

A large, leafy tree with a person sitting on a bench under it, with a lake in the background.

**UC DAVIS**  
UNIVERSITY OF CALIFORNIA

**2021**

**Annual Security and  
Fire Safety Report**

**For the Davis and Health Campuses**



Issued on September 28, 2021

Revised on March 31, 2022

This revision is issued to correct a typographical error in the table, “Fires in Davis Campus Residential Facilities in 2018” on page 94 and to provide updated information consistent with the revised Interim Sexual Violence and Sexual Harassment (SVSH) Policy and associated adjudication frameworks that went into effect on January 1, 2022. The revised SVSH Policy and frameworks can be found as Appendices B, E, F, G, and H. In addition to these Appendices, the updated information can be found in the Sexual Violence: Overview of Policies section (p. 14) and comprises changes to the definitions of confidential resources, responsible employees, sexual exploitation, and prohibited conduct in clinical settings.

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Karin Higgins: pages 4, 5, 6, 7, 15, 24, 51, 55

Dave Jones: page 9

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Gregory Urquiaga: Cover Page, pages 20, 21, 23, 25, 26, 28, 30, 32, 36, 44, 47, 48, 52, 62

Lisa Wells: pages 10, 12, 16, 18

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This report is issued for UC Davis and UC Davis Health in accordance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998 (Clery Act), 20 USC §1092(f), Title 34 U.S. Code of Federal Regulations § 668.46, and California Education Code, § 67380-67385.

## **Nondiscrimination Statement**

The University of California, in accordance with applicable Federal and State law and University policy, does not discriminate on the basis of race, color, national origin, religion, sex, gender identity, pregnancy,<sup>1</sup> physical or mental disability, medical condition (cancer related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or service in the uniformed services.<sup>2</sup> The University also prohibits sexual harassment. This nondiscrimination policy covers admission, access, employment, and treatment in University programs and activities. Inquiries regarding the University's student-related nondiscrimination policies may be directed to Chief Compliance Officer Wendi Delmendo; [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu); (530) 752-9466.

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<sup>1</sup> Pregnancy includes pregnancy, childbirth, and medical conditions related to pregnancy or childbirth.

<sup>2</sup> Service in the uniformed services includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

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UC Davis publishes an Annual Security and Fire Safety Report, which includes important information about safety and security policies implemented to protect the welfare of our campus community. The report provides crime statistics for the previous three years regarding crimes that occurred on campus; in certain off-campus buildings or property owned, leased, or controlled by the University; and contains information about fire safety policies and procedures. The report is prepared by the Campus Clery Coordinator with input from stakeholders on the Davis and Health campuses, including the UCD Police and Fire Departments; the Center for Advocacy, Resources, and Education; Student Housing and Dining Services; the Office of Student Support and Judicial Affairs; and Emergency Management and Mission Continuity. The report is available on the [UC Davis Clery website](#). Links to the report are available on both the UC Davis [Police Department](#) and [Safety Services](#) websites. You may obtain a printed copy of the report by completing an online [Public Records Act request form](#) or by sending a written request addressed to the Information Practices Officer, Office of the Campus Counsel, University of California, Davis, One Shields Avenue, Davis, California 95616.



## **Campus Crime and Safety**

UC Davis is committed to protecting the safety and security of all students, staff, faculty, and visitors; and to providing accurate and complete information regarding crimes committed in the Davis and UCD Health campus communities. We believe that our policies and programs for preventing and reducing crime, as well as our emergency notices, timely warnings, and disclosure of crimes reported, promote a safer and informed community. Please take time to read this information and, if you have questions, contact the identified resources for assistance.

### **The UC Davis Police Department**

UC Davis Police Department is a service oriented, internationally accredited police department. The 33 officers patrol the Davis campus and UCD Health 24 hours a day, 365 days a year. They are duly sworn peace officers under Section 830.2 of the California Penal Code and have the same authority under the law as other State police officers. They enforce applicable local, state, and federal laws; arrest violators; investigate and suppress crime; investigate

traffic and bicycle accidents; and provide a full range of police-related services, including immediate response to all medical and fire emergencies. The 911 Public Safety Answering Point (PSAP) communication center operates 24 hours a day, 365 days a year, and can receive calls from TDD machines.

The Department also employs 70 non-sworn Protective Service Officers at the Primate Center and UCD Health to provide on-site security, as well as approximately 100 non-sworn student Aggie Hosts who perform security-related functions on campus. The Protective Service Officers and Aggie Hosts perform observe and report functions, and do not have powers of arrest. The UC Davis Police Department has created a Security Division within the Police Department, which includes a Security Director responsible for drafting security policies and improving campus security through security assessments, security cameras, and access controls.

Safety is a top priority at UC Davis, and the University offers Everbridge, an application that provides 911 access, direct dial to the UCDPD seven-digit emergency phone



line, WARNME emergency push notifications, and access to the emergency status phone line for recorded messages about campus. Information about the application is available on the [UCDPD website](#).

The UC Davis Police Department also offers Safe Rides. The Safe Rides service is available to anyone who prefers an alternative to walking alone or in a small group at night. Those using the service are given a ride in a clearly marked security vehicle or are escorted on foot by an Aggie Host Security Officer. All drivers have a valid California driver's license and are trained Aggie Host Security personnel who have been background checked, fingerprinted, and are in compliance with the California DMV pull system. Additionally, each employee of this program has completed a "Safe Driver Awareness" course administered by UC Davis Staff Development and Professional Services. More information about the Safe Rides program is available on the [UCDPD website](#).

UCD Health offers Safety Escorts on nights and weekends to those who call UCD Health dispatch at (916) 734-2555, and has a shuttle service Monday-Friday.

Crime prevention and apprehension of those who commit crimes at the Davis campus and UCD Health are the Police Department's primary goals. To achieve these goals, the Police Department works closely with surrounding law enforcement agencies, and has written agreements with city, county, and other state police agencies.

### *Police Accountability Board*

The UC Davis Police Accountability Board (PAB) was established in 2014 to develop and promote accountability, trust, and communication between the campus community and the UC Davis Police Department. The PAB is an independent board comprised of students, staff, and faculty from both the Davis and UCD Health campuses.

The PAB is staffed by University employees who are independent from the Police Department. Complaints made by members of the campus community and general public against UC Davis police officers are received, reviewed, and investigated by the Office of Compliance and Policy. This Office reports to the Office of the Chancellor. Investigation reports are then forwarded to the PAB for inde-



pendent review, and their recommendations are sent to the UC Davis Chief of Police.

The PAB issues an [annual, public report available online](#). The report includes a summary of the number, type, and disposition of complaints received; an analysis of complaint trends or patterns; and information on whether recommendations made by the PAB to the Chief of Police were accepted, rejected, or modified. Additional information about the PAB, including information on how to file a complaint with the PAB, can be found on the [PAB website](#).

## Reporting Crimes and Emergencies

All crimes occurring on the Davis campus or at UCD Health should be reported immediately to the UC Davis Police to ensure an appropriate response. The UC Davis Police Department has primary jurisdiction over the Davis campus and UCD Health in Sacramento. The University strongly encourages victims to immediately report all incidents or any suspicious activity to the UC Davis Police,

any time of the day or night. Crimes occurring off-campus should be reported immediately to the law enforcement agency having jurisdiction.

Crimes can be averted and suspects apprehended more quickly if suspicious activity is reported promptly. If someone's behavior or a situation is disturbing, threatening, or causing a disruption, call the UC Davis Police Department. The police will assess the situation and take any necessary and appropriate action.

### *Emergencies*

To report a crime in progress, or police, fire, or medical emergencies on campus or at UC Davis Health:

- If calling campus police from a cell phone, call (530) 752-1230 (Davis campus); or (916) 734-2555 (UCD Health). We encourage you to program this as a one-touch number on your phone. If you dial 911 from some cell phones it may take longer to connect your call and determine your location.
- If calling from any land-line phone on the Davis campus or at UCD Health, including pay phones, dial 911 (this will connect you directly to the UC Davis Police Department's Public Safety Dispatch Center).

On the Davis campus or at UCD Health, if you dial 911 from a land-line phone; or use one of the emergency call-boxes in the UC Davis arboretum, the West Village bike tunnel, or a yellow emergency telephone located throughout UCD Health; the dispatcher or operator can locate the phone from which you are calling and will dispatch a police officer. If there is a fire and no telephone is available, activate one of the fire alarms located throughout the Davis campus and UCD Health.

