



COMPLIANCE AND POLICY ANNUAL REPORT

2019 - 2020

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I. Introduction

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

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

Ensuring campus compliance with:

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

Overseeing responses to reports involving:

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

Managing:

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

This report summarizes the key accomplishments of the Compliance and Policy unit during calendar year 2020 and provides an overview of the responses to all complaints filed with the Compliance and Policy unit from July 1, 2019 through June 30, 2020. A detailed list of the following types of reports—sexual harassment, sexual violence, other discrimination and harassment, and hate and bias—is provided in the appendices.

II. Response to Complaints of Misconduct

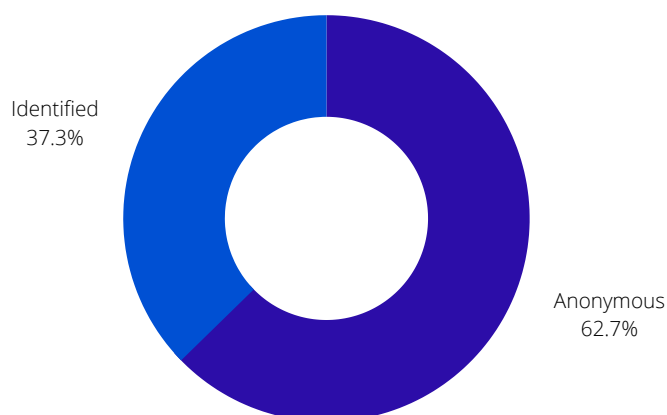
The Compliance and Policy office is responsible for ensuring that the University responds effectively to all reports of sexual violence and sexual harassment, reports of other prohibited forms of discrimination and harassment, civilian complaints against police officers and complaints made under the UC systemwide Whistleblower and Whistleblower Protection Policies. The following sections summarize the applicable complaint resolution processes and provide an overview of the complaints received from July 1, 2019 through June 30, 2020.[1]

A. Whistleblower Reports

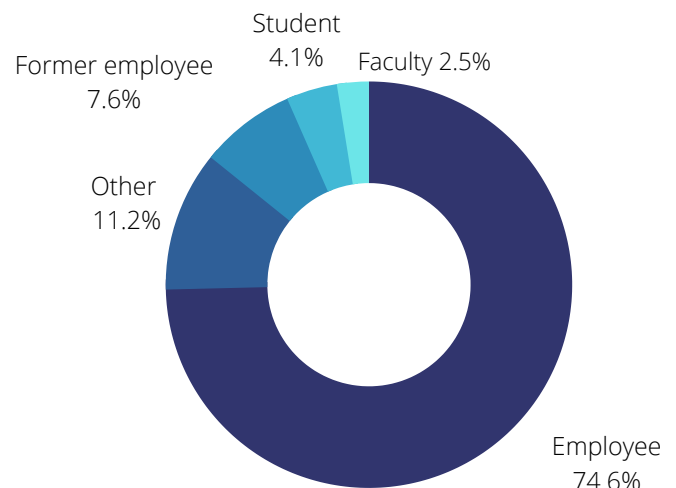
The University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy) governs the reporting and investigation of alleged misconduct by employees at all University locations. A separate Whistleblower Protection Policy establishes procedures for addressing allegations of whistleblower retaliation. UC Davis has a robust process for receiving and responding to whistleblower allegations. UC Davis participates in the systemwide, independently operated whistleblower hotline, which receives whistleblower reports by telephone and on-line on a 24/7 basis. Whistleblower reports also are submitted directly to the Chief Compliance Officer who serves as the UC Davis Locally Designated Official either by the whistleblowers themselves or by University officials who become aware of the allegations. The UC Davis Investigations Workgroup, composed of administrators from UC Davis and UC Davis Health, is responsible for addressing whistleblower reports and meets monthly to coordinate complaint response and resolution. For the 2019-2020 reporting period, UC Davis received 201 whistleblower reports.

The following is a breakdown of complaint sources.

Anonymous v. Identified



Reported Affiliation of Reporter



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

The most often cited categories of whistleblower reports are: 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 2019-20, the University's Whistleblower reports were resolved as follows:

| UC Davis Main Campus | UC Davis Health |
|---|---|
| 80 complaints | 121 complaints |
| 53 investigated (13 substantiated, 40 unsubstantiated) | 63 investigated (18 substantiated, 45 unsubstantiated) |
| 17 referred | 37 referred |
| 1 consultation provided | 7 consultations provided |
| 6 unable to proceed | 4 unable to proceed |
| 3 in process | |

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

- A staff supervisor claimed and received compensation for substantial overtime that he did not work. The employee resigned before the termination became effective.
- A manager spent excessive time during business hours away from work engaged in personal pursuits. The employee was terminated.
- Several staff members developed and implemented a scheme to undercharge each other for University goods at the point of sale. All of the involved employees were dismissed from employment.

[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.

- A faculty member failed to disclose outside employment to the University and granting agencies and misrepresented their affiliation with external entities when confronted by the University. The faculty member resigned prior to the imposition of discipline by the University.

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 2019-20, 12 complaints were submitted to the PAB. In 2 of these cases, there was sufficient information to conduct an investigation and an investigation was completed. In the remaining 10 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 2019-20 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 impacting anyone in the University community, including students, employees, patients and visitors. The office is also responsible for ensuring that the University community receives education regarding the prevention of sexual harassment and sexual violence, as discussed further in the section discussing Title IX compliance efforts.

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

- The Chief Compliance Officer serves as the Title IX Officer/Lead Discrimination Officer and is responsible for coordinating a prompt and equitable response to all reports of prohibited harassment and discrimination.
- Staff members from the Harassment & Discrimination Assistance and Prevention Program (HDAPP) educate members of the UC Davis and UC Davis Health communities about the prevention of all forms of discrimination and harassment and assist individuals and units in resolving conflicts and complaints related to harassment, discrimination, sexual harassment, sexual violence and hate and bias. HDAPP serves as the central office for receiving reports and maintaining records of these types of complaints.

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

In addition to completing extensive training related to handling SVSH matters, the Compliance staff also participate in several diversity related training programs every year to expand our knowledge and enhance our cultural competency. In 2020, Compliance staff participated in the following diversity-related training programs: (1) Addressing the Elephant in the Room, Impact of Race in Investigations; (2) Culturally Inclusive Language; (3) Foundations in LGBTQIA Allyship; (4) Managing Implicit Bias Series; (5) UndocuAlly Program for Educators; (6) Business As Unusual: Talking About Race at Work; (7) Transformative Justice in Education Center/DEI: the 5 Pedagogical Stances: Histories, Race, Justice, Language, Futures; (8) Understanding Microaggression: Towards Greater Diversity Consciousness; (9) Your Role in Workplace Diversity; and (10) Unpacking Oppression.

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[4]. There is an anonymous call line for persons who wish to report by phone without disclosing their identities.[5] There are also two online reporting options, one for filing reports of sexual violence [6] and another for reporting discrimination, hate and bias.[7] Both of the on-line portals provide for anonymous reporting.

Complaints may be filed by complainants, witnesses, other concerned parties, or responsible employees.[8] All University employees (including student employees) who, within the course and scope of their employment, learn about sexual harassment or sexual violence involving students or patients are required to report these incidents to the Title IX Office (via HDAPP). Additionally, certain University officials – managers, supervisors, faculty, coaches, department chairs, human resources coordinators, academic personnel coordinators, and student conduct coordinators – are required to report directly to HDAPP all incidents of sexual violence and sexual harassment and discrimination and harassment involving employees.

[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 2019-20, Compliance investigators conducted 51 formal investigations across all complaint categories.

[4] As of the publication of this report, due to the ongoing pandemic, there is no in person reporting.

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

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

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

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

ii. Case Management Teams (CMTs)

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

Members of the CMTs include the Chief Compliance/Title IX Officer and representatives of HDAPP and may include the RTC and representatives from the Office of Student Support and Judicial Affairs (OSSJA), Academic Affairs (AA), Employee and Labor Relations (ELR), Campus Counsel, Student Affairs, Diversity, Equity and Inclusion (DEI), the UCD Police Department (UCDPD), and the Center for Advocacy, Resources, and Education (CARE). When the report involves allegations of sexual harassment or sexual violence against a patient, we convene an Incident Response Team including several representatives from UC Davis Health. A member of a CMT, generally an HDAPP staff member, will initiate contact with the complainant to obtain additional information, provide information about the complaint resolution process, and refer the complainant to support services. Through discussions with the CMT, we determine the appropriate resolution process and take the steps needed to proceed with that resolution. The CMT tracks all complaints through resolution, ensuring the process moves forward in a timely, fair, and thorough manner.

iii. Resolution Processes

Depending on the nature of the allegations (i.e. whether the allegations on their face, if true, would constitute a violation of policy), the wishes of the complainant, and the needs of the University to ensure the safety of the broader University community, complaints will be resolved through informal resolution strategies, alternative resolution, or formal investigation. Whenever possible and where appropriate, the complainant will be informed when a complaint is resolved and, in some cases, what specific resolution came from their complaint.[9]

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).

[9] 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.

Alternative resolution is a process available to resolve complaints of sexual harassment and sexual violence between students when the complainant does not wish there to be a formal investigation.[10]

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

When a complaint is resolved via a formal investigation, a Compliance investigator [11] 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 [12], the investigator will make findings of fact and a determination of whether University policy was violated.

iv. 2019-20 Harassment and Discrimination Case Statistics[13]

For the 2019-20 year, there were 715 complaints reported.

Figure 1 shows the distribution of complaints according to category. Complaints of discrimination and sexual violence each comprised approximately one-third of the complaints received, with the remaining one-third split between sexual harassment, hate/bias, and other.

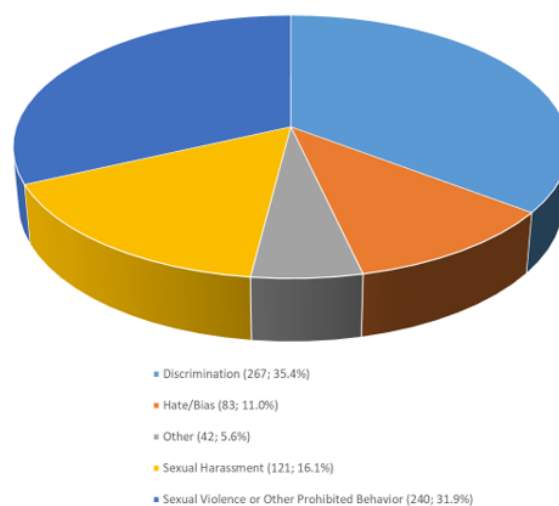


Figure 1. Complaints received by the Title IX/HDAPP Office in 2019-20, separated by complaint category. Values in parentheses indicate total number and percentage of complaints. Some complaints included allegations in more than one of the categories listed above; those complaints were counted multiple times.

[10] There are 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.

