	Hate / Bias	Disability – comments	Resources provided; Freedom of speech; Noted for climate purposes
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Unknown	Hate / Bias	Citizenship (unspecified) – comments	Insufficient information to provide resources; Freedom of speech; Noted for climate purposes
Davis	Former Affiliate; Graduate Student	Faculty	Complainant	Hate / Bias	Unspecified – physical violence	Resource provided; Outside scope of HDAPP's policies; Referred to UCDPD
Davis	Staff	Faculty	Complainant	Hate / Bias	National Origin (Mexican) – comments	Resources provided; Documented Discussion and Summary Letter
Davis	Faculty; Non-UCD Affiliate; Undergraduate Student	Undergraduate Student	Complainant	Hate / Bias	Religion (Judaism) – comments	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Undergraduate Student	Staff	Complainant	Hate / Bias	Gender Identity – concerns about educational content	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unknown	Complainant	Hate / Bias	Religion (Muslim); National Origin (Arab) – comments	Insufficient information to provide resources; Insufficient information for further review

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Graduate Student	Staff	Responsible Employee	Hate / Bias	Sex/Gender (Female) – adverse educational action	Resources provided; Insufficient information for further review
Davis	Graduate Student	Graduate Student	Complainant	Hate / Bias	National Origin (Arab) – comments	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Complainant	Hate / Bias	National Origin (Arab); Religion (Islam) – comments	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Unknown	Complainant	Hate / Bias	Race (unspecified) – photo defaced	Resources provided; Insufficient information for further review; complaint withdrawn
Health System	Staff	Unknown	Responsible Employee	Hate / Bias	Race (Non-White) – poster damaged	Resources provided; Referred to Responsible Employee
Health System	Staff	Staff	Responsible Employee	Hate / Bias	Race (Black) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Unknown	Undergraduate Student	Complainant	Hate / Bias	Race – comments	Unable to provide resources to nonaffiliate complainant; Freedom of Speech; Noted for climate purposes
Health System	Staff	Staff	Complainant	Hate / Bias	Political speech	Resources provided; Outside scope of HDAPP Policies
Health System	Staff	Unknown	Responsible Employee	Hate / Bias	Unspecified	Resources provided; Referred to Employee and Labor Relations
Health System	Non-UCD Affiliate; Multiple Unspecified Students	Unspecified Student	Complainant	Hate / Bias	Race (Black); Disability – comments	Resources provided; Freedom of Speech; Noted for climate purposes
Health System	Graduate Student; Staff	Staff	Responsible Employee	Hate / Bias	Sexual Orientation (LGBTQIA) – comments	Resources provided; Complainant's request met
Health System	Former Affiliate; Patient	Department / Campus Group	Responsible Employee	Hate / Bias	Disability – Access concern	Unable to provide resources to non-affiliate complainant; Complainant's request met
Health System	Non-UCD Affiliate	Unknown	Responsible Employee	Hate / Bias	Race (Black) – comments	Resources provided; Insufficient information for further review
Health System	Staff	Unknown	Responsible Employee	Hate / Bias	Race (Unspecified) – comments	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Hate / Bias	Religion (Judaism) – unfair scheduling	Resources provided; Corrective action taken
Health System	Unknown	Faculty; Former Affiliate	Responsible Employee	Hate / Bias	National Origin (China); Race (Asian) – comments	Insufficient information to provide resources; Education for Respondent; Respondent removed from listserv
Health System	Patient	Staff	Non-UCD Affiliate	Hate / Bias	National Origin (Perceived Middle Eastern) – differential treatment	Resources provided; Documented Discussion and Summary Letter; Training for department
Health System	Staff	Staff	Responsible Employee	Hate / Bias	Race (Asian) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Patient	Staff	Unknown	Hate / Bias	Race (Hispanic) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Graduate Student	Staff	Responsible Employee	Hate / Bias	Race (Asian); National Origin (Arab) – comments; Marital Status (Single) – comments; Sex/Gender (Female) – comments	Resources provided; Education for Respondent
Health System	Unknown	Staff	Unknown	Hate / Bias	Unspecified	Insufficient information to provide resources; Insufficient information for further review
Health System	Staff	Staff	Complainant	Hate / Bias	Workplace behavior	Resources provided; Referral to Employee and Labor Relations; Training for Department
Health System	Staff	Staff	Complainant	Hate / Bias	National Origin (unspecified) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Hate / Bias	National Origin (China) – comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Unknown	Hate / Bias	Race (unspecified) – comments; Sex/Gender (Female) – comments	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Complainant	Hate / Bias	Unspecified	Resources provided; Insufficient information for further review; Referred to Employee and Labor Relations