### *Non-Emergencies*

To receive assistance for a non-emergency:

- If calling from a cell phone or land-line phone, call the UCD Police Department at (530) 752-1727 (Davis) or (916) 734-3841 (UCD Health).
- The UC Davis Police Department is located in the Fire/Police Building at 625 Kleiber Hall Drive. Requests for services at UCD Health can be made at the Police Department located in Lot 7, at V and 42nd Streets.

### *Anonymous Reporting Process*

While UC Davis encourages victims to report all crimes to the police, there may be times when an individual does not want to be identified in a report. In those cases, crimes may be reported anonymously to the Police Department so







that they are included in the annual crime statistics. Individuals seeking advice or filing anonymous reports about sexual assault, stalking, dating violence, domestic violence, harassment, or discrimination may also contact the Harassment and Discrimination Assistance and Prevention Program through their anonymous call lines at (530) 747-3865 or (916) 734-2255.

Campus Security Authorities (CSAs) who are notified of crimes can inform the police of the victim's identity only if the victim consents to being identified. If the victim does not consent, the CSA will report all other relevant details about the crime to the UC Davis Police Department, but will withhold the victim's identity.

UC Davis encourages licensed counselors (including Sexual Assault and Domestic Violence Victim Advocates) and pastoral (religious) counselors to inform those they counsel, if and when they deem it appropriate, of the procedures for reporting crimes on a voluntary, anonymous basis for inclusion in crime statistics.

### *Reporting Hate Crimes*

A hate crime is any criminal act or attempted criminal act directed against a person, public agency, or private institution based on the victim's actual or perceived race or ethnicity, national origin, religion, sexual orientation, disability, gender, or gender identity; or because the person, agency or institution is identified or associated with a person or group of an identifiable race, ethnicity, national origin, religion, sexual orientation, disability, gender, or gender identity. A hate crime includes an act that results in injury, however slight; a verbal threat of violence that apparently can be carried out; an act that results in property damage; and property damage or other criminal act(s) directed against a private or public agency.

Crimes routinely classified as misdemeanors can be felonies if committed because of bigotry. A conviction cannot be based on speech alone, unless the speech itself threatens violence against a specific individual or group and the perpetrator has the ability to carry out the threat. If you

are the victim of or witness to a hate crime, report it as soon as possible to the UC Davis Police Department.

## Emergency Alerts, Timely Warnings, and Daily Crime Logs

### *Emergency Alerts and Warnings*

Both the Davis and UCD Health campuses use the WarnMe system, or other suitable method of communication, to alert students, faculty, and staff of an emergency or other urgent situation that may affect well-being.

Students receive a notice about the WarnMe system in their main registration tool (SISWeb). Whenever a student's contact information is out of date, they receive an alert about updating their information in the student records tool within their myucdavis site. To update contact information for emergency alerts and warnings, students, faculty, and staff should use the [UC Davis WarnMe](#) site.

Although the alert system is designed to provide lifesaving information to those in harm's way, the system includes a community feature where anyone can register to receive alerts. The system complements other UC Davis communications including the Web (UC Davis homepage and Facebook, and Aggie Family Pack for parents), the Emergency Status Line (530) 752-4000, and news media (KFBK 1530 AM and other news media).

In an emergency on the Davis campus, the UC Davis Police Chief, Fire Chief, Director of Strategic Communications, Director of Emergency Management and Mission Continuity, or their designees are authorized to determine when an emergency notification is warranted, the appropriate method of distribution (e.g. WarnMe), and the content of the message. When possible and consistent with campus policy, they will consult with Strategic Communications regarding the content of the message before distribution.

In an emergency on the UCD Health campus, the UC Davis Police, the UC Davis Health Emergency Manager, or their designees are authorized to activate the WarnMe system and determine the content of the message. They will consult with Public Affairs & Marketing regarding the content of the message before distribution to large audiences.



In the event of an emergency, the University will, without delay, notify affected members of the campus community, considering the safety of the community unless issuing a notification will, in the professional judgment of the Police Chief, Fire Chief, or their designees, compromise efforts to assist a victim or to contain, respond to, or otherwise mitigate the emergency. Messages are sent by multiple methods to contact information listed in the campus directory as well as confidential contact information registered by users. The system can send simultaneous messages to the University community by e-mail, telephone, cell phone, and text messaging. Notifications may be sent to specific groups of individuals if the emergency is isolated to specific campus locations. See below for additional information on UCD Health's emergency response and notification procedures.

For more information, see the [Emergencies and FAQs page](#).

### *Managing Emergencies*

The Davis campus and UCD Health have a comprehensive emergency management program under the guidance of a full-time Director of Emergency Management and Mission Continuity/Emergency Manager. It includes a formal emergency operations plan for preparing for, responding to, and recovering from emergencies. Every UC Davis Department is required to develop and maintain an emergency action plan that includes response protocols and a departmental evacuation plan. The Davis campus uses an Emergency Operations Center. UCD Health uses an analogous Hospital Command Center (HCC) to coordinate response



to major emergencies. Both campuses train employees to staff their respective Centers.

On the UCD Health campus, the Continuity of Operations Plan (COOP) details the process used to notify, assess, and respond to a significant emergency or dangerous situation involving an immediate threat to the health or safety of patients and staff. The COOP defines a disaster, incident, or emergency event as, “anything that overwhelms, or threatens to overwhelm, any part of operations/business functions.” UCD Health activates the HCC to coordinate the campus response, including communications, to significant emergencies or dangerous situations.

Upon notification of an incident that is affecting or could affect UCD Health, designated members of the leadership team are notified to convene online or in person in the HCC to assess the impacts of the incident and determine whether additional notifications or actions (including full HCC activation) are needed. The leadership team consists of representation from the Chief Operations Officers for the Hospital and Ambulatory Services, Chief Medical Officer, Chief Nursing Officer, Physician Leaders, representatives of the Schools of Health, Executive Directors of Hospital Operations, UCDDP and Security, and leaders from Public Affairs & Marketing, Safety, and Emergency Management. The COOP provides a list of relevant questions to be answered in this conference, including:

- What happened?
- How big is the incident and what is its expected duration?
- Who is impacted and how?
- What are the risks to the organization?
- Who needs to be informed of the incident and how?

If the leadership team determines that UCD Health cannot or may not be able to continue daily operations due to the incident, the HCC will be fully activated. Activation criteria include, but are not limited to:

- Any situation in which UCD Health is acting outside of normal, daily operations, or in which daily operations

are insufficient to meeting the challenges of the incident.

- Any internal emergency or event resulting in damage or loss of essential functions to any portion of the medical center or medical offices.
- Any emergency or event requiring significant commitment of UCDDH or local community resources to control or minimize damages.
- Any internal or external emergency necessitating evacuation.
- An extraordinary threat to life, health, or property, impacting a widespread population or geographic area.

Once the HCC is activated, the HCC Public Information Officer is responsible for managing communications, including what will be shared with which audiences through various modalities such as email, websites, social media, town hall events, and TV and radio announcements. Key incident communications will use plain English and clear text by all staff during emergencies. Internal communications may include cell phones, texting, land lines, alphanumeric two (2) way pagers, fax, 400 & 800 MHz radios, ham radios, EMS systems, Office 365 groups, instant messaging, Epic Tiger Text, and email.

The HCC Liaison Officer is responsible for managing notifications and ongoing communications with external authorities such as County Emergency Medical Services, Public Health, or City / County Office of Emergency Ser-



vices, and the UC Office of the President. The scope for these communications includes coordination with other Medical Centers in the community, ongoing notification, and updates to UC leadership. The HCC is also responsible for managing communications with patients and families during emergencies and will do so through inpatient and outpatient leadership supported by the HCC Public Information Officer. This includes notification of patient relocation to alternate sites, if necessary.

The circumstances and plans for communicating with the community and the media during emergencies are defined in Public Affairs & Marketing's department policies and guidance and may be coordinated with Strategic Communications at the Davis campus. Communication will be performed by appropriate means (landlines, cell phones, mass notification, etc.) at the time of the incident.