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

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

[13] Data represents complaints filed between July 1, 2019 through June 30, 2020.

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 received directly from the Complainant, followed by reports made by responsible employees (30.3%). Complaints alleging sexual harassment were most frequently received from a responsible employee or the Complainant (62.8% and 21.6%, 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 (38.4% and 28.7%, respectively). 15.2% of the allegations of sexual violence or other prohibited behavior were reported to the Title IX Office by the Complainant.

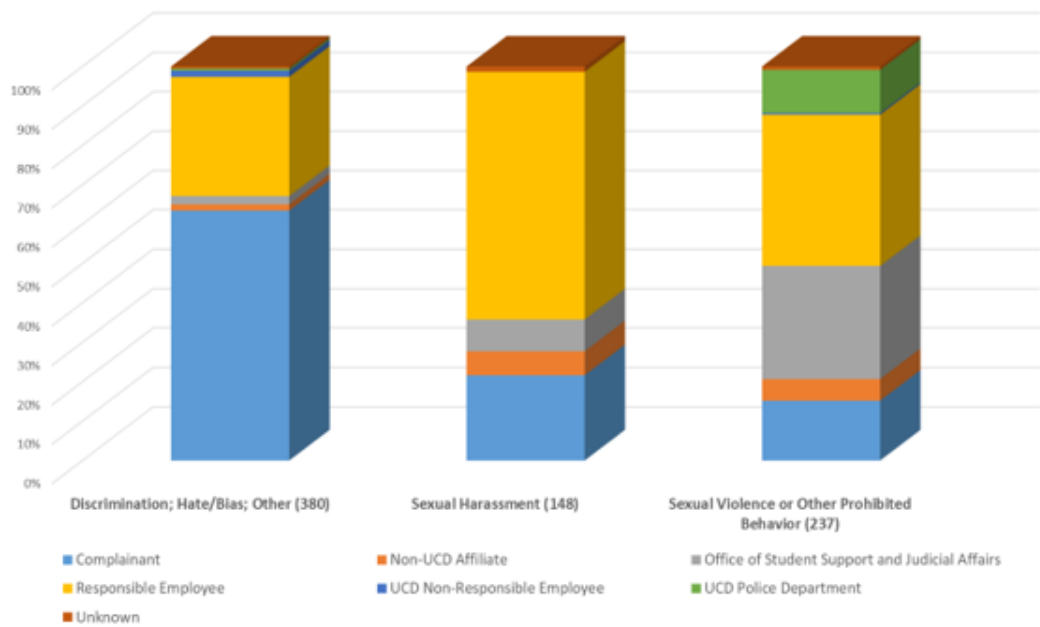


Figure 2. A column chart showing the affiliation of the reporting parties for complaints received by the Title IX/HDAPP Office in 2019-20, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of complaints received for each category. Some complaints included allegations in multiple categories; those complaints were counted multiple times.

Figures 3 and 4 summarize the Complainant and Respondent affiliation for each complaint, sorted by complaint category. UCD staff members were the most frequent Complainants and Respondents in discrimination, hate/bias, and other complaints (44.1% and 43.0%, respectively). Undergraduate students comprised the largest proportion of Complainants for complaints involving sexual harassment and sexual violence or other prohibited behaviors (44.4% and 58.3%). The most frequent affiliations for Respondents in incidents alleging sexual violence or other prohibited behaviors were undergraduate students (21.4%) and unknown (38.1%).

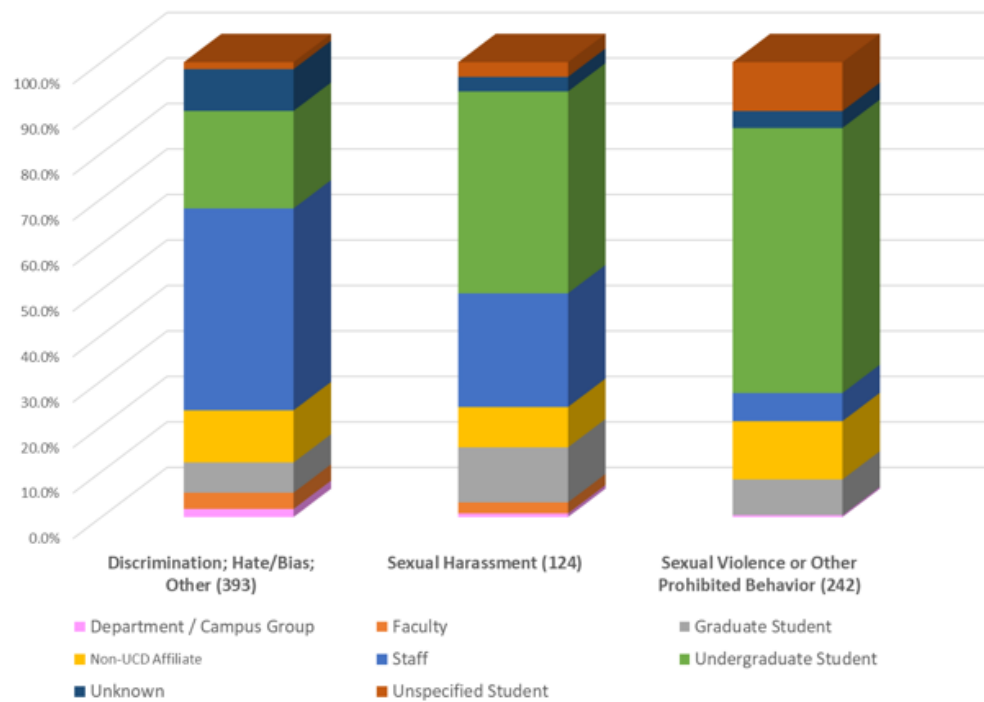


Figure 3. A column chart showing the affiliation of the Complainants for complaints received by the Title IX/HDAPP Office in 2019-20, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Complainants represented in each category. Some complaints included multiple Complainants with different affiliations and were counted multiple times.

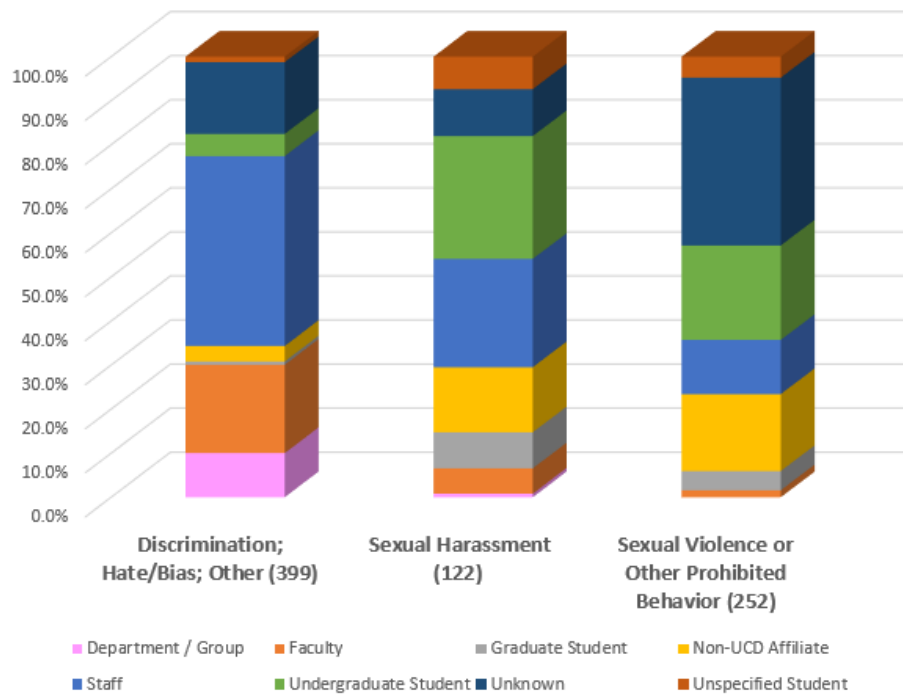


Figure 4. A column chart showing the affiliation of the Respondents for complaints received by the Title IX/HDAPP Office in 2019-20, separated by complaint category. Note that values in columns are percentages. Numbers in parentheses show the number of Respondents represented in each category. Some complaints 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 3 cases, which were resolved via alternative resolution.

Table 1a. Discrimination, Hate/Bias, and Other complaints received in 2019-20, 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 | 8 | 0 |
| Citizenship | 2 | 0 |
| Color | 0 | 0 |
| Disability | 36 | 0 |
| Ethnicity | 1 | 1 |
| Gender | 31 | 1 |
| Gender Identity | 4 | 0 |
| Marital Status | 2 | 0 |
| Medical Condition | 23 | 1 |
| National Origin | 23 | 0 |
| Pregnancy | 6 | 0 |
| Race | 104 | 5 |
| Religion | 12 | 0 |
| Sexual Orientation | 20 | 0 |
| Veteran Status | 2 | 0 |
| Retaliation | 1 | 1 |
| Hate/Bias | 83 | 0 |
| Non-Specific/Other | 72 | 0 |

Table 1b. Sexual harassment, sexual violence and other prohibited behavior complaints received in 2019-20, 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) | 86 | 1 | 15 |
| Sexual Harassment (Quid Pro Quo) | 2 | 0 | 0 |
| Sexual Harassment (Nonspecific) | 22 | 0 | 0 |
| Sexual Assault (Contact) | 21 | 2 | 8 |
| Sexual Assault (Penetration) | 27 | 1 | 5 |
| Sexual Assault (Nonspecific) | 3 | 0 | 0 |
| Relationship Violence | 67 | 0 | 1 |
| Stalking | 30 | 0 | 1 |
| Violating a No Contact Order or other order of exclusion | 0 | 0 | 0 |
| Indecent Exposure | 3 | 0 | 0 |
| Invasion of Sexual Privacy | 9 | 0 | 4 |
| Retaliation | 3 | 0 | 2 |
| SVSH (Nonspecific) | 72 | 0 | 0 |

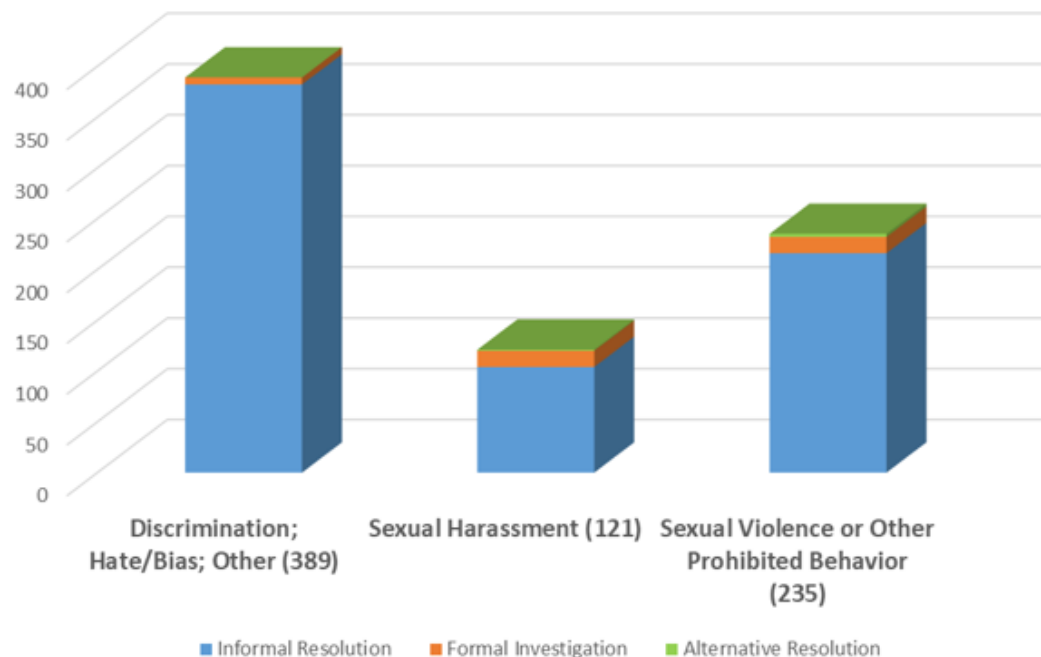


Figure 5. A column chart showing the resolution of complaints received by the Title IX/HDAPP Office in 2019-20, separated by complaint category. Numbers in parentheses show the number of resolutions for each category. Some resolutions included allegations in multiple categories; those resolutions were counted multiple times.