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Faculty, Undergraduate Student	Undergraduate Student	Responsible Employee	Hate / Bias; Sexual Harassment	Race (Black); Hostile Environment -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate; Patient	Staff	Responsible Employee	Hate / Bias; Sexual Harassment	Gender Identity -- deadnaming	Resources provided; Education for Department/Group
Davis	Unknown	Undergraduate Student	Complainant	Hate/Bias	Race (White); Comments made in newspaper	Resources provided; Freedom of Speech
Davis	Non-UCD Affiliate	Graduate Student	Complainant	Hate/Bias	Hate and Bias (Unspecified)-Name calling on Social Media	Unable to provide resources to non-affiliate; Freedom of Speech
Davis	Faculty	Unknown	Complainant	Hate/Bias	Race (Black); Gender (female); Immigration Status-- Defacing posters	Reported to Responsible Employee
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Hate and Bias-- Bullying and Spreading Misinformation	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Hate/Bias	Hate and Bias (Unspecified)-Unspecified retaliation	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Hate/Bias	Hate and Bias (Unspecified)-- Disrespectful comment	Resources provided; Outside scope of HDAPP's jurisdiction; Referred to Employee and Labor Relations
Health System	Staff	Multiple Staff	Complainant	Hate/Bias	Hate and Bias (Unspecified)-- Bullying	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Staff	Multiple Staff	Complainant	Hate/Bias	Other--Bullying	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Multiple Staff	Staff	Responsible Employee	Hate/Bias; Sexual Harassment	Race (Chinese)-- Comments said in the workplace; Hostile Environment--unwanted touching	Resources provided; Documented Discussion and Summary Letter
Davis	Unknown	Multiple Undergraduate Students	Responsible Employee	Other	Exclusion from Group	Insufficient information to provide resources; Freedom of Speech; Noted for climate purposes
Davis	Staff	Department / Campus Group	Complainant	Other	Exclusion from Group	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Department / Campus Group	Responsible Employee	Other	Unspecified Police conduct	Insufficient information to provide resources; Insufficient information for further review
Davis	Unspecified Student	Faculty	Complainant	Other	Unfair grading	Resources provided; Complaint withdrawn
Davis	Former Affiliate	Unknown	Responsible Employee	Other	Other	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Davis	Staff	Unknown	Complainant	Other	Property damage	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Davis	Staff	Department / Campus Group; Non-UCD Affiliate	Complainant	Other	Other -- denial of disability insurance	Not within scope of HDAPP's policies
Davis	Non-UCD Affiliate	Unknown	Complainant	Other	Other--Unwanted jokes	Unable to provide resources to non-affiliate; Outside the scope of HDAPP's jurisdiction
Davis	Faculty	Department / Campus Group	Complainant	Other	Other-Unspecified bias	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Unknown Undergraduate Students	Non-UCD Affiliate	Responsible Employee	Other	Other	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Complainant	Other	Other--Unspecified comments	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Complainant	Other	Other--Bullying	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Complainant	Other	Comments related to cultural celebrations	Resources provided; Verbal Counseling for Respondent
Health System	Anonymous Staff	Staff	Unknown	Other	Other	Insufficient information for further review. Referred issue to Employee and Labor Relations