### Testing and Evaluation

Both the Davis and UCD Health campuses regularly conduct training sessions and emergency exercises, including table top exercises, functional and full-scale exercises, and tests of the WarnMe system to assess and evaluate the emergency plans and the capabilities of the campus to respond to an emergency. Strategic Communications for the Davis campus publicizes information about testing of the WarnMe and Aggie Alert system a few days prior to the test, including information about how to register for the alerts. At UCD Health, Public Affairs and Marketing will publish information in *The Insider* prior to conducting the test.

Tests on the Davis and UCD Health campuses are typically performed twice per year and some units perform their own internal tests to stay current on use of the system. The Davis campus and UCD Health are part of a regional and statewide emergency management system, and are in compliance with state and federal standards for managing emergencies. See information available on the Safety Services [website](#). The most recent test of WarnMe occurred on April 28, 2021. The test was announced in advance to the community.

On the Davis campus, the Office of Emergency Management conducts regularly scheduled tests, drills, exercises, and appropriate follow-through activities to assess UC Davis' preparedness and response plans. The test includes an exercise of

the emergency management system and emergency response organization (Event and Crisis Management Team). The 2020 test and tabletop exercises were held on September 30 and October 2, 2020, respectively. The Office of Emergency Management conducted a tabletop COVID-19 scenario via Zoom focusing on policy, communication, and operational coordination issues. The campus community was not notified in advance of the exercise.

At UCD Health, effectiveness of the Emergency Management Program is evaluated through annual reviews of the scope and objectives, after action reports with corrective action plans, inventory reviews, and exercises. The plan is tested in a functional exercise at least twice a year at UCD Health and at least once a year at all other licensed care buildings. Exercises are based on realistic scenarios from





prioritized hazards on the hazard vulnerability analysis. All staff are encouraged to participate in all exercises.

Once an event or exercise concludes, an incident debriefing will be held as soon as possible to capture observations, lessons learned, and recommendations for improvement. All information gathered in the debriefing is documented in the After-Action Report (AAR). Findings from the AAR will be used to develop a Corrective Action Plan to improve UCD Health's COOP and Emergency Management Program. Plan modifications and exercise deficiencies are tested in the next exercise as possible and practical.

UCD Health continued to exercise those elements of the COOP that needed to be tested. In Fiscal Year 2020-21, UCD Health experienced three real-world events (COVID-19 and two power loss incidents) and designed and conducted three exercises:

- In collaboration with various IT departments, a cybersecurity exercise to test initial communication procedures during a simulated cyber-attack (November 2020)
- An additional cybersecurity-related exercise to test UCD Health's ability to maintain communication and patient care during a prolonged outage in the Electronic Medical Records system.
- The Radiation Injury Treatment Network tabletop exercise to test federal plans to distribute and treat patients injured in a detonated nuclear device scenario (August 2021).

### Timely Warnings

The UC Davis Police Department promptly publicizes any incident of criminal activity that poses a potential serious or continuing threat to the Davis campus or UCD Health through a timely warning, maintaining identifying information of the victim in confidence. Bulletins are sent to the campus community by email and can be accessed online (see Alerts box on the right side of the [Police website](#) home page).

The UC Davis Police Department has an e-mail-based Crime and Incident Alert Notification Service by which students, faculty, staff, parents, and any member of the general public can be notified when an Alert is issued. Anyone with a ucdavis.edu email is automatically added to the timely warning emails and cannot opt out unless they are no longer associated with the University. Non-affiliates may subscribe to the Alert Notification Service, by sending an e-mail to [sympa@ucdavis.edu](mailto:sympa@ucdavis.edu). In the body of the message,

type "sub ucdavispolice <<your first name your last name>>." For example, a parent named James Bond would subscribe by sending the following message: sub ucdavispolice James Bond. For questions, contact the UC Davis Police Department's Crime Prevention Unit, (530) 752-6589 or [crimeprevention@ucdavis.edu](mailto:crimeprevention@ucdavis.edu).

The Watch Commander on any given shift is responsible for determining when a timely warning should be sent, based on whether the crime report represents an ongoing threat to the campus community, and if the issuance of a timely warning would hinder further investigation. The content of the warning includes all information that would promote safety and aid in the prevention of similar crimes. In the case of a reported hate crime, the warning will include general information about the crime, but generally will not include a picture or report of any slur so as not to further promote the hate crime. The Administrator on Duty reviews all planned timely warnings before distribution.

UCDPD relies on the timely reporting of crimes in order to issue timely warnings. Campus security authorities (CSAs) receive periodic notifications by email reminding them of their responsibility to notify campus police immediately, or as soon as practicably possible, if they receive information about a violent crime, sexual assault, or hate crime that was committed on or adjacent to the campus, on a non-campus property owned or controlled by the University, or at a facility occupied by an officially Registered Student Organization so that the UCDPD is able to send out Timely Warnings as needed. Emergency and non-emergency contact information for the UCDPD, both at the Davis campus and UCD Health, is provided in that notification. CSAs are told that if a victim has not consented to being identified they must withhold the victim's identity, as well as the identity of the alleged assailant if known, from the police. However, CSAs are asked to provide the UCDPD with enough information (when, what, where, etc.) about the incident to enable them to determine whether there is a potential threat to the community that requires a timely warning.

### Daily Crime Logs

UC Davis Daily Crime Logs for the past two years are available at the offices of the UC Davis Police Department (main campus station is located at 625 Kleiber Hall Drive and UC Davis Health substation is located at 4200 V Street, Sacramento). Daily Crime Logs for the previous 60 days are available [online](#).



### **Campus Safety Precautions**

Providing security to the campus community is a continuous process of reevaluating existing policies, facilities, and practices so that they meet the changing needs of the community and reduce or eliminate hazards. To supplement the efforts of the UCD Police Department, several committees and programs exist, or are developed on an as-needed basis, to evaluate existing practices, facilities, and landscaping and make security recommendations. Working with staff, faculty, and students, we strive to make UC Davis a safe place in which to live and learn.

### ***Access to and Maintenance of Campus Buildings and Grounds***

UC Davis is a large university, situated on 5,500 acres. During the school year, our daily population of over 55,000 students, staff, and faculty makes us a small city in itself with its own safety challenges. The nature of the study, service, and research conducted at UC Davis and UCD Health requires that many of our buildings and facilities be open and accessible 24 hours a day. Since the Davis campus and UCD Health are open, many individuals find it easy to access the buildings and grounds and some may engage in criminal activity. So, regardless of time, day or night, no matter where you are on the Davis or UCD

Health campuses, be alert, aware of your surroundings, and use common-sense safety precautions.

Buildings, facilities and landscaping are maintained in a manner that minimizes hazardous conditions. UC Davis Police Officers regularly patrol the campus and report malfunctioning lights or other unsafe physical conditions to facilities management authorities for correction. In addition, UC Davis encourages reports of physical hazards (for example, broken stairs, overgrown shrubs, or a missing traffic sign) to [Facilities Management](#).

### ***Residential Buildings***

The Davis campus provides housing to more than 10,000 students, from apartments designed for students with children to multi-student apartment complexes and residential buildings. The UC Davis Police, Student Housing and Dining Services staff, and apartment managers for on-campus private housing work together to create safer, more comfortable, living and learning environments for students. The security of residential areas involves on-duty residence hall staff, apartment managers, Cal Aggie Hosts Security Patrol/Safety Escort services, and round-the-clock UC Davis Police patrols. However, residents must also take an active role to ensure their own security. Most residence halls are accessible only by key or key card 24 hours a day, and residents and visitors must ensure that locked buildings stay closed



and locked. You should not allow people you do not know to follow you into the building. Other safety measures include keeping your room or apartment door locked; always carrying your keys; taking precautions to protect your keys against theft or loss; and immediately reporting any theft/loss of your building or room keys.

If you notice improper entry (e.g., someone climbing over a fence) or suspicious activity (e.g., a stranger leaving your friend's room carrying their computer), alert residence hall staff and the UC Davis Police.

### *Non-Residential Buildings*

UC Davis has over 1,100 buildings across the Davis and UCD Health campuses, comprising almost 8 million square feet. Burglars or others intent on committing a crime may target these structures. Although most buildings can be accessed by key after business hours, certain facilities are locked and alarmed after 5:00 p.m. It is essential that staff, faculty, and students cooperate to keep closed facilities locked. To prevent unauthorized entrance to campus buildings, do not prop doors open, leave doors unlocked, or open the door for people you do not know. In addition, protect the security of campus keys, and report immediately any loss or theft of keys.