Formal Investigation Outcomes

31 formal investigations were charged in 2019-20. 17 of the formal investigations charged resulted in a finding that some or all of the alleged behavior constituted a policy violation. Tables 2 and 3 summarize the outcomes of formal investigations, separated by complaint category.

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

| Investigation Finding | Discrimination | Sexual Harassment | Sexual Violence or Other Prohibited Behavior |
|-----------------------|----------------|-------------------|--|
| No policy violation | 4 | 5 | 7 |
| Policy violation | 3 | 10 | 9 |

Table 3. A summary of the final disciplinary outcome of complaints resolved via Formal Investigation when discipline was assigned. Complaints that included allegations in multiple categories were counted multiple times.

| Discipline | Discrimination | Sexual Harassment | Sexual Violence or Other Prohibited Behavior |
|---|----------------|-------------------|--|
| Academic Suspension (1-2 years) | 0 | 2 | 4 |
| Employment Suspension (2 – 30 days) | 2 | 2 | 0 |
| Academic Dismissal | 0 | 1 | 1 |
| Deferred Dismissal | 0 | 0 | 2 |
| Employment Termination | 1 | 1 | 0 |
| Respondent Resigned or Retired in Lieu of Termination or Prior to Completion of Investigation | 0 | 2 | 0 |
| Delay of Graduation or Release of Diploma or Transcripts (3-7 years) | 0 | 1 | 2 |
| Letter of Censure | 0 | 1 | 0 |
| Reduction in Pay | 0 | 1 | 0 |
| Loss of Privileges or Appointment | 0 | 1 | 0 |
| No Contact Directive | 0 | 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), and the United States Department of Education Office of Civil Rights (OCR). In 2019-2020, the University received 43 complaints filed with outside agencies. More information about these cases is presented in Appendix 4.

III. Compliance Program Responsibilities

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

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

A. Title IX

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

Sexual Violence and Sexual Harassment Prevention Education

The University is deeply committed to ensuring faculty, staff, graduate and professional students, and undergraduate students are equipped to recognize, prevent, report, and address matters related to sexual violence and sexual harassment. We use a variety of methods and programs to engage the UC Davis community, both on the Davis and Sacramento campuses. This includes in-person, instructor-lead programs, co-facilitated programs in partnership with various units on campus, online programs, and webinars. [14]

[14] Due to the ongoing pandemic, in person trainings converted to virtual trainings delivered via Zoom.

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

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

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

Regarding the Sexual Violence and Sexual Harassment Prevention Education requirement for new students, 9400 undergraduate students who started in Fall 2019 attended one of 21 in-person presentations hosted by CARE. 2400 graduate and professional students who started in Summer or Fall 2019 completed the requirement by attending one of 12 in-person presentations hosted by HDAPP. Live webinars presented by HDAPP and CARE as well as an online course, also created by CARE and HDAPP, were offered as alternatives to new undergraduate and graduate students who could not attend an in-person session. New undergraduate and graduate students who started in Winter or Spring 2020 completed the requirement via the online course.

The mandatory training compliance rate for 2019-20 is:[15]

| | |
|---------------------------------------|-------------|
| Supervisors | 89% |
| Non-supervisors | 89% |
| 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

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

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

Revised Policies and Procedures

In response to regulations issued by the Department of Education that became effective in August 2020, the University made significant changes to its SVSH Policy. UC Davis implemented these changes and updated all practices and procedures to comply with the federal regulations. UC Davis also took steps to implement 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 2020, the committee was co-chaired by the Chief Compliance Officer and the Associate Athletics Director of Compliance. During this time period, the Title IX AAAC monitored facility improvements, reviewed team rosters, conducted trend analyses based on data submitted under the Equity in Athletics Disclosure Act, assessed services provided to athletes, and ensured effective sexual misconduct prevention education was provided to student athletes, coaches and administrators.

B. Americans With Disabilities Act (ADA)

Making University programs and facilities accessible to students, staff, faculty, and the public is a shared responsibility accomplished through the work of many individuals and departments. The Chief Compliance Officer serves as the ADA Coordinator for the UC Davis campus. In this capacity, the Compliance & Policy unit helps to coordinate accessibility needs and receives reports regarding disability access issues and concerns. Reports received during the relevant period related to academic accommodations, employment accommodations and physical accessibility. These reports were resolved by working with a variety of campus partners including Employee and Labor Relations, Disability Management Services, the Student Disability Center, 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 2020, the Committee provided funds to increase the number of automatic door

operators throughout campus, improve restroom accessibility in several buildings, and perform surveys to review additional areas where accessibility improvements could be made. The Compliance unit also maintains a one-stop website for disability resources. [16]

C. Affirmative Action

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

D. Clery Act

The Clery Coordinator works with campus partners, including the UC Davis Police and Fire Departments, the Office of Student Support and Judicial Affairs, Student Housing and Dining Services, Emergency Management and Mission Continuity, and Human Resources to develop and publish the Annual Security and Fire Safety Report (ASFSR), which includes campus crime statistics and other important safety information. The 2020 ASFSR was issued on December 15, 2020 and is available by request or via the UC Davis Clery Act website[17]. The 2020 ASFSR included significant updates to accommodate the new Title IX regulations issued by the Department of Education, the subsequent changes to the UC Sexual Violence and Sexual Harassment Policy, and additional information regarding fire safety equipment and procedures in campus student residential facilities.

In addition to publishing the ASFSR, the Clery Coordinator worked with the Office of Emergency Management and Mission Continuity to revise campus policies regarding emergency communications during the initial and ongoing stages of the campus' response to the novel coronavirus. The Coordinator also increased stakeholder involvement and education by reinstating quarterly Clery Committee Meetings and initiating membership with the Clery Center and the National Association for Clery Compliance Officers and Professionals (NACCOP), which provide relevant training opportunities throughout the year.

E. Privacy

During the relevant time period, the Privacy Officer managed several privacy and cybersecurity incidents in coordination with IET; reviewed and advised on numerous

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

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

vendor risk assessments and contracts; engaged in substantial consultation regarding privacy issues, enhanced awareness about privacy issues, and served on committees to represent the privacy perspective. Some key deliverables during 2020 included:

- Providing education and outreach to faculty regarding remote teaching, Zoom privacy and security, and remote proctoring issues.
- Advising regarding privacy issues related to COVID-19, including appropriate handling of employee reports of positive COVID tests and implementation of symptom surveys.
- In collaboration with IET, developing a breach incident response plan.
- Delivering privacy training to campus units.

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.

During 2020, the Policy Office implemented a policy equity review process to help shape the outcome of new and updated policies. Through the equity review process, we consider the impact policy has on under-served and marginalized individuals/groups to enhance policy effectiveness, broaden engagement, and strengthen policy impact in support of the UC Davis Diversity and Inclusion Strategic Vision and the Principles of Community.

In December 2020, there were a total of 229 policies. Policies must be reviewed every four years to ensure accuracy and continuing applicability. The number of policies on the update list and those that were overdue for update held steady from the previous year (40 policies (17%) were on the update list, 29 policies (13%) were overdue for update). The Policy Office continues to conduct regular outreach to each administrative unit by providing update lists, training, and resources to assist in policy development and update. The Campus Policy Coordinator also participates on committees charged to develop key policies. The following policies were newly developed or substantially revised in 2020 in response to the pandemic:

- PPM 290-01, Interim Public Health Policy-Interim section implemented physical and behavioral standards applicable to all campus affiliates and non-affiliates for UC Davis to mitigate the risk of spread of COVID-19. It set forth public health requirements, including the use of face coverings and physical distancing. The section is subject to

frequent changes with the introduction of additional public health guidelines from local, state and federal authorities. Screening process requirements were updated to include the University's COVID-19 testing program, which outlined consequences for noncompliance; clarified obligations for non-affiliates; and identified responsibilities for enforcement.

- PPM 280-15, Compulsory Campus-Based Student Fees and Referendum Elections - Interim policy section issued to reduce mandatory campus based fees due to COVID-19.
- Interim PPSM 21, Selection and Appointments – Provided for the temporary modification of criminal background check report requirements due to closure of courts and other government offices related to COVID-19.