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Staff	Responsible Employee	Other	COVID mitigation measure	Resources provided; Referred to Employee & Labor Relations
Health System	Staff	Staff	Responsible Employee	Other	Other	Resources provided; Complainant withdrew complaint.
Health System	Staff	Staff	Complainant	Other	Negative feedback	Resources provided; Insufficient information to take further action
Health System	Staff	Staff	Responsible Employee	Other	Bullying	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Health System	Staff	Staff	Complainant	Other	Bullying	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Health System	Staff	Staff	Complainant	Other	Unprofessional conduct	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Health System	Staff	Staff	Complainant	Other	Bullying	Resources provided; Not within scope of HDAPP's policies; Referred to Employee and Labor Relations
Health System	Patient	Staff	Responsible Employee	Other	Other	Resources provided; Insufficient information for further review
Health System	Unknown	Staff	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health System	Former Affiliate; Staff	Staff	Complainant	Other	Other (unspecified)	Resources provided; Insufficient information for further review; Complaint withdrawn
Health System	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health System	Non-UCD Affiliate	Staff	Responsible Employee	Other	Other--Unequal treatment	Unable to provide resources to non-affiliate; Referred to Patient Relations
Health System	Unknown	Staff	Complainant	Other	Other-Lack of consistency and favoritism	Insufficient information to provide resources; Insufficient information for further review
Health System	Unknown	Multiple Unknown	Complainant	Other; Sexual Violence or Other Prohibited Behavior	Other--HIPAA Violation; Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Respondent released from contract employment
Davis	Former Affiliate	Former Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment	Unspecified	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Davis	Anonymous Non-UCD Affiliate	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Insufficient information to provide resources; Education for Department / Campus Group
Davis	Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Letter of Expectation for Respondent
Davis	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - unwanted attention, intimidation	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - visual images	Resources provided; Insufficient information for further review
Davis	Anonymous Graduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment - comments, unnecessary visits	Insufficient information to provide resources; Respondent not or no longer affiliated with UC Davis
Davis	Staff, Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Respondent released from employment
Davis	Undergraduate Student	Staff; Unspecified Student	Responsible Employee	Sexual Harassment	Hostile environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Graduate Student	Graduate Student	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Complainant's request met
Davis	Unspecified Student	Faculty	Responsible Employee	Sexual Harassment	Hostile environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Staff, Unspecified Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Corrective action taken
Davis	Former Affiliate	Unspecified Student	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; No Contact Directive issued
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Unspecified	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Unspecified Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unknown	Responsible Employee	Sexual Harassment	Unspecified	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Former Affiliate	Staff	Complainant	Sexual Harassment	Unspecified	Resources provided; Insufficient information for further review
Davis	Unknown	Former Affiliate; Staff	Responsible Employee	Sexual Harassment	Hostile Environment - following, comments	Insufficient information to provide resources; Insufficient information for further review
Davis	Former Affiliate	Former Affiliate	Responsible Employee	Sexual Harassment	Unspecified - comments	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Non-UCD Affiliate; Unknown	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Unable to take further action against non-affiliate
Davis	Undergraduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention; Quid Pro Quo	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment - comments; Indecent Exposure	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unspecified Student	Responsible Employee	Sexual Harassment	Hostile Environment - visual images	Insufficient information to provide resources; Insufficient information for further review
Davis	Non-UCD Affiliate	Former Affiliate; Graduate Student	Non-UCD Affiliate	Sexual Harassment	Hostile Environment - comments	Resources provided; Complaint withdrawn
Davis	Staff	Faculty	Complainant	Sexual Harassment	Hostile Environment - visual images	Resources provided; Complainant's request met; Mitigating measures taken
Davis	Former Affiliate	Department / Campus Group; Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unspecified behavior	Resources provided; Alleged conduct not covered by Policy
Davis	Former Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments, boundary concerns	Insufficient information to provide resources; Insufficient information for further review
Davis	Faculty	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Education for Respondent
Davis	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Staff, Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - comments, unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - visual images	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment - comments, touching	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Sexual Harassment	Quid Pro Quo -- unspecified	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Insufficient information for further review
Davis	Staff	Undergraduate Student	Unknown	Sexual Harassment	Hostile Environment - unwanted attention, touching	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Unspecified Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments, touchings	Resources provided; Insufficient information for further review
Davis	Former Affiliate ; Graduate Student; Staff	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment -- comments, boundary concerns	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Graduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unspecified Student	Complainant	Sexual Harassment	Sexual Orientation (LGBTQIA) -- comments	Resources provided; Freedom of Speech; Noted for climate purposes
Davis	Graduate Student; Staff; Undergraduate Student	Staff; Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty; Staff	Complainant	Sexual Harassment	Hostile Environment - concerning speaker invited to speak	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Staff; Unspecified Student	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Complainant's request met
Davis	Graduate Student	Faculty	Responsible Employee	Sexual Harassment	Unspecified	Resources provided; Insufficient information for further review
Davis	Staff	Unknown	Responsible Employee	Sexual Harassment	Nonspecific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Former Affiliate	Responsible Employee	Sexual Harassment	Nonspecific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment-- Sexual comments on Social Media	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment-- Sexual comments	Resources provided; Mitigating measures taken
Davis	Non-UCD Affiliate	Unknown	Complainant	Sexual Harassment	Quid Pro Quo	Unable to provide resources to non-affiliate; Outside the scope of HDAPP's jurisdiction
Davis	Staff	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment- Sexualized sounds on Zoom	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment- Invasive personal questions	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Non-UCD Affiliate	Department / Campus Group	Complainant	Sexual Harassment	Hostile Environment-- Sexual Comments	Resources provided; Education for Respondent
Davis	Unspecified Student	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment-- Sexual comments and failure to respect boundaries	Insufficient information to provide resources; Education for Department
Davis	Graduate Student	Unknown	Responsible Employee	Sexual Harassment	Hostile Environment-- Comments made on Zoom	Resources provided; Complaint withdrawn
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment-- Hugging	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unknown	Responsible Employee	Sexual Harassment	Nonspecific	Resources provided; Insufficient information for further review
Health System	Non-UCD Affiliate; Patient	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - touching	Resources provided; Insufficient information for further review
Health System	Staff	Unknown	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Mitigating measures taken; Education for Department
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile environment unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Complainant	Sexual Harassment	Hostile Environment - touching	Resources provided; Mitigating measures taken; Complaint withdrawn.
Health System	Faculty	Faculty	Complainant	Sexual Harassment	Hostile environment unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Complainant	Sexual Harassment	Hostile Environment - inappropriate touching	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment-- unwanted attention	Resources provided; Documented Discussion; Education for Department
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment touching	Resources Provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Responsible Employee	Sexual Harassment	Hostile Environment - touching	Resources provided; Complainant's request met
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile environment -- visual images	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Unknown	Responsible Employee	Sexual Harassment	Hostile Environment-- Indecent phone calls	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile environment -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile environment -- unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Insufficient information for further review
Health System	Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Respondent no longer affiliated with UCD
Health System	Staff	Staff	Unknown	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Department / Campus Group	Responsible Employee	Sexual Harassment	Sex/Gender -- adverse employment action	Resources provided; Preliminary review--no evidence of policy violation
Health System	Staff	Patient	Responsible Employee	Sexual Harassment	Hostile Environment - touching, sexual advances	Resources provided; Education for Respondent; Mitigating measures taken
Health System	Faculty	Former Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - unsolicited sexual letters	Resources provided; Unable to take further action against non-affiliate
Health System	Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Faculty	Responsible Employee	Sexual Harassment	Hostile environment - comments, visual images	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment - visual images	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Retaliation -- comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Non-UCD Affiliate	Sexual Harassment	Hostile Environment - threats	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - touching	Resources provided; Preliminary review-no evidence of policy violation; Education for Department; Complainant's request met
Health System	Patient	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter; Respondent no longer affiliated with UC Davis
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention, comments	Resources provided; Education for Respondent
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments, unwanted attention	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Unknown	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Responsible Employee	Sexual Harassment	Hostile Environment - touching	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review
Health System	Faculty	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Anonymous Staff	Staff	Unknown	Sexual Harassment	Hostile Environment - improper relationship	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Responsible Employee	Sexual Harassment	Hostile Environment - graphic gestures	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	(pending)
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Education for Department
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Insufficient information for further review



# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Anonymous Staff	Staff	Unknown	Sexual Harassment	Hostile Environment - physical conduct	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate; Patient	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - concern with male providing treatment	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Former Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Documented Discussion and Summary Letter
Health System	Faculty	Staff	Complainant	Sexual Harassment	Hostile Environment - comments, touching	Resources provided; Letter of Expectation for Respondent
Health System	Patient	Faculty	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Education for Respondent
Health System	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Graduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment - unwanted attention	Resources provided; Insufficient information for further review
Health System	Staff	Patient	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment - physical conduct, comments	Resources provided; Insufficient information for further review
Health System	Non-UCD Affiliate; Staff	Non-UCD Affiliate; Staff	Complainant	Sexual Harassment	Hostile Environment - comments, touching	Resources provided; Insufficient information for further review
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Unknown	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment- Unwanted texts and communication	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment- Touching of intimate body part	Unable to provide resources to non-affiliate; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments, unwanted attention; Stalking	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Staff	Staff	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - unwanted attention; Sexual Assault (Contact)	Resources provided; Documented Discussion and Summary Letter
Davis	Former Affiliate	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment- Unequal Treatment; Retaliation (Unspecified)	Unable to provide resources to non-affiliate complainant; Respondent no longer affiliated with UC Davis
Davis	Former Affiliate; Unknown	Undergraduate Student; Unknown	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Insufficient information to provide resources; Insufficient information for further review

