

2018-19

**Compliance & Policy
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 risk assessment process;
- The UC Davis compliance committee structure; and
- The annual campus compliance plan.

This report summarizes the key accomplishments of the Compliance and Policy unit during calendar year 2019 and provides an overview of the responses to all complaints filed with the Compliance and Policy unit from July 1, 2018 through June 30, 2019. A detailed list of the following types of reports—sexual harassment, sexual violence, other discrimination and harassment complaints and hate and bias—is provided in the appendices.

II. Response to Complaints of Misconduct

The Compliance and Policy office is responsible for ensuring that the University responds effectively to all reports of sexual violence and sexual harassment, reports of other prohibited forms of discrimination and harassment, civilian complaints against police officers and complaints made under the UC systemwide Whistleblower and Whistleblower Protection Policies. The following sections summarize the applicable complaint resolution processes and provide an overview of the complaints received from July 1, 2018 through June 30, 2019.[1]

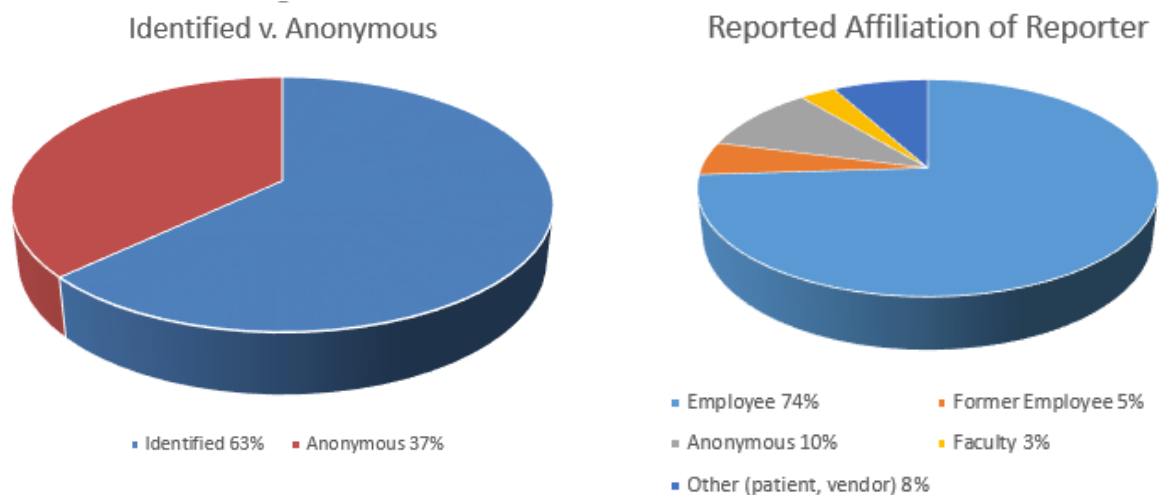
A. Whistleblower Reports

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

UC Davis has a robust process for receiving and responding to whistleblower allegations. UC Davis participates in the systemwide, independently operated whistleblower hotline, which receives whistleblower reports by telephone and on-line on a 24/7 basis. Whistleblower reports also are submitted directly to the 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 2018-19 reporting period, UC Davis received 189 whistleblower reports. The following is a breakdown of complaint sources.



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

The most often cited categories of whistleblower reports are: retaliatory management actions, employee misconduct, and fraud/theft/embezzlement. 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, other University offices—such as Employee and Labor Relations, Academic Affairs, 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.[2]

In 2018-19, the University’s Whistleblower reports were resolved as follows:

UC Davis Main Campus	UC Davis Health
91 complaints	98 complaints
54 investigated (14 substantiated; 40 unsubstantiated)	43 investigated (9 substantiated; 34 unsubstantiated)
27 referred	44 referred
7 not enough information to proceed	8 not enough information to proceed
3 consultation provided	3 consultation provided

The following are some significant reports of misuse that were substantiated during the relevant period:

- A separated employee was able to obtain affiliate sponsorship and over the course of more than a year spent nearly \$300,000 on airfare that was directly billed to the department's account through UCD's travel system. The University referred this matter to law enforcement. The employees who were responsible for the lack of account oversight no longer work for the University.
- A manager took University equipment home for his personal use. The employee was terminated.
- An employee filed false claims of injuries to recover Worker's Compensation payments. The employee was terminated.

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

- An employee forged and altered travel and entertainment receipts and steered University business to the employee's outside business, amounting to a loss of more than \$200,000, much of which was charged to federal grants. The employee resigned when the investigation was commenced. The University referred this matter to law enforcement.
- A manager offered financial benefits to student employees in exchange for sexual conduct. . The University issued a Letter of Intent to Terminate. The employee resigned before the termination became effective. The University referred the matter to law enforcement.
- An employee claimed excessive travel to vacation destinations when there was no legitimate business reason for the travel. The University issued a Letter of Intent to Terminate. The employee resigned before the termination became effective.

B. Civilian Complaints Filed Against UC Davis Police Officers

The Police Accountability Board (PAB) is a civilian oversight committee comprised of diverse campus representatives. The PAB receives complaints regarding alleged misconduct by UC Davis police officers. Those complaints are reviewed and investigated by Compliance and Policy office investigators. In 2018-19, seven complaints were submitted to the PAB. In three of these cases, there was sufficient information to conduct an investigation and an investigation was completed. In the remaining 4 cases, the complaints did not proceed to investigation either because insufficient information was received, the complainant asked for the complaint to be withdrawn, or the complaint was outside the PAB's jurisdiction. The Director of Investigations in the Compliance and Policy office also serves as an ad hoc member of the PAB and a member of the PAB Steering Committee. More information about the PAB, including the 2018-19 PAB Annual Report, is available at: <https://pab.ucdavis.edu/>.

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

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

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

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

- Compliance investigators conduct formal investigations involving allegations of sexual violence, sexual harassment and other forms of discrimination and harassment.[3]
- The Response Team Coordinator (“RTC”) is responsible for providing consistent case management and coordination of all sexual violence and sexual harassment reports. The RTC is also an integral partner in the development and coordination of sexual violence and sexual harassment prevention training.

i. How Harassment and Discrimination Complaints are Received

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

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

ii. Case Management Teams (CMTs)

UC Davis takes a collaborative approach to the review and resolution of concerns related to sexual violence and sexual harassment, other forms of discrimination and harassment, and hate and bias. UC Davis implements this collaborative approach through multiple case management teams (CMTs) that review all complaints of sexual violence and sexual harassment, other forms of discrimination and harassment, and hate and bias. Members of the CMTs include the Chief Compliance/Title IX Officer and representatives of HDAPP and may include the RTC and representatives from the Office of Student Support and Judicial Affairs (OSSJA), Academic Affairs (AA), Employee and Labor Relations (ELR), Campus Counsel, Student Affairs, 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.

[3] These investigators also investigate whistleblower and whistleblower retaliation complaints and civilian complaints against the UC Davis Police Department on behalf of the UC Davis Police Accountability Board (PAB). In 2018-19, Compliance investigators conducted 59 formal investigations across all complaint categories.

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

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

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

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

Complaints are resolved through informal resolution strategies, alternative resolution, 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 cases, what specific resolution came from their complaint.[8]

iii. Resolution Processes

Depending on the nature of the allegations (i.e. whether the allegations on their face, if true, would constitute a violation of policy), the wishes of the Complainant, and the needs of the University to ensure the safety of the broader University community, complaints will be resolved through informal resolution strategies, alternative resolution, or formal investigation.

Informal resolution strategies are used when the allegations suggest concerning behavior that would not yet rise to a level of a policy violation, but nevertheless should be addressed. Informal resolution strategies typically include conducting an administrative review or preliminary inquiry including fact-finding; coordinating a conversation with the Respondent with written follow up (i.e. a “documented discussion”); conducting targeted educational programs; and providing remedies or referral to support services for the individual who was harmed. Most complaints are resolved in this manner, particularly when the University does not have sufficient information to proceed with a formal review (i.e. there is not sufficient information about a party’s identity or a sufficient connection to the University and/or one of its programs).

Alternative resolution is a process available to resolve complaints of sexual harassment and sexual violence when the Complainant does not wish there to be a formal investigation.[9] Alternative resolution is a voluntary process entered into by both the Complainant and the accused (Respondent). The remedies are determined and agreed to by the parties with support from HDAPP. Examples of alternative resolution remedies include: targeted education; separating the parties; referring a party to counselling; negotiating corrective actions; and conducting follow-up reviews to ensure the resolution has been implemented effectively.

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

iv. 2018-19 Harassment and Discrimination Case Statistics[12]

For the 2018-19 year, there were 807 complaints reported, a 20% increase over complaints reported in 2017-18.

[8] 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 or educational action. In matters that are informally resolved, Complainants are typically informed when the matter is resolved.

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

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

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

[12] Data represents complaints filed between July 1, 2018 through June 30, 2019.

Figure 1 shows the distribution of complaints according to category. Sexual harassment, sexual violence, and other behaviors prohibited by the University's Sexual Violence and Sexual Harassment Policy comprised almost half (47.3%) of the complaints received by the Title IX/HDAPP Office.

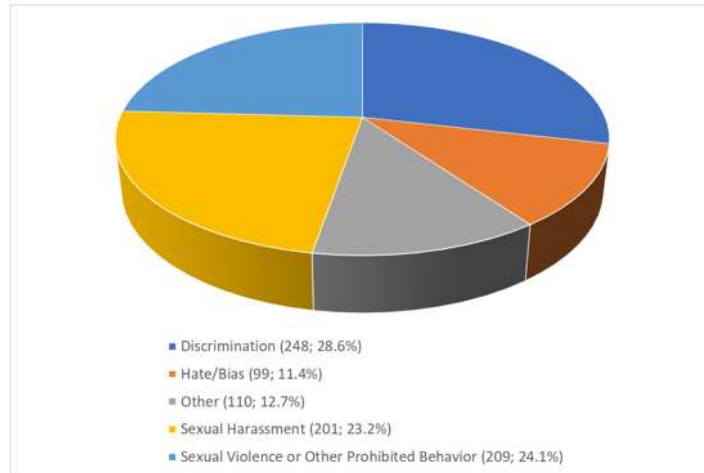


Figure 1. Complaints received by the Title IX/HDAPP Office in 2018-19, separated by complaint category. Values in parentheses indicate total number and percentage of complaints. Some complaints included allegations in more than one of the categories listed above; those complaints were counted multiple times.

Figure 2 shows the distribution of the affiliation of the initial reporting party for each complaint, separated by complaint category. Note that, when compared with Figure 1, Discrimination, Hate/Bias, and Other are shown as a single combined category. Most (63.3%) of the discrimination, hate/bias, and other types of complaints were self-reported by the Complainant, followed by reports made by responsible employees (26.4%). Complaints alleging sexual harassment were most frequently reported by a responsible employee or the Complainant (55.7% and 32.8%, respectively). Complaints alleging sexual violence or other prohibited behavior were most frequently reported by responsible employees or the Office of Student Support and Judicial Affairs (48.8% and 22.0%, respectively). 12.9% of the allegations of sexual violence or other prohibited behavior were reported to the Title IX Office by the Complainant.

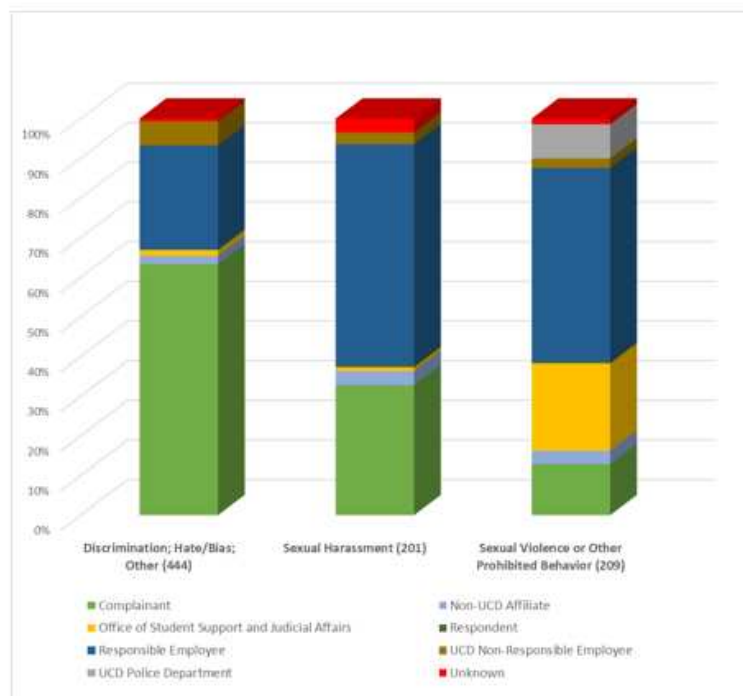


Figure 2. A column chart showing the affiliation of the reporting parties for complaints received by the Title IX/HDAPP Office in 2018-19, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of complaints received for each category. Some complaints included allegations in more than one of the categories listed above; those complaints were counted multiple times.