### *Parking, Biking, or Walking on Campus*

If you park on the Davis campus or at UCD Health, lock your vehicle and consider using a steering wheel locking device and/or auto alarm. Place all valuables in your trunk or in another location where they will not be visible when viewed from the outside. Similarly, always lock your bicycle, even if you will be gone only a few minutes, and secure it to a fixed bike rack/pod if possible. If you are out at night on campus or walking to campus parking lots, use the Safety Escort Service. Most important, if you need assistance, do not hesitate to ask any staff member, Cal Aggie Host, or Police Officer.

### *Weapons on Campus*

State law and University policy prohibit the possession or use of weapons on University property. It is a felony punishable by up to four years in prison to possess any firearm on University property, whether in a book bag, in a car, or in an office, classroom, or apartment. Possessing a concealed weapon or automatic weapons of any kind is illegal, whether on campus or in the community. Campus policies prohibit bringing weapons such as knives with blades longer than 2 ½ inches, switchblades, dirks, daggers, stun guns, BB-guns, air guns, metal knuckles, nun-chaku, or similar items, on campus.

If you see a gun or other weapon on University property, please alert the police immediately at (530) 752-1230 (Davis campus) or (916) 734-2555 (UCD Health), with a description of the location of the weapon and the individual carrying it. If you believe that the weapon is being used or is about to be used, dial 911 from a land-line, or from a cell phone, dial either (530) 752-1230 (Davis campus) or (916) 734-2555 (UCD Health).

## **Safety Education and Crime Prevention Services and Programs**

### *Crime Prevention*

Crime prevention is the anticipation, recognition, and appraisal of a crime risk and the initiation of action to remove or reduce it. The UC Davis Police Department Crime Prevention Unit provides support and services to campus community members to make UC Davis a safer place to work, learn, and live. The Crime Prevention unit presents an average of 75 to 100 workshops/training sessions for students and employees annually (on request), and publishes and distributes thousands of copies of brochures and flyers for students, faculty, and staff on topics such as personal safety, office and residential security, burglary and theft prevention, and vehicle security. The Crime Prevention unit provides consultation and crime prevention audits on request; may assist in developing department-specific emergency plans for evacuations, bomb threats, and criminal incidents; and may provide crime prevention input in the planning process for new buildings, and in landscaping design and maintenance.

### *Center for Advocacy, Resources and Education*

The Center for Advocacy, Resources and Education (CARE) is an independent University resource that provides confidential crisis counseling, advocacy, and accompaniment services to UC Davis and UCD Health students and employees who have experienced sexual and gender-based harassment, sexual assault, intimate partner violence, or stalking. CARE adheres to the UC Davis non-discrimination policy and provides confidential crisis services to any victim of sexual or gender-based violence regardless of race, national origin, caste or perceived caste, religion, sexual orientation, gender, gender expression, disability, citizenship, or any other protected identity. Additionally, CARE designs and delivers prevention programming and professional training to campus and community partners, including students and student staff, professional staff in various departments, administrators, law enforcement, medical professionals, community service providers, and prosecutors. CARE staff also facilitate various mandatory education

programs for incoming students, student athletes, and fraternity and sorority members. Additionally, CARE educates the campus and UCD Health communities about available services and violence prevention via marketing, social networking, printed materials, and other outreach efforts.

Additional information regarding CARE services is described in *Sexual Violence*, below.

### ***Bike Patrol Unit***

Bike Patrol officers provide highly visible and accessible policing services, focusing their efforts on bike theft prevention and apprehension, bicycle safety, and enforcement.

### ***Aggie Host Security Officers Program***

The Aggie Host Security Officers Program provides a wide range of services for events held on campus, including line control, ticket taking, contraband control, ushering, and limited crowd control. Aggie Hosts also operate the Safety Escort Service as part of Student Patrol. You can call (530) 752-1727 for an escort from 5:30 p.m. to 3:00 a.m. seven nights a week. Aggie Hosts patrol the parking structure at the Memorial Union at night and on weekends to reduce vandalism and provide security for nighttime users of the structure.

### **Missing Persons Notification Policy**

UC Davis takes the safety and welfare of our students very seriously. To that end, each student living in a campus housing facility has the opportunity to register the name and contact information of a person they would like notified if they are determined to be missing and cannot be located through reasonable outreach and investigation. Missing person contact information is registered confidentially and is accessible only to authorized campus officials in the event of a missing person investigation.

Missing persons can be reported to Student Housing and Dining Services staff within the specific student housing area, or directly to the UC Davis Police. Student Housing and Dining Services will notify UC Davis Police in the event any resident student is discovered to be missing. The UC Davis Police Department will take any missing persons report without delay, regardless of jurisdiction. A missing person report will be given investigative priority over non-emergency property crimes and will not require any time frame to pass before beginning a missing person investigation.

When an officer receives a report of a missing person, the officer will determine the category of missing person and complete a report. The reporting officer will ensure that the

appropriate information is entered into the California and National Missing Persons database. The UC Davis Police Department will inform local law enforcement within 24 hours that a student is missing.

The reporting UC Davis Police Officer will also ensure notification is made to the student's emergency contact, if available, within 24 hours of the initial report. If the missing person is under 18 years old and is not emancipated, UC Police will notify a custodial parent or guardian, within 24 hours of the initial report.

## **Sexual Violence**

### **Overview of Policies**

The University of California is committed to creating and maintaining a community where all individuals who participate in University programs and activities can work and learn together in an atmosphere free of harassment and violence. The University prohibits sexual violence, including sexual assault, relationship violence, and stalking; such behavior violates University policy and may also violate the law (see Appendix B for the UC systemwide policy and Appendix C for the UC Davis policy).

UC Davis takes all complaints of sexual violence very seriously. The safety and well-being of our students, faculty, and staff are among the University's highest priorities. Anyone who has been affected by sexual violence, whether on or off campus, is encouraged to utilize the support services listed in this section.

The following definitions apply to University policies regarding sexual violence and sexual harassment:

- **Complainant:** A person alleged, in a report to the Title IX Officer, to have experienced prohibited conduct.
- **Confidential Resources:** Employees who receive information about prohibited conduct in their confidential capacity, including CARE; Ombuds; licensed counselors in student counseling centers and in employee assistance programs; any persons with a professional license requiring confidentiality (including health care employees but excluding campus legal counsel), or someone who is supervised by such a person; and pastoral counselors (persons associated with a religious order or denomination, who are recognized by that religious order or denomination as someone who provides confidential counseling). (See list of UC Davis Confidential Resources in Appendix C.)

Confidential Resources will inform a person who discloses experiencing possible Prohibited Conduct of the





discloser's right to report directly to the Title IX Officer and how to do so.

Designation as a "Confidential Resource" only exempts a person from reporting to the Title IX office but not from other mandatory reporting obligations under UC CANRA (Child Abuse and Neglect Reporting Act) Policy, the Clery Act as a Campus Security Authority (CSA), and other policies or laws that require reporting to campus or local law enforcement, or Child Protective Services.

- **Consent:** Consent is affirmative, conscious, voluntary, and revocable. Consent to sexual activity requires of each person an affirmative, conscious, and voluntary agreement to engage in sexual activity. It is the responsibility of each person to ensure they have the affirmative consent of the other to engage in the sexual activity. Lack of protest, lack of resistance, or silence do not, alone, constitute consent. Affirmative consent must be ongoing and can be revoked at any time during sexual activity. The existence of a dating relationship or past

sexual relations between the persons involved should never by itself be assumed to be an indicator of consent (nor will subsequent sexual relations or dating relationship alone suffice as evidence of consent to prior conduct).

The respondent's belief that the complainant consented does not provide a valid excuse where:

- ▶ the respondent's belief arose from the respondent's own intoxication or recklessness;
- ▶ the respondent did not take reasonable steps, in the circumstances known to the respondent at the time, to ascertain whether the complainant affirmatively consented; or
- ▶ the respondent knew or a reasonable person should have known that the complainant was unable to consent because the complainant was incapacitated, in that the complainant was asleep or unconscious, unable to understand the fact, nature, or extent of the sexual activity due to the influence of



drugs, alcohol, or medication, or unable to communicate due to a mental or physical condition.