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments; Stalking	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Undergraduate Student	Non-UCD Affiliate	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments; Stalking	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Graduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - unwanted attention; Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate	Non-UCD Affiliate; Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments ; Sexual Assault (Unspecified); Stalking	Resources provided; Unable to take further action against non-affiliate; Unable to take further action for conduct by student prior to UC affiliation
Davis	Unspecified Student	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - unwanted attention; Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate; Unknown	Non-UCD Affiliate	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments, touching; Sexual Assault (Contact)	Resources provided; Unable to take further action against non-affiliate
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Unspecified; Relationship Violence; Stalking	Resources provided; Unable to take further action against non-affiliate
Davis	Unknown	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Sexual Assault (unspecified)	Insufficient information to provide resources; Insufficient information for further review
Davis	Unknown	Department / Campus Group	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Unspecified; Unspecified	Resources provided; Insufficient information for further review
Davis	Undergraduate Student, Graduate Student	Non-UCD Affiliate	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment- Sexual comments; Sexual Assault (Contact)	Resources provided; Mitigating measures taken
Davis	Unknown	Multiple Undergraduate Students	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact); Invasion of Sexual Privacy	Resources provided; Complaint withdrawn
Health System	Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments; Sexual Assault (Contact)	Resources provided; Documented Discussion and Summary Letter
Health System	Staff	Patient	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment- Sexual comments; Indecent Exposure	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments; Stalking	Resources provided; Insufficient information for further review
Health System	Staff	Patient	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments; Indecent Exposure	Resources provided; Mitigating measures taken

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Staff	Non-UCD Affiliate	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - touching; Sexual Assault (Contact)	Resources provided; Mitigating measures taken
Health System	Patient	Unknown	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Health System	Patient	Staff	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments, touching; Invasion of Sexual Privacy	Preliminary review-no evidence of policy violation; Education for Department; Education for Respondent
Davis	Undergraduate Student	Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Complainant's request met
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Alleged conduct not covered by Policy
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Retaliation	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information to take further action
Davis	Unspecified Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified); Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Anonymous Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Indecent Exposure	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Complainant's request met; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Complainant's request met

