

# COMPLIANCE & POLICY



2017-18

ANNUAL REPORT

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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 Provost and Executive Vice 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 and Whistleblower Protection policies;
- 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 compliance committee structure; and
- Developing the annual campus compliance plan.

## **II. Response to Whistleblower Reports**

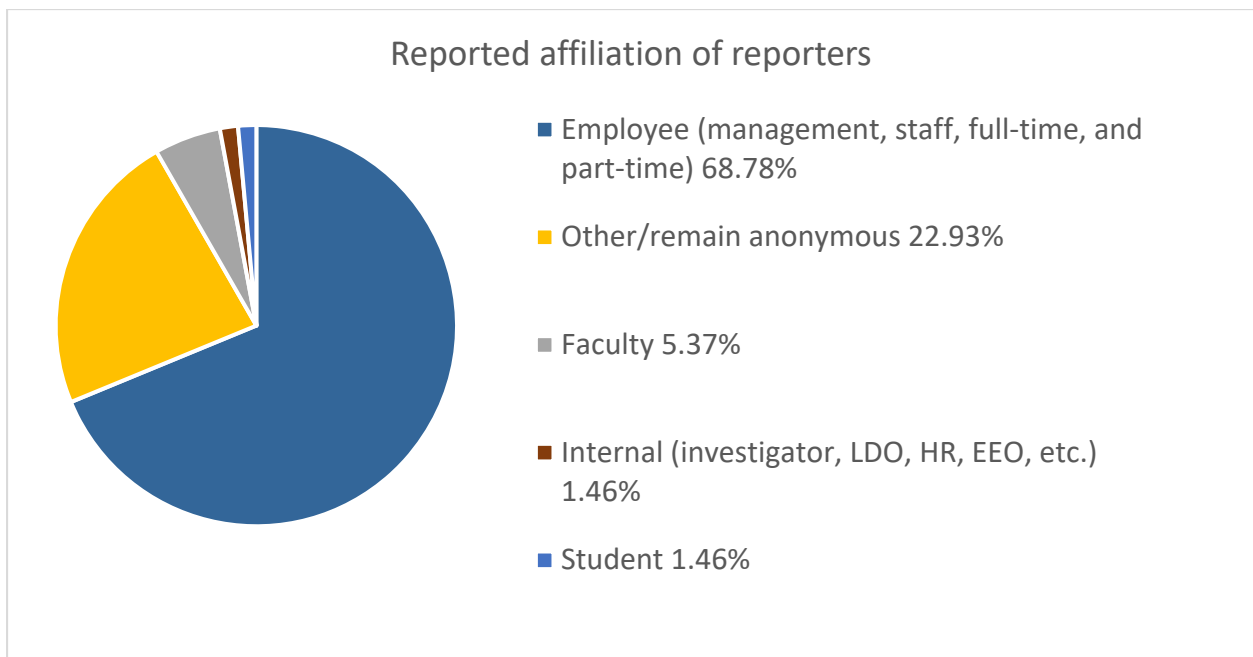
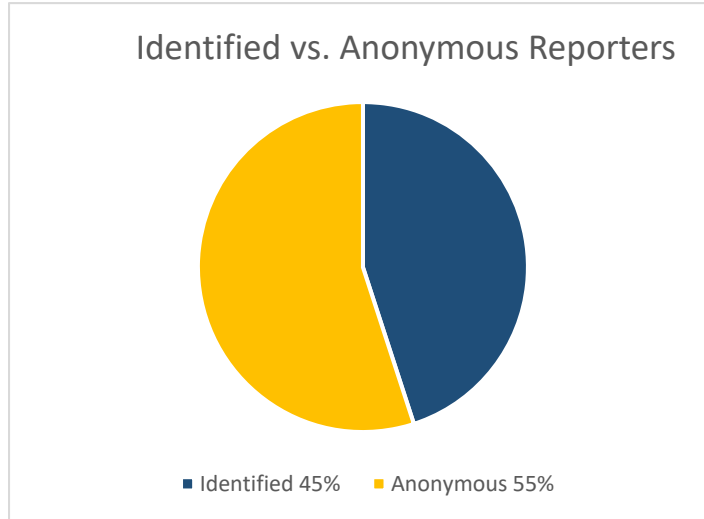
The University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy) governs the reporting and investigation of alleged misconduct by employees at all University locations. A separate Whistleblower Protection Policy establishes 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 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 2017-2018 reporting period, UC Davis received 237 whistleblower reports. The following is a breakdown of complaint sources.



The most often cited categories of reports are: retaliatory management actions, employee misconduct, and hostile work environment. However, there were a wide variety of report categories cited encompassing more than 40 different topics and including, but not limited to, falsification of University records, fraud, theft of goods or services, employment discrimination, and sexual harassment.

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, campus partners—such as Employee and Labor Relations, Audit and Management Advisory Services, or Health Compliance—may investigate 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.<sup>1</sup>

In 2017-18, the University’s Whistleblower reports were resolved as follows:

UC Davis main campus	UC Davis Health
100 complaints	137 complaints
52 investigated <ul style="list-style-type: none"> <li>• 12 substantiated</li> <li>• 40 unsubstantiated</li> </ul>	48 investigated <ul style="list-style-type: none"> <li>• 10 substantiated</li> <li>• 38 unsubstantiated</li> </ul>
6 in process	11 in process
28 referred	57 referred
10 not enough information to proceed	21 not enough information to proceed
4 consultation provided	

### **III. Response to 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. The office is also responsible for ensuring that the University community receives education regarding the prevention of sexual harassment and sexual violence.

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 Title IX Officer/Lead Discrimination Officer 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

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<sup>1</sup> 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.

prevention of all forms of discrimination and harassment, assist individuals and units in resolving conflicts and complaints related to harassment, discrimination, sexual harassment, sexual violence and hate and bias, and serving as the central office for receiving reports and maintaining records of these types of complaints.

- Compliance investigators conduct formal fact-finding involving allegations of sexual violence and sexual harassment and discrimination and harassment.<sup>2</sup>
- The Response Team Coordinator (“RTC”) is responsible for providing consistent case management and coordination of all sexual violence and sexual harassment reports. The RTC is also an integral partner in the development and coordination of sexual violence and sexual harassment prevention training.

### **A. 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.<sup>3</sup> There are also two online reporting options, one for filing reports of sexual violence<sup>4</sup> and another for reporting hate and bias.<sup>5</sup> Both of the on-line portals provide for anonymous reporting.

Complaints may be filed by complainants directly, witnesses, other concerned parties, or by responsible employees.<sup>6</sup> All University employees, including student employees, are required to report all incidents of sexual harassment and sexual violence against students to the Title IX Office (via HDAPP). Additionally, certain University officials – supervisors, faculty, coaches and other officials – are required to report incidents of sexual violence and sexual harassment and discrimination and harassment against employees. Managers, supervisors, department chairs, human resources coordinators, academic personnel coordinators, and student conduct coordinators are required to forward all complaints of other types of discrimination and harassment to HDAPP.

### **B. 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

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<sup>2</sup> These investigators also review civilian complaints against the UC Davis Police Department on behalf of the UC Davis Police Accountability Board (PAB). Information about the PAB, including the PAB Annual Report, is available at: <https://pab.ucdavis.edu/>.

<sup>3</sup> More information about reporting to HDAPP can be found at <https://hdapp.ucdavis.edu/index.html>.

<sup>4</sup> More information about reporting sexual violence online can be found at [https://sexualviolence.ucdavis.edu/filing\\_report.html](https://sexualviolence.ucdavis.edu/filing_report.html).

<sup>5</sup> More information about online reporting of incidents of hate and bias can be found at <https://reportheateandbias.ucdavis.edu/report/index.html>.

<sup>6</sup> Responsible Employees are required to contact HDAPP directly via phone or email and may not report a concern using an online reporting option.

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, Campus Community Relations, the UCD Police Department (UCDPD), and the Center for Advocacy, Resources, and Education (CARE). A member of a CMT may initiate contact with the complainant to obtain additional information, provide information about the complaint resolution process, and refer the complainant to support services. The CMT will also collaborate and determine the best 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.

Complaints are resolved through either informal resolution strategies or formal investigation. Whenever possible and where appropriate, the complainant (i.e. the person who has indicated having experienced sexual violence or sexual harassment, discrimination or harassment, and/or hate and bias) will be informed when a complaint is resolved and, in some case, what specific resolution came from their complaint.<sup>7</sup>

### **C. 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 either informal resolution strategies or formal investigation.

*Informal resolution strategies* may include, but are not limited to: mediating an agreement between the parties; separating the parties; 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”); negotiating an agreement for disciplinary action; conducting targeted educational programs; referring parties to counseling; 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, the complainant does not wish there to be a formal investigation<sup>8</sup>, and/or when the allegations suggest concerning behavior that would not yet rise to a level of a policy violation, but nevertheless should be addressed).

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<sup>7</sup> Complainants in formally investigated sexual harassment/sexual violence complaints are entitled to know the outcome of the investigation. The UC Sexual Violence and Sexual Harassment Policy also permits the University to disclose 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 action. In matters that are informally resolved, complainants are typically informed when the matter is resolved.

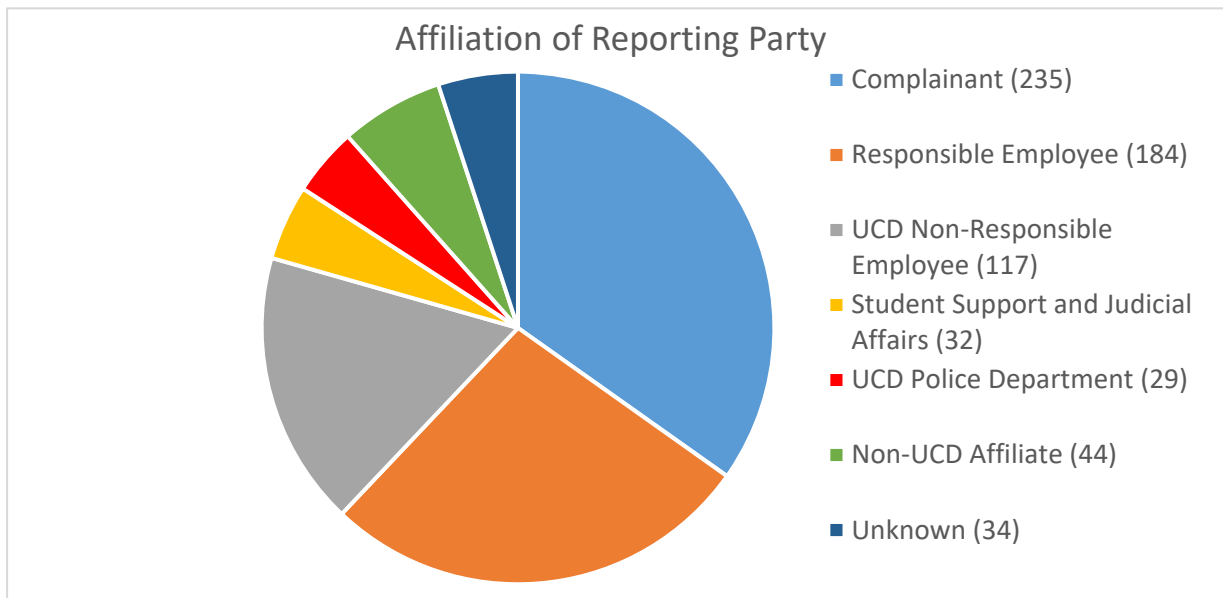
<sup>8</sup> There are times when an investigation must be commenced against a complainant’s wishes, particularly when the alleged behavior of the respondent poses a risk to the broader University community.