Figures 3 and 4 summarize the Complainant and Respondent affiliation for each complaint, sorted by complaint category. UCD staff members were the most frequent Complainants for sexual harassment as well as discrimination, hate/bias, and other complaints (46.6% and 42.8%). Staff members were also the most frequent Respondents in allegations of sexual harassment (51.0%) and discrimination, hate/bias or other (43.7%) types of complaints. Undergraduate students comprised the largest proportion of Complainants for complaints involving sexual violence and other prohibited behaviors (65.9%). The most frequent affiliations for Respondents in incidents alleging sexual violence or other prohibited behaviors were undergraduate students (33.8%) and unknown (30.0%).

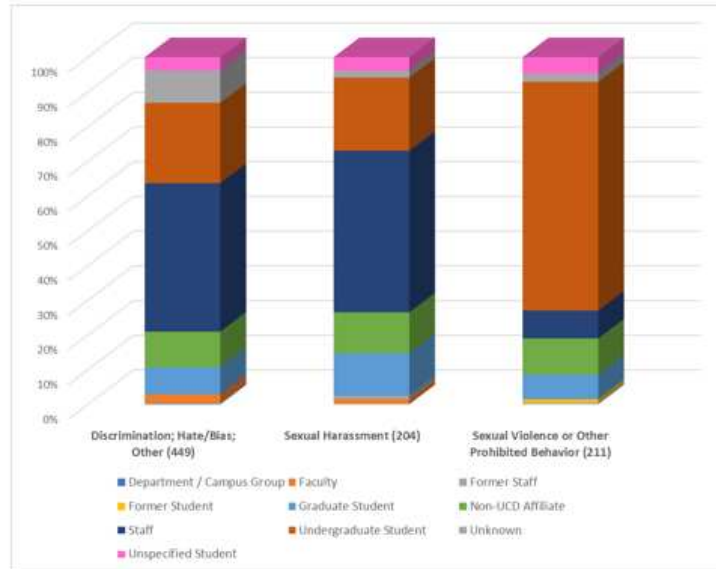


Figure 3. A column chart showing the affiliation of the Complainants for complaints received by the Title IX/HDAPP Office in 2018-19, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Complainants represented in each category. Some complaints included multiple Complainants with different affiliations and were counted multiple times.

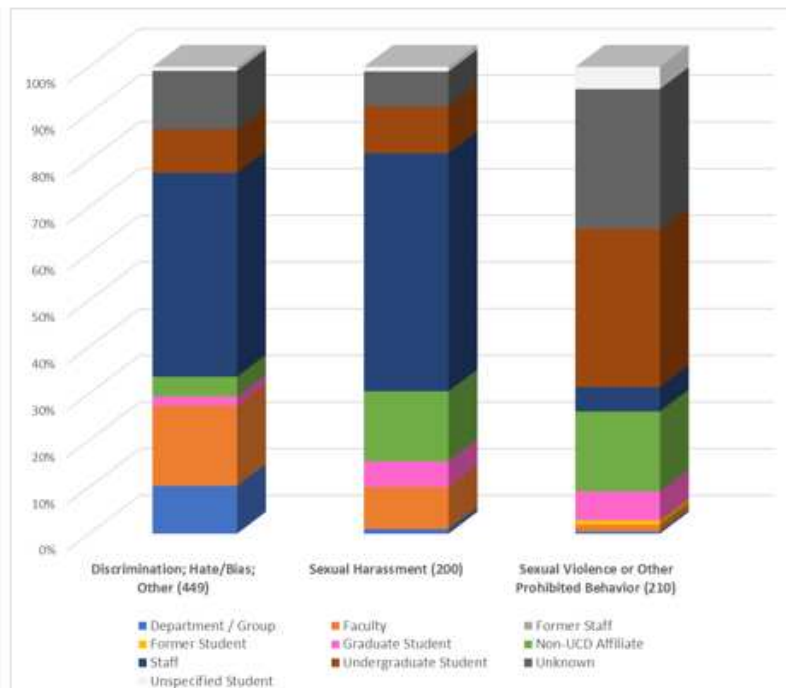


Figure 4. A column chart showing the affiliation of the Respondents for complaints received by the Title IX/HDAPP Office in 2018-19, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Respondents represented in each category. Some complaints included multiple Respondents with different affiliations and were counted multiple times.

Tables 1a and 1b summarize the bases of the discrimination, harassment, sexual harassment, and sexual violence complaints received, separated by resolution type.

Figure 5 shows the frequency of the different complaint resolution types, separated by complaint category. The majority of the reported complaints (94%) were resolved via an informal resolution strategy and all of the remaining cases were resolved via formal investigation except for 6 cases, which were resolved via alternative resolution.

Table 1a. Discrimination, Hate/Bias, and Other complaints received in 2018-19, sorted by complaint and resolution type. Values in each column indicate number of complaints. Some complaints included more than one protected identity; those complaints are counted on the chart multiple times. No discrimination, hate/bias or other complaints were resolved using Alternative Resolution, which is only available for sexual harassment and sexual violence complaints.

Protected Identity	Informal Resolution	Formal Investigation
Age	12	2
Citizenship	1	0
Color	3	0
Disability	33	0
Gender	45	1
Gender Identity	8	0
Marital Status	4	0
Medical Condition	25	0
National Origin	23	0
Pregnancy	10	0
Race	78	1
Religion	7	0
Sexual Orientation	16	1
Veteran Status	3	0
Retaliation	5	1
Hate/Bias	99	0
Non-Specific/Other	122	0

Table 1b. Sexual harassment, sexual violence and other prohibited behavior complaints received in 2018-19, sorted by complaint and resolution type. Values in each column indicate number of complaints. Some complaints included multiple prohibited behaviors; those complaints are counted on the chart multiple times.

Prohibited Behavior	Informal Resolution	Alternative Resolution	Formal Investigation
Sexual Harassment (Hostile Environment)	146	4	26
Sexual Harassment (Quid Pro Quo)	4	1	3
Sexual Harassment (Nonspecific)	21	0	0
Sexual Assault (Contact)	28	1	11
Sexual Assault (Penetration)	19	0	7
Sexual Assault (Nonspecific)	30	0	0
Relationship Violence	37	0	7
Stalking	47	3	5
Violating a No Contact Order or other order of exclusion	2	0	2
Indecent Exposure	1	0	1
Invasion of Sexual Privacy	4	0	0
Retaliation	1	0	1
SVSH (Nonspecific)	27	0	0

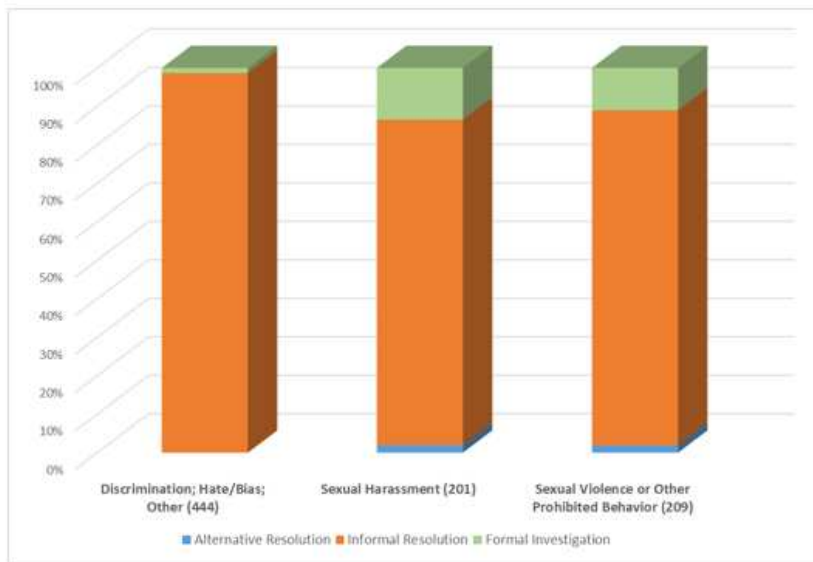


Figure 5. A column chart showing the resolution of complaints received by the Title IX/HDAPP Office in 2018-19, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of resolutions for each category. Some resolutions included allegations in multiple categories; those resolutions were counted multiple times.

Formal Investigation Outcomes

There were 46 formal investigations charged in 2018-19. 25 of the 46 formal investigations found that some or all of the alleged behavior constituted a policy violation. Figure 6 and Table 2 summarize the outcomes of formal investigations, separated by complaint category. All of the six completed investigations into allegations of discrimination resulted in a finding that there was insufficient evidence to support a violation of the discrimination policy. 59.2% (16 out of 27) and 52.2% (12 out of 23) of the investigations into sexual harassment and sexual violence respectively, determined that the alleged behavior more likely than not occurred and constituted a violation of the relevant policy section.

Thirteen cases where a violation of the SVSH Policy was found resulted in academic dismissal from UC Davis for student Respondents or loss of employment for staff or faculty Respondents.

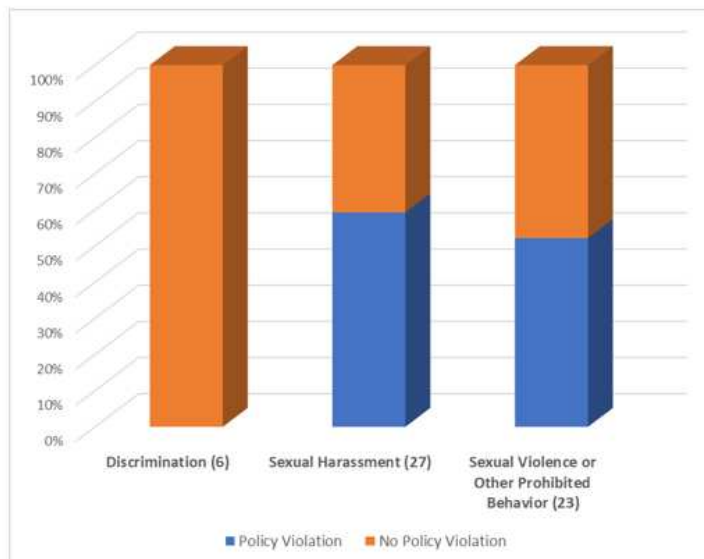


Figure 6. A column chart showing the outcome of the formal investigations charged by the Title IX Office in 2018-19, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of formal investigations for each category. Some formal investigations included allegations in multiple categories; those investigations were counted multiple times.

Table 2. A summary of the final disciplinary outcome of complaints resolved using a formal investigation when discipline was assigned. Complaints where discipline was assigned that included allegations of sexual harassment as well as sexual violence or other prohibited behaviors were counted multiple times.

Discipline	Sexual Harassment	Sexual Violence and Other Prohibited Behaviors
Academic Suspension (1.5 – 3 years)	1	4
Employment Suspension (3 – 30 days)	3	0
Academic Dismissal	0	3
Deferred Dismissal	0	1
Employment Termination	2	1
Respondent Resigned or Retired in Lieu of Termination or Prior to Completion of Investigation	8	1
Record of Discipline Noted in Transcript	0	1

D. Complaints Filed with External Agencies

In addition to responding to complaints and reports filed internally with the University, Compliance responds to all complaints of discrimination or harassment filed with external agencies, including the California Department of Fair Employment and Housing (DFEH), the Equal Employment Opportunity Commission (EEOC), the United States Department of Labor (DOL), and the Department of Education’s Office of Civil Rights (OCR). In 2018–19, the University received 30 complaints filed with outside agencies: 29 of which were employment discrimination complaints filed with the DFEH, EEOC, and DOL, and one of which was a complaint of discrimination filed by a student with DFEH. More information about these cases is presented in Appendix 3.