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Alleged conduct not covered by Policy
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unspecified Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking; Sexual Assault (Unspecified); Relationship Violence	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Insufficient information to provide resources; Insufficient information for further review
Davis	Non-UCD Affiliate	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Relationship Violence	Resources provided; Complainant withdrew complaint.
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Former Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Alleged conduct not covered by Policy
Davis	Non-UCD Affiliate	Multiple Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Unable to provide resources to non-affiliate complainant; Insufficient information for further review
Davis	Unspecified Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Complainant's request met
Davis	Undergraduate Student	Non-UCD Affiliate; Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Sexual Assault (Unspecified); Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified); Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Respondent not affiliated; Not within scope of HDAPP's policies;
Davis	Non-UCD Affiliate	Undergraduate Student	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Undergraduate Students	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Preliminary review-no evidence of policy violation

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Unspecified Student	Former Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review; Complainant's request met
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review; Complainant's request met
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient evidence of nexus between conduct and University
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence, Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Former Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Respondent removed from program
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Unable to take further action against unknown Respondent
Davis	Unspecified Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Unable to take further action against unknown Respondent
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Graduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking; Relationship Violence	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Unable to take further action against unknown Respondent
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Unable to take further action against unknown Respondent
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resource provided; Insufficient information for further review; Complainant's needs met
Davis	Staff	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (unspecified)	Insufficient information to provide resources; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Unknown	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Insufficient information for further review
Davis	Faculty; Graduate Student	Former Affiliate, Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Respondent not or no longer affiliated with UC Davis
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Former Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review

# Appendix 1, continued

Appendix 1.(Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Multiple Undergraduate Students	Undergraduate Student	UCD Non-Responsible Employee	Sexual Violence or Other Prohibited Behavior	Nonspecific; Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Unknown	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Former Affiliate	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Sexual Assault (Contact); Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Nonspecific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Unspecified	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Intercourse with a Minor	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Unspecified Student	Complainant	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Relationship Violence; Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; No Contact Directive issued.
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	UCD Non-Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Nonspecific	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Indecent Exposure	Unable to provide resources to non-affiliate; Insufficient information for further review
Davis	Unspecified Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Complaint withdrawn

# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Nonspecific	Resources provided; Insufficient information for further review
Health System	Non-UCD Affiliate; Patient	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Unable to provide resources to non-affiliate complainant; unable to take further action due to insufficient nexus between conduct and University
Health System	Patient	Faculty	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Health System	Staff	Department / Campus Group	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Retaliation (Unspecified)	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient; Unknown	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Health System	Non-UCD Affiliate	Faculty	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Preliminary review-no evidence of policy violation
Health System	Staff	Patient	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Health System	Multiple Staff	Patient	Complainant	Sexual Violence or Other Prohibited Behavior	Indecent Exposure	Resources provided; Mitigating measures taken
Health System	Staff	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Unable to take further action due to insufficient nexus between conduct and University
Health System	Patient	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Preliminary review-no evidence of policy violation
Health System	Patient	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Complaint withdrawn; Insufficient information to take further action
Health System	Non-UCD Affiliate	Non-UCD Affiliate; Patient	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Indecent Exposure	Insufficient information to provide resources; Unable to take further action against non-affiliate
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Respondent not or no longer affiliated with UC Davis
Health System	Non-UCD Affiliate; Patient	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Unable to take action against non-affiliate; Complaint withdrawn
Health System	Multiple Patients	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Insufficient information to provide resources; Insufficient information for further review
Health System	Staff	Patient	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Mitigating measures taken
Health System	Staff	Patient	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Mitigating measures taken
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Respondent not or no longer affiliated with UC Davis
Health System	Non-UCD Affiliate; Patient	Faculty	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Training for Respondent; Modification of procedure
Health System	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided to complainant; Insufficient information for further review
Health System	Staff	Staff	Complainant	Sexual Violence or Other Prohibited Behavior	Retaliation	Resources provided; Documented Discussion and Summary Letter
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Health System	Staff	Patient	Unknown	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Unspecified)	Resources provided; Mitigating measures taken
Health System	Staff	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Unable to take further action against unknown Respondent
Health System	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Unable to take further action against non-affiliate