G. Other Compliance Coordination and Oversight

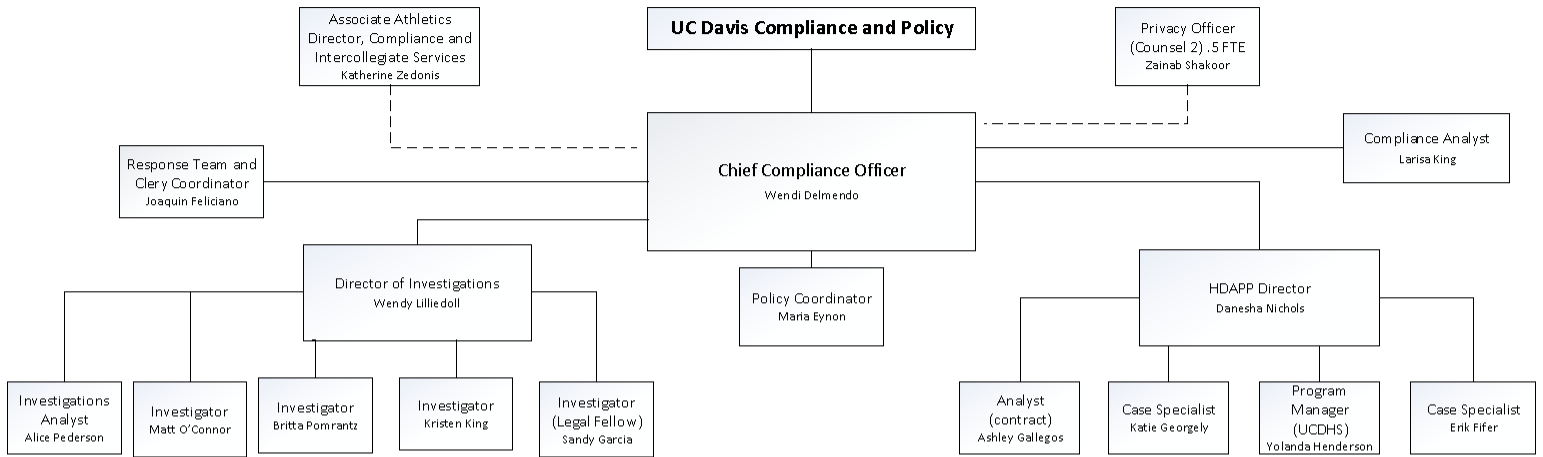
- Audit, Compliance, Ethics, and Risk Committee (ACERC): The ACERC is a coordinating and decision-making body responsible to the Chancellor that is charged to promote a culture that encourages all employees to conduct University business in an ethical and compliant manner and to provide executive-level 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 recent employee frauds, the University implemented a Fraud Risk Management Program. A new Fraud Risk Management Policy became effective in December 2019 and a website and training materials were released in early 2020. Compliance oversees the Fraud Risk Management Program.
- Section 117 of the Higher Education Act (HEA): Compliance coordinates the University's obligation to report funds received from foreign sources under Section 117 of the HEA. Other offices involved in this work include Financial Aid, Office of Research, DEVAR, UC Davis Health, Procurement, Real Estate Services and Global Affairs.
- NCAA Compliance Partnership: There is a dotted line reporting relationship between the Associate Athletics Director of Compliance and the Chief Compliance Officer. Additionally, Compliance supports Athletics Compliance by partnering on developing compliance-related training and conducting student athlete credential reviews.

IV. Staff List and Organizational Chart

Compliance and Policy Staff

- **Wendi Delmendo**, Chief Compliance Officer; (530) 752-9466; wjdelmendo@ucdavis.edu
- **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**, 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
- **Sandy Garcia**, Compliance Legal Fellow; sdygarcia@ucdavis.edu
- **Zainab Shakoor**, Privacy Officer; zshakoor@ucdavis.edu
- **Danésha 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 Organizational Chart