When a complaint is resolved via a *formal investigation*, a Compliance investigator<sup>9</sup> will be assigned and will 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<sup>10</sup>, the investigator will make findings of fact, and in some cases, findings of policy (i.e. whether or not a policy was violated).

**D. 2017-2018 Harassment and Discrimination Case Statistics<sup>11</sup>**

For the 2017-2018 year, there were 675 complaints reported. Most complaints (55%) were received from the complainant or a responsible employee (Figure 1). The majority of the reported complaints (93%) were resolved via an informal resolution strategy and the remainder were resolved via formal investigation (Figure 2).<sup>12</sup> Tables 1 and 2 summarize the complainant’s and respondent’s affiliation for each report, sorted by resolution type. Tables 3a-c summarize the bases of the discrimination, harassment, sexual harassment, and sexual violence complaints received and their resolutions.

**Figure 1.** Reporting party affiliation for complaints reported in 2017-18. ‘UCD Non-Responsible Employee’ indicates someone who is affiliated with the University but is not a responsible employee under the SVSH Policy. ‘Non-UCD Affiliate’ can include volunteers, contractors, patients, and former UCD students and employees as well as individuals with no direct connection to the University.



<sup>9</sup> There are occasions when an outside investigator may be charged at the discretion of the Chief Compliance/Title IX Officer.

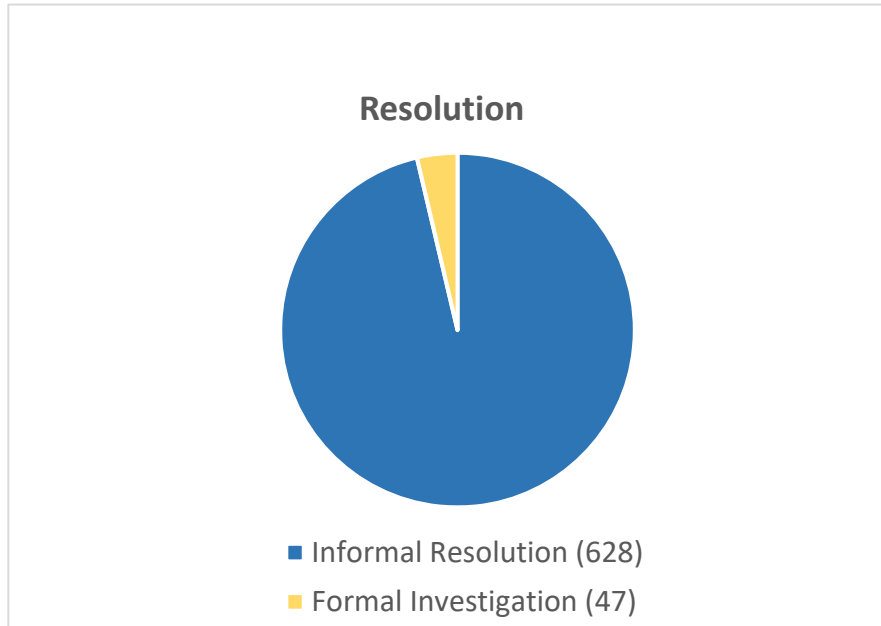
<sup>10</sup> The preponderance of the evidence standard of proof means “more likely than not.”

<sup>11</sup> Data represents complaints filed between July 1, 2017 through June 30, 2018.

<sup>12</sup> Please see Appendices 1 and 2 which provide de-identified case information.



**Figure 2.** Complaint resolutions for complaints received in 2017-18.



**Table 1.** Complainant affiliation for complaints received in 2017-18, sorted by resolution type. Values in each column indicate number of complainants. Some complaints involved multiple complainants and affiliations; those complainant types are counted on the chart multiple times. ‘Unspecified Student’ refers to reports where there was insufficient information to determine whether the complainant was an undergraduate or graduate student. ‘Non-UCD Affiliate’ can include volunteers, contractors, patients, and former UCD students and employees as well as individuals with no direct connection to the University.

Complainant Affiliation	Complaint Resolved by Informal Resolution	Complaint Resolved by Formal Investigation
Undergraduate Student	210	21
Graduate Student	50	2
Unspecified Student	23	0
Faculty	25	1
Staff	218	48
Non-UCD Affiliate	84	7
Insufficient Information to Determine Affiliation	60	0

**Table 2.** Respondent affiliation in complaints received in 2017-18, sorted by resolution type. Values in each column indicate number of respondents. Some complaints involved multiple respondents and affiliations; those respondent affiliations are counted on the chart multiple times. ‘Unspecified Student’ refers to reports where there was insufficient information to determine whether the respondent was an undergraduate or graduate student. ‘Non-UCD Affiliate’ can include volunteers, contractors, patients, and former UCD students and employees as well as individuals with no direct connection to the University.

<b>Respondent Affiliation</b>	<b>Complaint Resolved by Informal Resolution</b>	<b>Complaint Resolved by Formal Investigation</b>
<b>Undergraduate Student</b>	64	20
<b>Graduate Student</b>	39	2
<b>Unspecified Student</b>	22	0
<b>Faculty</b>	80	5
<b>Staff</b>	264	20
<b>Non-UCD Affiliate</b>	82	1
<b>Insufficient Information to Determine Affiliation</b>	112	0
<b>Department/Campus Group</b>	36	1

**Table 3a.** Sexual harassment complaints received in 2017-18, sorted by complaint and resolution type. Values in each column indicate number of complaints.

<b>Type</b>	<b>Number of Complaints Resolved by Informal Resolution</b>	<b>Number of Complaints Resolved by Formal Investigation</b>
<b>Hostile Environment</b>	125	18
<b>Quid Pro Quo</b>	0	0
<b>Non-specific</b>	13	0

**Table 3b.** Sexual violence and other prohibited behavior complaints received in 2017-18, sorted by complaint and resolution type. Values in each column indicate number of complaints. “Other Prohibited Behavior” includes indecent exposure; invasions of sexual privacy; sexual intercourse with a minor; and failure to comply with a No Contact Directive.

<b>Alleged Behavior</b>	<b>Number of Complaints Resolved by Informal Resolution</b>	<b>Number of Complaints Resolved by Formal Investigation</b>
<b>Sexual Assault (Penetration)</b>	25	12
<b>Sexual Assault (Contact)</b>	14	9
<b>Dating Violence</b>	24	4
<b>Domestic Violence</b>	22	0
<b>Stalking</b>	25	7
<b>Other Prohibited Behavior</b>	6	4
<b>Non-specific</b>	33	0
<b>Retaliation</b>	1	2

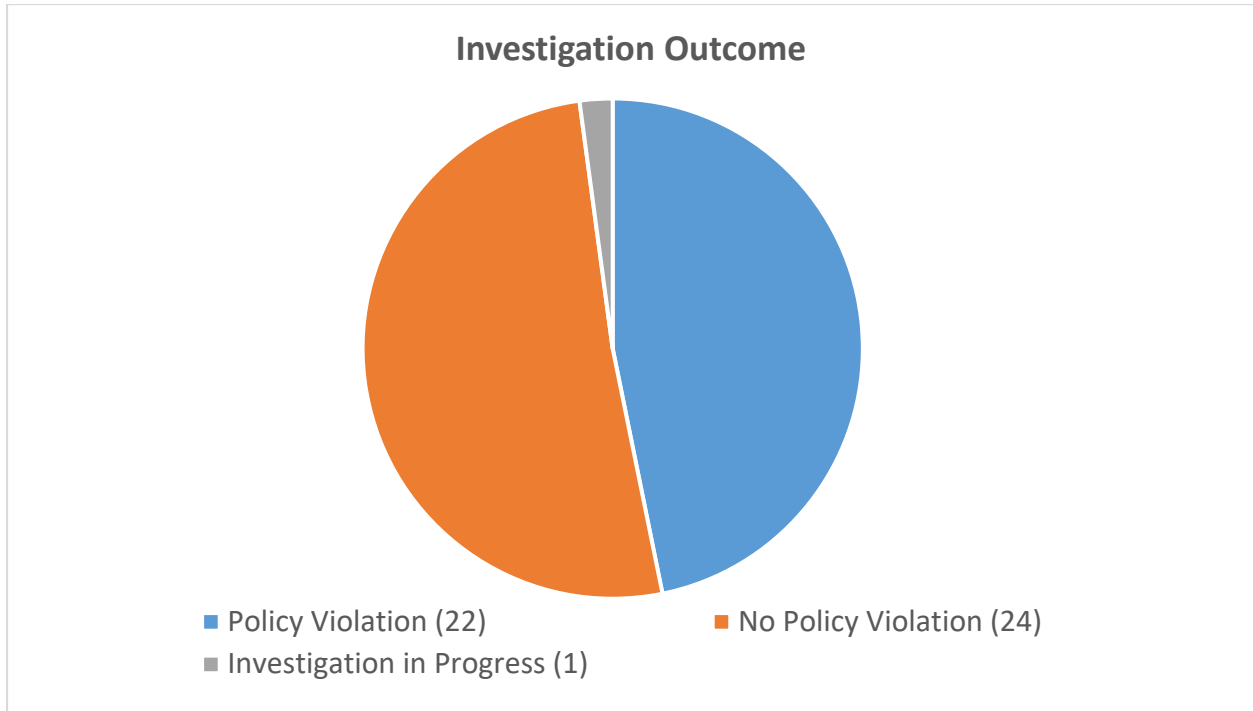
**Table 3c.** Discrimination and harassment complaints received in 2017-18, sorted by complaint and resolution type. Values in each column indicate number of complaints. Some complaints included multiple bases; those complaints are counted on the chart multiple times.

<b>Protected Identity</b>	<b>Resolved by Informal Resolution</b>	<b>Resolved by Formal Investigation</b>
Race	62	7
National Origin	11	0
Religion	7	1
Sex	0	0
Gender	19	3
Gender Expression	0	0
Gender Identity	8	0
Pregnancy	4	0
Physical or Mental Disability	19	2
Medical Condition/Genetic Information	19	0
Ancestry	0	0
Marital Status	0	0
Age	15	2
Sexual Orientation	8	1
Citizenship	0	0
Service in the Uniformed Services	1	0
Retaliation	11	2
Hate/Bias	96	0
Non-specific/Other	98	0

### Formal Investigation Outcomes

Figure 3 and Table 4 summarize the outcomes of complaints that resulted in a formal investigation. Just under half of the completed investigations (47%) resulted in a finding that some or all of the alleged behavior constituted a policy violation. Thirteen (60%) cases where a policy violation was found resulted in academic dismissal from UC Davis for student respondents or loss of employment for staff or faculty respondents, either through termination or the respondent's resignation prior to completion of the investigation or the termination process by the University, for staff or faculty respondents.