# Appendix 1, continued

Appendix 1. (Cont.) Summary of the reports received by the Compliance Office in 2020-21 and resolved via Informal Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health System	Patient	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Insufficient information to provide resources; Insufficient information for further review
Health System	Patient	Multiple Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Preliminary review-no evidence of policy violation
Health System	Non-UCD Affiliate	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Faculty	Faculty	Responsible Employee	Unknown	Unspecified unfair treatment	Resources provided; Insufficient information for further review

# Appendix 2

Appendix 2. Summary of reports received by the Compliance Office in 2020-21 and resolved via formal investigation

Campus	Complainant Affiliation	Respondent Affiliation	Report Source	Complaint Category	Complaint Specific	Investigation Findings Summary	Final Outcome
Davis	Staff	Staff	Responsible Employee	Discrimination	Race (Black); Sex/Gender (Female) - adverse employment action	No violation of Policy	Respondent received Letter of Concern addressing non-Discrimination or Harassment concerns discovered in investigation
Davis	Former Staff	Staff	Responsible Employee	Discrimination	National Origina (Hispanic) - comments	No violation of Policy	Respondent received Letter of Expectations and training to address non-Discrimination or Harassment concerns discovered in investigation
Davis	Staff	Multiple Staff	Complainant	Discrimination	Race (Black) - adverse employment action	No violation of Policy	Case Closed. No sanction or corrective action issued to Respondents.
Davis	Staff	Staff	Complainant	Discrimination	Race (Black) - comments; visual images	Violation of Policy on Discrimination or Harassment	Respondent received thirty-day Employment Suspension
Davis	Former Undergraduate Student	Staff	Complainant	Discrimination	Race (Black) - comments; disparate treatment	Violation of Policy on Discrimination or Harassment	Respondent received two-day Employment Suspension
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition - comments	No violation of Policy	Case Closed. No sanction or corrective action issued to Respondent.
Health System	Staff	Staff	Complainant	Discrimination	Medical Condition - adverse employment action	No violation of Policy	Case Closed. No sanction or corrective action issued to Respondent.
Health System	Faculty	Faculty	Responsible Employee	Discrimination	Race (Black) - disparate treatment	No violation of Policy	Case Closed. No sanction or corrective action issued to Respondent.
Health System	Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments; behavior of sexual nature	No violation of Sexual Violence and Sexual Harassment Policy	Respondents received Letters of Expectation addressing non-Sexual Violence and Sexual Harassment concerns discovered in investigation
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments; Quid Pro Quo	No violation of Sexual Violence and Sexual Harassment Policy	Case Closed. No sanction or corrective action issued to Respondent.
Health System	Department or Organization	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - touching	Violation of Sexual Violence and Sexual Harassment Policy	Respondent resigned in lieu of termination. Noted in personnel file.

# Appendix 2, continued

Appendix 2. (Cont.) Summary of reports received by the Compliance Office in 2020-21 and resolved via formal investigation