III. Compliance Program Responsibilities

In addition to receiving and responding to the approximately 1,000 reports of misconduct discussed above, the Compliance and Policy office ensures campus compliance with Title IX of the Education Act, the Americans with Disabilities Act, the Clery Act, and affirmative action regulations. The Compliance and Policy office also coordinates the campus policy process, manages the UC Davis privacy program, supports the UC Davis risk assessment process, and oversees general compliance efforts at UC Davis, including development of an annual compliance plan. The following sections provide more details about each of these responsibilities.

A. Title IX

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

Sexual Violence and Sexual Harassment Prevention Education

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

All members of the UC community — students, staff, faculty and other academic appointees — are required to receive sexual violence prevention and intervention training and education. All incoming students must complete mandatory sexual violence prevention training within the first six weeks of beginning classes at UC Davis. Faculty and staff supervisors are legally required to complete two hours of sexual harassment prevention training every two years, and new faculty and supervisors are required to take training within 90 days of hire. Staff and academic appointees who are not supervisors are also required to complete sexual harassment and sexual violence prevention training within the first six weeks of hire and every two years thereafter.

Most of the training for employees is completed through on-line training programs. However, during the reporting period, there were 43 Sexual Harassment/Sexual Violence in-person training sessions for faculty and staff, reaching approximately 2131 employees. There were also three New Employee Welcome tabling events allowing HDAPP to interact with hundreds of new staff members with a goal of informing new staff of the resources available to them related to sexual harassment and sexual violence prevention and reporting.

We also supported CARE in delivering 32 in-person sessions reaching 10,533 undergraduate students. An additional 135 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 if they started classes at UC Davis during the 2019 Winter or Spring quarter. We also conducted 15 in-person Sexual Violence/Sexual Harassment Prevention training sessions reaching 2160 graduate students. Additionally, we offered one live webinar attended by 202 students and an online option completed by 42 students who were not able to attend an in-person session in 2018 Summer and Fall or who started classes at UC Davis in 2019 Winter or Spring quarter (or semester).

In addition to the mandatory general Sexual Harassment/Sexual Violence prevention sessions provided to undergraduate students, graduate and professional students, we also provided 15 requested, specialized sessions for undergraduate and graduate students reaching approximately 447 students.

The mandatory training compliance rate for 2018-19 is:

Supervisors	87%
Non-supervisors	90%
Undergraduate students	100%
Graduate/professional students	100%

Coordinated Community Review Team (CCRT)

The CCRT is responsible for developing and maintaining a collaborative approach to preventing and addressing sexual violence. The CCRT is comprised of University and community stakeholders and serves in an advisory capacity to campus leadership about best practices in education, prevention and response to sexual assault, relationship violence and stalking as well as other behavior prohibited by the University's Sexual Violence and Sexual Harassment Policy. The CCRT is co-chaired by the Chief Compliance Officer and the Associate Vice Chancellor of Student Affairs and meets quarterly.

Revised Policies and Procedures

In response to changes in systemwide policies and procedures during 2019, UC Davis revised its local policy regarding sexual violence and sexual harassment and updated adjudication frameworks related to allegations of sexual misconduct against students, staff and faculty. Compliance also took steps to begin implementing policies and procedures for responding to patient allegations of sexual misconduct in the clinical context in response to directives that were issued by UC's Office of the President in December 2019.

Title IX Athletics Administrative Advisory Committee (Title IX AAAC)

The Title IX AAAC is advisory to the Chancellor and serves as an oversight and review body, with responsibility for ensuring that the University's intercollegiate athletics program complies with Title IX. In 2018-19, the committee was co-chaired by the Chief Compliance Officer and the Associate Athletics Director of Compliance. During 2018-19, the Title IX AAAC monitored facility improvements, reviewed team rosters, received updates regarding the addition of two new women's sports, conducted trend analyses based on data submitted under the Equity in Athletics Disclosure Act, assessed services provided to athletes, developed a transgender student athlete policy, and ensured effective sexual misconduct prevention education was provided to student athletes, coaches and administrators.

B. Americans With Disabilities Act (ADA)

Making University programs and facilities accessible to students, staff, faculty, and the public is a shared responsibility accomplished through the work of many individuals and departments. The Chief Compliance Officer serves as the ADA Coordinator for the UC Davis campus. In this capacity, the Compliance & Policy unit helps to coordinate accessibility needs and receives reports regarding disability access issues and concerns. Reports received during the relevant period related to academic accommodations, employment accommodations and physical accessibility. These reports were resolved by working with a variety of campus partners including Employee and Labor Relations, Disability Management Services, the Student Disability Center, Undergraduate Education, Deans' offices, 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, Student Disability Center and Disability Management Services. In 2019, the Committee provided funds to increase the number of automatic door operators throughout campus, improve restroom accessibility in several buildings, improve paths of travel, and perform surveys to review additional areas where accessibility improvements could be made. The Compliance unit also maintains a one-stop website for disability resources.[13]

C. Affirmative Action

As a federal contractor, UC Davis is required to complete an analysis of its workforce each year to determine: (1) how the gender and racial composition of our workforce compares with the availability of women and minorities in the workforce in general and (2) at what rate we are hiring individuals with disabilities and protected veterans. Working with Academic Affairs and Human Resources, Compliance coordinates the development and publication of the University's annual Affirmative Action Plan [14] Compliance also convenes an Affirmative Action Workgroup in partnership with Human Resources that aims to improve the diversity of hiring pools and to enhance the University's affirmative action compliance.

D. Clery Act

The Clery Coordinator works with campus partners, including the UC Davis Police and Fire Departments, the Office of Student Support and Judicial Affairs, Student Housing, and Human Resources to develop and publish the Annual Security and Fire Safety Report (ASR), which includes campus crime statistics and other important safety information. In early 2019, the role of UC Davis Clery Coordinator transitioned from the former Director of Compliance and Policy Programs to the Sexual Violence Response Team Coordinator (RTC).

The Clery Coordinator worked with the UCD Police Department to streamline the process of receiving and tracking reports of Clery crimes made by Campus Security Authorities, who are those individuals required by law to report Clery crimes to the University. The Clery Coordinator also instituted monthly meetings to review incident reports received by the UCD Police Department, Student Housing, and the Office of Student Support and Judicial Affairs which, along with the Title IX Office itself, comprise the offices that traditionally receive the most potentially reportable incidents under the Clery Act.

As required by the Clery Act, the 2019 ASR was issued on September 30, 2019, prior to the annual October 1 deadline. In addition to the 2019 ASR, the Clery Coordinator also issued revised versions of the 2016, 2017, and 2018 ASRs to include incidents that were omitted or incorrectly classified in the original versions of those reports. A revision to the 2019 ASR was also published in October 2019 to correct errors in crime statistics totals. Copies of the revised ASRs are available by request or via the UC Davis Clery Act website[15].

E. Privacy

In 2019, the privacy program was led initially by the Chief Compliance Officer on an interim basis, until a recruitment for a campus Privacy Officer was completed. In August 2019, the Associate Campus Counsel joined UC Davis, with privacy compliance representing 50% of her responsibilities.

[13] See <https://accessibility.ucdavis.edu/>.

[14] A copy of the plan is available at: https://compliance.ucdavis.edu/compliance_program/affirmative_action.cfm.

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

During the reporting period, the Privacy Office accomplished the following:

- **Vendor Risk Assessments:** For the negotiation of campus technology procurements and purchases, the Privacy Officer provided 102 privacy risk assessment reviews to the campus Information Security Office to be integrated into their vendor risk assessments.
- **Incident Response:** Four cybersecurity and privacy incidents occurred in 2019 requiring Privacy Officer review, consultation, or management. In two incidents, the Privacy Officer served as the incident response lead, assembling a multi-unit incident response team, coordinating action and response among different units across the campus and with campus leadership and the Office of the President. The Privacy Officer completed a draft campus-wide policy and plan on cybersecurity and privacy incident response for review and further development by the Chief Information Security Officer and the Cybersecurity Responsible Executive.
- **Privacy Compliance Counseling:** Campus units regularly seek advice or counsel from the Privacy Officer on privacy compliance, risk assessment, or risk mitigation. In 2019, there were many questions related to the applicability of the California Consumer Privacy Act because this new law took effect on January 1, 2020. Other common consultations included requests to recommend privacy protections for specific sets of data use or transfer by campus units, review of website privacy policies, website privacy disclaimers, privacy protection clauses in contracts, and institutional data transfer contracts (involving student data, financial data, faculty data, staff data, patient data or human subject research data). Additionally, the campus information security office often consulted with the privacy office on a variety of issues.
- **Institutional Data Council:** The Privacy Officer served on the Institutional Data Council and responded to three formal requests for written advice and review.

The Privacy Officer also conducted two privacy trainings for campus units. The first was in response to a cybersecurity incident and focused on privacy requirements and best practices for the impacted units. The second was a privacy resources training for all unit administrative leads in the Office of the Chancellor and Provost.

F. 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. Policies must be reviewed every four years to ensure accuracy and continued compliance with applicable policies, regulations, and laws.

During 2019, the Policy Office completed implementation of the online policy management system review and approval process for policies in the PPM and PPSM. Extensive outreach, training, and support was provided to all units, with resource materials created and published to the Administrative Policy website.

In December 2019, there were a total of 228 policies, up from 223 the previous year. 39 policies (17%) were on the update list, down from 91 (41%) the previous year, and 14% were overdue for update compared to 16% from the previous year. Policy Office collaboration efforts as well as the implementation of the online policy system has improved the efficiency of the development, review, and approval process contributing to the decrease (24%) in the number of policies due for update with half of them in the process of being worked on. The Policy Office continues to conduct outreach to each administrative unit by providing update lists, training, support, and resources to assist in policy development and update. The Policy Office also participates on committees charged to develop key policies.

The following policies were newly developed or substantially revised in 2019:

- PPM 270-23, Dining Services: new section outlines policy, responsibilities, and procedures for management and operational oversight of all dining contracts, operations and services on University property.
- PPM 270-80, Major Events Sponsored by RSOs and Other Non-University Organizations: new section describes policy and procedures for planning, approval and required arrangements for major events in campus facilities.
- PPM 290-31, Activities and Programs with Minors: new section governing individuals who work with minors in University activities and programs on or off campus.
- PPM 360-05, Parking and Permit Regulations: significant update to parking/permit regulations, permit eligibility and use violation requirements.
- PPM 360-50, Key/Access Card Control and Electronic Access Control Systems: major update to include electronic access control requirements, consultation required for installation of a system between Facilities Management and the UCDPD, and exclusions.
- PPM 390-12, Change in Campus Operating Status: new section provides policy and responsibilities for implementing a temporary change in campus operating status due to an emergency event or hazardous condition threatening the safety, health, or welfare of the campus community while ensuring continuity of services to students, patients, and the public.
- PPM 390-55, Video Security: new section provides requirements for installation and use of security-related video recording devices on all property owned, operated, leased, or maintained by UC Davis.
- PPM 390-60, Laboratory Security: new section establishes minimum security standards to ensure labs operate in a safe and secure manner while protecting confidential information and technologies.
- PPM 400-05, Fraud Risk Management: significant update of section 380-17, Whistleblower/Whistleblower Protection to incorporate policy and responsibilities related to the University's Fraud Risk Management Program, which includes internal controls for prevention, detection, and management of improper government activities.
- PPM 430-10, Export Control: new section describes policy and responsibilities for University compliance with U.S. export control laws, restricting unlicensed shipping or transmission of certain types of physical items, sensitive information and technologies (including software) out of the U.S. or accessed by non U.S. individuals within the U.S.