**Figure 3.** Investigation outcomes of formal investigations charged in 2017-18. The ‘Policy Violation’ category includes investigations where all or some of the substantiated behavior was determined to constitute a policy violation.



**Table 4.** A summary of the discipline assigned in cases where a formal investigation determined that the substantiated conduct constituted a policy violation or where no violation of the SVSH policy was found but the respondent’s supervisor determined that the substantiated behavior was egregious enough to warrant corrective action. Some resolutions included multiple sanctions.

Discipline	Number of Complaints
Academic Suspension (2 or 3 years)	3
Employment Suspension (2 days to 4 months)	6
Academic Dismissal	7
Employment Termination	2
Resigned in Lieu of Termination or Prior to Completion of Investigation	5
Other removal from campus	1
Letter of Censure, Warning, or Admonishment	4
Reduction in Pay	1
Training / Counseling	2

**E. 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), the United States Department of Labor (DOL), and the Department of Education’s Office of Civil Rights (OCR). In 2017-18, the University received 24 complaints filed with outside agencies: 23 of which were employment discrimination complaints filed with the DFEH, EEOC, or DOL and one of which was a complaint of discrimination filed by a student with OCR. These complaints cite the following grounds for discrimination: age, race, gender, disability, medical condition, ancestry, use of protected leave. More information about these cases is presented in Appendix 3.

#### **F. Training and Educational Programs**

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, sexual harassment, and discrimination and harassment based on a legally protected characteristic. 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.

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.

The compliance rate for the reporting period is as follows:

<b><i>Supervisors</i></b>	<b><i>92%</i></b>
<b><i>Non-Supervisors</i></b>	<b><i>92%</i></b>
<b><i>Graduate/Professional Students</i></b>	<b><i>100%</i></b>
<b><i>Undergraduate Students</i></b>	<b><i>100%</i></b>

The University is continuing to develop strategies and incentives to increase our compliance rate.

During the reporting period, there were 95 Sexual Harassment/Sexual Violence and Discrimination/Harassment Prevention in person training sessions for faculty and staff, reaching more than 3,733 employees.

We also conducted 33 in person sessions for Undergraduate students with the support of CARE, reaching 9,318 undergraduate students. An additional 225 undergraduate students completed the requirement via an online course created by CARE. Students were offered the online option if they did not attend any of the in-person sessions during Fall Quarter or started classes at UC Davis during 2018 Winter or Spring Quarters. We also conducted 19 in-person Sexual Violence/Sexual Harassment Prevention trainings reaching 2,197 graduate students. Additionally, we offered one live webinar attended by 133 students and an online option completed by 65 students who were not able to attend an in-person workshop in Summer and Fall 2017 or started classes at UC Davis in 2018 Winter Quarter or Spring Quarter or Semester.

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

The Chief Compliance Officer serves as the ADA Coordinator for the UC Davis campus. In this capacity, the Compliance & Policy unit received several reports regarding disability access issues in 2017-18. These reports were resolved working with a variety of campus partners including Employee and Labor Relations, Disability Management Services, the Student Disability Center, Facilities, and Design and Construction Management. The Chief Compliance Officer chairs the ADA Special Access 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, In 2017-18, the Committee provided funds to increase the number of automatic door operators throughout campus, improve restroom accessibility in several buildings, and provide accessible equipment for labs. The Compliance unit also maintains a one-stop website for disability resources.<sup>13</sup>

#### **V. 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.<sup>14</sup> 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.

#### **VI. Clery Act Compliance**

During 2017-18, the Director of Compliance and Policy Programs served as the UC Davis Clery Coordinator. 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 Human Resources to develop and publish the Annual Security Report (ASR) and campus crime statistics.<sup>15</sup> In addition to preparing the ASR, the Clery Coordinator enhanced the identification of campus security authorities (CSAs), who are those individuals required by law to report Clery crimes to the UCDPD, by linking CSA status to Career Track job families and levels. A process was also developed to ensure ongoing updates of CSAs by campus departments. The Clery Coordinator also worked with Staff Development and Professional Services to launch a new Clery training within the Learning Management System and assign the training to all CSAs in compliance with new systemwide rules requiring training every two years.

#### **VII. Privacy**

In 2017-18, the Director of Compliance and Policy Programs served as the UC Davis campus Privacy Officer. During the reporting period, the Privacy Officer devoted significant effort to the following initiatives:

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<sup>13</sup> See <https://accessibility.ucdavis.edu/>.

<sup>14</sup> A copy of the plan is available at: [https://compliance.ucdavis.edu/compliance\\_program/affirmative\\_action.cfm](https://compliance.ucdavis.edu/compliance_program/affirmative_action.cfm).

<sup>15</sup> This report can be accessed at: <https://clery.ucdavis.edu/asr>.

- Data Governance Workgroup

The Privacy Officer was active on the Data Governance Workgroup, charged with recommending a data governance structure for the campus. The Privacy Officer played a vital role in the development of data governance principles to balance the need for sharing information with the need for individual privacy.

- General Data Protection Regulation (GDPR)

The Privacy Officer engaged in outreach and consultation regarding the new European General Data Protection Regulations, assisting departments with data inventories, privacy policies, and consent requirements. The Privacy Officer developed a website and numerous resources in response to campus needs, including an online data inventory form.<sup>16</sup>

- Vendor Risk Assessments

The Privacy Officer worked closely with the Information Security Office in conducting vendor risk assessments prior to contracting services that will involve University data.

- Health Information Survey

The Privacy Officer completed a health information survey of the campus to determine where health information not covered by HIPAA is maintained. The results of the survey led to improved practices and the development of a revised policy on maintenance of health information.

## **VIII. Policy**

The Office of Compliance and Policy, through its 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) are ultimately responsible for promulgating and ensuring the continued accuracy of their policies.

In July 2018, there were a total of 223 policies, up from 218 the previous year. Policies must be reviewed every four years to ensure accuracy and continuing applicability. 91 policies (40%) were on the update list, up from 66 the previous year. However, the number of policies that were overdue for update held steady at 15-16%. The Policy Office continues to conduct regular outreach to each administrative unit by providing update lists, training, and resources to assist in policy development and update. The Policy Office also participates on committees charged to develop key policies.

During 2017-18, the Policy Office implemented an online policy management system. The policy library was transferred to the system in December 2017. The new review process has been implemented for almost 70% of the existing policies. Additionally, all of the units are now participating in the online review process following a pilot implementation that allowed the Policy Office to identify potential issues and conduct outreach and training.

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<sup>16</sup> See <https://privacy.ucdavis.edu/gdpr>.

## Notes for 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. 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 investigation.
- 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. These requests are bilateral in that once issued, neither the requestor or the party against whom the request is made should have contact with the other student as specified in the directive itself. 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. Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Faculty	Complainant	Discrimination	National Origin - unfair grading	Resources provided; Insufficient information provided for further review
Anonymous Graduate Student	Faculty	Complainant	Hate/Bias	National origin - Inappropriate party themes	Resources provided; Documented Discussion and Summary Letter
Anonymous	Undergraduate Student	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Discrimination	Medical Condition -hiring practices	Resources provided; Complaint Withdrawn
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Penetration)	Resources provided; No Jurisdiction; Referred to Respondent's home institution for resolution
Anonymous Staff	Multiple Unknown Staff	Complainant	Hate/Bias	Non-specific - Unwanted surveillance	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Insufficient information provided for further review or to provide resources
Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Violence	Stalking; Hostile Environment	Resources provided
Graduate Student	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided
Multiple Undergraduate Students	Undergraduate Student	Office of Student Support and Judicial Services	Discrimination	Gender Identity; Hostile Environment	Resources provided; No Contact Directive issued
Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Harassment	Hostile Environment	Resources provided
Undergraduate Student	Department / Campus Group	Complainant	Discrimination	Disability - failure to accommodate	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Multiple Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Faculty	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Stalking	Resources provided
Staff	Faculty	Complainant	Hate/Bias	Nonspecific - Inappropriate comments	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided; Insufficient information provided for further review
Undergraduate Student	Faculty	Complainant	Other	Other	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided; Insufficient information provided for further review
Undergraduate Student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Multiple Graduate Students	Graduate Student	Complainant	Discrimination	Gender; Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous	Unknown	Complainant	Hate/Bias	Racist remarks and spitting	Insufficient contact information to provide resources
Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Violence	Domestic Violence	Resources provided
Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Staff	Faculty	Complainant	Discrimination	Gender - offensive comments	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Staff	Unknown Staff	Complainant	Discrimination	Medical Condition, Age - nonspecific	Resources provided; Complaint Withdrawn
Staff	Staff	Responsible Employee	Discrimination	Race - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Complainant	Discrimination	Medical Condition - FMLA concerns	Resources provided; Complainant's request met
Staff	Staff	Responsible Employee	Discrimination	Medical Condition - FMLA denied	Resources provided; Documented Discussion and Summary Letter; Complainant's request met
Anonymous Staff	Multiple Staff	Responsible Employee	Other	Other	Referred to Employee and Labor Relations
Staff	Department / Campus Group	Responsible Employee	Discrimination	Medical Condition; Age - nonspecific	Resources provided; Insufficient information provided for further review
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence	Stalking	Resources provided
Anonymous Undergraduate Student	Unknown Faculty	Complainant	Discrimination	Medical Condition - offensive comments	Insufficient information provided for further review or to provide resources
Staff	Unknown	Complainant	Hate/Bias	Unsupportive voicemails regarding LGBTQIA identities	Resources provided; Noted for climate purposes
Graduate Student	Faculty	Complainant	Discrimination	Religion; Race - unfair grading	Resources provided; Complainant's request met
Graduate Student	Staff	Complainant	Discrimination	Non-specific	Resources provided; Preliminary review - no evidence to support policy violation; Education for Respondent
Undergraduate Student	Undergraduate Student	UCD Police Department	Sexual Violence	Stalking	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Dismissal for other misconduct