As of 3/9/21

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 nor 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 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---------------------------|----------------------------------|------------------------------|--------------------|---|--|
| Davis | Staff | Staff | Complainant | Discrimination | Disability; Veteran Status | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | National Origin; Race | Resources provided; Insufficient information for further review |
| Davis | Multiple Faculty | Department / Campus Group | Complainant | Discrimination | Citizenship; Race; Religion; Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Complainant | Discrimination | Gender; Race; Veteran Status | Resources provided; Complainant's request met |
| Davis | Graduate Student | Staff; Department / Campus Group | Responsible Employee | Discrimination | Race | Resources provided; Complainant's request met; Documented Discussion and Summary Letter for Staff Respondent; Education for Department |
| Davis | Department / Campus Group | Unknown | Complainant | Discrimination | Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Complainant | Discrimination | Gender; Religion | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Department / Campus Group | Responsible Employee | Discrimination | Gender | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Faculty | UCD Non-Responsible Employee | Discrimination | Disability | Resources provided; Complainant's request met |
| Davis | Staff | Staff | Responsible Employee | Discrimination | National Origin; Race | Resources provided; Insufficient information for further review; Referred to Employee and Labor Relations |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Department / Campus Group | Staff | Complainant | Discrimination | National Origin | Resources provided; Preliminary review-no evidence of policy violation; Complaint withdrawn |
| Davis | Staff | Staff | Responsible Employee | Discrimination | National Origin | Resources provided; Respondent no longer affiliated with UC Davis |
| Davis | Multiple Staff | Unknown | Responsible Employee | Discrimination | Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | National Origin; Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unknown | Unknown | Complainant | Discrimination | Race | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|----------------------------------|--|--------------------|-------------------------------------|--|
| Davis | Staff | Unknown | Complainant | Discrimination | Gender Identity; Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Complainant | Discrimination | Race; Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Education for Respondent |
| Davis | Graduate Student | Multiple Faculty; Multiple Staff | Responsible Employee | Discrimination | Gender; Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Multiple Faculty | Responsible Employee | Discrimination | Race; Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Gender; Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Faculty; Staff | UCD Non-Responsible Employee | Discrimination | National Origin | Resources provided; Documented Discussion and Summary Letter |
| Davis | Graduate Student | Faculty | Responsible Employee | Discrimination | Pregnancy | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Faculty | Responsible Employee | Discrimination | National Origin | Resources provided; Documented Discussion and Summary Letter |
| Davis | Anonymous Staff | Staff | Complainant | Discrimination | Race | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Unknown | Non-UCD Affiliate | Discrimination | National Origin | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Gender | Resources provided; Insufficient information for further review |
| Davis | Staff | Multiple Staff | Responsible Employee | Discrimination | Gender; Race | Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Department / Campus Group | Complainant | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Discrimination | Gender | Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Office of Student Support and Judicial Affairs | Discrimination | Race; Religion | Resources provided; Education for Respondent |
| Davis | Non-UCD Affiliate | Unknown Staff | Complainant | Discrimination | Race | Insufficient information for further review |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|--------------------------------------|--|--------------------|------------------------------------|---|
| Davis | Staff | Faculty; Staff | Complainant | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Religion | Insufficient information to provide resources; Education for Respondent |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Disability | Resources provided; Complainant's request met |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Gender | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Department / Campus Group | Complainant | Discrimination | Age; Race; Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Multiple Staff | Graduate Student | Responsible Employee | Discrimination | Gender; Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Discrimination | Citizenship; National Origin; Race | Insufficient information for further review |
| Davis | Graduate Student | Staff | Complainant | Discrimination | Religion | Resources provided; Complainant's request met |
| Davis | Staff | Department / Campus Group | Responsible Employee | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Multiple Departments / Campus Groups | Responsible Employee | Discrimination | Disability | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Staff; Department / Campus Group | 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 | National Origin | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Faculty | Responsible Employee | Discrimination | Race | Preliminary review-no evidence of policy violation |
| Davis | Graduate Student | Faculty | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Discrimination | National Origin | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Faculty | Unknown | Complainant | Discrimination | Sexual Orientation | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown | Complainant | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Faculty | Office of Student Support and Judicial Affairs | Discrimination | Race | Resources provided; Complainant's request met |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------------|---------------------------|--|--------------------|-------------------------|---|
| Davis | Staff | Staff | Office of Student Support and Judicial Affairs | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Department / Campus Group | Office of Student Support and Judicial Affairs | Discrimination | Medical Condition | Resources provided; Education for Department / Campus Group |
| Davis | Staff | Staff | Complainant | Discrimination | National Origin | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Department / Campus Group | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Staff | Complainant | Discrimination | Disability | Resources provided; Complainant's request met |
| Davis | Unknown | Non-UCD Affiliate | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Staff | Office of Student Support and Judicial Affairs | Discrimination | National Origin; Race | Resources provided; Insufficient information for further review |
| Davis | Faculty | Department / Campus Group | Complainant | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Multiple Staff | Complainant | Discrimination | Religion | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Multiple Unspecified Students | Unknown | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Graduate Student | Faculty | Office of Student Support and Judicial Affairs | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Department / Campus Group | Complainant | Discrimination | Disability; Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Multiple Staff | Responsible Employee | Discrimination | National Origin; Race | Resources provided; Preliminary review-no evidence of policy violation; Complainant's request met |
| Davis | Unknown | Unknown | Complainant | Discrimination | Race | Insufficient information to provide resources; Referred to Facilities |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---------------------------------|--------------------------------------|----------------------|--------------------|--------------------------------|---|
| Davis | Graduate Student | Faculty | Responsible Employee | Discrimination | Disability; Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Multiple Faculty | Responsible Employee | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Staff | Complainant | Discrimination | Medical Condition | Preliminary review-no evidence of policy violation |
| Davis | Multiple Staff | Multiple Departments / Campus Groups | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Discrimination | Religion | Resources provided; Education for Department / Campus Group; Referred to Facilities |
| Davis | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Staff | Complainant | Discrimination | Medical Condition | Preliminary review-no evidence of policy violation |
| Davis | Graduate Student | Faculty | Complainant | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Multiple Undergraduate Students | Non-UCD Affiliate | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Unknown | Staff | Complainant | Discrimination | National Origin | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Unknown | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Department / Campus Group | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Complainant | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unspecified Student | Staff | Complainant | Discrimination | National Origin | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Staff | Department / Campus Group | Responsible Employee | Discrimination | National Origin; Race | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Complainant | Discrimination | Pregnancy | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Discrimination | Pregnancy | Resources provided; Complainant's request met |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|---------------------------|----------------------|--------------------|--------------------|---|
| Davis | Staff | Multiple Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Anonymous Staff | Unknown | Responsible Employee | Discrimination | Disability | Insufficient information to provide resources or for further review |
| Davis | Graduate Student | Department / Campus Group | Responsible Employee | Discrimination | Age | Resources provided; Insufficient information for further review |
| Davis | Staff | Faculty | Responsible Employee | Discrimination | Gender Identity | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Staff | Responsible Employee | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Multiple Staff | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Department / Campus Group | Responsible Employee | Discrimination | Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Multiple Faculty | Multiple Faculty | Responsible Employee | Discrimination | Gender | Resources provided; Documented Discussion for 1 Respondent; Education for 1 Respondent |
| Davis | Staff | Multiple Staff | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review for one Respondent; Documented Discussion and Summary Letter for one Respondent |
| Davis | Unknown | Undergraduate Student | Complainant | Discrimination | Gender | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Multiple Staff | Multiple Staff | Non-UCD Affiliate | Discrimination | Disability | Resources provided; Insufficient information for further review for one Respondent; Documented Discussion and Summary Letter for one Respondent |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Department / Campus Group | Complainant | Discrimination | Nonspecific | Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown Faculty | Responsible Employee | Discrimination | Gender | 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 Office in 2019-20 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 | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Graduate Student | Department / Campus Group | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Discrimination | Sexual Orientation | Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Department / Campus Group | Complainant | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | National Origin | Resources provided; Complainant's request met |
| Davis | Unknown | Faculty | Complainant | Discrimination | Gender Identity | Insufficient information to provide resources or for further review |
| Davis | Unknown | Multiple Staff | Complainant | Discrimination | Race | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Non-UCD Affiliate | Department / Campus Group | Complainant | Discrimination | Religion | Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Nonspecific | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Race | Resources provided; Not within scope of HDAPP's policies |
| Davis | Non-UCD Affiliate | Undergraduate Student | Complainant | Discrimination | Race | Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Anonymous Unspecified Student | Unknown | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown Faculty | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Unknown Faculty | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Faculty | Department / Campus Group | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Department / Campus Group | Complainant | Discrimination | Medical Condition | 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 Office in 2019-20 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 | Graduate Student | Department / Campus Group | Complainant | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Unknown | Complainant | Discrimination | Race | Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | UCD Non-Responsible Employee | Discrimination | National Origin | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Multiple Faculty | Complainant | Discrimination | Gender Identity; Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Department / Campus Group | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Multiple Undergraduate Students | Faculty | Responsible Employee | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Multiple Staff | Complainant | Discrimination | Age | Insufficient information for further review for one Respondent; Documented Discussion and Summary Letter for one Respondent |
| Davis | Undergraduate Student | Graduate Student | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Undergraduate Students | Faculty | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Undergraduate Students | Faculty | Responsible Employee | Discrimination | Disability | Resources provided; Documented Discussion and Summary Letter |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Gender; Marital Status | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Multiple Faculty | Non-UCD Affiliate | Discrimination | Medical Condition | Pending |
| Davis | Faculty | Faculty | Complainant | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Faculty | Faculty | Responsible Employee | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Staff | Responsible Employee | Discrimination | Retaliation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Department / Campus Group | Complainant | Discrimination | Nonspecific | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Race | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------------|------------------------|----------------------|--------------------|---------------------------|--|
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Gender; Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Discrimination | Race | Education for Respondent |
| Davis | Undergraduate Student | Multiple Staff | Complainant | Discrimination | Disability; Race | Resources provided; Preliminary review-no evidence of policy violation; Not within scope of HDAPP's policies |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Anonymous Unspecified Student | Staff | Complainant | Discrimination | Nonspecific | Insufficient information to provide resources or for further review |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Medical Condition | Resources provided; Complaint withdrawn |
| Davis | Graduate Student | Faculty | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Staff | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unspecified Student | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Faculty | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Staff | Multiple Staff | Complainant | Discrimination | Race; Gender | Pending |
| Davis | Graduate Student | Unknown | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Staff | Responsible Employee | Discrimination | Race | Insufficient information to provide resources or for further review |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|---------------------------|------------------------------|--------------------|--|--|
| Health System | Non-UCD Affiliate | Department / Campus Group | Complainant | Discrimination | Disability | Resources provided; ADA compliant signage installed |
| Health System | Staff | Staff | Complainant | Discrimination | Disability | Resources provided; Insufficient information for further review |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Anonymous Staff | Non-UCD Affiliate | Complainant | Discrimination | Race; National Origin | Insufficient information to provide resources or for further review |
| Health System | Anonymous Staff | Staff | Complainant | Discrimination | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Health System | Graduate Student | Multiple Faculty | Complainant | Discrimination | Disability-Failure to Accommodate; Race; Ethnicity | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Faculty | Faculty | Complainant | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Faculty | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation; Education for Department / Campus Group |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Employee and Labor Relations | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Multiple Staff | Staff | Complainant | Discrimination | Gender; Race | Resources provided; Preliminary review-no evidence of policy violation; Education for Respondent |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Department / Campus Group | Responsible Employee | Discrimination | Disability | Resources provided; Preliminary review-no evidence of policy violation; Education for Department / Campus Group |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Non-UCD Affiliate | Complainant | Discrimination | Race | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|---------------------------|----------------------|--------------------|-------------------------|---|
| Health System | Staff | Multiple Unknown Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Insufficient information for further review |
| Health System | Multiple Staff | Faculty | Responsible Employee | Discrimination | Gender | Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Complainant | Discrimination | Gender | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Department / Campus Group | Non-UCD Affiliate | Discrimination | Race | Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Age | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Education for Department / Campus Group |
| Health System | Staff | Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Department / Campus Group | Complainant | Discrimination | Medical Condition | Complainant's request met |
| Health System | Anonymous Staff | Multiple Staff | Complainant | Discrimination | Nonspecific | Insufficient information to provide resources; Education for Respondents |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Medical Condition; Race | Resources provided; Complainant's request met |
| Health System | Staff | Staff | Complainant | Discrimination | Race; National Origin | Resources provided; Documented Discussion and Summary Letter |
| Health System | Non-UCD Affiliate | Staff | Complainant | Discrimination | Nonspecific | Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Nonspecific; Race | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Non-UCD Affiliate | Responsible Employee | Discrimination | Race | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|---------------------------------|---------------------------|------------------------------|--------------------|-----------------------------------|--|
| Health System | Unknown | Department / Campus Group | Complainant | Discrimination | Gender | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Health System | Faculty | Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Department / Campus Group | Complainant | Discrimination | Disability-Failure to Accommodate | Complainant's request met |
| Health System | Staff | Faculty; Staff | Complainant | Discrimination | Age | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Age | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Graduate Student | Faculty | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Non-UCD Affiliate | Department / Campus Group | Responsible Employee | Discrimination | Race | Complainant's request met |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Race; Marital Status; Disability | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Multiple Anonymous Staff | Department / Campus Group | Complainant | Discrimination | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Complainant's request met; Education for Respondent |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Insufficient information for further review; Respondent no longer affiliated with UC Davis |
| Davis | Multiple Undergraduate Students | Undergraduate Student | UCD Police Department | Discrimination | National Origin | Resources provided; Suspension for other misconduct |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Unknown | Employee and Labor Relations | Discrimination | Medical Condition | Resources provided; Insufficient information for further review |
| Health System | Unknown | Staff | Complainant | Discrimination | Religion | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Referred to Disability Management Services |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|------------------------------|--------------------|-----------------------|---|
| Health System | Staff | Staff | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Gender | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Employee and Labor Relations | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Pregnancy | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Sexual Orientation | Resources provided; Documented Discussion and Summary Letter |
| Health System | Non-UCD Affiliate | Staff; Unknown Staff | Complainant | Discrimination | Sexual Orientation | Insufficient information for further review; Referred to Patient Relations |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Pregnancy | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Race; National Origin | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Sexual Orientation | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Gender | Resources provided; Verbal Counseling |
| Health System | Non-UCD Affiliate | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Medical Condition | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Gender | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation; Education for Department / Campus Group |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Pregnancy | Resources provided; Education for both Respondents |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|------------------------------|--------------------|--------------------|--|
| Health System | Non-UCD Affiliate | Staff | Complainant | Discrimination | Race | Preliminary review-no evidence of policy violation; Education for Department / Campus Group; Respondent no longer affiliated with the University |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Religion | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Disability | Resources provided; Documented Discussion and Summary Letter for both Respondents |
| Health System | Staff | Staff | Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Unknown Staff | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation; Education for Respondent |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Employee and Labor Relations | Discrimination | Age | Resources provided; Documented Discussion and Summary Letter |
| Health System | Non-UCD Affiliate | Unknown | Complainant | Discrimination | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Complainant | Discrimination | Disability | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Unknown | Faculty | Complainant | Discrimination | Race | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | UCD Non-Responsible Employee | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Staff | Complainant | Discrimination | Race | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Unknown | Complainant | Discrimination | Medical Condition | Resources provided; Preliminary review-no evidence of policy violation; Education for Department / Campus Group |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|---------------------------------|--|----------------------|--|---|--|
| Health System | Staff | Multiple Staff | Complainant | Discrimination | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Responsible Employee | Discrimination; Hate / Bias | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Non-UCD Affiliate; Department / Campus Group | Complainant | Discrimination; Other | Race; Other | Resources provided; Sanctions for Department / Campus Group |
| Davis | Undergraduate Student | Unspecified Student | Responsible Employee | Discrimination; Sexual Harassment | Sexual Orientation; Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Discrimination; Sexual Harassment | Race; Hostile Environment | Resources provided; Education for Respondent; Complainants' request met |
| Davis | Staff | Staff | Complainant | Discrimination; Sexual Harassment | Religion; Nonspecific | Resources provided; Complaint withdrawn |
| Davis | Staff | Staff | Complainant | Discrimination; Sexual Harassment | Gender; Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Graduate Students | Graduate Student | Responsible Employee | Discrimination; Sexual Harassment | Nonspecific; Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Non-UCD Affiliate | Complainant | Discrimination; Sexual Harassment | Sexual Orientation; Hostile Environment | Resources provided |
| Davis | Multiple Staff | Staff | Responsible Employee | Discrimination; Sexual Harassment | Gender; Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Campus Recreation |
| Davis | Unspecified Student | Multiple Unknown | Complainant | Discrimination; Sexual Violence or Other Prohibited Behavior | Race | Resources provided; Insufficient information for further review |
| Davis | Faculty | Unknown | Responsible Employee | Hate / Bias | Religion | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Department / Campus Group | Unknown | Complainant | Hate / Bias | Sexual Orientation | Resources provided; Insufficient information for further review |
| Davis | Anonymous Unspecified Student | Faculty | Complainant | Hate / Bias | Nonspecific | Insufficient information to provide resources or for further review |
| Davis | Non-UCD Affiliate | Undergraduate Student | Complainant | Hate / Bias | Race | Preliminary review-no evidence of policy violation |
| Davis | Anonymous Staff | Staff | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Unknown | Unknown | Responsible Employee | Hate / Bias | Religion | Insufficient information to provide resources; Referred to Facilities |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|------------------------------|---------------------------------------|----------------------|--------------------|--------------------|---|
| Davis | Faculty | Unknown | Complainant | Hate / Bias | National Origin | Resources provided; Referred to Facilities |
| Davis | Staff | Unknown | Complainant | Hate / Bias | National Origin | Resources provided; Referred to Facilities |
| Davis | Staff | Unknown | Complainant | Hate / Bias | National Origin | Resources provided; Insufficient information for further review |
| Davis | Unknown | Staff | Responsible Employee | Hate / Bias | Religion | Insufficient information to provide resources; Education for Respondent |
| Davis | Undergraduate Student; Staff | Unknown | Responsible Employee | Hate / Bias | Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Unknown | Complainant | Hate / Bias | Race | Preliminary review-no evidence of policy violation |
| Davis | Unknown | Multiple Unknown Unspecified Students | Unknown | Hate / Bias | Race | Insufficient information to provide resources or for further review |
| Davis | Unknown | Undergraduate Student | Responsible Employee | Hate / Bias | Sexual Orientation | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown | Complainant | Hate / Bias | Religion | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources; Referred to Facilities |
| Davis | Non-UCD Affiliate | Unknown | Complainant | Hate / Bias | National Origin | Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Faculty | Complainant | Hate / Bias | Race | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Unknown | Complainant | Hate / Bias | National Origin | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Hate / Bias | Race | Resources provided; Insufficient information for further review |
| Davis | Unknown | Department / Campus Group | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources or for further review |