G. Other Compliance Coordination and Oversight

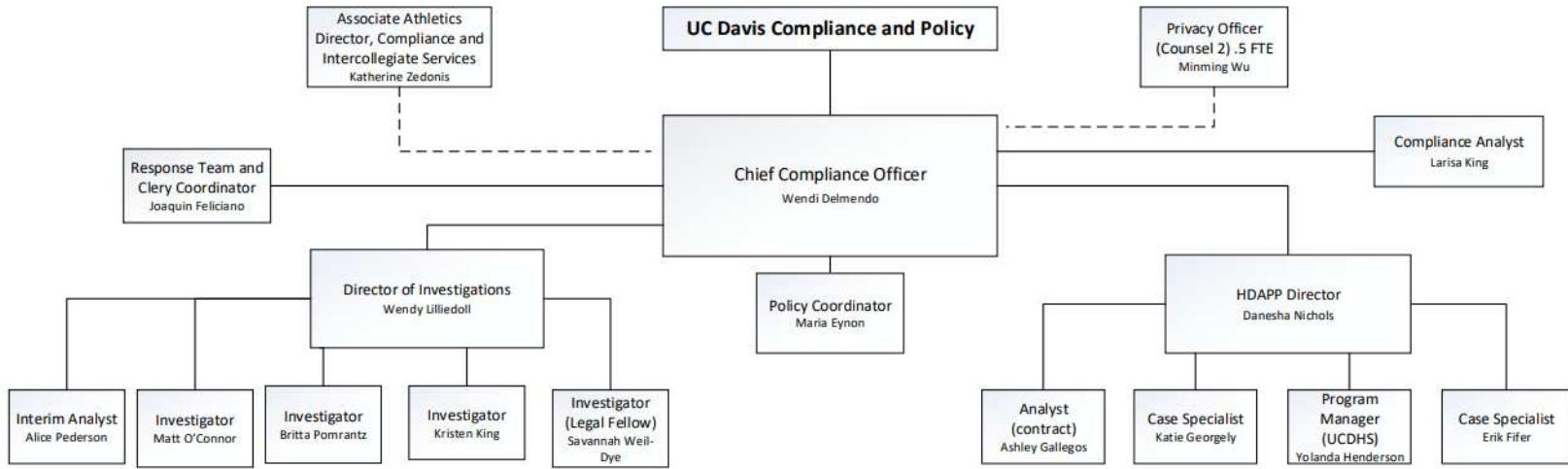
- **Audit, Compliance, Ethics, and Risk Committee (ACERC):** The ACERC is a coordinating and decision-making body responsible to the Chancellor that is charged to promote a culture that encourages all employees to conduct University business in an ethical and compliant manner and to provide executive-level oversight of the University's audit, compliance, and risk functions. ACERC meets three times a year and is jointly coordinated by Audit and Management Advisory Services (AMAS) and the Compliance and Policy unit.
- **Compliance and Risk Council (CRC):** CRC is co-chaired by the Chief Compliance Officer and the Risk Manager. CRC is comprised of subject matter experts from across campus who are charged to coordinate compliance activities, identify University-wide risks and recommend risk mitigation strategies to the ACERC. The CRC meets monthly.
- **Fraud Risk Management Program:** As a result of several employee frauds detected in 2018-19, AMAS and Compliance recommended the development of a Fraud Risk Management Program. The recommendation was approved and the program is in the process of being implemented. A new [Fraud Risk Management Policy](#) became effective in December 2019 and a [website](#) and training materials are expected in 2020. Compliance will oversee the Fraud Risk Management Program.
- **Section 117 of the Higher Education Act (HEA):** In response to investigations of other institutions of higher education launched by the U.S. Department of Education focused on alleged underreporting of funds received from foreign sources under Section 117 of the HEA, Compliance initiated a review to ensure compliance by UC Davis. Other offices involved in the review included Financial Aid, Procurement, Global Affairs, and AMAS.
- **NCAA Compliance Partnership:** In response to a systemwide audit of undergraduate admissions, in 2019 a direct reporting relationship was developed between the Associate Athletics Director of Compliance and the Chief Compliance Officer.

IV. Staff List and Organizational Chart

Compliance and Policy Staff

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

Compliance and Policy org chart



V. Guide to Appendices

- Please keep in mind that all potentially identifying information has been purposefully withheld to protect the privacy of all parties. We have provided the general nature of the allegations, but not the specific allegations to avoid the possibility that any one case can be identified and tracked back to the parties.
- All case resolutions are based on the precise set of facts presented. Each case is reviewed individually and each resolution is specifically tailored to each case.
- Resources provided – In all cases where possible (i.e. when we have contact information for the complainant(s)), we ensure appropriate support resources are provided. When Complainants are non-affiliates, there are times when there are no applicable resources we are able to provide. In many cases, the process does not progress beyond the provision of resources due to (but not limited to) the following reasons:
 - The name or identity of the Respondent has not been provided;
 - The information provided about the allegations is insufficient to move the process forward (i.e. no specific information about the allegations is provided.)
 - The Complainant does not wish to proceed with their complaint, does not reply to outreach efforts, or only requests resources.
 - The Respondent is not affiliated with the University, and/or
 - The University has conducted a preliminary review of the allegations and determines there is insufficient evidence to support moving forward with a formal 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

Appendix 1. Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Complainant	Discrimination	Age	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	Age	Resources provided; Documented Discussion and Summary Letter
Davis	Faculty	Department/Campus Group	Responsible Employee	Discrimination	Age	Resources provided; Insufficient information for further review
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Age	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Responsible Employee	Discrimination	Age	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Discrimination	Age	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Multiple Staff	Complainant	Discrimination	Age	Resources provided; Complaint withdrawn
Davis	Staff	Multiple Staff	Complainant	Discrimination	Age; Gender	Resources provided; Documented Discussion and Summary Letter (For 1 Respondent); Education for Respondent (For 1 Respondent); Noted for climate purposes (For 1 Respondent)
Health	Staff	Staff	Responsible Employee	Discrimination	Age; Gender; Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Staff	Unknown Staff	Complainant	Discrimination	Age; Gender; Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Undergraduate Student	Complainant	Discrimination	Age; Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown Faculty	Office of Student Support and Judicial Affairs	Discrimination	Citizenship	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Discrimination	Color	Resources provided; Education for Department
Davis	Multiple Undergraduate Students	Department/Campus Group; Staff	Complainant	Discrimination	Color; Gender	Resources provided; Documented Discussion and Summary Letter; Referred to Department
Davis	Staff	Staff	Responsible Employee	Discrimination	Color; National Origin; Race	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Multiple Staff	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents)
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate student	Faculty	Complainant	Discrimination	Disability	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate student	Graduate Student	Complainant	Discrimination	Disability	Resources provided; Complaint withdrawn

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate student	Faculty	Complainant	Discrimination	Disability	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Unknown Faculty	Complainant	Discrimination	Disability	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Faculty	UCD Non-Responsible Employee	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Staff	Staff	Complainant	Discrimination	Disability	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Complainant	Discrimination	Disability	Resources provided; Complainant's request met
Davis	Undergraduate student	Faculty	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate student	Faculty	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation; Complainant's request met; Referred to Center for Student Involvement
Davis	Undergraduate Student	Department/Campus Group	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Faculty	Complainant	Discrimination	Disability	Resources provided; (pending)
Davis	Non-UCD Affiliate	Department/Campus Group	Responsible Employee	Discrimination	Disability	Preliminary review-no evidence of policy violation
Health	Anonymous Staff	Unknown Staff	Complainant	Discrimination	Disability	Insufficient information to provide resources; Education for Department
Health	Non-UCD Affiliate	Unknown Staff	Responsible Employee	Discrimination	Disability	Preliminary review-no evidence of policy violation
Health	Non-UCD Affiliate	Department/Campus Group	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Education for Respondent
Health	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation; Referred to Disability Management Services
Health	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation; Referred to Disability Management Services
Health	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Disability	Resources provided; Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Anonymous Staff	Multiple Staff	Complainant	Discrimination	Disability	Insufficient information to provide resources or for further review
Health	Staff	Staff	Complainant	Discrimination	Disability	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Disability; Gender Identity	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Staff	Staff	Complainant	Discrimination	Disability; Marital Status; Pregnancy	Resources provided; Education for Respondent
Davis	Staff	Multiple Staff	Complainant	Discrimination	Disability-Failure to Accommodate	Referred to Disability Management Services
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Complaint withdrawn; Complainant's request met
Davis	Multiple Staff; Graduate Student	Graduate Student	Responsible Employee	Discrimination	Gender	Resources provided; Documented Discussion and Summary Letter
Davis	Unknown	Staff	Complainant	Discrimination	Gender	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Documented Discussion and Summary Letter
Davis	Faculty	Faculty	Non-UCD Affiliate	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Complainant	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Unknown Faculty	Complainant	Discrimination	Gender	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Faculty	Non-UCD Affiliate	Discrimination	Gender	Education for Respondent
Davis	Staff	Staff	Complainant	Discrimination	Gender	Resources provided; Complainant's request met
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Documented Discussion and Summary Letter
Health	Anonymous Staff	Staff	Complainant	Discrimination	Gender	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health	Unknown	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Gender	Insufficient information to provide resources; Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Anonymous Staff	Staff	Complainant	Discrimination	Gender	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Documented Discussion and Summary Letter
Health	Graduate Student	Department/Campus Group	Complainant	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Health	Multiple Staff	Staff	Responsible Employee	Discrimination	Gender	Resources provided; Letter of Expectation
Health	Staff	Faculty	Responsible Employee	Discrimination	Gender	Insufficient information to provide resources; Documented Discussion and Summary Letter (pending)
Davis	Graduate Student	Unknown Faculty	Complainant	Discrimination	Gender	Resources provided; Insufficient information for further review
Davis	Graduate Student	Department/Campus Group	Responsible Employee	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Davis	Faculty	Faculty	Complainant	Discrimination	Gender	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate student	Department/Campus Group	Responsible Employee	Discrimination	Gender Identity	Resources provided; Education for Respondent
Davis	Anonymous Unspecified Student	Graduate Student	UCD Non-Responsible Employee	Discrimination	Gender Identity	Insufficient information to provide resources or for further review
Davis	Graduate Student	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Gender Identity	Resources provided; Insufficient information for further review
Health	Staff	Unknown Staff	Responsible Employee	Discrimination	Gender Identity	Resources provided; Complaint withdrawn
Davis	Graduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Discrimination	Gender Identity; Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate student	Faculty	Responsible Employee	Discrimination	Gender; Gender Identity; Sexual Orientation	Resources provided; Documented Discussion and Summary Letter
Davis	Faculty	Unknown Faculty	Responsible Employee	Discrimination	Gender; National Origin; Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Department/Campus Group	Responsible Employee	Discrimination	Gender; Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Staff	UCD Non-Responsible Employee	Discrimination	Gender; Race	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Discrimination	Gender; Race	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Non-UCD Affiliate	Responsible Employee	Discrimination	Gender; Race	Resources provided; Referred to UCDH Police Department; Employment accommodation provided
Health	Staff	Unknown Staff	Complainant	Discrimination	Gender; Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Staff	Complainant	Discrimination	Gender; Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Faculty	Unknown Undergraduate Student	Responsible Employee	Discrimination	Gender; Race	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown Graduate Student	Responsible Employee	Discrimination	Gender; Race	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Discrimination	Gender; Sexual Orientation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Staff	Complainant	Discrimination	Gendered comments and negative comments on the basis of gender identity	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination	Marital Status; Medical Condition	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	Complainant	Discrimination	Marital Status; Race; Religion	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate student	Staff	Complainant	Discrimination	Marital Status	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate student	Multiple Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents); Referred to Transportation Services
Davis	Undergraduate student	Faculty	Non-UCD Affiliate	Discrimination	Medical Condition	Resources provided; Insufficient information for further review
Davis	Anonymous Staff	Multiple staff	Complainant	Discrimination	Medical Condition	Insufficient information to provide resources; Preliminary review-no evidence of policy violation (For All Respondents)
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Medical Condition	Resources provided; Complaint withdrawn
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Multiple Staff	Complainant	Discrimination	Medical Condition	Resources provided; Documented Discussion and Summary Letter (For All Respondents)
Health	Staff	Multiple Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents)
Health	Anonymous Staff	Unknown Staff	Complainant	Discrimination	Medical Condition	Resources provided; Insufficient information for further review
Health	Staff	Multiple Staff	Complainant	Discrimination	Medical Condition	Resources provided; Insufficient information for further review
Health	Non-UCD Affiliate	Unknown Staff	Complainant	Discrimination	Medical Condition	Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Non-UCD Affiliate	Unknown Staff	Responsible Employee	Discrimination	Medical Condition	Preliminary review-no evidence of policy violation
Health	Staff	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Unknown Staff	Complainant	Discrimination	Medical Condition	Resources provided; Insufficient information for further review
Health	Non-UCD Affiliate	Faculty	Complainant	Discrimination	Medical Condition	Preliminary review-no evidence of policy violation
Health	Staff	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Multiple Staff	Complainant	Discrimination	Medical Condition	Resources provided; Documented Discussion and Summary Letter (For All Respondents)
Davis	Undergraduate Student	Staff	Complainant	Discrimination	Medical Condition	Resources provided; Preliminary review-no evidence of policy violation
Health	Non-UCD Affiliate	Multiple Staff	Responsible Employee	Discrimination	Medical Condition; Race	Resources provided; Documented Discussion and Summary Letter (For All Respondents)
Health	Staff	Multiple Staff	Complainant	Discrimination	Medical Condition; Race	Resources provided; Education for Respondent (For 1 Respondent); Documented Discussion and Summary Letter (For 1 Respondent)
Davis	Undergraduate Student	Undergraduate Student	UCD Non-Responsible Employee	Discrimination	Medical Condition; Race; Sexual Orientation	Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs
Davis	Staff	Faculty	Responsible Employee	Discrimination	National Origin	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Discrimination	National Origin	Resources provided; Documented Discussion and Summary Letter
Davis	Unspecified Student	Faculty	Complainant	Discrimination	National Origin	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Discrimination	National Origin	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate student	Faculty	Complainant	Discrimination	National Origin	Resources provided; Education for Department