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Grade Change Committee
Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Unknown	Responsible Employee	Hate/Bias	Gender identity - Disparaging voicemails	Resources provided
Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Graduate Student	Staff	Responsible Employee	Discrimination	Race - favoritism	Resources provided; Education for Respondent
Undergraduate student	Unknown	Complainant	Sexual Violence	Stalking	Resources provided
Staff	Non-UCD Affiliate	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes
Anonymous Staff	Staff	Complainant	Discrimination	Age - offensive comments	Education for Respondent
Staff	Unknown	Responsible Employee	Hate/Bias	Political beliefs - Offensive graffiti	Resources provided; Graffiti removed
Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Other	Other	Resources provided; Respondent no longer affiliated with UCD
Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Discrimination	Religion - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Unknown	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes
Staff	Unknown	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes
Staff	Unknown	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes
Graduate Student	Faculty	Complainant	Discrimination	Race; Gender - unfair grading	Resources provided; Insufficient information provided for further review; Complainant's request met
Undergraduate Student	Department / Campus Group	Complainant	Other	Other	Resources provided
Anonymous	Graduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Faculty	Faculty	Complainant	Other	Other	Resources provided; Referred to Academic Affairs
Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided
Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Nonspecific - Threatening Facebook posts	Resources provided; Respondent dismissed due to other concerns
Undergraduate Student	Unknown	Office of Student Support and Judicial Services	Sexual Harassment	Hostile Environment	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Race, Sexual Orientation - Threatening Facebook posts	Resources provided; Respondent dismissed due to other concerns
Graduate Student	Graduate Student	Responsible Employee	Sexual Violence	Stalking	Resources provided; No Contact Directive issued; Respondent no longer affiliated with UCD
Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Religion - Threatening Facebook posts	Resources provided; Respondent dismissed due to other concerns
Anonymous Staff	Staff	Complainant	Discrimination	Race - hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Unknown Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Staff	Staff	Responsible Employee	Discrimination	Race - bullying	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Discrimination	Medical Condition - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Complainant	Discrimination	Non-specific	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Other	Other	No Jurisdiction
Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Other	Other	No Jurisdiction
Faculty	Non-UCD Affiliate	Complainant	Hate/Bias	Other	Resources provided; No Jurisdiction
Graduate Student	Graduate Student	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided; Insufficient information provided for further review
Staff	Department / Campus Group	Complainant	Discrimination	Race - hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Graduate Student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Staff	Unknown	Complainant	Hate/Bias	Anti-Immigrant voicemail	Resources provided; Noted for climate purposes
Undergraduate student	Undergraduate student	UCD Non-responsible employee	SVSH OPB	Invasion of Sexual Privacy	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Discrimination	Disability - denial of accommodation	No Jurisdiction; Referred to Respondent's home institution for resolution
Staff	Unknown	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous	Unknown	Complainant	Hate/Bias	Political beliefs - Offensive graffiti	Graffiti removed
Anonymous	Staff	Complainant	Discrimination	Veteran Status; Race - favoritism	Insufficient information provided for further review or to provide resources
Anonymous	Staff	Complainant	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Staff	Staff	Complainant	Discrimination	Race; National Origin - termination	Insufficient information provided for further review or to provide resources
Staff	Unknown Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided
Staff	Non-UCD Affiliate	Non-UCD Affiliate	SVSH Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Referred to UCD Police Department
Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Graduate Student	Unknown Graduate Student	Responsible Employee	Sexual Violence	Stalking	Resources provided
Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Undergraduate Student	Unknown	Complainant	Other	Other	Resources provided; Referred to Student Housing
Anonymous Graduate Student	Faculty	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Anonymous Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; No Jurisdiction; Referred to Respondent's home institution for resolution
Anonymous Undergraduate Student	Unknown	Responsible Employee	Hate/Bias	Race - Offensive comments	Referred to Student Housing
Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Staff	Staff	Complainant	Discrimination	Medical Condition - denied overtime	Resources provided; Verbal Counseling
Staff	Non-UCD Affiliate	Complainant	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Anonymous Graduate Student	Graduate Student	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Staff	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Non-UCD Affiliate	Department / Campus Group	Non-UCD Affiliate	Discrimination	Race - differential services	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Discrimination	Race - Offensive comments	Resources provided; Verbal Counseling
Undergraduate Student	Unknown	Complainant	Hate/Bias	Race - Offensive graffiti	Resources provided; Graffiti removed
Staff	Unknown	Responsible Employee	Discrimination	Race - Offensive comments	Resources provided; Education for Department
Anonymous	Unknown Staff	Complainant	Other	Other	Referred to Department
Undergraduate Student	Unknown Faculty	Office of Student Support and Judicial Services	Discrimination	Race - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Faculty	Complainant	Discrimination	Gender - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Multiple Staff	Complainant	Discrimination	Age - denial of reclassification	Resources provided; Preliminary review-no evidence to support policy violation; Complainant's request met
Anonymous Multiple Staff	Staff	Non-UCD Affiliate	Discrimination	Race - hostile work environment	Insufficient information provided for further review or to provide resources
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Dating Violence; Stalking	Resources provided
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided; Insufficient information provided for further review
Staff	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Non-UCD Affiliate	Non-UCD Affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Undergraduate Student	Department / Campus Group	Complainant	Hate/Bias	Lack of Diversity and Non-Inclusive Environment	Resources provided; Education for Department
Graduate Student	Unknown	Complainant	Hate/Bias	Race - Offensive comments	Resources provided
Non-UCD Affiliate	Staff	Responsible Employee	Other	Consensual relationship policy	Education for Respondent
Staff	Staff	Complainant	Discrimination	Medical Condition/Genetic Information; Disability; Age	Resources provided; Preliminary review pending
Multiple Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous	Unknown	Complainant	Hate/Bias	Nonspecific - offensive flyers	Noted for climate purposes
Anonymous Staff	Unknown	Responsible Employee	Hate/Bias	Racist symbol on Canvas	Resources provided
Anonymous	Unknown Staff	Complainant	Discrimination	Sexual Orientation	Referred to Department

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Faculty	Complainant	Discrimination	Race - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Race - offensive comments, physical assault	Resources provided; Suspension for physical assault
Non-UCD Affiliate	Non-UCD affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Staff	Unknown	Complainant	Hate/Bias	Race - offensive sign	Resources provided
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Anonymous Staff	Non-UCD Affiliate	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Noted for climate purposes
Staff	Staff	Complainant	Other	Other	Resources provided; Complaint Withdrawn
Multiple Non-UCD Affiliates	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Insufficient information provided for further review or to provide resources
Staff	Staff	Responsible Employee	Discrimination	Disability; Age - reduction in time	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Graduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Faculty	Complainant	Discrimination	National Origin - offensive comments	Resources provided; Documented Discussion and Summary Letter
Graduate Student	Department / Campus Group	Complainant	Discrimination	Disability -denial of accommodation	Resources provided; Complainant's request met
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Stalking	Resources provided
Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Unknown	Complainant	Hate/Bias	Anti-LGBTQIA graffiti	Resources provided; Graffiti removed
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Undergraduate student	Unknown Unspecified student	UCD Non-responsible employee	Sexual Violence	Sexual Assault (Contact)	Resources provided
Undergraduate student	Non-UCD affiliate	UCD Non-responsible employee	Sexual Violence	Dating Violence; Stalking	Resources provided
Non-UCD Affiliate	Staff	UCD Police Department	Sexual Violence	Sexual Assault (Contact)	Resources provided; Insufficient information provided for further review
Staff	Non-UCD affiliate	UCD Non-responsible employee	Sexual Violence	Domestic Violence	Resources provided
Staff	Staff	Complainant	Discrimination	Medical Condition - denial of accommodation	Resources provided; Complainant's request met
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Staff	Complainant	Discrimination	Race - Non-specific	Resources provided; Insufficient information provided for further review
Staff	Faculty	Complainant	Discrimination	Gender; National Origin - offensive comments	Resources provided; Documented Discussion and Summary Letter
Graduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Graduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous Faculty	Unknown	Complainant	Other	Other	Referred to Academic Affairs
Staff	Staff	Complainant	Discrimination	Race - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Faculty	Complainant	Discrimination	Gender Identity - use of pronouns	Resources provided; Education for Respondent
Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Multiple Graduate Students	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Non-UCD Affiliate	Unknown	UCD Police Department	Sexual Violence	Sexual Assault (Contact)	Resources provided
Undergraduate Student	Graduate Student	Responsible Employee	Sexual Violence	Stalking; Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Services	Discrimination	Sexual Orientation - offensive comments	Resources provided; Insufficient information provided for further review
Graduate Student	Department / Campus Group	UCD Non-Responsible Employee	Discrimination	Gender Identity - use of pronouns	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Unknown	Responsible Employee	Sexual Harassment	Stalking	Resources provided; Insufficient information provided for further review
Graduate Student	Staff	UCD Non-Responsible Employee	Discrimination	Non-specific	Resources provided; Insufficient information provided for further review



Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous Graduate Student	Unknown	UCD Non-Responsible Employee	Hate/Bias	Religion - offensive flyers	Noted for climate purposes
Non-UCD Affiliate	Non-UCD Affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Graduate Student	Graduate Student	UCD Non-Responsible Employee	Sexual Violence	Stalking	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Staff	Multiple Staff	UCD Non-Responsible Employee	Discrimination	Religion - termination	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Domestic Violence	Resources provided; Insufficient information provided for further review
Undergraduate Student	Non-UCD affiliate	Office of Student Support and Judicial Services	Sexual Harassment	Hostile Environment	Resources provided
Undergraduate Student	Undergraduate Student	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Undergraduate student	Non-UCD Affiliate	Office of Student Support and Judicial Services	Sexual Violence	Non-specific	Resources provided
Anonymous Unspecified Student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Non-specific	Insufficient contact information to provide resources
Staff	Unknown	UCD Non-Responsible Employee	Hate/Bias	White Nationalist Flyer	Resources provided; Noted for climate purposes
Staff	Unknown	UCD Non-Responsible Employee	Hate/Bias	White Nationalist Flyer	Resources provided; Noted for climate purposes
Anonymous Unspecified Student	Undergraduate Student	Responsible Employee	Sexual Violence	Dating Violence	Insufficient information provided for further review or to provide resources
Undergraduate Student	Multiple Unknown Undergraduate Students	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Undergraduate Student	Undergraduate Student	UCD Non-Responsible Employee	Sexual Violence	Stalking; Hostile Environment; Retaliation	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Anonymous Unspecified Student	Non-UCD affiliate	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Graduate Student	Unknown	UCD Non-Responsible Employee	Sexual Violence	Domestic Violence	Resources provided
Anonymous Undergraduate Student	Unknown Unspecified Student	UCD Non-Responsible Employee	Hate/Bias	Gender - offensive comments	Noted for climate purposes