- Location: Any University of California campus, the Lawrence Berkeley National Laboratory, Medical Centers, the Office of the President, and Agriculture and Natural Resources.
- Preponderance of the Evidence: A standard of proof that requires that a fact be found when, based on the evidence, the fact is *more likely than not* to have occurred.
- Prohibited Conduct
  - ▶ Relationship Violence: includes both dating violence and domestic violence and is defined as physical violence toward the complainant or a person who has a close relationship with the complainant (such as a current or former spouse or intimate partner, a child or other relative); or intentional or reckless physical or non-physical conduct toward the complainant or someone who has a close personal relationship with the complainant that would make a reasonable person in the complainant's po-

sition fear physical violence toward themselves or toward the person with whom they have the close relationship, that is by a person who is or has been in a spousal, romantic, or intimate relationship with the complainant, or who shares a child with the complainant, *and* that is part of a pattern of abusive behavior by the person toward the complainant. Physical violence is physical conduct that intentionally or recklessly threatens the health and safety of the recipient of the behavior, including assault. Patterns of abusive behavior may consist of or include non-physical tactics (such as threats, isolation, property destruction, abuse of pets, economic control, displaying weapons, degradation, or exploitation of a power imbalance). The nature of the relationship between the complainant and respondent is determined by the length and type of relationship, and the frequency of interaction between them. Conduct by a party in defense of self or of another is not Relationship Violence under this Policy. If either party asserts that they acted in defense of self or of another, the Title IX Officer will use all available relevant evidence to evaluate



the assertion, including reasonableness of the defensive actions and which party is the predominant aggressor.

- ▶ Sexual Assault—Contact: Without the consent of the complainant, intentionally touching the complainant's intimate body part (genitals, anus, groin, breast, or buttocks); making the complainant touch another or themselves on any intimate body part; or touching the complainant with one's intimate body part, whether the intimate body part is clothed or unclothed. As this definition encompasses a broad spectrum of conduct, not all of which constitutes sexual violence, the Title IX Officer must sometimes determine whether an allegation should be charged as sexual violence or sexual harassment.
- ▶ Sexual Assault—Penetration: Without the consent of the complainant, penetration, no matter how slight, of the complainant's mouth by a penis or other genitalia; or the complainant's vagina or anus by any body part or object.
- ▶ Sexual Assault—Contact and Sexual Assault—Penetration are aggravated when they include overcoming the will of complainant by force (the use of physical force or inducing reasonable fear of immediate or future bodily injury); violence (the use of physical force to cause harm or injury); menace (a threat, statement, or act showing intent to injure); duress (a direct or implied threat of force, violence, danger, hardship, or retribution that is enough to cause a reasonable person of ordinary sensitivity, taking into account all circumstances including age and relationship, to do or submit to something that they would not otherwise do); or deliberately causing a person to be incapacitated (through drugs or alcohol). Sexual Assault—Penetration and Sexual Assault—Contact are also aggravated when they include intentionally taking advantage of the other person's incapacitation (including voluntary intoxication); recording, photographing, transmitting, or distributing intimate or sexual images without the prior knowledge and consent of the parties involved; or engaging in the conduct during or in connection with a clinical encounter (as defined in Appendix V of Appendix B) in which the Complainant was a patient and the Respondent was a health care provider or health care worker.
- ▶ Sexual Harassment – Hostile Environment: Unwelcome sexual or other sex-based conduct that is sufficiently severe, persistent, or pervasive that it unreasonably denies, adversely limits, or interferes with a person's participation in or benefit from the education, employment or other programs, or activities or services of the University, and creates an environment that a reasonable person would find to be intimidating or offensive.
- ▶ Sexual Harassment – Quid Pro Quo: Sexual Harassment – Quid Pro Quo occurs when a person's submission to unwelcome sexual conduct is implicitly or explicitly made the basis for employment decisions, academic evaluation, grades or advancement, or other decisions affecting participation in a University program or activity.  
Sexual conduct includes sexual or romantic advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature. Other sex-based conduct includes acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender, gender identity, gender expression, sex- or gender-stereotyping, or sexual orientation.  
Consideration is given to the totality of the circumstances in which the conduct occurred. The policy is implemented in a manner that recognizes the importance of the rights to freedom of speech and expression and will not be interpreted to prohibit expressive conduct that is protected by the free speech and academic freedom principles discussed in Section III.F of the UC Sexual Violence and Sexual Harassment Policy (Appendix B).
- ▶ Sexual Exploitation: Taking sexual advantage of another, where the conduct is not otherwise addressed in the SVSH Policy, in the following circumstances: (a) The trafficking or prostituting of another without their consent: Inducing the Complainant to perform a commercial sex act through force, fraud, or coercion, or where the Complainant is under the age of 18; (b) Knowingly making a material false representation about sexually transmitted infection, birth control, or prophylactic status with the specific intent and effect of inducing the Complainant to participate in a specific sexual act or encounter; (c) Providing alcohol or drugs to the Complainant with the specific intent and effect of facilitating Prohibited Conduct; or (d) Actively

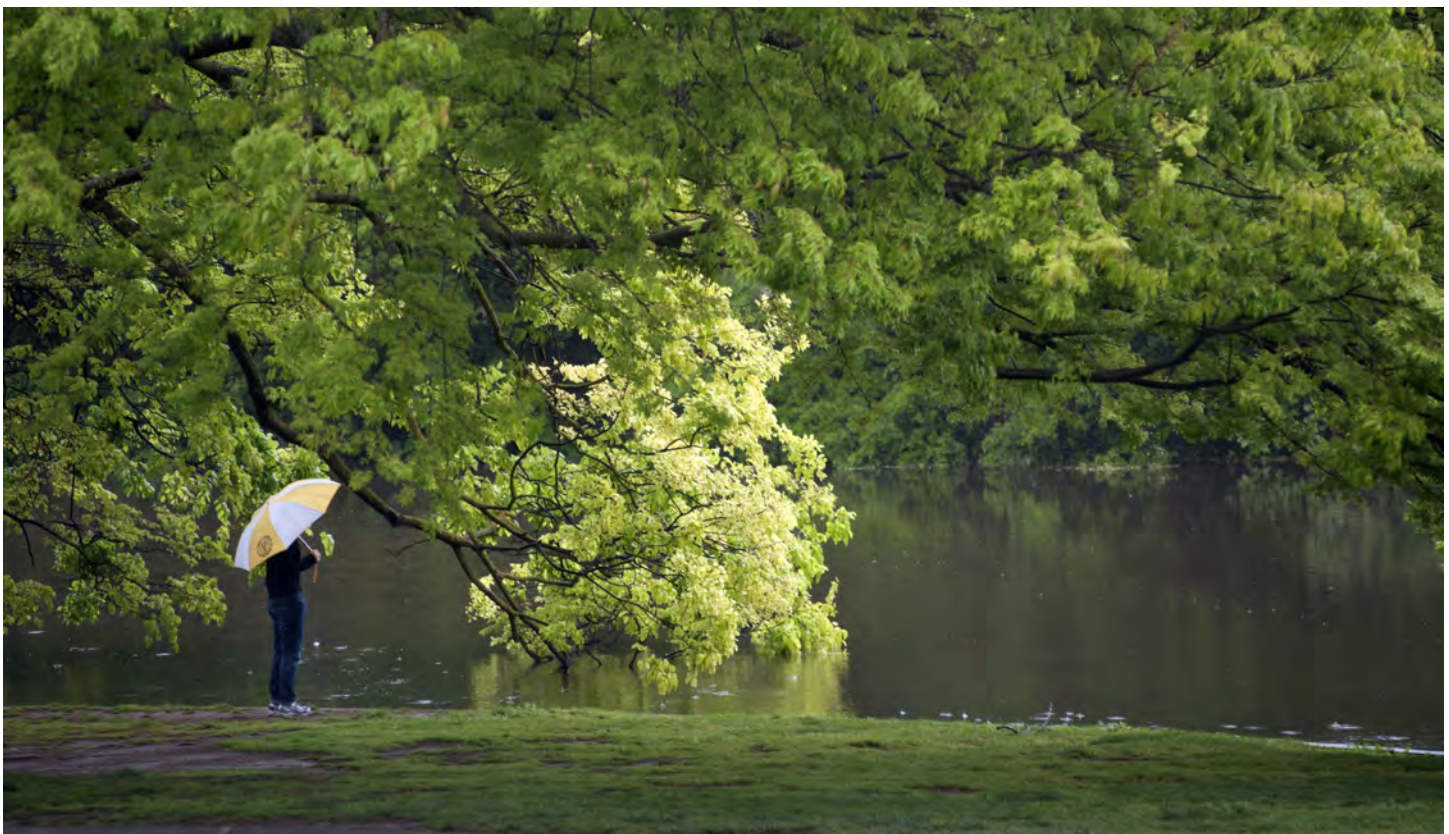
facilitating or assisting another person in committing Prohibited Conduct.