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Anonymous Unspecified Student	Department/Campus Group	Complainant	Discrimination	National Origin	Insufficient information to provide resources; Referred to Department
Davis	Undergraduate student	Undergraduate Student	Complainant	Discrimination	National Origin	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Discrimination	National Origin	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Faculty	Responsible Employee	Discrimination	National Origin	Insufficient information to provide resources or for further review
Davis	Graduate Student	Department/Campus Group	Complainant	Discrimination	National Origin	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Faculty	Responsible Employee	Discrimination	National Origin	Insufficient information to provide resources; Education for Respondent; Apology voluntarily issued to class
Davis	Undergraduate Student	Faculty	Complainant	Discrimination	National Origin	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	National Origin	Resources provided; Education for Respondent
Davis	Undergraduate Student	Faculty	Office of Student Support and Judicial Affairs	Discrimination	National Origin	Resources provided; Insufficient information for further review
Health	Anonymous Staff	Staff	Complainant	Discrimination	National Origin	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health	Anonymous Staff	Non-UCD Affiliate	Responsible Employee	Discrimination	National Origin	Insufficient information to provide resources; Respondent no longer affiliated with UC Davis
Davis	Unspecified Student	Undergraduate Student	UCD Non-Responsible Employee	Discrimination	National Origin; Race	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Unknown Faculty	UCD Non-Responsible Employee	Discrimination	National Origin; Race	Resources provided; Insufficient information for further review
Health	Multiple Staff	Staff	Complainant	Discrimination	National Origin; Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Multiple Staff	Multiple Staff	Responsible Employee	Discrimination	National Origin; Sexual Orientation	Resources provided; Documented Discussion and Summary Letter (For all Respondents)
Davis	Undergraduate Student	Unknown Faculty	Complainant	Discrimination	National Origin; Veteran Status	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Faculty	Complainant	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Unknown Staff	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Department/Campus Group	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Staff	Complainant	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Non-Specific	Resources provided; Education for Department/Campus Group
Davis	Staff, Non-UCD Affiliate	Multiple Staff	Complainant	Discrimination	Non-Specific	Resources provided; Documented Discussion and Summary Letter (For All Respondents)
Davis	Graduate Student; Staff	Faculty	Responsible Employee	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Unknown	Complainant	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation
Davis	Unspecified Student	Unknown Unspecified Student	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	UCD Non-Responsible Employee	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Non-UCD Affiliate	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Graduate Student	Department/Campus Group	Responsible Employee	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Health	Staff	Multiple Staff	Complainant	Discrimination	Non-Specific	Resources provided; Documented Discussion and Summary Letter (For All Respondents)
Health	Staff	Faculty	Responsible Employee	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Unknown Faculty	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Health	Staff	Unknown Staff	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Health	Staff	Multiple Staff	Complainant	Discrimination	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents); Referred to Employee and Labor Relations
Davis	Graduate Student	Multiple Unknown Graduate Students	Complainant	Discrimination	Non-Specific	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown Faculty	Complainant	Discrimination	Pregnancy	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Faculty	Complainant	Discrimination	Pregnancy	Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Responsible Employee	Discrimination	Pregnancy	Resources provided; Complainant's request met
Davis	Staff	Faculty	Complainant	Discrimination	Pregnancy	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Faculty	Complainant	Discrimination	Pregnancy	Resources provided; Preliminary review-no evidence of policy violation

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Faculty	Responsible Employee	Discrimination	Pregnancy	Resources provided; Documented Discussion and Summary Letter
Health	Undergraduate Student	Department/Campus Group	Complainant	Discrimination	Pregnancy	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown Faculty	Responsible Employee	Discrimination	Pregnancy	Resources provided; Insufficient information for further review
Davis	Graduate Student	Department/Campus Group	Complainant	Discrimination	Pregnancy	Resources provided; Insufficient information for further review
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Faculty; Staff	Office of Student Support and Judicial Affairs	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Staff	Office of Student Support and Judicial Affairs	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents)
Davis	Staff	Staff	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Staff	Unknown Staff	Complainant	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Undergraduate student	Staff	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter; Education for Department
Davis	Staff	Department/Campus Group	Responsible Employee	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Race	Insufficient information for further review
Davis	Multiple Undergraduate Students	Staff	Complainant	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Unknown	Complainant	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Unknown	Staff	Responsible Employee	Discrimination	Race	Insufficient information to provide resources; Documented Discussion and Summary Letter
Davis	Unknown	Undergraduate Student	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Faculty	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Faculty	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Faculty	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Undergraduate Student	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Staff	Office of Student Support and Judicial Affairs	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown Faculty	Complainant	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Discrimination	Race	Resources provided; Not within scope of HDAPP's policies
Davis	Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Unspecified Student	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Race	Insufficient information to provide resources; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Staff	Responsible Employee	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation
Health	Non-UCD Affiliate	Department/Campus Group	Complainant	Discrimination	Race	Preliminary review-no evidence of policy violation
Health	Non-UCD Affiliate	Multiple Staff	Complainant	Discrimination	Race	Preliminary review-no evidence of policy violation (For All Respondents)
Health	Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter
Health	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Race	Preliminary review-no evidence of policy violation
Health	Multiple Staff	Multiple Staff	Responsible Employee	Discrimination	Race	Resources provided; Letter of Expectation (For All Respondents)
Health	Staff	Multiple Staff	Responsible Employee	Discrimination	Race	Resources provided; Insufficient information for further review
Health	Anonymous Staff	Staff	Complainant	Discrimination	Race	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Health	Multiple Staff	Multiple Staff	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter (For all Respondents)
Health	Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Documented Discussion and Summary Letter
Health	Non-UCD Affiliate	Department/Campus Group	Responsible Employee	Discrimination	Race	Preliminary review-no evidence of policy violation
Health	Non-UCD Affiliate	Faculty	Responsible Employee	Discrimination	Race	Education for Respondent

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Anonymous Staff	Staff	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Faculty	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Respondent released from probation
Health	Multiple Staff	Staff	Responsible Employee	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Non-UCD Affiliate	Staff	Responsible Employee	Discrimination	Race	Preliminary review-no evidence of policy violation
Health	Staff	Multiple Staff	Complainant	Discrimination	Race	Resources provided; Preliminary review-no evidence of policy violation (For All Respondents)
Health	Staff	Staff	Complainant	Discrimination	Race	Resources provided; Complaint withdrawn
Davis	Anonymous Staff	Unknown Faculty	UCD Non-Responsible Employee	Discrimination	Race	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Unknown Staff	Responsible Employee	Discrimination	Race	Resources provided; Insufficient information for further review
Davis	Staff	Multiple Staff	Complainant	Discrimination	Race	Resources provided; Insufficient information for further review
Health	Staff	Unknown Faculty	Complainant	Discrimination	Race; Medical Condition	Resources provided; Insufficient information for further review
Health	Anonymous Staff	Unknown Staff	Complainant	Discrimination	Race; Sexual Orientation	Resources provided; Insufficient information for further review
Health	Non-UCD Affiliate	Unknown	Responsible Employee	Discrimination	Race; Sexual Orientation	Insufficient information for further review
Davis	Unknown	Multiple Faculty	Complainant	Discrimination	Religion	Insufficient information to provide resources; Preliminary review-no evidence of policy violation (For All Respondents)
Davis	Staff	Staff	Complainant	Discrimination	Religion	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Department/Campus Group	Complainant	Discrimination	Religion	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Undergraduate Students	Faculty	Complainant	Discrimination	Religion	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Complainant	Discrimination	Religion	Resources provided; Education for Department; Complainant's request met
Health	Anonymous Staff	Unknown Staff	Non-UCD Affiliate	Discrimination	Religion	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Unknown Faculty	Unknown	Discrimination	Sexual Orientation	Insufficient information to provide resources or for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Anonymous Unspecified Student	Department/Campus Group	UCD Non-Responsible Employee	Discrimination	Sexual Orientation	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Staff	Responsible Employee	Discrimination	Sexual Orientation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Non-UCD Affiliate	Complainant	Discrimination	Sexual Orientation	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Discrimination	Sexual Orientation	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Discrimination	Sexual Orientation	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Discrimination	Sexual Orientation	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Responsible Employee	Discrimination	Sexual Orientation	Resources provided; Documented Discussion and Summary Letter
Davis	Anonymous Unspecified Student	Department/Campus Group	Responsible Employee	Discrimination	Sexual Orientation	Insufficient information to provide resources; Education for Department
Health	Staff	Staff	Responsible Employee	Discrimination	Veteran Status	Resources provided; Complainant's request met
Health	Unknown	Staff	Complainant	Discrimination	Veteran Status	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Faculty	Staff	Complainant	Discrimination; Hate/Bias	Gendered comments	Resources provided; Preliminary review-no evidence of policy violation; Respondent moved to different building
Davis	Anonymous Staff	Unknown Staff	Complainant	Discrimination; Hate/Bias	Gendered comments	Resources provided; Insufficient information for further review
Davis	Staff	Unknown Staff	Complainant	Discrimination; Hate/Bias	Race; Throwing objects	Resources provided; Preliminary review-no evidence of policy violation; Referred to Department
Davis	Non-UCD Affiliate	Multiple Staff	Responsible Employee	Discrimination; Other	Age; Race; Retaliation	Preliminary review-no evidence of policy violation
Davis	Graduate Student	Department/Campus Group; Staff	Complainant	Discrimination; Other	Disability; Retaliation	Resources provided; Complaint withdrawn
Davis	Staff	Department/Campus Group	Complainant	Discrimination; Other	Gender; Race; Retaliation	Resources provided; Education for Department/Campus Group; Sanctions for Department/Campus Group; Administrative Notice issued; Complainant's request met
Davis	Staff	Staff	Complainant	Discrimination; Other	Gender; Retaliation; Other	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Staff	Unknown Staff	Complainant	Discrimination; Other	Race; Other	Resources provided; Insufficient information for further review
Davis	Anonymous staff	Unknown Department/Campus Group	Complainant	Discrimination; Other	Race; Retaliation	Insufficient information to provide resources; Preliminary review-no evidence of policy violation