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Unknown	UCD Non-Responsible Employee	Hate/Bias	Gender - offensive comments	Resources provided; Noted for climate purposes
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Non-specific	Resources provided
Staff	Unknown Staff	UCD Non-Responsible Employee	Discrimination	Race - differential treatment	Resources provided; Insufficient information provided for further review
Anonymous	Multiple Unknown	Unknown	Hate/Bias	Racist speech	Insufficient contact information to provide resources
Anonymous Staff	Staff	Unknown	Discrimination	Race - hiring practices	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation
Staff	Staff	Complainant	Discrimination	Race - differential treatment	Resources provided; Complaint Withdrawn; Education for Department
Staff	Staff	UCD Non-Responsible Employee	Discrimination	Race - offensive comments	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Unknown	UCD Non-Responsible Employee	Hate/Bias	Nonspecific - offensive speech	Resources provided
Undergraduate Student	Faculty	Complainant	Discrimination	Disability - denial of accommodation	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Unknown Graduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Non-UCD Affiliate	Unknown Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided
Anonymous	Unknown	Unknown	Hate/Bias	Nonspecific - offensive flyers	Insufficient contact information to provide resources
Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondents no longer affiliated with UCD
Undergraduate Student	Faculty	UCD Non-Responsible Employee	Discrimination	Non-specific - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Staff	UCD Non-Responsible Employee	Discrimination	Non-specific - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Faculty	Responsible Employee	Sexual Violence	Non-specific	Education for Respondent; Insufficient information provided for further review
Staff	Graduate Student	UCD Non-Responsible Employee	Sexual Violence	Stalking	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Undergraduate Student	Faculty	Complainant	Discrimination	Age; Race; Color - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	UCD Non-Responsible Employee	Discrimination	Age; Disability; Race - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Staff	UCD Non-Responsible Employee	Hate/Bias	Anti-Semitic speech	Resources provided
Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Non-specific	Resources provided; Insufficient information provided for further review
Undergraduate Student	Non-UCD Affiliate	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Anonymous Faculty	Non-UCD Affiliate	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information provided for further review or to provide resources; Respondent deceased
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Non-specific	Resources provided
Graduate Student	Staff	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous Staff	Staff	Unknown	Discrimination	Race - differential treatment	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation
Staff	Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous	Unknown	Unknown	Hate/Bias	Anti-Latino graffiti	Graffiti removed
Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Race - offensive comments	Resources provided; Housing accommodation provided
Undergraduate Student	Staff	UCD Non-Responsible Employee	Hate/Bias	Religion - offensive comments	Resources provided; Respondent no longer affiliated with UCD
Faculty	Multiple Staff	Responsible Employee	Discrimination	National Origin - offensive comments, denial of benefits	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Non-UCD Affiliate	UCD Non-Responsible Employee	Sexual Harassment	Online harassment	Resources provided; Insufficient information provided for further review
Faculty	Department / Campus Group	UCD Non-Responsible Employee	Discrimination	Non-specific - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Staff	Responsible Employee	Discrimination	Race - differential treatment	Resources provided; Insufficient information provided for further review
Anonymous Faculty	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Faculty	Department / Campus Group	UCD Non-Responsible Employee	Discrimination	Medical Condition - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Faculty	Department / Campus Group	UCD Non-Responsible Employee	Discrimination	Medical Condition - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Multiple Staff	Department / Campus Group	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Multiple Undergraduate Students; Multiple Non-UCD Affiliates	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Non-UCD Affiliate	Unknown Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided
Non-UCD Affiliate	Non-UCD Affiliate	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Insufficient contact information to provide resources
Non-UCD Affiliate	Department / Campus Group	Non-UCD Affiliate	Discrimination	Race, age, sex, religion - differential services	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Department / Campus Group	Non-UCD Affiliate	Discrimination	Disability-ADA compliance concerns	Resources provided; Referred to Patient Relations
Staff	Faculty	Responsible Employee	Sexual Violence	Sexual Assault (Penetration); Sexual Assault (Contact)	Resources provided; Negotiated corrective action; Respondent ineligible for future employment
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Non-specific	Resources provided
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Sexual Violence	Stalking	Resources provided; Insufficient information provided for further review
Undergraduate student	Unknown Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Non-UCD Affiliate	Faculty; Non-UCD Affiliate	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment; Sexual Assault (Penetration)	Resources provided; Complainant's request met; Respondents no longer with UCD
Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence	Non-specific	Insufficient contact information to provide resources
Multiple Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Referred to Department
Anonymous Undergraduate Student	Faculty	UCD Non-Responsible Employee	Discrimination	Disability; Religion - offensive comments	Respondent no longer affiliated with UCD
Anonymous Staff	Non-UCD Affiliate	Responsible Employee	Hate/Bias	Sexual orientation - Offensive speech and threats	Safety protocol put into place

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Faculty	UCD Non-Responsible Employee	Hate/Bias	National origin - differential treatment	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Non-UCD affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Staff	Staff	UCD Non-Responsible Employee	Discrimination	Race - offensive comments	Resources provided; Documented Discussion and Summary Letter
Multiple Unspecified Students	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Undergraduate Student	Faculty	UCD Non-Responsible Employee	Discrimination	Race - unfair grading	Resubmission of prior case. Opened and closed for documentation purposes; Preliminary review - no evidence to support policy violation
Undergraduate Student	Faculty	UCD Non-Responsible Employee	Other	Other	Resources provided
Undergraduate student	Multiple Non-UCD Affiliates	Office of Student Support and Judicial Services	Sexual Violence	Stalking	Resources provided
Anonymous	Graduate Student	Unknown	Hate/Bias	Racist speech	Resources provided
Undergraduate Student	Faculty	Complainant	Discrimination	Disability - denial of accommodation	Resources provided; Complainant's request met
Staff	Staff	Non-UCD Affiliate	Other	Other; Retaliation	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Responsible Employee	Discrimination	Non-specific	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Complainant	Discrimination	Medical Condition - forced to resign	Resources provided; Complaint Withdrawn
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Discrimination	Sexual Orientation - offensive comments	Resources provided; Documented Discussion and Summary Letter
Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Multiple Unknown Staff	Complainant	Discrimination	Race; Color; National Origin - hostile work environment	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Anonymous Staff	Staff	UCD Non-Responsible Employee	Hate/Bias	Other	Referred to Employee and Labor Relations
Staff	Staff	Responsible Employee	Hate/Bias	Non-specific - Offensive comments regarding staff	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Responsible Employee	Hate/Bias	Race - Offensive comments	Resources provided; Complaint withdrawn
Anonymous	Staff	Unknown	Other	Other	Insufficient contact information to provide resources

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous Undergraduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Education for Respondent
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous	Faculty	Unknown	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Non-UCD Affiliate	Graduate Student	Non-UCD Affiliate	Sexual Harassment	Hostile Environment; Stalking	Resources provided; Education for Respondent
Anonymous	Graduate Student	Unknown	Hate/Bias	Racist speech	Insufficient information provided for further review or to provide resources
Multiple Non-UCD Affiliates	Staff	Multiple Non-UCD Affiliates	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Multiple Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous	Staff	Unknown	Other	Other	Referred to Employee and Labor Relations
Anonymous	Graduate Student	Unknown	Hate/Bias	Racist speech	Insufficient information provided for further review or to provide resources
Anonymous	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Multiple Non-UCD Affiliates	Department / Campus Group	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Staff	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Anonymous Unspecified Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Suspension for other misconduct
Non-UCD Affiliate	Non-UCD affiliate	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Undergraduate Student	Multiple Faculty	UCD Non-Responsible Employee	Discrimination	Age; National Origin - unfair grading	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Unknown	Complainant	Hate/Bias	Disability - offensive comments	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Unknown Staff	Responsible Employee	Hate/Bias	Racist image	Resources provided; Matter resolved by parties prior to reporting
Non-UCD Affiliate	Unknown Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Non-specific	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Multiple Faculty	Staff	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous	Graduate Student	Unknown	Hate/Bias	Racist speech	Insufficient information provided for further review or to provide resources
Staff	Staff	Responsible Employee	Discrimination	Age - unfair discipline	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Unknown	Complainant	Hate/Bias	Sexually suggestive speech	Resources provided
Undergraduate Student	Multiple Undergraduate Students	Complainant	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services
Anonymous	Graduate Student	Non-UCD Affiliate	Sexual Violence	Sexual Assault (Penetration)	Insufficient information provided for further review or to provide resources
Anonymous Undergraduate Student	Undergraduate Student	UCD Non-Responsible Employee	Sexual Violence	Non-specific	Administrative notice to Respondent
Anonymous Undergraduate student	Unknown	Non-UCD Affiliate	Sexual Violence	Non-specific	Resources provided
Non-UCD Affiliate	Non-UCD affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Non-UCD Affiliate	Unknown Faculty	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided
Anonymous Undergraduate Student	Graduate Student	Complainant	Sexual Violence	Sexual Assault (Penetration); Other Prohibited Behavior	Insufficient information provided for further review or to provide resources
Anonymous Graduate Student	Graduate Student	Unknown	Sexual Violence	Dating Violence; Hostile Environment	Insufficient information provided for further review or to provide resources
Anonymous	Faculty	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information provided for further review or to provide resources
Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous	Unknown	Unknown	Other	Other	Referred to Employee and Labor Relations
Non-UCD Affiliate	Non-UCD affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Staff	Faculty	Complainant	Discrimination	National Origin - favoritism	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Faculty	Complainant	Hate/Bias	National Origin - offensive comments	Resources provided; Insufficient information provided for further review

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services
Anonymous	Multiple Staff	Complainant	Other	Other	Referred to Workplace Violence Committee
Staff	Multiple Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous Unspecified Student	Graduate Student	Complainant	Sexual Harassment	Sexual Assault (Contact); Stalking; Hostile Environment	Insufficient information provided for further review or to provide resources
Undergraduate Student	Unknown Undergraduate Student	Office of Student Support and Judicial Services	Sexual Harassment	Non-specific	Resources provided
Anonymous Unspecified Student	Faculty	Complainant	Hate/Bias	Hostile Environment	Referred to Academic Affairs
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Non-specific	Resources provided
Undergraduate student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Anonymous	Staff	Complainant	Other	Other	Referred to Employee and Labor Relations
Anonymous	Staff	Complainant	Other	Other	Referred to Employee and Labor Relations
Staff	Staff	Responsible Employee	Other	Retaliation	Resources provided; Referred to Whistleblower Retaliation Complaint process
Anonymous Staff	Staff	Complainant	Hate/Bias	Non-specific - bullying	Referred to Workplace Violence Committee
Undergraduate student	Undergraduate student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Undergraduate student	Undergraduate student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Graduate Student	Faculty	Complainant	Other	Retaliation	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Undergraduate Student	Responsible Employee	Sexual Violence	Stalking	Resources provided; Education for Respondent
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided



Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate Student; Anonymous Undergraduate Student	Faculty	UCD Non-responsible employee	Discrimination	Religion - offensive comments	Resources provided; Complainant's request met
Anonymous Undergraduate Student	Unknown	Complainant	Hate/Bias	National Origin - offensive flyer	Noted for climate purposes
Undergraduate student	Non-UCD affiliate	Complainant	Sexual Violence	Stalking	Resources provided
Undergraduate student	Non-UCD affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Department; Insufficient information provided for further review
Faculty	Department / Campus Group	Complainant	Discrimination	Gender - differential treatment	Resources provided; Complainant's request met
Staff	Multiple Staff	Complainant	Discrimination	Disability - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	Responsible Employee	Discrimination	Gender Identity - hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous Unspecified Student	Faculty	Complainant	Hate/Bias	Religion - offensive comments	Documented Discussion and Summary Letter
Undergraduate student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided; No Jurisdiction; Referred to Respondent's home institution for resolution
Staff	Non-UCD affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Verbal Counseling
Undergraduate student	Unknown	UCD Non-responsible employee	Hate/Bias	Anti-Immigrant flier	Resources provided; Noted for climate purposes
Non-UCD Affiliate	Non-UCD affiliate	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Anonymous Undergraduate Student	Graduate Student	Unknown	Sexual Violence	Sexual Assault (Contact)	Insufficient information provided for further review or to provide resources
Undergraduate student	Non-UCD affiliate	Non-UCD Affiliate	Sexual Violence	Sexual Assault (Penetration)	Resources provided; No Jurisdiction; Referred to Respondent's home institution for resolution
Anonymous	Faculty	Complainant	Sexual Violence	Sexual Assault (Non-specific)	Resources provided; Respondent deceased
Staff	Non-UCD affiliate	UCD Police Department	Sexual Violence	Sexual Assault (Contact)	Resources provided
Undergraduate student	Non-UCD affiliate	Complainant	Sexual Violence	Sexual Assault (Contact)	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Staff	Unknown	Responsible Employee	Other	Other	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous Undergraduate Student	Unknown Undergraduate Student	Complainant	Sexual Violence	Stalking	Resources provided
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate student	Unknown	Complainant	Other	Other	Resources provided
Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Insufficient contact information to provide resources
Anonymous Unspecified Student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Stalking; Hostile Environment	Insufficient contact information to provide resources; Referred to UC Davis Police Department
Staff	Multiple Staff	Complainant	Hate/Bias	Non-specific	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Staff	Complainant	Discrimination	Race; Color; Gender -unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Unknown	Complainant	Discrimination	Race - offensive item in workplace	Resources provided; Offending item removed
Non-UCD Affiliate	Non-UCD affiliate	Complainant	Sexual Harassment	Hostile Environment; Stalking	Resources provided; Complainant's request met
Anonymous Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous Staff	Staff	Complainant	Hate/Bias	Other	Referred to Employee and Labor Relations
Anonymous	Unknown	Complainant	Other	Other	Referred to Employee and Labor Relations
Staff	Faculty	Complainant	Discrimination	Race; Gender - termination	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Multiple Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Employee and Labor Relations; Verbal Counseling
Faculty	Faculty	UCD Non-responsible employee	Discrimination	Sexual Orientation - offensive comments	Resources provided; Education for Department
Staff	Department / Campus Group	Complainant	Discrimination	Race -hiring practices	Resources provided; Preliminary review-no evidence to support policy violation

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous Staff	Staff	Complainant	Hate/Bias	Name calling	Insufficient information provided for further review or to provide resources; Referred to Employee and Labor Relations
Anonymous Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Multiple Undergraduate Students	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Multiple Undergraduate Students	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment; Gender	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Unknown Unspecified Student	Complainant	Sexual Violence	Sexual Assault (Contact)	Resources provided
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Contact)	Resources provided
Staff	Unknown	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate Student	Staff	Complainant	Other	Other	Resources provided; Referred to Department
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Gender; Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Non-UCD Affiliate	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment; Sexual Assault (Contact)	Resources provided; Housing Accommodation provided; Insufficient information provided for further review
Anonymous	Graduate Student	Complainant	Sexual Violence	Sexual Assault (Contact)	Insufficient information provided for further review or to provide resources
Anonymous Unspecified Student	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Domestic Violence	Insufficient contact information to provide resources
Non-UCD Affiliate	Staff	Complainant	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Staff	Non-UCD affiliate	UCD Police Department	Sexual Violence	Sexual Assault (Contact)	Resources provided
Non-UCD Affiliate	Non-UCD affiliate	Complainant	Sexual Violence	Sexual Assault (Penetration)	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	Complainant	Discrimination	Medical Condition - use of FMLA	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous Staff	Staff	Complainant	Discrimination	Gender - differential treatment	Verbal Counseling
Non-UCD Affiliate	Multiple Staff	Responsible Employee	Discrimination	Race - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Non-UCD Affiliate	Non-UCD affiliate	Complainant	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Anonymous Undergraduate student	Unknown Undergraduate student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Anonymous Unspecified Student	Unspecified Student	UCD Police Department	Sexual Violence	Domestic Violence	Insufficient contact information to provide resources
Faculty	Unknown	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services
Staff	Unknown	Complainant	Hate/Bias	Disparaging email about LGBTQIA persons	Resources provided; Noted for climate purposes
Undergraduate Student	Staff	Complainant	Discrimination	National origin - differential treatment	Resources provided; Insufficient information provided for further review
Graduate Student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Staff	Non-UCD affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Undergraduate Student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Undergraduate Student	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided
Multiple Faculty	Multiple Faculty	Responsible Employee	Other	Other	Resources provided; Referred to Academic Affairs
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Respondent dismissed for other misconduct
Undergraduate student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment; Stalking	Resources provided; Documented Discussion and Summary Letter
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Undergraduate student	Undergraduate student	Complainant	Hate/Bias	Non-specific - online harassment	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Staff	UCD Non-responsible employee	Other	Other	Resources provided
Non-UCD Affiliate	Department / Campus Group	UCD Non-responsible employee	Discrimination	Race - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Unknown	UCD Non-responsible employee	Hate/Bias	Non-specific	Resources provided; Insufficient information provided for further review
Anonymous	Faculty	Complainant	Sexual Harassment	Hostile Environment	Documented Discussion and Summary Letter
Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Undergraduate Student	Staff	Responsible Employee	Discrimination	Gender Identity - offensive comments	Resources provided; Education for Department
Multiple Staff	Staff	Responsible Employee	Hate/Bias	Race, National Origin - Inappropriate comments	Resources provided; Documented Discussion and Summary Letter
Undergraduate student	Unknown	Responsible Employee	Hate/Bias	Racist comments	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Staff	Unknown	Complainant	Discrimination	Disability - failure to accommodate	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous Staff	Staff	UCD Non-responsible employee	Discrimination	Race - offensive comments	Dismissal for other misconduct
Anonymous Staff	Unknown Staff	UCD Non-responsible employee	Discrimination	Race - hiring practices	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation
Undergraduate student	Undergraduate student	Complainant	Discrimination	Gender - differential treatment	Resources provided; Education for Respondent
Staff	Faculty	Responsible Employee	Discrimination	Pregnancy	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Faculty	Complainant	Discrimination	Pregnancy	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous Undergraduate Student	Unknown Undergraduate Student	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Complainant's request met
Anonymous Graduate Student	Multiple Faculty	Responsible Employee	Sexual Harassment	Non-specific	Insufficient information provided for further review or to provide resources
Anonymous	Graduate Student	Complainant	Hate/Bias	Racially insensitive comments in public space	Noted for climate purposes
Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous Undergraduate Student	Unknown Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided
Faculty	Faculty	Complainant	Other	Other	Resources provided; Referred to Academic Affairs
Multiple Non-UCD Affiliates	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Verbal Counseling
Undergraduate Student	Unknown Unspecified Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Anonymous	Unknown	Responsible Employee	Hate/Bias	Racist stickers	Stickers removed if posted inconsistent with posting policy
Undergraduate student	Staff; Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented discussion with one Respondent, 2nd respondent no longer affiliated with UCD
Anonymous Undergraduate student	Department / Campus Group	Complainant	Other	Other	Referred to Department
Non-UCD Affiliate	Graduate Student	Responsible Employee	Sexual Harassment	Non-specific	Resources provided; Insufficient information provided for further review
Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter; Education for Department
Faculty	Unknown Unspecified Student	UCD Non-responsible employee	Other	Other	Resources provided; Referred To Academic Affairs
Undergraduate student	Department / Campus Group	Complainant	Discrimination	Age - hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Faculty	Faculty	Complainant	Other	Other	Resources provided; Referred to Academic Affairs
Faculty	Faculty	Complainant	Hate/Bias	Perceived ageist comments	Resources provided; Preliminary review - no evidence to support policy violation; Referred to Academic Affairs
Anonymous Unspecified Student	Graduate Student	Unknown	Sexual Violence	Sexual Assault (Penetration)	Insufficient information provided for further review or to provide resources
Undergraduate student	Unknown Undergraduate Student	Complainant	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services
Anonymous Staff	Staff	Complainant	Hate/Bias	Racist comments	Documented Discussion and Summary Letter

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Anonymous Staff	Staff	Unknown	Other	Other	Referred to Employee and Labor Relations
Staff	Department / Campus Group	Complainant	Discrimination	Pregnancy	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Department / Campus Group	Complainant	Retaliation	Retaliation	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate student	Faculty	Responsible Employee	Discrimination	Race - unfair grading	Resources provided; Grading error corrected
Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Respondent no longer affiliated with UCD; Referred to Employee and Labor Relations
Non-UCD Affiliate	Department / Campus Group	Responsible Employee	Discrimination	Disability - access concern	Resources provided; Complainant's request met
Undergraduate student	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Undergraduate student	Multiple Faculty	Complainant	Discrimination	Disability - denial of accommodation	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Stalking	Resources provided
Anonymous	Graduate Student	Non-UCD Affiliate	Sexual Violence	Stalking	Insufficient information provided for further review or to provide resources
Staff	Non-UCD affiliate	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided; Respondent barred from participating in UCD programs
Undergraduate student	Unknown	Responsible Employee	SVSH OPB	Indecent Exposure	Resources provided
Anonymous Undergraduate Student	Unknown Undergraduate Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Insufficient information provided for further review or to provide resources
Undergraduate student	Unknown	Complainant	Discrimination	National Origin - nonspecific	Resources provided; Insufficient information provided for further review
Graduate Student	Department / Campus Group	Responsible Employee	Discrimination	Age	Resources provided; Preliminary review-no evidence to support policy violation; Referred to Graduate Studies
Staff	Staff	Complainant	Other	Other	Referred to Employee and Labor Relations
Anonymous Staff	Unknown	Responsible Employee	Hate/Bias	Swastika drawn on whiteboard	Noted for climate purposes
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Anonymous Staff	Unknown Staff	Complainant	Discrimination	Race; Religion; Sexual Orientation - offensive poster	Items removed from bulletin if posted inconsistent with posting policy

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	Responsible Employee	Discrimination	Race - termination	Resources provided; Insufficient information provided for further review
Anonymous	Unknown	Complainant	Discrimination	Disability - nonspecific	Insufficient information provided for further review or to provide resources
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Sexual Harassment	Non-specific	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate student	Undergraduate Student	UCD Police Department	Sexual Violence	Dating Violence	Resources provided; Insufficient information provided for further review
Non-UCD Affiliate	Department / Campus Group	Non-UCD Affiliate	Discrimination	ADA Access Concern	Resources provided; Complainant's request met
Undergraduate student	Undergraduate Student	Responsible Employee	Sexual Violence	Stalking	Resources provided; Insufficient information provided for further review; Education Accommodation provided
Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review; Complainant's request met
Anonymous	Faculty	Complainant	Sexual Harassment	Hostile Environment	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation; Referred to Academic Affairs
Staff	Unknown	Responsible Employee	Discrimination	Race - nonspecific	Resources provided
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Multiple Undergraduate students	Graduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Anonymous	Graduate Student	Complainant	Hate/Bias	Race - Offensive text messages	Insufficient information provided for further review or to provide resources
Anonymous	Graduate Student	Complainant	Hate/Bias	Racist comments	Insufficient contact information to provide resources
Anonymous	Faculty	Complainant	Hate/Bias	Gender - hiring practices	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided



Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Non-UCD Affiliate	Multiple Non-UCD Affiliates	Complainant	Discrimination	Race; Hostile Environment	Resources provided
Anonymous	Undergraduate Student	Complainant	Other	Other	Referred to Campus Recreation and Unions
Anonymous	Staff	Complainant	Discrimination	Race; Gender Identity - perceived exclusion from events	Department addressed to ensure events are clearly inclusive
Anonymous	Staff	Complainant	Other	Other	Referred to Employee and Labor Relations
Non-UCD Affiliate	Staff	Complainant	Discrimination	Medical Condition/Genetic Information; Disability; Age	Resources provided; Preliminary review pending
Anonymous	Department / Campus Group	Complainant	Other	Hazing	Referred to Student Housing
Graduate Student	Unknown	Complainant	Hate/Bias	Racist graffiti	Resources provided; Graffiti removed
Undergraduate student	Staff	Complainant	Discrimination	Medical Condition - termination from student employment	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Anonymous	Faculty	Unknown	Hate/Bias	Offensive comments regarding sexual violence	Noted for climate purposes
Anonymous	Department / Campus Group	Unknown	Hate/Bias	Biased enforcement of posting policy	Any posters violating posting policy consistently removed by Facilities
Staff	Staff	UCD Non-responsible employee	Discrimination	Gender Identity - use of pronouns	Resources provided; Insufficient information provided for further review
Anonymous Graduate student	Graduate student	UCD Non-responsible employee	Hate/Bias	Racist comments	Insufficient information provided for further review or to provide resources
Undergraduate student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Sexual Assault (Contact)	Resources provided; No Jurisdiction; Referred to Respondent's home institution for resolution
Staff	Unknown	Responsible Employee	Hate/Bias	Unsupportive voicemails regarding LGBTQIA identities	Resources provided; Noted for climate purposes
Staff	Unknown Staff	Responsible Employee	Discrimination	Race - differential treatment	Resources provided; Insufficient information provided for further review
Undergraduate student	Faculty	Responsible Employee	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services and Academic Affairs
Staff	Unknown	UCD Non-responsible employee	Discrimination	Race	Resources provided; Insufficient information provided for further review
Staff	Staff	UCD Non-responsible employee	Discrimination	Retaliation	Resources provided; Insufficient information provided for further review; Respondent no longer affiliated with UCD
Staff	Non-UCD affiliate	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Multiple Staff	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Complaint withdrawn

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Unknown	UCD Non-responsible employee	Hate/Bias	Swastika drawn in dirt on car	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Harassment	Non-specific	Resources provided
Staff	Non-UCD affiliate	UCD Police Department	Sexual Violence	Sexual Assault (Contact)	Resources provided
Non-UCD Affiliate	Faculty	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided; Insufficient information provided for further review
Staff	Graduate Student	Responsible Employee	Hate/Bias	Anti-Muslim comments	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Undergraduate student	Staff	UCD Non-responsible employee	Discrimination	Other - offensive comments	Resources provided; Documented Discussion and Summary Letter
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Dismissal for other misconduct
Undergraduate student	Unknown	UCD Non-responsible employee	Hate/Bias	Respondent erased pro-LGBT message	Resources provided; Education for Department
Undergraduate student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent no longer affiliated with UCD
Non-UCD Affiliate	Department / Campus Group	Non-UCD Affiliate	Discrimination	ADA Access Concern	Resources provided; Complainant's request met
Anonymous	Non-UCD affiliate	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Contact)	Insufficient contact information to provide resources
Anonymous	Faculty	Unknown	Hate/Bias	Racial profiling	Insufficient information provided for further review or to provide resources
Undergraduate student	Department / Campus Group	UCD Non-responsible employee	Hate/Bias	Anti-Semitic event	Resources provided; Education for Department
Anonymous	Staff	Unknown	Discrimination	Gender - offensive comments	Documented Discussion and Summary Letter
Undergraduate student	Undergraduate student	Office of Student Support and Judicial Services	Discrimination	Gender Identity; Race - offensive social media posts	Resources provided
Non-UCD Affiliate	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Graduate Student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Non-specific	Resources provided; Complainant's request met
Multiple Graduate Students	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter pending
Staff	Staff	Unknown	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Unknown	UCD Non-responsible employee	Discrimination	Non-specific	Resources provided
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Discrimination	Racial profiling	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Discrimination	Race -offensive comments	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Staff	UCD Non-responsible employee	Discrimination	Age; Gender; Race - termination	Resources provided; Preliminary review-no evidence to support policy violation
Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Services	Sexual Violence	Hostile Environment; Indecent Exposure	Resources provided; Preliminary review-no evidence to support policy violation
Graduate student	Unknown	UCD Non-responsible employee	Discrimination	Pregnancy	Resources provided; Insufficient information provided for further review
Staff	Staff	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Discrimination	Race -differential services	Resources provided; Education for Department; Policy review and verbal counseling for Respondent
Undergraduate student	Unknown	UCD Non-responsible employee	Hate/Bias	Religion - offensive comments	Resources provided
Undergraduate student	Non-UCD affiliate	UCD Non-responsible employee	Hate/Bias	National origin - Online Harassment	Resources provided
Multiple Undergraduate students	Faculty	UCD Non-responsible employee	Other	Gender - Unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Unknown	Non-UCD Affiliate	Hate/Bias	Race - offensive speech	Resources provided
Anonymous	Non-UCD affiliate	Complainant	Other	Other	Insufficient contact information to provide resources
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Unknown	UCD Non-responsible employee	Hate/Bias	Anti-Semitic comments on whiteboard	Resources provided; Noted for climate purposes
Undergraduate student	Undergraduate Student	Responsible Employee	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Services
Non-UCD Affiliate	Unknown Unspecified Student	UCD Police Department	Sexual Violence	Sexual Assault (Penetration)	Resources provided
Non-UCD Affiliate	Unknown	Complainant	Hate/Bias	Speaker holding religious signs in quad	Resources provided
Staff	Non-UCD affiliate	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Unknown	Faculty	Unknown	Other	Unspecified retaliation	Insufficient information provided for further review or to provide resources
Anonymous	Department / Campus Group	Unknown	Hate/Bias	Race - Offensive joke	Education for Campus Group
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Graduate Student	Faculty	Non-UCD Affiliate	Hate/Bias	Non-specific	Resources provided; Insufficient information provided for further review
Staff	Staff	Responsible Employee	Sexual Harassment	Hostile environment	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous Unspecified Student	Unknown	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Non-UCD Affiliate	Graduate Student	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Anonymous Undergraduate Student	Unknown Faculty	Non-UCD Affiliate	Sexual Violence	Sexual Assault (Non-Specific)	Resources provided
Undergraduate student	Undergraduate student	UCD Non-responsible employee	Hate/Bias	Non-specific - Online Harassment	Resources provided; Referred to Office of Student Support and Judicial Services
Undergraduate student	Undergraduate student	UCD Non-responsible employee	Hate/Bias	Non-specific	Resources provided; Complaint withdrawn
Staff	Unknown	Responsible Employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Undergraduate student	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Stalking	Resources provided
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Non-specific)	Resources provided
Anonymous	Staff	Unknown	Discrimination	Gender - differential treatment	Preliminary review - no evidence to support policy violation
Undergraduate student	Staff	UCD Non-responsible employee	Discrimination	Race; Gender; Sexual Orientation - unfair grading	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous	Staff	Unknown	Discrimination	Race - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous	Staff	Responsible Employee	Discrimination	Race - differential treatment	Documented Discussion and Summary Letter
Anonymous	Staff	Unknown	Sexual Harassment	Hostile Environment	Insufficient information provided for further review or to provide resources
Undergraduate student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Undergraduate student	Non-UCD affiliate	Responsible Employee	Sexual Violence	Non-specific	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Graduate student	Graduate student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; No Contact Directive issued; Insufficient information provided for further review
Faculty	Unknown	UCD Non-responsible employee	Hate/Bias	Gender - hiring practices	Resources provided; Insufficient information provided for further review
Anonymous	Unknown	Unknown	Hate/Bias	Racist speech	Insufficient contact information to provide resources
Non-UCD Affiliate	Unknown Staff	Non-UCD Affiliate	Sexual Harassment	Non-specific	Resources provided; Insufficient information provided for further review
Staff	Multiple Staff	UCD Non-responsible employee	Discrimination	Medical Condition - termination	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Unknown	UCD Non-responsible employee	Discrimination	Race - termination	Resources provided; Insufficient information provided for further review
Undergraduate student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information provided for further review
Staff	Non-UCD Affiliate	UCD Non-responsible employee	Discrimination	Race; Gender - hostile environment	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous	Department / Campus Group	Responsible Employee	Discrimination	Disparaging social media post about LGBTQIA persons	Noted for climate purposes
Graduate student	Multiple Faculty	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Academic Affairs
Anonymous	Graduate student	Unknown	Hate/Bias	Racist comments	Insufficient information provided for further review or to provide resources
Non-UCD Affiliate	Faculty	Unknown	Discrimination	Race - differential services	Resources provided; Preliminary review-no evidence to support policy violation
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Sexual Harassment	Retaliation	Resources provided; Preliminary review-no evidence to support policy violation; Referred to Employee and Labor Relations
Staff	Department / Campus Group	UCD Non-responsible employee	Discrimination	Age - unfair evaluation	Resources provided; Complaint withdrawn
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Unknown	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Sexual Harassment	Other	Resources provided; Documented Discussion and Summary Letter
Anonymous Unspecified Student	Undergraduate Student	UCD Non-responsible employee	Sexual Violence	Sexual Assault (Non-specific)	Resources provided; Insufficient information provided for further review
Undergraduate Student	Undergraduate student	UCD Non-responsible employee	Sexual Violence	Dating Violence; stalking	Resources provided; Insufficient information provided for further review
Undergraduate student	Non-UCD affiliate	Office of Student Support and Judicial Services	Sexual Violence	Sexual Assault (Non-specific)	Resources provided

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Staff	Non-UCD affiliate	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Disability Management Services
Staff	Staff	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Anonymous Unspecified Student	Unknown Unspecified Student	Unknown	Discrimination	Sexual Orientation	Resources provided
Staff	Faculty	UCD Non-responsible employee	Discrimination	Race - hostile environment	Resources provided; Complaint withdrawn
Undergraduate student	Staff; Graduate Student	UCD Non-responsible employee	Discrimination	Race; Religion; Disability - termination	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Multiple Staff	UCD Non-responsible employee	Sexual Harassment	Retaliation	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous	Staff	Unknown	Discrimination	Race - hiring practices	Insufficient contact information to provide resources; Preliminary review - no evidence to support policy violation
Faculty	Multiple Staff	Responsible Employee	Discrimination	Gender; Biased speech	Resources provided; Preliminary review-no evidence to support policy violation
Anonymous	Department / Campus Group	Unknown	Discrimination	Race - hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Faculty	Faculty	UCD Non-responsible employee	Discrimination	Gender - nonspecific	Resources provided; Insufficient information provided for further review
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Dating Violence	Resources provided
Undergraduate student	Department / Campus Group	UCD Non-responsible employee	Discrimination	Age; Disability -hiring practices	Resources provided; Preliminary review-no evidence to support policy violation
Staff	Multiple Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations and Disability Management Services
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Multiple Staff	Non-UCD affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided
Undergraduate student	Unknown	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided
Staff	Multiple Staff	UCD Non-responsible employee	Discrimination	Sexual Orientation	Resources provided; Insufficient information provided for further review
Staff	Faculty	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Complainant's request met; Respondents no longer with UCD
Undergraduate student	Undergraduate Student	UCD Non-responsible employee	Other	Other	Resources provided
Anonymous	Graduate Student	Unknown	Hate/Bias	Racist text messages	Insufficient information provided for further review or to provide resources