| Davis | Unknown | Department / Campus Group | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources or for further review |
| Davis | Unknown | Unknown | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources or for further review |
| Davis | Staff | Unknown | Complainant | Hate / Bias | Race | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Hate / Bias | Race | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|--------------------------------|---------------------------|-----------------------|--------------------|--|--|
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Hate / Bias | Sexual Orientation | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown | UCD Police Department | Hate / Bias | Race | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Staff; Unknown | Complainant | Hate / Bias | Religion | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Staff | Undergraduate Student | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Department / Campus Group | Unknown | Complainant | Hate / Bias | Sexual Orientation; Gender; Gender Identity; Sex | Insufficient information for further review |
| Davis | Staff | Non-UCD Affiliate | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Hate / Bias | Race; Religion | Documented Discussion and Summary Letter |
| Davis | Undergraduate Student; Unknown | Department / Campus Group | Complainant | Hate / Bias | Religion | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown | Complainant | Hate / Bias | National Origin | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation; No Contact Directive issued |
| Davis | Staff | Faculty | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Davis | Staff | Faculty | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Undergraduate Student | Complainant | Hate / Bias | Other | Referred to UCD Police Department |
| Davis | Staff | Unknown | Responsible Employee | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Anonymous Staff | Staff | Complainant | Hate / Bias | Other | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Undergraduate Student | Complainant | Hate / Bias | Nonspecific | Insufficient information to provide resources or for further review |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|--|---------------------------|----------------------|--------------------|-------------------------------------|---|
| Davis | Multiple Undergraduate Students; Multiple Non-UCD Affiliates | Unknown | Responsible Employee | Hate / Bias | Race | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Department / Campus Group | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation; Not within scope of HDAPP's policies |
| Davis | Staff | Unknown | Complainant | Hate / Bias | Ethnicity | Resources provided; Referred to Facilities |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Hate / Bias | Other | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Undergraduate Student | Responsible Employee | Hate / Bias | National Origin; Sexual Orientation | Preliminary review-no evidence of policy violation |
| Davis | Unknown | Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Unknown | Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Unknown | Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Unknown | Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Unknown | Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Unknown | Unknown Faculty | Complainant | Hate / Bias | Race | Insufficient information to provide resources or for further review |
| Davis | Faculty | Unknown | Complainant | Hate / Bias | Race | Referred to UCD Police Department and IT |
| Davis | Non-UCD Affiliate | Staff | Complainant | Hate / Bias | Race | Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Multiple Faculty | Faculty | Complainant | Hate / Bias | Race | Resources provided; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Multiple Staff | Staff | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation; Not within scope of HDAPP's policies |
| Davis | Staff | Unknown | Complainant | Hate / Bias | Ethnicity | Referred to Facilities |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|---------------------------------|-----------------------------|----------------------|--------------------|------------------------------|---|
| Davis | Unknown | Unknown | Complainant | Hate / Bias | Other | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Unknown | Complainant | Hate / Bias | Other | Resources provided; Insufficient information for further review |
| Davis | Faculty | Unknown | Responsible Employee | Hate / Bias | Race | Resources provided; Insufficient information for further review |
| Davis | Staff | Unknown | Responsible Employee | Hate / Bias | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Hate / Bias | Other | Education for Respondent |
| Davis | Anonymous Undergraduate Student | Faculty | Responsible Employee | Hate / Bias | Race | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Education campaign across campus |
| Davis | Graduate Student | Unknown | Complainant | Hate / Bias | Race | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Staff | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Multiple Unknown Staff | Complainant | Hate / Bias | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of the Ombuds |
| Health System | Multiple Staff | Non-UCD Affiliate | Complainant | Hate / Bias | Race | Resources provided; Education for Department / Campus Group |
| Health System | Multiple Anonymous Staff | Multiple Staff | Complainant | Hate / Bias | Race | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Health System | Multiple Staff | Multiple Non-UCD Affiliates | Responsible Employee | Hate / Bias | Race | Resources provided |
| Davis | Department / Campus Group | Unknown | Complainant | Hate / Bias | Religion; Sexual Orientation | Insufficient information for further review |
| Davis | Department / Campus Group | Unknown | Complainant | Hate / Bias | Sexual Orientation | Complainant's request met |
| Health System | Staff | Unknown Staff | Complainant | Hate / Bias | Other | Resources provided; Insufficient information for further review; Referred to Employee and Labor Relations |
| Health System | Unknown | Staff | Complainant | Hate / Bias | Other | Insufficient information to provide resources; Referred to Employee and Labor Relations |
| Health System | Staff | Unknown Staff | Responsible Employee | Hate / Bias | Religion | Resources provided; Complainant's request met |
| Health System | Staff | Unknown | Responsible Employee | Hate / Bias | Race | Resources provided; Education for Department / Campus Group |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---|---------------------------|--|---|-------------------------------|---|
| Davis | Multiple Undergraduate Students | Undergraduate Student | Office of Student Support and Judicial Affairs | Hate / Bias; Sexual Harassment | Other; Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Hate / Bias; Sexual Harassment | Other; Hostile Environment | Preliminary review-no evidence of policy violation |
| Davis | Multiple Anonymous Undergraduate Students | Non-UCD Affiliate | Responsible Employee | Hate / Bias; Sexual Harassment | Other; Hostile Environment | Insufficient information to provide resources; Respondent no longer affiliated with UC Davis |
| Davis | Non-UCD Affiliate | Non-UCD Affiliate | Non-UCD Affiliate | Hate / Bias; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Stalking | Resources provided |
| Davis | Undergraduate Student | Staff | Complainant | Other | Other | Complaint withdrawn |
| Davis | Staff | Unknown | Complainant | Other | Other | Resources provided; Insufficient information for further review |
| Davis | Staff | Faculty | Responsible Employee | Other | Other | Referred to Academic Affairs |
| Davis | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Davis | Anonymous Unspecified Student | Faculty | Complainant | Other | Other | Insufficient information to provide resources or for further review |
| Davis | Department / Campus Group | Department / Campus Group | Responsible Employee | Other | Other | Education for Department; Departmental DEI committee created; New protocols created to address equity and inclusion |
| Davis | Undergraduate Student | Multiple Faculty | Responsible Employee | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Academic Affairs |
| Davis | Undergraduate Student | Faculty | Responsible Employee | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Academic Affairs |
| Davis | Undergraduate Student | Faculty | Complainant | Other | Other | Resources provided; Not within scope of HDAPP's policies |
| Davis | Undergraduate Student | Faculty | Complainant | Other | Other | Resources provided; Not within scope of HDAPP's policies |
| Davis | Multiple Staff | Staff | Responsible Employee | Other | Other | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|---|-----------------------------|------------------------------|--------------------|--------------------|--|
| Davis | Multiple Staff | Unknown | Complainant | Other | Other | Resources provided |
| Davis | Non-UCD Affiliate | Undergraduate Student | UCD Non-Responsible Employee | Other | Other | Insufficient information to provide resources; Referred to Student Affairs |
| Davis | Undergraduate Student | Unknown Unspecified Student | Responsible Employee | Other | Other | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Undergraduate Student | Complainant | Other | Other | Resources provided |
| Davis | Multiple Anonymous Undergraduate Students | Faculty | Responsible Employee | Other | Other | Insufficient information to provide resources; Preliminary review-no evidence of policy violation |
| Davis | Unknown | Unknown Unspecified Student | Complainant | Other | Other | Insufficient information to provide resources or for further review |
| Davis | Staff | Unknown | Complainant | Other | Other | Resources provided; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Faculty | Complainant | Other | Other | Resources provided; Not within scope of HDAPP's policies |
| Davis | Staff | Unknown | Responsible Employee | Other | Other | Resources provided; Insufficient information for further review |
| Davis | Multiple Undergraduate Students | Non-UCD Affiliate | Complainant | Other | Other | Resources provided; Complainant's request met |
| Health System | Staff | Multiple Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Multiple Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Anonymous Staff | Multiple Staff | Complainant | Other | Other | Insufficient information to provide resources; Referred to Employee and Labor Relations |
| Health System | Anonymous Staff | Unknown Staff | Complainant | Other | Other | Insufficient information to provide resources or for further review |
| Health System | Staff | Faculty; Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Other | Other | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|------------------------------|---|--------------------|---|
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Disability Management Services |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Multiple Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Responsible Employee | Other | Other | Referred to Employee and Labor Relations |
| Health System | Anonymous Staff | Staff | Complainant | Other | Other | Insufficient information to provide resources; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Responsible Employee | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations; Suspension for other misconduct |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Union |
| Health System | Staff | Staff | Complainant | Other | Other | Resources provided; Preliminary review-no evidence of policy violation; Referred to Employee and Labor Relations |
| Davis | Non-UCD Affiliate | Non-UCD Affiliate | Non-UCD Affiliate | Other; Sexual Harassment | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Staff | UCD Non-Responsible Employee | Other; Sexual Violence or Other Prohibited Behavior | Other; Retaliation | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---|--|----------------------|--------------------|-----------------------------------|--|
| Davis | Graduate Student | Multiple Graduate Students; Undergraduate Student | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Graduate Student | Graduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Non-UCD Affiliate | Graduate Student | Responsible Employee | Sexual Harassment | Nonspecific | Resources provided; Administrative notice issued to Respondent |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Harassment | Nonspecific | Resources provided; Complainant's request met |
| Davis | Non-UCD Affiliate | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Respondent excluded from future activities |
| Davis | Undergraduate Student | Undergraduate Student | Non-UCD Affiliate | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate; Undergraduate Student | Graduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Non-UCD Affiliate | Multiple Unknown Unspecified Students | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Unknown | Non-UCD Affiliate | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Non-UCD Affiliate | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown Undergraduate Student | Non-UCD Affiliate | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Graduate Student | Complainant | Sexual Harassment | Hostile Environment; Quid Pro Quo | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Respondent excluded from future activities |
| Davis | Multiple Staff | Unknown | Complainant | Sexual Harassment | Hostile Environment | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---------------------------------|------------------------|--|--------------------|---------------------|--|
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Staff | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Complaint withdrawn |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Complaint withdrawn |
| Davis | Faculty | Undergraduate Student | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Education for Respondent |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Education for Respondent |
| Davis | Undergraduate Student | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Graduate Student | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Graduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Graduate Student | Multiple Unknown | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Graduate Student | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Education for Respondent |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided |
| Davis | Undergraduate Student | Unspecified Student | Non-UCD Affiliate | Sexual Harassment | Hostile Environment | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|--|---------------------------------|--|--------------------|---------------------|--|
| Davis | Undergraduate Student; Multiple Anonymous Unspecified Students | Unknown | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Davis | Multiple Unknown | Unknown | Responsible Employee | Sexual Harassment | Hostile Environment | Insufficient information to provide resources or for further review |
| Davis | Graduate Student | Multiple Undergraduate Students | Office of Student Support and Judicial Affairs | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Undergraduate Students | Non-UCD Affiliate | Office of Student Support and Judicial Affairs | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Graduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment | Nonspecific | Resources provided; Complainant's request met |
| Davis | Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Respondent no longer affiliated with UC Davis |
| Davis | Faculty | Faculty | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Graduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unspecified Student | Responsible Employee | Sexual Harassment | Nonspecific | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unspecified Student | Responsible Employee | Sexual Harassment | Hostile Environment | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|---|-----------------------------|--|--------------------|---------------------|--|
| Davis | Unspecified Student | Unspecified Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Davis | Multiple Unknown | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Harassment | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Multiple Staff | Complainant | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unknown | Department / Campus Group | Complainant | Sexual Harassment | Hostile Environment | Insufficient information to provide resources; Education for Department / Campus Group |
| Davis | Undergraduate Student | Multiple Unknown | Office of Student Support and Judicial Affairs | Sexual Harassment | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Administrative notice issued to Respondent |
| Davis | Anonymous Unspecified Student | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Insufficient information to provide resources; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Staff | Non-UCD Affiliate | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Multiple Non-UCD Affiliates | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Graduate Student | Graduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Nonspecific | Resources provided; Documented Discussion and Summary Letter |
| Davis | Multiple Unspecified Students | Unspecified Student | Responsible Employee | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Multiple Non-UCD Affiliates; Multiple Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Harassment | Hostile Environment | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|----------------------|---|--|---|
| Davis | Multiple Unknown | Undergraduate Student | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Faculty | Faculty | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Complainant's request met |
| Health System | Staff | Unknown Staff | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Letter of Warning issued |
| Health System | Staff | Faculty | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Health System | Undergraduate Student | Unknown | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Non-UCD Affiliate | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Education for Respondent |
| Health System | Staff | Unknown Staff | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Referred to Employee & Labor Relations |
| Health System | Staff | Non-UCD Affiliate | Complainant | Sexual Harassment | Hostile Environment | Resources provided |
| Health System | Multiple Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Health System | Staff | Faculty | Unknown | Sexual Harassment | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Documented Discussion and Summary Letter |
| Health System | Anonymous Staff | Multiple Staff | Complainant | Sexual Harassment | Hostile Environment | Insufficient information to provide resources; Education for Respondent |
| Health System | Graduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Insufficient information for further review |
| Health System | Multiple Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment | Resources provided; Respondent no longer affiliated with UC Davis |
| Health System | Staff | Non-UCD Affiliate | Complainant | Sexual Harassment | Hostile Environment | Resources provided; Education for Respondent |
| Davis | Undergraduate Student | Non-UCD Affiliate | Non-UCD Affiliate | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Indecent Exposure | Resources provided |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 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 Harassment; Sexual Violence or Other Prohibited Behavior | Nonspecific; Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Invasions of Sexual Privacy | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Unknown Unspecified 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 Undergraduate Students | Non-UCD Affiliate | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Quid Pro Quo; Sexual Assault (Contact) | Resources provided; Respondent excluded from future activities |
| 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; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Multiple Undergraduate Students | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Invasions of Sexual Privacy | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Unknown Unspecified Student | 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 | Complainant | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact); Sexual Assault (Penetration); Stalking | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Undergraduate Student | Non-UCD Affiliate | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact) | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|------------------------|--|---|--------------------------|---|
| Davis | Graduate Student | Undergraduate Student | Complainant | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Nonspecific; Nonspecific | Resources provided; Complainant's request met |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Nonspecific; Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 | Nonspecific | Resources provided |
| 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 | 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 | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided |
| 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 | 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 | Non-UCD Affiliate | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 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 | Nonspecific | Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unknown | Multiple Staff | Complainant | Sexual Violence or Other Prohibited Behavior | Invasions of Sexual Privacy | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Stalking | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student; Unknown | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Unknown | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Undergraduate Student | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Insufficient information 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 |
| Davis | Non-UCD Affiliate | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Documented Discussion and Summary Letter |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Stalking | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|-----------------------------|--|--|---|--|
| Davis | Non-UCD Affiliate | Unknown | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Non-UCD Affiliate | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided |
| Davis | Undergraduate Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | 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 | Non-UCD Affiliate | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Staff | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Insufficient information for further review |
| Davis | Staff | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking; Indecent Exposure | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Staff | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | 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 | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Sexual Assault (Contact); 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 Office in 2019-20 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 | Non-UCD Affiliate | Non-UCD Affiliate | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided |
| Davis | Graduate 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 | 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 | 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 | Non-UCD Affiliate | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | 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 | Graduate Student | Faculty | Unknown | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 (Penetration); Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | 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 | Nonspecific | 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 Office in 2019-20 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 (Penetration); Retaliation | Resources provided; Insufficient information for further review |
| Davis | Unknown | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Invasions of Sexual Privacy | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Faculty | Complainant | Sexual Violence or Other Prohibited Behavior | Invasions of Sexual Privacy | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Graduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Complaint withdrawn |
| Davis | Non-UCD Affiliate | 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 | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Administrative notice issued to Respondent |
| 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 | Undergraduate Student | Undergraduate Student | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | 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 Office in 2019-20 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 | Resources provided; Insufficient information for further review |
| Davis | Staff | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Unknown Unspecified Student | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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; Complainant's request met |
| 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 | Stalking | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Anonymous Undergraduate Student | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Graduate 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 | Non-UCD Affiliate | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|------------------------|--|--|------------------------------------|--|
| 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 | Graduate Student | 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 | Nonspecific | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Unknown | Non-UCD Affiliate | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | 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 | Undergraduate Student | Graduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 (Penetration) | 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 (Contact); Stalking | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| 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 |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 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 | Nonspecific | 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; Complainant's request met |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | 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 | Nonspecific; Sexual Assault (Penetration) | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown Unspecified Student | 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; Complaint withdrawn |
| Davis | Multiple Undergraduate Students | Undergraduate Student | 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 | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Non-UCD Affiliate | Graduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Complainant's request met |
| Davis | Graduate Student | Graduate Student | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown Unspecified Student | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|--------------------------------|-----------------------------|--|--|------------------------------|---|
| Davis | Graduate Student | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Non-UCD Affiliate | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Complainant's request met |
| Davis | Undergraduate Student; Unknown | Unknown Unspecified Student | Complainant | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Invasions of Sexual Privacy | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Complainant's request met |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 | Multiple Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|--------------------------------|------------------------|--|--|------------------------------|---|
| Davis | Non-UCD Affiliate | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Nonspecific | Insufficient information to provide resources or for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Unknown | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Insufficient information to provide resources; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided |
| Davis | Undergraduate Student; Unknown | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific; Stalking | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|------------------------|--|--|---------------------------------|---|
| Davis | Non-UCD Affiliate | Undergraduate Student | 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 | Stalking | 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 | Nonspecific | 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 | Graduate 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; Stalking | Resources provided; Complaint withdrawn |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Multiple Faculty | Complainant | Sexual Violence or Other Prohibited Behavior | Retaliation | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Non-UCD Affiliate | 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 | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|------------------------|--|--|------------------------------|--|
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Invasions of Sexual Privacy | Resources provided |
| 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 | 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 | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided |
| Davis | Unspecified Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Preliminary review-no evidence of policy violation |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information 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 |