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Multiple Staff	Complainant	Discrimination; Sexual Harassment	Disability; Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Complainant	Discrimination; Sexual Harassment	Race; Hostile Environment	Resources provided; Insufficient information for further review
Davis	Multiple Undergraduate Students	Non-UCD Affiliate	Responsible Employee	Discrimination; Sexual Harassment	Race; Non-Specific	Resources provided; Removal of course
Health	Staff	Staff	Responsible Employee	Discrimination; Sexual Harassment	Sexual Orientation; Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Faculty	UCD Non-Responsible Employee	Discrimination; Sexual Harassment; Other	Disability; Hostile Environment; Other	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Graduate Student	Complainant	Discrimination; Sexual Harassment; Other	Gender; Hostile Environment; Other	Resources provided; Insufficient information for further review
Health	Multiple Staff	Multiple Staff	Responsible Employee	Discrimination; Sexual Harassment; Other	Race; Non-Specific; Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Multiple Staff	Staff	Responsible Employee	Discrimination; Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Gender; Hostile Environment; Quid Pro Quo; Retaliation	Resources provided; Respondent dismissed for other misconduct
Davis	Non-UCD Affiliate	Faculty	Complainant	Hate/Bias	Anti Law Enforcement image on social media	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Non-UCD Affiliate	Complainant	Hate/Bias	Anti-Arab comments on social media	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Anonymous Unspecified Student	Faculty	Complainant	Hate/Bias	Anti-Israel comments	Insufficient information to provide resources or for further review
Davis	Unknown	Faculty	Complainant	Hate/Bias	Anti-police comments	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Non-UCD Affiliate	Faculty	Complainant	Hate/Bias	Anti-police comments	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Faculty	Complainant	Hate/Bias	Anti-police comments	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Non-UCD Affiliate	Faculty	Complainant	Hate/Bias	Anti-police comments	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Unknown	Complainant	Hate/Bias	Anti-Semitic chalking	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Undergraduate Student	Unknown	Complainant	Hate/Bias	Anti-Semitic graffiti	Resources provided; Referred to Facilities for removal consistent with policy

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Anti-Zionist Sentiments	Resources provided; Insufficient information for further review
Davis	Multiple Undergraduate Students; Multiple Graduate Students	Undergraduate Student; Department/Campus Group	Complainant	Hate/Bias	Anti-Zionist Sentiments	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Undergraduate Student	Complainant	Hate/Bias	Anti-Zionist Sentiments	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Department/Campus Group	Unknown Undergraduate Student; Department/Campus Group	Complainant	Hate/Bias	Asked to leave an event on the basis of religion	Insufficient information to provide resources or for further review
Davis	Unknown	Staff	Complainant	Hate/Bias	Attempts to determine country of origin based on appearance	Insufficient information to provide resources; Education for Department
Davis	Unknown	Unknown	Complainant	Hate/Bias	Disparaging comments about multiple protected identities	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Staff	Unknown	Complainant	Hate/Bias	Disparaging email regarding LGBTQ+ community	Resources provided; Insufficient information for further review
Davis	Staff	Unknown	Complainant	Hate/Bias	Disparaging graffiti regarding LGBTQ+ community	Resources provided; Referred to Facilities for removal consistent with policy
Health	Anonymous Staff	Staff	Complainant	Hate/Bias	Gendered comments	Insufficient information to provide resources; Documented Discussion and Summary Letter
Health	Staff	Multiple Staff	Complainant	Hate/Bias	Gendered comments	Resources provided; Education for Department; Complainant's request met
Davis	Multiple Undergraduate Students	Unknown	UCD Non-Responsible Employee	Hate/Bias	Hateful comments on the basis of race written on a white board	Resources provided; Comments erased
Davis	Non-UCD Affiliate	Unknown	Non-UCD Affiliate	Hate/Bias	Hateful flyers	Referred to Facilities for removal
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of race	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Undergraduate Student	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Staff	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Staff	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Staff	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Unknown	Unknown	Complainant	Hate/Bias	Hateful posters on the basis of religion	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Homophobic slurs	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate student	Unknown	Complainant	Hate/Bias	Homophobic slurs	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Non-UCD Affiliate	Staff	Complainant	Hate/Bias	Inadvertent misgendering	Insufficient information for further review
Davis	Non-UCD Affiliate	Staff	Complainant	Hate/Bias	Inadvertent misgendering	Insufficient information for further review
Davis	Non-UCD Affiliate	Undergraduate Student	Non-UCD Affiliate	Hate/Bias	Negative social media posts	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Faculty	Complainant	Hate/Bias	Negative social media posts	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Non-UCD Affiliate	Undergraduate Student	Complainant	Hate/Bias	Negative social media posts	Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Negative social media posts	Related to another matter; Complainant's request met
Davis	Staff	Department/Campus Group	Complainant	Hate/Bias	Newspaper article perceived as biased on the basis of religion	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Undergraduate Student	Complainant	Hate/Bias	Non-Specific	Insufficient information to provide resources or for further review
Davis	Unspecified Student	Department/Campus Group	UCD Non-Responsible Employee	Hate/Bias	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Hate/Bias	Offensive chalked comments on the basis of religion	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Multiple Undergraduate Students	Staff	Complainant	Hate/Bias	Offensive comments on the basis of gender	Resources provided; Documented Discussion and Summary Letter
Davis	Unknown	Unknown	Complainant	Hate/Bias	Offensive comments on the basis of gender and race	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Multiple Undergraduate Students	Multiple Undergraduate Students	Responsible Employee	Hate/Bias	Offensive comments on the basis of gender and race	Resources provided; Education for Respondents (For All Respondents)
Davis	Unknown	Graduate Student	Complainant	Hate/Bias	Offensive comments on the basis of race	Insufficient information to provide resources or for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Multiple Undergraduate Students	Multiple Unknown Unspecified Students	UCD Non-Responsible Employee	Hate/Bias	Offensive comments on the basis of race	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown Staff	Complainant	Hate/Bias	Offensive comments on the basis of race	Insufficient information to provide resources; Education for Department
Davis	Unknown	Non-UCD Affiliate	Complainant	Hate/Bias	Offensive comments on the basis of race	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Undergraduate Student	Complainant	Hate/Bias	Offensive comments on the basis of race	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Offensive comments on the basis of race	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Hate/Bias	Offensive comments on the basis of race and sexual orientation	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias	Offensive comments on the basis of religion	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Hate/Bias	Offensive comments on the basis of sexual orientation	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unspecified Student	Unknown	Responsible Employee	Hate/Bias	Offensive comments on the basis of sexual orientation	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Health	Anonymous Staff	Department/Campus Group	Complainant	Hate/Bias	Offensive emails on the basis of race	Insufficient information to provide resources or for further review
Davis	Anonymous Graduate Student	Department/Campus Group	Responsible Employee	Hate/Bias	Offensive exhibit on the basis of race	Insufficient information to provide resources; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Graduate Student	Unknown	Responsible Employee	Hate/Bias	Offensive graffiti on the basis of race	Resources provided; Referred to Facilities for removal consistent with policy
Davis	Faculty	Unknown	Responsible Employee	Hate/Bias	Offensive graffiti on the basis of race	Referred to Facilities for removal
Davis	Staff	Department/Campus Group	Complainant	Hate/Bias	Offensive music	Resources provided; Not within scope of HDAPP's policies; Referred to Department
Davis	Undergraduate Student	Faculty	Complainant	Hate/Bias	Offensive seminar theme	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Undergraduate Student	Unknown	Complainant	Hate/Bias	Offensive social media profiles	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Unknown	Responsible Employee	Hate/Bias	Offensive symbol on the basis of race	Insufficient information to provide resources; Referred to Facilities for removal consistent with posting policy; Noted for climate purposes
Davis	Non-UCD Affiliate	Staff	Responsible Employee	Hate/Bias	Online harassment	Preliminary review-no evidence of policy violation

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Complainant	Hate/Bias	Online harassment on the basis of race	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Staff	Graduate Student	Complainant	Hate/Bias	Online harassment on the basis of religion	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Non-UCD Affiliate	Responsible Employee	Hate/Bias	Online harassment on the basis of religion	Resources provided; Referred to UCD Police Department
Davis	Undergraduate Student	Department/Campus Group	Complainant	Hate/Bias	Pro-Palestinian Flag	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Anonymous Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Hate/Bias	Purposeful misgendering	Insufficient information to provide resources or for further review
Davis	Graduate Student	Non-UCD Affiliate	Responsible Employee	Hate/Bias	Racial slurs	Resources provided; Insufficient information for further review
Davis	Unknown	Non-UCD Affiliate	Complainant	Hate/Bias	Racist and anti-religion speech and signs	Insufficient information to provide resources; Referred to UCD Police Department; Noted for climate purposes
Davis	Undergraduate Student	Unknown	UCD Non-Responsible Employee	Hate/Bias	Racist image posted on social media	Resources provided; Not within scope of HDAPP's policies; Freedom of Speech
Davis	Unknown	Unknown	Responsible Employee	Hate/Bias	Sexualized and anti-religious graffiti	Referred to Facilities for removal
Davis	Anonymous Staff	Staff	Responsible Employee	Hate/Bias	Unconscious bias by department personnel	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Staff	Complainant	Hate/Bias	Unspecified	Insufficient information for further review
Health	Anonymous Staff	Staff	Complainant	Hate/Bias	Use of stereotypes and other inappropriate language	Insufficient information to provide resources; Documented Discussion and Summary Letter
Davis	Staff	Multiple Staff	Complainant	Hate/Bias; Other	Gendered comments; Other	Resources provided; Documented Discussion and Summary Letter (For 1 Respondent); Insufficient information for further review (For 2 Respondents)
Davis	Undergraduate Student	Undergraduate Student	Complainant	Hate/Bias; Sexual Harassment	Negative social media posts; Hostile Environment	Resources provided; Successful Alternative Resolution
Davis	Undergraduate student	Faculty	Responsible Employee	Hate/Bias; Sexual Harassment	Offensive comments on the basis of ethnicity, sexual orientation, gender expression, and gender identity; Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff, Undergraduate Student	Multiple Non-UCD Affiliates	Responsible Employee	Hate/Bias; Sexual Violence or Other Prohibited Behavior	Anti-LGBTQ+ comments; Sexual Assault (Contact)	Resources provided; Respondent removed from club (For 1 Respondent); Education for Department
Davis	Faculty	Unknown	Complainant	Other	Other	Resources provided; Referred to IT
Davis	Faculty	Undergraduate Student	UCD Non-Responsible Employee	Other	Other	Resources provided; Insufficient information for further review
Davis	Staff	Undergraduate Student	Responsible Employee	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Unknown	Non-UCD Affiliate	Complainant	Other	Other	Not within scope of HDAPP's policies

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Other	Other	Referred to Department
Davis	Faculty	Faculty	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies; Referred to Academic Affairs
Davis	Graduate Student	Faculty	UCD Non-Responsible Employee	Other	Other	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Anonymous Unspecified Students	Multiple Unknown Unspecified Students	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Anonymous Staff	Staff	Complainant	Other	Other	Insufficient information to provide resources or for further review
Davis	Anonymous Undergraduate Student	Staff	Unknown	Other	Other	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Non-UCD Affiliate	Undergraduate Student	Non-UCD Affiliate	Other	Other	Not within scope of HDAPP's policies
Davis	Anonymous Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies; Referred to Student Affairs
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Other	Other	Complaint withdrawn
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Other	Other	Complaint withdrawn
Davis	Undergraduate Student	Unknown	Complainant	Other	Other	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Multiple Undergraduate Students	Multiple Undergraduate Students	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Undergraduate Student	Multiple Undergraduate Students	Complainant	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Unknown	Complainant	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Unknown Undergraduate Student	Complainant	Other	Other	Insufficient information to provide resources; Not within scope of HDAPP's policies
Davis	Non-UCD Affiliate	Staff	Responsible Employee	Other	Other	Insufficient information for further review
Davis	Unspecified Student	Non-UCD Affiliate	Complainant	Other	Other	Insufficient information to provide resources; Not within scope of HDAPP's policies