As used in the above definition of Sexual Exploitation: Coercion is overcoming the will of Complainant through credible threats of serious physical or non-physical harm to the Complainant or another person; a plan intended to make the Complainant believe that failure to perform an act would result in serious physical or non-physical harm to the Complainant or another person; or the abuse or credible threat of abuse of a legal or University policy process. A commercial sex act is any sex act for which anything of value is given to or received by any person. Force is physical conduct that would reasonably overcome the will of another. Fraud is intentional deception that would reasonably overcome the will of another.

- ▶ Stalking: repeated conduct directed at a complainant (e.g. following, monitoring, observing, surveilling, threatening, communicating or interfering with property), of a sexual or romantic nature or motivation, that would cause a reasonable person to fear for their safety, or the safety of others, or to suffer substantial emotional distress. Stalking that is

not sex-based is addressed by other University policies, including but not limited to, the [Policy on Student Conduct and Discipline Section 102.10](#).

- ◆ Non-sex-based stalking by undergraduate or graduate students is defined in Section 102.10 of the Policy on Student Conduct and Discipline (Appendix I) as behavior in which a student repeatedly engages in a course of conduct directed at another person and makes a credible threat with the intent to place that person in reasonable fear for their safety, or the safety of their family; where the threat is reasonably determined by the University to seriously alarm, torment, or terrorize the person; and where the threat is additionally determined by the University to serve no legitimate purpose.
- ◆ Non-sex-based stalking by staff members is considered a form of bullying and is defined in Section II.B of the UC Davis policy on Bullying and Abusive Conduct in the Workplace (PPM Section 390-30; Appendix M) as a pattern of repeated behavior that a reasonable person would find hostile, offensive, and unrelated to the University's legitimate business interests.





Bullying often involves an abuse or misuse of power. A single physical, verbal, or written act or behavior generally will not constitute bullying unless it is especially severe and egregious.

- ◆ Non-sex-based stalking by academic appointees meets several standards of unacceptable conduct described in the Faculty Code of Conduct (APM 015; Appendix N), including:

“[C]onduct which ... significantly impairs the University’s central functions as set forth in the Preamble,” which are “to provide and sustain an environment conducive to sharing, extending, and critically examining knowledge and values, and to furthering the search for wisdom.”

“[H]arassment, against a [student, University employee, or faculty colleague] .... for ... arbitrary or personal reasons.”

“Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student for arbitrary or personal reasons.”

“[H]arassment of another member of the University community [] that interferes with that person’s performance of University activities.”

“Serious violation of University policies governing the professional conduct of faculty, including but not limited to policies applying to ... violence in the workplace, ....”

- ▶ Other Prohibited Behavior includes invasion of sexual privacy; sexual intercourse with a person under the age of 18; exposing one’s genitals in a public place for the purpose of sexual gratification; and failing to comply with the terms of a no-contact order, a suspension of any length, or any order of exclusion issued under the UC Sexual Violence and Sexual Harassment Policy. See Appendix B for more information on Other Prohibited Behavior.
- ▶ Retaliation: An adverse action against a person based on their report or other disclosure of alleged prohibited conduct to a University employee, or their participation in, refusal to participate in, or assistance with the investigation, reporting, remedial, or disciplinary processes provided for in the UC Sexual Violence and Sexual Harassment Policy. An adverse action is conduct that would discourage a reasonable person from reporting prohibited conduct or participating in a process provided for in

the UC Sexual Violence and Sexual Harassment Policy, such as threats, intimidation, harassment, and coercion. Good faith actions lawfully pursued in response to a report of prohibited conduct (such as gathering evidence) are not, without more, retaliation.

- ▶ Prohibited Conduct in Clinical Settings: The definitions of some forms of Prohibited Conduct are modified when they occur in the context of patient care, meaning the Complainant is a patient and the Respondent is a health care provider or health care worker. Specifically:

- ◆ Sexual Assault – Penetration: Penetration, no matter how slight, of the Complainant’s vagina or anus by any part of the Respondent’s hand or by a medical device, if the Respondent engaged in the conduct for a sexual purpose.

- ◆ Sexual Assault – Contact: Intentionally, and for a sexual purpose, touching a Complainant’s intimate body part (genitals, anus, groin, breast, or buttocks) or making the Complainant touch themselves on an intimate body part, whether the body part is clothed or unclothed.

- ◆ Invasions of Sexual Privacy: For a sexual purpose, watching or enabling others to watch the Complainant’s nudity or sexual acts; or making or attempting to make photographs (including videos) or audio recordings, or posting, transmitting or distributing such recorded material, depicting the Complainant’s nudity or sexual acts.

- ◆ Sexual Harassment. Conduct that meets the definition of Pro Quo Sexual Harassment or Hostile Environment Sexual Harassment as provided above, if Respondent engaged in the conduct for a sexual purpose.

- ◆ See Appendix V of Appendix B for additional information and definitions regarding prohibited conduct in clinical settings.

- Respondent: A person alleged, in a report to the Title IX Officer, to have engaged in prohibited conduct.
- Responsible Employee: Any University employee who is not a confidential resource. If a Responsible Employee learns, in the course of employment, that a student may have experienced Prohibited Conduct or that Prohibited Conduct may have occurred in the context of patient care, they must promptly notify the Title IX Officer or designee. This includes resident assistants,

graduate teaching assistants, and all other student employees, when disclosures are made to them in their capacities as employees.

In addition, the following who, in the course of employment, receive a report of prohibited conduct from any other person affiliated with the University must notify the Title IX Officer or designee, including: Campus Police; Human Resource Administrators, Academic Personnel, and Title IX Professionals; Managers and Supervisors including Deans, Department Chairs, and Directors of Organized Research Units (ORU); and faculty members.

### Obtaining Support, Assistance, Resources, and Referrals

CARE provides confidential support and assistance to victims of sexual harassment and sexual violence, including sexual assault, intimate partner violence, and stalking. The CARE Advocate can provide individual crisis counseling,

and will accompany victims as desired during evidentiary exams, interviews by law enforcement or University investigators, administrative proceedings, court hearings, and other proceedings associated with their assault or abuse. In addition, the CARE Advocate serves in an advocacy role for the interests and needs of the victim, and will discuss options and procedures regarding academic assistance, housing, safety, transportation, employment, and medical and counseling needs. With respect to academic matters, the CARE Advocate serves as liaison between the victim and instructors, departments, and dean's offices to make necessary arrangements for accommodations. The CARE Advocate also serves as liaison for issues of housing and safety, and will assist in changing on-campus housing if necessary. A CARE Advocate can explain the availability of, and provide assistance with, University no contact orders, restraining orders, and/or orders of protection, that is, an order issued by a judge, enforced by local law enforcement or the court, and meant to protect a person from harm or harassment. These services are available regardless of whether the victim chooses to report to the University, campus police, or local law enforcement.

The CARE Advocate will refer victims as necessary to other resources, including support groups, individual psychological counseling, and outside agencies. Additional rape crisis services are available in Yolo County through Empower Yolo in Woodland (crisis line: (530) 662- 1133). Sacramento is served by WEAVE (Women Escaping A Violent Environment), crisis line (916) 920-2952. A comprehensive list of resources available to victims of sexual violence can be found at the [Sexual Violence Prevention and Response website](#).

Consulting with CARE will not lead to an official report to the police or the University. Victims may choose to report an incident to law enforcement at any time, with or without the assistance of the CARE Advocate. The CARE Advocate will provide information about reporting, can assist with filing a police report within any jurisdiction, and can assist with reporting to the University if the victim chooses to do so. (See *Reporting Sexual Assault, Domestic Violence, Dating Violence, and Stalking*, below.)

If a victim of sexual assault reports an incident directly to the UC Davis Police Department, the department will contact a CARE Advocate as soon as the victim contacts the police to ensure the victim has an advocate present during the investigative interview. In cases of relationship violence and stalking, the UC Davis Police Department will ensure that the victim knows they have a right to have an advocate present during the investigative interview. As noted above,







a CARE Advocate is available regardless of whether individuals choose to report the assault to law enforcement.