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2017-18 and resolved via informal resolution

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Non-UCD Affiliate	Staff	Responsible Employee	Other	Other	Referred to Department
Staff	Staff	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Unspecified Student	Unspecified Student	UCD Police Department	Sexual Violence	Domestic Violence	Resources provided
Staff	Staff	UCD Non-responsible employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Undergraduate student	Non-UCD Affiliate	UCD Non-responsible employee	Sexual Harassment	Non-specific	Resources provided
Non-UCD Affiliate	Multiple Staff	Non-UCD Affiliate	Discrimination	National origin - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation
Graduate Student	Faculty; Graduate Student	UCD Non-responsible employee	Sexual Violence	Sexual Assault	Preliminary review - no evidence to support policy violation
Undergraduate student	Unknown	Responsible Employee	SVSH Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided
Graduate Student	Undergraduate Student	UCD Non-responsible employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent dismissed for other misconduct
Graduate student	Department / Campus Group	UCD Non-responsible employee	Discrimination	Disability - failure to accommodate	Resources provided; Complainant's request met
Staff	Department / Campus Group	UCD Non-responsible employee	Discrimination	Disability - differential treatment	Resources provided; Negotiated agreement
Undergraduate Student	Unknown Unspecified Student	Responsible Employee	Sexual Violence	Domestic Violence	Resources provided
Undergraduate student	Undergraduate Student	Responsible Employee	Sexual Violence	Sexual Assault (Penetration)	Resources provided; Insufficient information provided for further review
Undergraduate student	Unknown	Office of Student Support and Judicial Services	Sexual Violence	Dating Violence	Resources provided
Undergraduate student	Unspecified Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Complaint withdrawn
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Other	Other	Resources provided; Referred to Patient Relations
Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Discrimination	Sexual Orientation - differential treatment	Resources provided; Preliminary review-no evidence to support policy violation

**Appendix 2. Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2017-18 and resolved via formal investigation**

Complainant Affiliation	Respondent Affiliation	Report Source	Complaint Category	Complaint Specific	Findings Summary	Sanction
Undergraduate Student	Undergraduate Student	Student Conduct Office	Sexual Violence or Other Prohibited Behavior	Stalking; Violation of No Contact Directive	Violation of policy for Stalking. No violation for Violating No Contact Directive	Dismissal
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Dating Violence	Violation of policy for Dating Violence	2-year Suspension
Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking	Violation of policy for Stalking	Dismissal
Staff	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Violation of policy for Stalking	Respondent resigned in lieu of Termination. Ineligible for rehire in UC system.
Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault - Contact	No violation of policy	n/a
Staff	Staff	Complainant	Discrimination	Race	Violation of policy for Discrimination	Respondent resigned in lieu of Termination. Ineligible for rehire in UC system.
Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Hostile Environment	Respondent resigned in lieu of Termination. Ineligible for rehire in UC system.
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact; Sexual Assault - Penetration	Violation of policy for Sexual Assault - Contact and Sexual Assault - Penetration	3-year Suspension
Staff	Staff	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Violation of policy for Hostile Environment and Stalking	2-week Suspension
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact; Sexual Assault - Penetration	No violation of policy	n/a
Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Violation of policy for Hostile Environment and Stalking	Terminated
Non-UCD Affiliate	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Hostile Environment	Terminated for Other Misconduct
Undergraduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Hostile Environment	Letter of Censure; 4-month Suspension; Individual sexual harassment training



**Appendix 2. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2017-18 and resolved via formal investigation**

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Findings Summary	Sanction
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Dating Violence; Retaliation	No violation of policy	n/a
Undergraduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment	No violation of policy	Letter of Admonishment
Graduate Student	Graduate Student	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact; Hostile Environment	Violation of policy for Hostile Environment. No violation for Sexual Assault - Contact	Dismissal <sup>^</sup>
Graduate Student	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	Violation of policy for Sexual Assault - Penetration	Dismissal
Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Dating Violence; Sexual Assault - Penetration	No violation of policy	n/a
Multiple Staff	Staff	Complainant	Discrimination	Age; Gender; Race; Religion	No violation of policy	3-day Suspension
Staff	Non-UCD Affiliate	Complainant	Discrimination; Sexual Harassment	Sexual Orientation; Hostile Environment	Violation of policy for Discrimination and Hostile Environment	Prohibited from working on UC Davis campus
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact	No violation of policy	n/a
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	Violation of policy for Sexual Assault - Penetration	2-year Suspension
Non-UCD Affiliate	Staff	Complainant	Discrimination; Whistleblower Retaliation	Age; Retaliation	No violation of policy	n/a
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact	No violation of policy	n/a
Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	No violation of policy	n/a
Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Hostile Environment	Respondent resigned prior to completion of investigation. Ineligible for rehire in UC system.
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Dating Violence	No violation of policy	n/a
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	No violation of policy	n/a
Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	No violation of policy	2-day Suspension
Staff	Staff	Complainant	Discrimination	Race; Gender	No violation of policy	n/a
Non-UCD Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	No violation of policy	Letter of Warning

<sup>^</sup>Sanction was assigned based on the findings of multiple concurrent investigations.

**Appendix 2. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2017-18 and resolved via formal investigation**

COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Findings Summary	Sanction
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	Violation of policy for Sexual Assault - Penetration	Dismissal
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration; Invasions of Sexual Privacy	Violation of Policy for Sexual Assault - Penetration. No violation for Invasions of Sexual Privacy.	Dismissal
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration; Retaliation	No violation of policy	n/a
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking; Invasions of Sexual Privacy	Violation of policy for Stalking and Invasions of Sexual Privacy	Dismissal
Staff	Faculty	Complainant	Sexual Harassment	Hostile Environment; Retaliation	Violation of policy for Hostile Environment ant Retaliation	Letter of Censure; Reduction in pay; Individual sexual harassment training
Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration	No violation of policy	n/a
Staff	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Race; Gender	Investigation in Progress	n/a
Faculty	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	No violation of policy	4-day Suspension
Non-UCD Affiliate	Staff	Non-UCD Affiliate	Discrimination	Race	No violation of policy	n/a
Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Contact	No violation of policy	n/a
Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking; Invasions of Sexual Privacy	Violation of policy for Invasions of Sexual Privacy	5-day Suspension; Reassignment
Multiple Staff	Multiple Staff	UCD Non-Responsible Employee	Discrimination	Race; Retaliation	No violation of policy	n/a
Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	No violation of policy	n/a
Staff	Faculty	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Violation of policy for Hostile Environment and Stalking	Respondent resigned prior to completion of investigation. Ineligible for rehire in UC system.
Undergraduate Student	Undergraduate Student	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault - Contact	No violation of policy	n/a
Staff	Faculty	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault - Penetration; Sexual Assault - Contact	No violation of policy	n/a

**APPENDIX 3: Administrative Agency complaints (AY 2017-18)<sup>1</sup>**

<b>ADMINISTRATIVE AGENCY COMPLAINTS 2017-18</b>					
<b>Complainant</b>	<b>Respondent</b>	<b>Agency</b>	<b>Basis</b>	<b>Allegations</b>	<b>Findings</b>
Staff	Department	DFEH	Age, disability, FMLA, medical condition, race	Demoted, denied reasonable accommodation, denied transfer	Agency took no action; immediate right to sue issued <sup>2</sup>
Staff	Department	DFEH	Race, gender	Denied equity	Dismissed on the basis that evidence did not substantiate a statutory violation
Staff	Department	DFEH	Age	Laid off	Dismissed on the basis that evidence did not substantiate a statutory violation
Staff	Department	DFEH	Age, race, gender, retaliation	Terminated	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Gender, retaliation	Terminated	Agency took no action; immediate right to sue notice issued
Student	Department	OCR	Disability	Retaliation and failure to accommodate	Pending
Staff	Department	DFEH	Disability	Denied reasonable accommodation, placed on involuntary leave of absence	Dismissed on the basis that evidence did not substantiate a statutory violation
Staff	Department	DFEH	Age, race, disability, medical condition, FMLA	Denied good faith interactive process, denied a work environment free of discrimination, denied reasonable	Agency took no action; immediate right to sue notice issued

<sup>1</sup> This appendix includes all discrimination complaints filed against UC Davis and UC Davis Health by students, staff or faculty with the California Department of Fair Employment and Housing (DFEH), the United States Equal Employment Commission (EEOC), the United States Department of Labor (DOL) and the United States Department of Education Office of Civil Rights (OCR).

<sup>2</sup> Individuals who file complaints with the DFEH or EEOC may request an immediate notice of right to sue. In these circumstances, the agency does not conduct any investigation and reaches no finding regarding the allegations. The notice of right to sue is required to pursue a civil action against the University; however, not all individuals who receive a notice of right to sue file a lawsuit.

**APPENDIX 3: Administrative Agency complaints (AY 2017-18), continued**

				accommodation, forced to quit, denied pay increases	
Staff	Staff	DFEH	Gender, retaliation	Denied a workplace free of discrimination, denied promotion	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Veteran status	Placed on administrative leave	Case withdrawn
Staff	Department	DFEH	Age, disability, FMLA, retaliation	Terminated	Agency took no action; right to sue notice issued
Staff	Department	DOL	Disability, FMLA	Inequity of pay, delay of annual merit increase, scrutiny of work, changed work assignments, unfair annual evaluation	Dismissed on the basis that evidence did not substantiate a statutory violation
Faculty	Department	DFEH	Medical condition	Denied employment	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Age, disability, medical condition, FMLA, retaliation	Terminated	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Disability, FMLA medical condition, retaliation	Terminated	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Age	Denied transfer, reprimanded, forced to resign	Pending
Staff	Department	DFEH	Race, gender	Terminated	Dismissed on the basis that evidence did not substantiate a statutory violation
Staff	Department	DFEH	Disability, FMLA, retaliation	Subject to a hostile work environment, denied transfer	Pending
Staff	Department	EEOC	Details not provided	Details not provided	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Gender, disability, age	Reprimanded, denied equal pay, asked impermissible questions, denied work environment free of discrimination,	Agency took no action; immediate right to sue notice issued

**APPENDIX 3: Administrative Agency complaints (AY 2017-18), continued**

				denied reasonable accommodation, forced to resign	
Lecturer-	Department	DFEH	National origin	Denied benefits , denied equal pay	Pending
Staff	Department	DFEH	Disability, age, medical condition, FMLA, retaliation	Terminated	Agency took no action; immediate right to sue notice issued
Staff	Department	DFEH	Disability, age, race, religion, national origin, retaliation	Denied reasonable accommodation, denied promotion, forced to retire	Pending
Staff	Department	EEOC	Sex, retaliation	Demotion	Agency took no action; immediate right to sue notice issued