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Multiple Undergraduate Students	Faculty	Complainant	Other	Other	Resources provided; Insufficient information for further review
Davis	Multiple Anonymous Undergraduate Students	Multiple Faculty	Responsible Employee	Other	Other	Referred to Academic Affairs
Davis	Undergraduate Student	Unspecified Student	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Undergraduate Student	Faculty	Responsible Employee	Other	Other	Resources provided; Referred to Academic Affairs
Davis	Undergraduate Student	Unknown Faculty	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Non-UCD Affiliate	Unknown	Complainant	Other	Other	Insufficient information for further review
Davis	Anonymous Undergraduate Student	Undergraduate Student	Responsible Employee	Other	Other	Insufficient information to provide resources; Education for Respondent
Davis	Multiple Undergraduate Students	Multiple Undergraduate Students	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Other	Other	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Graduate Student	Unknown Faculty	Responsible Employee	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Staff	Department/Campus Group	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health	Non-UCD Affiliate	Staff	UCD Non-Responsible Employee	Other	Other	Referred to Patient Relations
Health	Anonymous Staff	Department/Campus Group; Staff	Complainant	Other	Other	Insufficient information to provide resources; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Faculty	Complainant	Other	Other	Resources provided; Referred to Academic Affairs
Health	Staff	Faculty	Complainant	Other	Other	Resources provided; Referred to Medical Staff
Health	Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Anonymous Staff	Non-UCD Affiliate	Complainant	Other	Other	Insufficient information to provide resources; Referred to UCDH Police Department; Employment accommodation provided
Health	Anonymous Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Anonymous Staff	Staff	Complainant	Other	Other	Insufficient information to provide resources; Respondent no longer affiliated with UC Davis
Health	Anonymous Staff	Multiple Staff	Responsible Employee	Other	Other	Insufficient information to provide resources; Referred to Department
Health	Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health	Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Unknown	Staff	Complainant	Other	Other	Insufficient information to provide resources; Referred to Employee and Labor Relations
Health	Unknown	Multiple Staff	Complainant	Other	Other	Insufficient information to provide resources; Referred to Employee and Labor Relations
Health	Multiple Staff	Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Other	Other	Resources provided; Referred to Disability Management Services
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Multiple Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Non-UCD Affiliate	Unknown Staff	Complainant	Other	Other	Referred to Department
Health	Staff	Faculty	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Multiple Non-UCD Affiliates	Unknown Staff	Responsible Employee	Other	Other	Referred to Department

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Multiple Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Anonymous Staff	Staff	Complainant	Other	Other	Insufficient information to provide resources; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Anonymous Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health	Staff	Unknown	Complainant	Other	Other	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations
Davis	Anonymous Undergraduate Student	Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Preliminary review-no evidence of policy violation; Letter of Warning for other misconduct
Davis	Graduate Student	Faculty	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies
Davis	Graduate Student	Faculty	UCD Non-Responsible Employee	Other	Other	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Undergraduate Student	Undergraduate Student	Complainant	Other	Other	Resources provided; Not within scope of HDAPP's policies; Referred to Student Affairs
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Non-UCD Affiliate	Other	Other	Not within scope of HDAPP's policies
Davis	Unknown	Unknown	UCD Non-Responsible Employee	Other	Other	Duplicate report; Closed
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Staff	Complainant	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Unknown	Staff	Complainant	Other	Other	Insufficient information to provide resources; Referred to Employee and Labor Relations
Health	Staff	Staff	UCD Non-Responsible Employee	Other	Other	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Unknown Staff	Complainant	Other	Other	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Department/Campus Group	Complainant	Other	Other; Retaliation	Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Other	Retaliation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Multiple Staff	Complainant	Other	Retaliation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Multiple Non-UCD Affiliates	Complainant	Other	Retaliation	Resources provided; Not within scope of HDAPP's policies
Davis	Staff	Department/Campus Group	Complainant	Other	Retaliation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Other	Retaliation	Resources provided; Not within scope of HDAPP's policies
Davis	Graduate Student	Graduate Student	Complainant	Other	Retaliation	Resources provided; Education for Respondent
Health	Faculty	Staff	Complainant	Other	Retaliation	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Unknown Staff	Responsible Employee	Other	Retaliation	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Other	Retaliation	Resources provided; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Multiple Staff	Complainant	Other; Sexual Harassment	Other; Hostile Environment	Documented Discussion and Summary Letter (For 1 Respondent); Noted for climate purposes (For 1 Respondent)
Davis	Unknown	Multiple Staff	Unknown	Other; Sexual Harassment	Other; Non-specific	Insufficient information to provide resources or for further review
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Other; Sexual Violence or Other Prohibited Behavior	Other; Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information to provide resources; Referred to Office of Student Support and Judicial Affairs
Davis	Non-UCD Affiliate	Non-UCD affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Respondent removed from program
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Faculty	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Davis	Graduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent removed from campus program.
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Respondent removed from campus program.
Davis	Anonymous Non-UCD Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Not within scope of HDAPP's policies
Davis	Graduate Student	Graduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation; Verbal counseling for other misconduct
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent released from probation
Davis	Multiple Graduate Students	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Images and postings removed
Davis	Graduate Student	Multiple Unknown Graduate Students	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Letter of Expectation
Davis	Multiple Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Administrative Notice (For 1 Respondent); Documented Discussion and Summary Letter (For 1 Respondent)
Davis	Multiple Undergraduate Students	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Non-UCD Affiliate	Unknown Faculty	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review
Davis	Graduate Student	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Insufficient information for further review
Davis	Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter (For 1 Respondent); Preliminary review-no evidence of policy violation (For 1 Respondent)
Davis	Undergraduate Student	Unspecified Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Anonymous Undergraduate Student	Unknown Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review

Appendix I, continued

Appendix I. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Complainant's request met
Davis	Non-UCD Affiliate	Unknown Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Davis	Undergraduate Student	Multiple Unknown Non-UCD Affiliates	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Respondents' employer (For All Respondents)
Davis	Staff	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Unknown Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Referred to the Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Unknown Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Graduate Students	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Anonymous Unspecified Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Multiple Unknown	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Non-UCD Affiliate	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Multiple Staff	Multiple Unknown	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Anonymous Non-UCD Affiliate	Unknown Faculty	Complainant	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review
Davis	Multiple Graduate Students	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate	Faculty	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Graduate Student	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Graduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Anonymous Staff	Staff	Unknown	Sexual Harassment	Hostile Environment	Insufficient information to provide resources; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Referred to Respondent's employer
Davis	Anonymous Undergraduate Student	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information to provide resources; Referred to Academic Affairs
Davis	Multiple Undergraduate Students	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent removed from campus program.
Davis	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent dismissed for other misconduct
Davis	Undergraduate Student	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Graduate Student	Multiple Unknown Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Davis	Staff	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent (For 1 Respondent); Respondent no longer affiliated with UCD (For 1 Respondent); Employment accommodation made

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Undergraduate Student; Department/Campus Group	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Respondent barred from participating in campus program
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Davis	Multiple Anonymous Undergraduate Students	Undergraduate Student	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review
Health	Multiple Staff	Staff	UCD Non-Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Non-UCD Affiliate	Unknown	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Health	Anonymous Unknown	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Department
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Multiple Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondents (For All Respondents)
Health	Non-UCD Affiliate	Staff	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Multiple Non-UCD Affiliates	Non-UCD Affiliate	Unknown	Sexual Harassment	Hostile Environment	Resources provided; Not within scope of HDAPP's policies
Health	Non-UCD Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Employee and Labor Relations
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Referred to Respondent's employer
Health	Staff	Unknown Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Complainant's request met
Health	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Respondent removed from campus program.
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Health	Non-UCD Affiliate	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter (For 2 Respondents); Respondents no longer affiliated with UCD (For 2 Respondents)
Health	Non-UCD Affiliate	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information to provide resources or for further review
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Non-UCD Affiliate	Multiple Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Preliminary review-no evidence of policy violation
Health	Staff	Staff	Unknown	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to UCD Police Department
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Workplace Violence Committee.
Health	Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Employee and Labor Relations
Health	Anonymous Non-UCD Affiliate	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Graduate Student	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Referred to Respondent's employer
Health	Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Non-UCD Affiliate	Non-UCD Affiliate	Complainant	Sexual Harassment	Hostile Environment	Not within scope of HDAPP's policies
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter

Appendix I, continued

Appendix I. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Multiple Anonymous Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Insufficient information to provide resources; Respondent dismissed for other misconduct
Health	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Insufficient information for further review
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Education for Respondent
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Resources provided; Documented Discussion and Summary Letter
Davis	Unknown	Non-UCD Affiliate	UCD Non-Responsible Employee	Sexual Harassment	Non-Specific	Insufficient information to provide resources or for further review
Davis	Non-UCD Affiliate	Unknown Non-UCD Affiliate	Complainant	Sexual Harassment	Non-Specific	Complainant's request met
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Documented Discussion and Summary Letter
Davis	Non-UCD Affiliate; Multiple Anonymous Unspecified Students	Staff	Complainant	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Non-Specific	Resources provided; Complaint withdrawn
Davis	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Staff	Multiple Unknown Staff	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Staff	Unknown Staff	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Staff	Complainant	Sexual Harassment	Non-Specific	Resources provided; Documented Discussion and Summary Letter (For 1 Respondent); Preliminary review-no evidence of policy violation (For 1 Respondent)

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Multiple Staff	Staff	Complainant	Sexual Harassment	Non-Specific	Resources provided; Documented Discussion and Summary Letter
Health	Multiple Anonymous Staff; Multiple Anonymous Unspecified Students	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Harassment	Non-Specific	Resources provided; Insufficient information for further review
Health	Anonymous Staff	Multiple Staff	Complainant	Sexual Harassment	Non-Specific	Insufficient information to provide resources; Preliminary review-no evidence of policy violation (For All Respondents)
Health	Anonymous Staff	Non-UCD Affiliate	Unknown	Sexual Harassment	Non-Specific	Insufficient information to provide resources or for further review
Davis	Graduate Student	Faculty	Responsible Employee	Sexual Harassment	Quid Pro Quo	Resources provided; Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Staff	Non-UCD Affiliate	Sexual Harassment	Quid Pro Quo	Insufficient information to provide resources or for further review
Health	Anonymous Staff	Multiple Staff	Unknown	Sexual Harassment	Quid Pro Quo	Insufficient information to provide resources; Preliminary review-no evidence of policy violation
Davis	Non-UCD Affiliate	Staff	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Indecent Exposure	Insufficient information for further review
Davis	Anonymous Unspecified Student	Multiple Non-UCD Affiliates	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Insufficient information to provide resources; Not within scope of HDAPP's policies
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Resources provided; Documented Discussion and Summary Letter; Housing accommodation provided
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Multiple Anonymous Unspecified Students	Undergraduate Student	UCD Non-responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Resources provided; Referred to the Office of Student Support and Judicial Affairs

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Health	Staff	Non-UCD Affiliate	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Resources provided; Referred to UCD Police Department
Davis	Multiple Graduate Students	Graduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact); Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Anonymous Unspecified Student	Unknown Unspecified Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Non-Specific)	Resources provided; Respondent removed from campus program.
Davis	Multiple Undergraduate Students; Non-UCD Affiliate	Department/Campus Group	Office of Student Support and Judicial Affairs	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Penetration)	Resources provided; External review and restructuring of group
Davis	Anonymous Staff	Unknown	Unknown	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Multiple Staff	Unknown	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Staff	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Respondent dismissed for other misconduct

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Multiple Undergraduate Students	Undergraduate Student	UCD Non-responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Preliminary review-no evidence of policy violation
Davis	Staff	Undergraduate Student	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Documented Discussion and Summary Letter; Employment accommodation provided
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Unknown	Unknown	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Invasion of Sexual Privacy; Relationship Violence; Stalking	Resources provided; Insufficient information for further review
Davis	Multiple Undergraduate Students	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Invasions of Sexual Privacy; Stalking	Resources provided; Respondent removed from campus program.
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Anonymous Undergraduate Student	Unknown	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Non-Specific	Insufficient information to provide resources; Referred to Student Housing
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Referred to Department
Davis	Undergraduate Student	Unknown Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	UCD Non-responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Respondent removed from campus program.
Davis	Undergraduate Student	Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Graduate Student	Staff	UCD Non-Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Complainant's request met
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Referred to Respondent's home institution
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Preliminary review-no evidence of policy violation