Victims can contact CARE by calling (530) 752-3299 or (916) 734-3799.

### *Notice of Rights & Options*

Any student, faculty, or staff member who reports sexual or gender violence, including sexual assault, relationship violence, or stalking, whether the offense occurred on or off campus, is provided with a written explanation of their rights and options (see Appendix D). This written explanation identifies existing counseling, health, mental health, advocacy, legal assistance, visa and immigration assistance, and other services available for victims, both within the institution and in the community; and describes options for available assistance in; and how to request changes to academic, living, transportation, and working situations or protective measures. UC Davis will make such accommodations or provide such protective measures if the victim requests them and if they are reasonably available, regardless of whether the victim chooses to report the incident to UC Davis Police or local law enforcement. A CARE Advocate can provide assistance in arranging for additional support services or accommodations.

### **Seeking Medical Attention and Preserving Evidence**

Regardless of whether the incident is reported to the police, it is important to seek immediate medical attention, even if there is no evidence of serious injury. In cases of sexual assault, a medical examination is important to check for sexually transmitted diseases or other infections/injuries,

and for pregnancy. A CARE Advocate can help victims find an appropriate medical provider.

The University encourages victims to preserve all physical evidence; the Sexual Violence Support Services and Reporting Options brochure (Appendix D) includes information about the timing and preservation of evidence. To preserve evidence, individuals should not change clothes, bathe or shower, brush their teeth or use mouthwash, comb their hair, or take other action to clean up before going to the hospital. If individuals feel they may have been administered drugs to facilitate an assault, it is best to wait to urinate until reaching the hospital where a urine sample can be collected. If the incident of sexual violence happened within 1 - 5 days, individuals, if they choose, may be eligible to have an evidentiary exam in order to collect evidence of the assault.

A CARE Advocate will accompany victims to the exam if they consent. Usually, law enforcement approves the exam for evidentiary purposes; however, if a victim is not sure they want to report the assault to the police, they may be eligible for an exam as specified by the Violence Against Women Act (VAWA). A VAWA exam may allow victims to have evidence collected while it is still possible, and give them some time to think about whether to report the crime.

Please note that neither the UC Davis Student Health & Wellness Center nor Sutter Davis Hospital conduct evidentiary exams. These exams are provided by the Bridging Evidence Assessment & Resources (BEAR) program in Sacramento. If a sexual assault has happened in the last 1 – 5

days, please call the emergency, on-call CARE Advocate at (530) 752-3299 to speak about the option of obtaining an evidentiary exam. During non-business hours, select the option to be immediately connected to the confidential counselor.

Victims/survivors of sexual assault, relationship violence and stalking are also encouraged to preserve evidence by saving text messages, instant messages, social networking pages, other communications, pictures, logs, or other copies of documents that may be useful to University investigators or police.

## Reporting Sexual Assault, Relationship Violence, and Stalking

Individuals have the right to choose whether they want to report an incident of sexual violence to the University, to local law enforcement agencies, or to both. Individuals also have the right not to file a report. If a victim decides they would like to report an incident, they are encouraged to file a report as soon as possible. Delays in reporting may make gathering evidence more difficult, which may in turn affect criminal prosecutions and University investigations. A CARE Advocate can explain the options and procedures associated with filing a report and will assist victims in notifying the appropriate police agency and/or the University should the victim choose to do so. Please note that reporting an incident is a separate step from choosing to participate in prosecution. When an individual files a report, they are not obligated to participate in legal or University proceedings. A decision to participate or not participate in such proceedings can be made at any time.

Individuals can report an incident of sexual harassment or sexual violence to the University by contacting the [Harassment & Discrimination Assistance and Prevention Program](#) (HDAPP) at (530) 747-3864 or (916) 734-3417. Individuals can also report incidents of sexual harassment or sexual violence via email to [hdapp@ucdavis.edu](mailto:hdapp@ucdavis.edu), or by submitting a report online at <http://ocpweb.ucdavis.edu/svsh/public/report-form.cfm>. A CARE Advocate can help schedule the meeting and accompany the reporter when making the report to HDAPP. Reports can also be sent at any time via mail or email to the UC Davis Title IX Officer, Wendi Delmendo ([wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu); University of California – Davis / One Shields Ave / Davis CA 95616).

In addition to HDAPP, individuals can report an incident of non-sex-based stalking against a student respondent to the Office of Student Support and Judicial Affairs (OSSJA) by telephone at (530) 752-1128, by email at

[ossja@ucdavis.edu](mailto:ossja@ucdavis.edu), or in person at 3200 Dutton Hall (Mon-Thu 9:00-Noon & 1:00-4:00pm and Fri 9:00am-Noon). Reports of non-sex-based stalking may also be made online via [OSSJA's Public Incident Report form](#).

Reports of non-sex-based stalking against a staff member respondent may be made to the complainant's supervisor, appropriate department head, or the following applicable university offices:

- **Staff:** Employee and Labor Relations (Davis: (530) 754-8892; UCD Health (916) 734-3362)
- **Academic Employees:** Academic Affairs ((530) 752-5726)
- **Postdoctoral Scholars, Academic Student Employees, Teaching Assistants and Graduate Researchers:** Graduate Studies ((530) 752-0650; [gradseices@ucdavis.edu](mailto:gradseices@ucdavis.edu))
- **Student Employees:** Office of Student Support and Judicial Affairs ((530) 752-1128)

Reports of non-sex-based stalking against an academic appointee respondent may be made to the Vice Provost for Academic Affairs ((530) 752-2072), or the UC Davis Chief Compliance Officer ((530) 752-9466; [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu)).

Any person who has been the victim of a sexual assault, relationship violence, or stalking, or anyone who has witnessed such a crime is encouraged to immediately report the incident to the law enforcement agency having jurisdiction over the case. If the incident occurred on the Davis campus or at the UCD Health campus, the UC Davis Police Department may be reached by calling 911, (530) 752-1230 (Davis campus), or (916) 734-2555 (UCD Health). A CARE Advocate can help schedule the meeting and accompany the reporter when making the report to the Police. Individuals who wish to report the incident to the University may send a report at any time to the UC Davis Title IX Officer, Wendi Delmendo ((530) 752-9466; [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu); University of California-Davis / One Shields Ave / Davis CA 95616) or to the [Harassment & Discrimination Assistance and Prevention Program](#) (HDAPP; (530) 747-3864 or (916) 734-3417; [hdapp@ucdavis.edu](mailto:hdapp@ucdavis.edu)).

Regardless of where the incident occurred, victims of sexual violence may access confidential support and advocacy services from CARE. Victims may choose to access CARE services even if they do not wish to make a formal report to law enforcement or the University.



## Administrative Handling of Sexual Assault, Relationship Violence, and Stalking

UC Davis responds to reports of sexual assault, relationship violence, and sex-based stalking through the University's Sexual Violence and Sexual Harassment (SVSH) policy. The process is designed to ensure a prompt, fair and impartial process from initial investigation through to the final result. All officials with responsibility for reporting or responding to prohibited conduct, including those with responsibility in the investigation, adjudication, and appeal processes, receive annual training on the issues related to relationship violence, sexual assault, and stalking, as well as how to conduct an investigation and hearing process that protects the safety of victims and promotes accountability. Full copies of the University of California and UC Davis policies can be found in Appendices B and C, respectively.

Regardless of whether someone chooses to report an incident, they are encouraged to contact CARE, where all intervention services are confidential, free, and available to any UC Davis student, staff, or faculty. If the complainant chooses to make a formal report to the University, the CARE Advocate can arrange for the complainant to meet with someone from HDAPP. The complainant may also choose to report directly to HDAPP without the assistance of the CARE Advocate. The HDAPP representative will explain the UC Davis administrative procedures for responding to complaints of sexual violence. Staff from HDAPP and CARE will also help with any accommodations that may be needed.

A CARE Advocate can discuss protective measures that may be considered and assist with obtaining such measures as:

- Orders of protection, no contact orders, restraining orders, or similar lawful orders issued by criminal or civil courts.
- Creating a plan to limit or prevent contact between the complainant and the respondent. This may include making changes to classes, work situations, transportation, or housing arrangements for the complainant or the respondent, regardless of whether the crime is reported to campus police or local law enforcement.
- Taking steps to increase the complainant's sense of safety and security while they continue with classes, work and other activities.