Campus	Complainant Affiliation	Respondent Affiliation	Report Source	Complaint Category	Complaint Specific	Investigation Findings Summary	Final Outcome
Health System	Department or Organization	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments; inappropriate conduct toward patients	No violation of Sexual Violence and Sexual Harassment Policy	Respondent received Letter of Warning addressing non-Sexual Violence or Sexual Harassment concerns discovered in investigation
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Quid Pro Quo	No violation of Sexual Violence and Sexual Harassment Policy	Respondent received Letter of Warning addressing non-Sexual Violence and Sexual Harassment concerns discovered in investigation
Health System	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment - comments; touching	Violation of Sexual Violence and Sexual Harassment Policy	Respondent resigned prior to assigning discipline. Noted in personnel file.
Davis	Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - comments, behavior; Stalking	No violation of Sexual Violence and Sexual Harassment Policy	Respondent received Letter of Warning addressing non-Sexual Violence and Sexual Harassment concerns discovered in investigation
Health System	Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment - touching; Sexual Assault (Contact)	No violation of Sexual Violence and Sexual Harassment Policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Violation of Sexual Violence and Sexual Harassment Policy	Respondent received 2-year Academic Suspension
Davis	Former Volunteer	Faculty	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Sexual Assault (Contact)	Violation of Sexual Violence and Sexual Harassment Policy	Pending
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration); Sexual Assault (Contact)	No violation of Sexual Violence and Sexual Harassment Policy	Case Closed. No sanction or corrective action issued to Respondent
Davis	Undergraduate Student	Former Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Violation of Sexual Violence and Sexual Harassment Policy	Respondent received 2-year hold on transcript release.
Davis	Former Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence	No violation of Sexual Violence and Sexual Harassment Policy. Violation of University Code of Student Conduct and Discipline	Respondent assigned educational sanction and Deferred Dismissal until graduation
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Sexual Assault (Penetration); Invasions of Sexual Privacy	No violation of Sexual Violence and Sexual Harassment Policy; Violation of Student Code of Conduct and Discipline	Respondent received Deferred Dismissal until graduation for violation of Student Code of Conduct and Discipline.
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Invasions of Sexual Privacy	Violation of Sexual Violence and Sexual Harassment Policy	Respondent received 3-Quarter Academic Suspension
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Violation of Sexual Violence and Sexual Harassment Policy	Respondent Dismissed
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Violation of Sexual Violence and Sexual Harassment Policy	Respondent received 2-year Academic Suspension

# Appendix 3

**Appendix 3.** A summary of reports received by the Compliance Office in 2020-21 and resolved via Alternative Resolution or Other Inquiry

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)
Health System	Patient	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)

# Appendix 4

Administrative Agency Complaints (AY 2020-21)				
Complainant	Respondent	Agency	Allegations	Findings
Staff	University	DFEH	Terminated based on age, race, sexuality; retaliation for reporting patient abuse and reporting harassment	Immediate Right to Sue (RTS) issued
Staff	University/Department	EEOC	Forced into early retirement because of age, sex	Case dismissed due to insufficient evidence
Staff	Department/Staff	EEOC	Denied title change and merit increase because of disability, race	Immediate RTS issued
Staff	University	EEOC	Subjected to unwarranted disciplinary action because of age	No response requested
Staff	University	EEOC	Harassed and terminated because of race, disability	Pending
Staff	University	EEOC	Denied opportunities based on age, sex	Pending
Staff	University	EEOC	Not hired because of disability	Pending
Staff	University	DOL	Denial of request for FMLA	Pending
Non-affiliate	University	OCR	Scholarship program discriminates against students based on gender	Pending
Staff	University	EEOC	Not provided with disability accommodations; appointment not renewed because of disability and gender	Pending
Staff	University/Staff	DFEH	Harassment based on race and retaliation	Pending
Staff	University	DFEH	Reprimanded and terminated for reporting harassment	Case dismissed due to insufficient evidence
Staff	University	EEOC	Not hired because of race and retaliation for reporting harassment	Case closed without findings
Lecturer	University	DFEH	Laid off based on age	Case closed without findings
Lecturer	University	DFEH	Laid off based on age	Case closed without findings
Lecturer	University	DFEH	Laid off based on age	Case closed without findings.
Lecturer	University	DFEH	Laid off based on age	Case dismissed due to insufficient evidence
Lecturer	University	DFEH	Laid off based on age	Case closed without findings
Lecturer	University	DFEH	Laid off based on age	Case closed without findings
Lecturer	Department	DFEH	Denied rehire because of prior discrimination complaint	Case dismissed due to insufficient evidence
Staff	Department	DIR	Denied pay based on age, suspended because of harassment complaint	Case resolved
Staff	University	EEOC	Terminated based on age	Case dismissed due to insufficient evidence
Staff	University	DFEH	Terminated based on color, race, and retaliation for requesting pregnancy disability leave	Case dismissed due to insufficient evidence
Faculty	University	DFEH	Denied tenure based on sex	Immediate RTS issued
Staff	University	EEOC	Harassment based on disability; retaliation for filing grievances and taking FMLA	Case dismissed due to insufficient evidence
Staff	University	DFEH	Terminated based on race, ancestry, age, national origin	Immediate RTS notice issued