Appendix 1, continued

Appendix 1. (Cont.) Summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 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 | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Complainant's request met |
| Davis | Unspecified Student | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Invasions of Sexual Privacy | Resources provided |
| Davis | Undergraduate Student | Unknown Unspecified Student | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Unspecified Student | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Staff | Non-UCD Affiliate | Non-UCD Affiliate | 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 | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Invasions of Sexual Privacy | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Unknown | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|--------|-------------------------|------------------------|--|--|------------------------------|--|
| Davis | Undergraduate Student | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided |
| Davis | Unspecified Student | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Unknown | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 | Nonspecific | 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 | 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 | Undergraduate Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Unknown | Faculty | Unknown | Sexual Violence or Other Prohibited Behavior | Nonspecific | Insufficient information to provide resources; Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|---------------------------|-----------------------------|--|--|---|--|
| Davis | Unspecified Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Resources provided; Insufficient information for further review |
| Davis | Undergraduate Student | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided |
| Davis | Unspecified Student | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Davis | Graduate Student | Graduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unknown | 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 | Office of Student Support and Judicial Affairs | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Davis | Unspecified Student | Unspecified Student | Complainant | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Preliminary review-no evidence of policy violation; Referred to Office of Student Support and Judicial Affairs |
| Health System | Staff | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided |
| Health System | Department / Campus Group | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Other | Other inquiry review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact); Indecent Exposure | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Staff | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|-----------------------|--|---------------------------------|--|
| Health System | Non-UCD Affiliate | Staff | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Staff | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Unknown | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Stalking | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Staff | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Staff | Non-UCD Affiliate | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Complaint withdrawn |
| Health System | Staff | Unknown | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Unknown | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence | Resources provided; Insufficient information for further review |
| Health System | Staff | Non-UCD Affiliate | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Staff | Complainant | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Preliminary review-no evidence of policy violation |
| Health System | Non-UCD Affiliate | Staff | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Nonspecific | Resources provided; Insufficient information for further review |
| Health System | Non-UCD Affiliate | Non-UCD Affiliate | UCD Police Department | Sexual Violence or Other Prohibited Behavior | Relationship Violence; Stalking | 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 Office in 2019-20 and resolved via informal resolution.

| Campus | COMPLAINANT Affiliation | RESPONDENT Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|---------------|-------------------------|------------------------|-----------------------|--|--------------------------|---|
| Health System | Staff | Non-UCD Affiliate | Complainant | 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 | Relationship Violence | Resources provided; Insufficient information for further review |