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Education for Respondent
Davis	Anonymous Undergraduate Student; Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Respondent removed from campus program.
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Davis	Unknown	Unknown Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Health	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Resources provided; Insufficient information for further review
Health	Anonymous Non-UCD Affiliate	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Non-Specific	Referred to UCD Police Department
Health	Non-UCD Affiliate	Faculty	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific	Preliminary review-no evidence of policy violation
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Non-Specific; Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Complainant's request met
Davis	Anonymous Non-UCD Affiliate	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Anonymous Unspecified Student	Unknown Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Referred to UCD Police Department
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Anonymous Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Health	Graduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Graduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Unspecified Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Respondent no longer affiliated with UCD
Davis	Non-UCD Affiliate	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Insufficient information to provide resources or for further review
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Anonymous Staff	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Referred to UCD Police Department
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Unspecified Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence ; Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Non-Specific	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	Resources provided; Insufficient information for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Respondent removed from campus program; Education for Department
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Staff	Staff	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Unknown Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Insufficient information for further review
Davis	Unknown	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Anonymous Unspecified Student	Undergraduate Student	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Undergraduate Student	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Health	Staff	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Health	Staff	Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Unknown	Multiple Unknown Unspecified Students	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Stalking	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Stalking	Resources provided; Documented Discussion and Summary Letter; Respondent removed from program
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review

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Appendix I. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Housing accommodation provided; insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Complainant's request met
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Referred to Complainant's home institution
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Referred to Complainant's home institution
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate; Undergraduate Student	UCD Non-responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Complaint withdrawn
Davis	Undergraduate Student	Unknown Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review

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Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Unknown	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Health	Anonymous Undergraduate Student	Graduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Non-Specific)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Complaint withdrawn
Davis	Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Multiple Unknown Non-UCD Affiliates	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Insufficient information for further review
Davis	Anonymous Unspecified Student	Unknown Unspecified Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Unspecified Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Anonymous Non-UCD Affiliate	Unknown Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Insufficient information to provide resources or for further review
Davis	Non-UCD Affiliate	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Insufficient information for further review
Davis	Anonymous Graduate Student	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Multiple Unknown Unspecified Students	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Anonymous Undergraduate Student	Undergraduate Student	Non-UCD Affiliate	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Insufficient information to provide resources or for further review
Health	Anonymous Non-UCD Affiliate	Unknown Non-UCD Affiliate	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Non-UCD Affiliate	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Anonymous Non-UCD Affiliate; Multiple Unknown	Non-UCD Affiliate	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Referred to Respondent's home institution
Davis	Staff	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Complainant's request met

Appendix I, continued

Appendix I. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Unknown Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Referred to Office of Student Support and Judicial Affairs
Davis	Undergraduate Student	Unknown	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Unknown	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking	Insufficient information to provide resources or for further review
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Multiple Undergraduate Students	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Documented Discussion and Summary Letter
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown Graduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Respondent dismissed for other misconduct

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via informal resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Non-UCD Affiliate	Non-UCD Affiliate	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Anonymous Unspecified Student	Unknown Non-UCD Affiliate	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Staff	Graduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Undergraduate Student	UCD Police Department	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Complainant's request met
Davis	Anonymous Non-UCD Affiliate	Undergraduate Student	Unknown	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Unknown	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Graduate Student	Unknown Graduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Resources provided; Insufficient information for further review
Davis	Undergraduate Student	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking; Violating a No Contact Order or other exclusion	Resources provided; Complaint withdrawn
Davis	Undergraduate Student	Undergraduate Student	Respondent	Sexual Violence or Other Prohibited Behavior	Violating a No Contact Order or other exclusion	Referred to Office of Student Support and Judicial Affairs

Appendix 2

Appendix 2. Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2018-19 and resolved via Formal Investigation

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary	Final Outcome
Health	Faculty	Faculty	Responsible Employee	Discrimination	Age	Pending	Pending
Health	Staff	Staff	Complainant	Discrimination	Age	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Staff	Multiple Staff	Responsible Employee	Discrimination	Retaliation	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Health	Staff	Multiple Staff	Responsible Employee	Discrimination	Sexual Orientation	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Multiple Staff	Staff	Responsible Employee	Discrimination; Sexual Harassment	Race; Hostile Environment; Retaliation	Violation of policy for Sexual Harassment (Hostile Environment). No policy violation for Discrimination or Retaliation	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Health	Staff	Staff	Complainant	Discrimination; Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Gender; Hostile Environment; Sexual Assault (Contact)	Violation of policy for Sexual Assault (Contact). No violation for Sexual Harassment or Discrimination	Respondent terminated from employment
Davis	Multiple Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent issued 5-day employment suspension
Davis	Faculty; Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Davis	Graduate Student	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Davis	Multiple Undergraduate Students	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Davis	Graduate Student; Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent issued 30-day employment suspension
Davis	Undergraduate Student Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent issued 3-day employment suspension
Health	Staff	Faculty	Complainant	Sexual Harassment	Hostile Environment	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Health	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	No violation of policy	Respondent issued Letter of Expectation
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent terminated from employment
Health	Faculty	Faculty	Responsible Employee	Sexual Harassment	Hostile Environment	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.

Appendix 2, continued

Appendix 2. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via Formal Investigation.

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary	Final Outcome
Health	Former Staff	Staff	Complainant	Sexual Harassment	Hostile Environment	No violation of policy	Pending
Health	Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment	Violation of policy for Sexual Harassment (Hostile Environment)	Respondent terminated from employment
Health	Multiple Non-UCD Affiliates	Faculty	Non-UCD Affiliate	Sexual Harassment	Hostile Environment	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment; Quid Pro Quo	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Health	Staff	Staff	Complainant	Sexual Harassment	Hostile Environment; Quid Pro Quo	Violation of policy for Sexual Harassment (Hostile Environment). No violation for Sexual Harassment - Quid Pro Quo	Respondent resigned prior to completion of investigation. Ineligible for rehire in UC system.
Davis	Faculty	Faculty	Respondent	Sexual Harassment	Quid Pro Quo	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Graduate Student	Faculty	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Violation of policy for Sexual Harassment (Hostile Environment) and Sexual Assault (Contact)	Pending
Davis	Multiple Staff	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Indecent Exposure	Violation of policy for Sexual Harassment (Hostile Environment). No policy violation for Indecent Exposure.	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault - Contact	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Graduate Student	Graduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact)	Violation of policy for Sexual Assault (Contact) and Sexual Harassment (Hostile Environment)	Respondent issued 3-year academic suspension
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Sexual Assault (Contact); Sexual Assault (Penetration)	Violation of policy for Sexual Harassment (Hostile Environment); Sexual Assault (Penetration). No violation for Sexual Assault (Contact)	Pending
Davis	Multiple Undergraduate Students	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Violation of policy for Sexual Harassment (Hostile Environment) and Stalking	Respondent resigned in lieu of termination. Ineligible for rehire in UC system.
Davis	Former Staff	Faculty	Complainant	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence	Violation of policy for Relationship Violence.	Pending

Appendix 2, continued

Appendix 2. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance in 2018-19 and resolved via Formal Investigation.

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary	Final Outcome
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence ; Violating a No Contact Order or other order of exclusion	Violation of policy for Relationship Violence. No policy violation for Violation a No Contact Order or other order of exclusion	Respondent issued 2-year academic suspension
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Sexual Assault (Contact)	Violation of policy for Relationship Violence and Sexual Assault (Contact)	Finding of violation of SVSH Policy overturned and changed to violation of Code of Student Conduct. Respondent issued 1-year and 2-quarter Academic Suspension
Davis	Former Graduate Student	Former Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Sexual Assault (Contact)	Violation of policy for Dating Violence. No violation of policy for Sexual Assault (Contact)	Respondent academically dismissed
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Sexual Assault (Penetration)	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Sexual Assault (Penetration)	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Relationship Violence; Stalking	No violation of policy	Pending
Davis	Undergraduate Student	Former Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Violation of policy for Sexual Assault (Contact).	Record of disciplinary action placed on Respondent's transcript
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Sexual Assault (Penetration)	No violation of policy	Finding of no violation of policy overturned to violation of policy for Sexual Assault (Penetration). Respondent issued 2-year academic suspension
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact); Sexual Assault (Penetration)	Violation of policy for Sexual Assault (Contact) and Sexual Assault (Penetration)	Respondent academically dismissed
Davis	Former Undergraduate Student	Graduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	Violation of policy for Sexual Assault (Penetration)	Respondent academically dismissed
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Penetration)	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Stalking	No violation of policy	Case Closed. No sanction or corrective action issued to Respondent.
Davis	Graduate Student	Undergraduate Student	Complainant	Sexual Violence or Other Prohibited Behavior	Stalking; Violating a No Contact Order or other exclusion	Violation of policy for Stalking and Violating a No Contact Order or other exclusion	Respondent issued Deferred Dismissal based on exceptional circumstances

Appendix 3

Appendix 3. Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2018-19 and resolved via Alternative Resolution

Campus	COMPLAINANT Affiliation	RESPONDENT Affiliation	Report Source	Complaint Category	Complaint Specific	Resolution Summary
Davis	Undergraduate Student	Undergraduate Student	Complainant	Sexual Harassment	Hostile Environment	Alternative Resolution
Davis	Multiple Staff	Staff	Responsible Employee	Sexual Harassment	Hostile Environment; Quid Pro Quo	Alternative Resolution
Davis	Multiple Undergraduate Students	Undergraduate Student	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Alternative Resolution
Davis	Undergraduate Student	Staff	Responsible Employee	Sexual Harassment; Sexual Violence or Other Prohibited Behavior	Hostile Environment; Stalking	Alternative Resolution
Davis	Undergraduate Student	Undergraduate Student	Responsible Employee	Sexual Violence or Other Prohibited Behavior	Sexual Assault (Contact)	Alternative Resolution
Davis	Undergraduate Student	Undergraduate Student	Office of Student Support and Judicial Affairs	Sexual Violence or Other Prohibited Behavior	Stalking	Alternative Resolution

Appendix 4: Administrative Agency complaints (AY 2018-19)¹

Complainant	Respondent	Agency	Basis	Findings
Medical resident	Department	DFEH	Disability	Agency took no action; immediate right to sue issued ²
Lecturer	Department	DFEH	Disability	Closed. Resolved between parties.
Student	Department	DFEH	Disability	Closed. Right to Sue notice issued.
Staff	Department	EEOC	Race and retaliation	No statutory violation found. Right to Sue notice issued.
Staff	Department	EEOC	Retaliation	No statutory violation found. Right to Sue notice issued.
Staff	Department	EEOC	Religion, Disability, Sex, Age, National Origin	Closed. Right to Sue notice issued.
Staff	Department	EEOC	Race and retaliation	No statutory violation found. Right to Sue notice issued.
Staff	Department	EEOC	Gender	No statutory violation found. Right to Sue notice issued.
Staff	Department	DFEH	Race, National Origin	No statutory violation found. Right to Sue notice issued.
Staff	Department	DFEH	Age	Pending with agency.
Staff	Department	DFEH	FMLA use (disability)	No statutory violation found. Right to Sue notice issued.
Staff	Department	DFEH	Race, color, sex/gender	Closed. Right to Sue notice issued.
Staff	Department	EEOC	Race and retaliation	Pending with agency.
Lecturer	Department	DFEH	Age	Pending with agency.
Lecturer	Department	DFEH	Age	No statutory violation found. Right to Sue notice issued.
Lecturer	Department	DFEH	Age	No statutory violation found. Right to Sue notice issued.
Lecturer	Department	DFEH	Age	No statutory violation found. Right to Sue notice issued.
Staff	Department	DFEH	Sex/Gender	Pending with agency.
Staff	Department	DFEH	Race	Pending with agency.
Staff	Department	DOL	Retaliation	Pending with agency.
Staff	Department	DFEH	Disability	Pending with agency.
Staff	Department	DFEH	Ancestry/national origin and retaliation	Pending with agency.
Staff	Department	EEOC	Gender, retaliation	Pending with agency.
Lecturer	Department	DFEH	Sex, retaliation	Closed. Right to Sue notice issued.
Staff	Department	DFEH	Retaliation	No statutory violation found. Right to Sue notice issued.
Staff	Department	DFEH	Religion and national origin	Pending with agency.
Lecturer	Department	DFEH	Age	Pending with agency.
Lecturer	Department	DFEH	Age	Pending with agency.
Staff	Department	EEOC	Race, religion, national origin, retaliation	No statutory violation found. Right to Sue notice issued
Staff	Department	DFEH	Race, Sex, Gender, Age	Pending with agency.

¹ 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), and the United States Department of Labor (DOL).

² 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.