Appendix 2

Appendix 2. A summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via formal investigation

| Campus | Complainant Affiliation | Respondent Affiliation | Report Source | Complaint Category | Complaint Specific | Investigation Findings Summary | Final Outcome |
|--------|---------------------------------|-------------------------|----------------------|---|---|---|---|
| Davis | Staff | Staff | Complainant | Discrimination | Race | Violation of Discrimination policy | Respondent issued 30-day Employment Suspension. |
| Davis | Staff | Staff | Responsible Employee | Discrimination | Gender and Race | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Davis | Non-UCD Affiliate | Staff | Complainant | Discrimination | Race | Violation of Discrimination policy | Respondent issued 2-day Employment Suspension |
| Health | Multiple Graduate Students | Multiple Staff | Responsible Employee | Discrimination | Race | Violation of Discrimination policy | Respondents terminated from employment. |
| Health | Staff | Staff | Complainant | Discrimination | Race | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Health | Staff | Multiple Staff | Complainant | Discrimination | Medical Condition | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Health | Multiple Staff | Multiple Staff | Anonymous | Discrimination; Sexual Harassment | Ethnicity; Hostile Environment | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Davis | Graduate Student | Faculty | Responsible Employee | Sexual Harassment | Hostile Environment | Violation of SVSH policy for Sexual Harassment (Hostile Environment) | Respondent issued Letter of Censure, reduction in pay, loss of leadership positions, Individual SVSH education. |
| Davis | Staff | Staff | Responsible Employee | Sexual Harassment | Hostile Environment; Quid Pro Quo | Violation of SVSH policy for Sexual Harassment (Hostile Environment). No violation of policy for Sexual Harassment (Quid Pro Quo) | Respondent issued 20-day work suspension. |
| Davis | UC Davis | Faculty | Responsible Employee | Sexual Harassment | Hostile Environment | Violation of SVSH policy for Sexual Harassment (Hostile Environment) | Respondent resigned in lieu of termination. |
| Health | Staff | Staff | Complainant | Sexual Harassment | Hostile Environment | Violation of SVSH policy for Sexual Harassment (Hostile Environment) | Respondent terminated from employment. |
| Health | Staff | Staff | Complainant | Sexual Harassment | Retaliation | 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 SVSH policy for Sexual Harassment (Hostile Environment) | Respondent resigned in lieu of termination. |
| Health | Staff | Staff | Responsible Employee | 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 | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact) | Violation of SVSH policy for Sexual Harassment (Hostile Environment) and Sexual Assault (Contact) | Respondent issued one year Academic suspension. |
| Davis | Staff | Staff | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact) | Violation of SVSH policy for Sexual Harassment (Hostile Environment). No violation of policy for Sexual Assault (Contact) | Respondent issued 3-day employment suspension. |
| Davis | Graduate Student | Former Graduate Student | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Stalking | Violation of SVSH policy for Sexual Harassment (Hostile Environment). No violation of policy for Stalking | Respondent issued three year hold on release of transcript and diploma. |
| Davis | Multiple Undergraduate Students | Undergraduate Student | Responsible Employee | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Invasion of Sexual Privacy | Violation of SVSH policy for Sexual Harassment (Hostile Environment) and Invasion of Sexual Privacy | Respondent issued Academic Dismissal. |

Appendix 2, continued

Appendix 2. (Cont.) A summary of SVSH and other discrimination and harassment reports received by the Compliance Office in 2019-20 and resolved via formal investigation

| Campus | Complainant Affiliation | Respondent Affiliation | Report Source | Complaint Category | Complaint Specific | Investigation Findings Summary | Final Outcome |
|--------|---------------------------------|---------------------------------|--|---|--|--|--|
| Davis | Undergraduate Student | Undergraduate Student | Office of Student Support and Judicial Affairs | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact) | Violation of SVSH policy for Sexual Assault (Contact) and Sexual Harassment (Hostile Environment) | Respondent issued 2-year Academic Suspension. |
| Health | Staff | Staff | Responsible Employee | 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. |
| Health | Patient | Staff | Responsible Employee | 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 | Undergraduate Student | Former Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Violation of SVSH Policy for Sexual Assault (Penetration) | Respondent issued notation of disciplinary record on transcript for 7 years and two year hold on transcript release. |
| Davis | Former Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Invasion of Sexual Privacy | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Davis | Graduate Student | Graduate 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 | Multiple Undergraduate Students | Multiple Undergraduate Students | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Invasion of Sexual Privacy | Violation of SVSH Policy for Invasion of Sexual Privacy for one Respondent. No violation of SVSH Policy for one Respondent. | 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) | No violation of policy | Case Closed. No sanction or corrective action issued to Respondent. |
| Davis | Former Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Domestic Violence; Retaliation | No violation of SVSH Policy. Violation of Student Code of Conduct. | Respondent Issued Deferred Dismissal and No Contact Directive. |
| Davis | Undergraduate Student | Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Violation of SVSH policy for Sexual Assault (Contact) | Respondent issued 3-year Academic Suspension. |
| Davis | Undergraduate Student | Former Undergraduate Student | Responsible Employee | Sexual Violence or Other Prohibited Behavior | Sexual Violence (Penetration) | Violation of SVSH policy for Sexual Assault (Penetration) | Respondent issued 5-year hold on academic degree. |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact); Sexual Assault (Penetration); Invasion of Sexual Privacy | No violation of SVSH policy for Sexual Assault (Contact) or Sexual Assault (Penetration). Violation of SVSH Policy for Invasion of Sexual Privacy. | Respondent issued Deferred Dismissal until graduation. |

Appendix 3

Appendix 3. A summary of SVSH reports received by the Compliance Office in 2019-20 and resolved via Alternative Resolution.

| Receiving Campus | Complainant Affiliation | Respondent Affiliation | Report Source | Complaint Category | Complaint Specific | Resolution Summary |
|------------------|-------------------------|------------------------|---------------|---|---|------------------------|
| Davis | Graduate Student | Staff | Complainant | Sexual Harassment; Sexual Violence or Other Prohibited Behavior | Hostile Environment; Sexual Assault (Contact) | Alternative Resolution |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Contact) | Alternative Resolution |
| Davis | Undergraduate Student | Undergraduate Student | Complainant | Sexual Violence or Other Prohibited Behavior | Sexual Assault (Penetration) | Alternative Resolution |

Appendix 4

APPENDIX 4: Administrative Agency complaints (AY 2019-20)¹

| ADMINISTRATIVE AGENCY COMPLAINTS 2019-20 | | | | | |
|--|---|--------|---|--|---|
| Complainant | Respondent | Agency | Basis | Allegations | Findings |
| Staff | Department | DFEH | Race, Religion, Retaliation | Reprimanded | Pending |
| Lecturer | University | DFEH | Age | Denied equal pay | Pending |
| Staff | University | DFEH | Disability | Denied reasonable accommodation, work opportunities or assignments, employee benefit or privilege. | Pending |
| Lecturer | University | DFEH | Age | Denied equal pay | Pending |
| Lecturer | College | DFEH | Age | Denied equal pay | Pending |
| Lecturer | College | DFEH | Age | Denied employment benefit or privilege | Pending |
| Staff | University | DFEH | Race and retaliation | Placed on paid administrative leave | Pending |
| Lecturer | Department | DFEH | Ancestry, national origin, retaliation | Denied work opportunities/assignments | Complainant elected court action; Right to Sue Notice Issued |
| Anonymous | University | DOE | Gender | STEM for Girls camps discriminate against boys and gender non-binary students | Pending |
| Staff | University | EEOC | Age | Denied transfer and discharge | Pending |
| Staff | University | DFEH | Age | Asked impermissible job related questions | Pending |
| Faculty | Regents and University | DFEH | Disability, retaliation | Employment was terminated | Pending |
| Staff | University | DFEH | Age | Denied work opportunities; constructively terminated | Pending |
| Staff | University | DFEH | Disability | Harassed, denied reasonable accommodations, retaliated against | Case withdrawn; complainant elected court action |
| Staff | University | DFEH | Sex/gender | Harassed, Suspended, Terminated | Case dismissed due to insufficient evidence |
| Staff | University | DFEH | Disability | Denied reasonable accommodation, reprimanded, forced to quit | Case dismissed due to insufficient evidence |
| Staff | University | EEOC | Disability, age, discrimination | Harassed, subject to disciplinary action | Case dismissed due to insufficient evidence. |
| Staff | Department | DFEH | Age and sexual orientation | Terminated | Agency took no action; immediate right to sue issued ² |
| Lecturer | College | DFEH | Age | Denied equal pay | Case dismissed due to insufficient evidence. |
| Staff | Department | DFEH | Race; gender | Harassed, subject to disciplinary action | Agency took no action; immediate right to sue issued. |
| Lecturer | University | DFEH | Age | Denied equal pay | Case dismissed due to insufficient evidence. |
| Lecturer | College | DFEH | Age | Denied equal pay | Case dismissed due to insufficient evidence. |
| Staff | University | DFEH | Disability | Threatened with suspension | No response is requested at this time |
| Training Program Applicant | University | DFEH | Gender, race, sexual orientation, national origin | Denied acceptance to the University clinical lab scientist intern program | Case dismissed due to insufficient evidence. |
| Lecturer | University | DFEH | Age | Denied equal pay | Case dismissed due to insufficient evidence. |
| Student | Regents, Division, Department, and Employee | DFEH | Race and national origin | Denied equal terms and conditions; evicted | Case dismissed due to insufficient evidence. |
| Student | Regents | HUD | Race and National Origin | Denied equal terms and conditions; evicted | No response is required; HUD determined that DFEH is best suited to investigate the complaint |
| Staff | University | DFEH | Disability and Race | Denied FMLA leave | Case dismissed due to insufficient evidence. |
| Staff | University | DFEH | Sex and race | Denied hire to a manager position and was treated disparately by his director when he served as a supervisor in the department | Case dismissed due to insufficient evidence. |

¹This appendix includes all discrimination complaints filed against UC Davis and UC Davis Health by students, staff or faculty with any state or federal agency.

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.

Appendix 4, continued

| | | | | | |
|---------------|----------------------|------|--|---|--|
| Staff | University | EEOC | Sex, disability, retaliation | Harassed; subject to a hostile work environment | Agency took no action; immediate right to sue issued |
| Staff | Staff | CDPH | Unknown | Harassment | The University reached out to the CDPH consultant as there was not enough information provided in the initial charge letter. Additional details requested but were never received. |
| Staff | Staff | CDPH | Medical condition, disability, retaliation | Discrimination | The University reached out to the CDPH consultant as there was not enough information provided in the initial charge letter. Additional details requested but were never received. |
| Staff | Staff and department | DFEH | Retaliation | Reprimanded/forced to quit | No action required at this time |
| Staff | Staff | CDPH | Non specific harassment | Negative comments, yells, and argues with staff | Referred to E&LR |
| Staff | Staff | EEOC | Race, color, retaliation | Subject to hostile environment | Case dismissed due to insufficient evidence. |
| Staff | University | EEOC | Race, age, retaliation | Constructively discharged | Case dismissed due to insufficient evidence. |
| Staff | University | EEOC | Disability, retaliation | Harassment, accommodation | No response required at this time |
| Staff | University | DOL | FMLA compliance investigation | FMLA compliance investigation | Case dismissed due to insufficient evidence. |
| Faculty | University | EEOC | Sex, age, disability, retaliation | Falsely accused of faculty misconduct and placed on leave | No response is due at this time |
| Not specified | University | OCR | Disability | Concern of eligibility requirements for children attending MIND institute summer camp | Dismissed; UC Davis changed some of its language on the advertisement |
| Lecturer | University | DFEH | Age | Denied equal pay | Case dismissed due to insufficient evidence. |
| Student | University and staff | DFEH | Disability, gender | Denied reasonable accommodation, harassed, terminated | Case dismissed due to insufficient evidence. |
| Staff | University | DFEH | Retaliation | Reprimanded and forced to quit | Case dismissed due to insufficient evidence. |