UC Davis will maintain the confidentiality of accommodations or protective measures to the greatest extent possible.

Depending upon the circumstances of the case, the University may consider other supportive or remedial measures. If the respondent is a student and if the circumstances warrant it, the University may decide that an interim suspension is necessary.

After meeting with HDAPP, a complainant's report is reviewed by the Title IX Officer to determine whether the report on its face alleges an act of prohibited conduct covered by the Sexual Violence and Sexual Harassment policy; whether there is sufficient information to carry out a resolution process; and whether the complainant is willing to participate in a formal resolution process. If these condi-





tions are met, the Title IX Officer will initiate either the Alternative Resolution process or charge an investigation. These processes are discussed in more detail in the next sections. If these conditions are not met, the Title IX Officer will still, when appropriate, take steps to stop the reported conduct, prevent its escalation or recurrence, and address its effects. Such steps may include, for example, offering resources and supportive measures to the complainant and providing targeted preventive education, including to the respondent, and training programs.

### *Alternative Resolution*

After an initial assessment of the allegations, the Title IX Officer may – if the complainant and respondent agree – begin an Alternative Resolution process. Alternative Resolution is a structured yet flexible, voluntary, binding, remedies-focused process for resolving complaints of prohibited conduct as an alternative to an investigation. Alternative Resolution seeks to stop potential prohibited conduct, prevent its recurrence, and meet the needs of the complainant, without a determination of whether the respondent violated the SVSH Policy. Alternative Resolution may include, among other responses, separating the parties; providing for safety; referring the parties to counseling; referral for disciplinary action; an agreement between the parties; and conducting targeted preventive education and training programs. The Title IX Officer is responsible for overseeing

the process, including determining whether it is appropriate in individual cases; determining the form it will take, in consultation with the parties; and coordinating a response, when appropriate, with other University offices.

Participation in the Alternative Resolution process is voluntary, meaning both the complainant and respondent must agree to participate. The Alternative Resolution process is typically completed within 30 to 60 business days. Once the parties have agreed to the terms of an Alternative Resolution, the University will not conduct an investigation unless the Title IX Officer determines that the respondent failed to satisfy the terms of the Alternative Resolution, or that the Alternative Resolution was unsuccessful in stopping the prohibited conduct or preventing its recurrence.

### *Investigation*

If an investigation is warranted, the Title IX Officer will appoint a University investigator. Investigators receive annual training on issues related to sexual assault, relationship violence, and stalking; and how to conduct an investigation that protects the safety of complainants, provides due process and promotes accountability. Both the complainant and the respondent will be notified of the charges and investigation, and each will have the same rights during it, including, but not limited to, the right to be accompanied by an advisor as well as a support person of their



choice at any stage of the process, and to be simultaneously informed in writing of the outcome of the investigation.

Investigators apply a preponderance of evidence standard to determine responsibility. The UC Sexual Violence and Sexual Harassment Policy (Appendix B) describes the procedures used to ensure a full, fair, and impartial investigation.

The University investigator will meet separately with the complainant and respondent, and other potential witnesses, to gather information. Neither a complainant nor witness in an investigation of sexual violence will be subject to disciplinary sanctions for a violation of the relevant University conduct policy at or near the time of the incident, unless the violation placed the health or safety of another at risk; involved plagiarism, cheating, or academic dishonesty; or was otherwise egregious. The complainant and the respondent will have the opportunity to receive information about the evidence gathered and identify questions for the investigator to pose.

When the fact-gathering portion of the investigation is complete, the investigator will prepare and submit a report that includes their findings of fact and a preliminary or final determination on whether the respondent has violated University policy. Both parties are informed simultaneously of the findings of fact and preliminary or final determination, typically within 60 to 90 business days of the initiation of the investigation.

The investigator issues a *preliminary determination* when the respondent is a student or if the respondent is a staff or faculty member and the DOE Formal Grievance Process (discussed further below) is used in the post-investigation resolution. Otherwise, the investigator issues a *final determination* regarding responsibility as part of the investigation process and the report is referred to the appropriate office, either Employee and Labor Relations for staff and non-faculty academics or Academic Affairs for Senate and Non-Senate faculty for further action as appropriate.

If the respondent is a student, the report is forwarded to the Director of the Office of Student Support and Judicial Affairs (OSSJA), who reviews the investigation report and, if there was a finding of a policy violation, proposes an appropriate sanction. The complainant and the respondent each have an opportunity to contest the investigator's policy findings and, if there was a finding of a violation of policy, provide input to the Director of OSSJA on potential sanctions. If either party contests the investigator's findings as to whether the policy was violated, a Hearing Officer will be appointed and a fact-finding hearing will be held in accordance with [PACAOS – Appendix E: University of California Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework](#). (Appendix E).

After the completion of the fact-finding hearing, the Hearing Officer issues their decision on whether the Sexual Vio-



lence and Sexual Harassment Policy was violated and, if so, the Director of OSSJA determines an appropriate sanction. Both the complainant and respondent have the opportunity to appeal the Hearing Officer's decision on specific grounds and, if applicable, the sanction assigned by OSSJA. If submitted, the appeal is reviewed by an Appeal Officer who then issues a decision that upholds the findings and sanctions; overturns the findings or sanctions; or modifies the findings or sanctions. The Appeal Officer's decision is final and there are no further rights to appeal.

For more information about post-investigation processes for faculty and staff, see:

- Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel (Appendix G)
- Investigation and Adjudication Framework for Senate and Non-Senate Faculty Senate or Non-Senate Faculty respondents (Appendix H)

### *Department of Education Grievance Process*

In compliance with the Title IX regulations issued by the US Department of Education (DOE) that went into effect on August 14, 2020, the University is required to follow a specific post-investigation grievance process (DOE Grievance Process) when certain conditions are met. Appendix IV of the University Sexual Violence and Sexual Harassment Policy (Appendix B) provides detailed information about the conditions that must be met for conduct to be considered DOE-Covered Conduct and, when investigated, resolved via the DOE Grievance Process.

In summary, 'DOE-Covered Conduct' comprises conduct that:

- is alleged to have occurred on August 14, 2020 or later;
- is reported by the complainant while they were participating in a University program in the US and meets the requirements of a DOE Formal Complaint;
- and, if true, constitutes Sexual Assault – Penetration; Sexual Assault – Contact; Relationship Violence; Stalking; Sexual intercourse with a person under the age of 18; Sexual Harassment – Quid Pro Quo as defined by the SVSH policy; Invasion of Sexual Privacy as defined by the SVSH Policy and that a reasonable person would determine was so severe, pervasive, and objectively offensive that it effectively denied the complainant equal access to the University's programs or activities; or unwelcome sexual or other sex-based conduct (as defined in the SVSH Policy) that a reasonable person would determine is so severe, pervasive, and objectively offensive that it effectively denied the complainant equal access to the University's programs or activities.

Each party has the right to contest the investigator's preliminary determination and, if the investigator preliminarily determined that a policy violation occurred, the proposed sanction or remedy. If either party contests the preliminary determination, a fact-finding hearing is held. At the hearing, each party has the right to have an advisor ask questions of the other party and witnesses. If a party does not have an advisor, the University will make a person available who will ask questions on behalf of that party. After the hearing, there is a right to appeal the Hearing Officer's determination.

The details of the hearing and post-hearing appeal and sanctioning or remedy phase of the DOE Grievance Process vary based on the affiliation of the respondent – i.e. student; staff or non-faculty academic personnel; or Senate or non-Senate faculty – and can be found in the following documents:





- For investigations with student respondents: Interim PACAOS-Appendix-F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct (Appendix F)
- For investigations with Staff or Non-Faculty Academic respondents: Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel (Appendix G)
- For investigations with Senate or Non-Senate Faculty respondents: Investigation and Adjudication Framework for Senate and Non-Senate Faculty Senate or Non-Senate Faculty respondents (Appendix H)

### Disciplinary Sanctions

Disciplinary sanctions for students found in violation of the UC Sexual Violence and Sexual Harassment Policy include:

- Deferred Separation
- Dismissal
- Suspension
- Exclusion from areas of campus or official University functions
- Loss of privileges and/or exclusion from activities
- Restitution
- Probation
- Censure/Warning; and/or
- Other actions as set forth in University policy and campus regulations.

Sexual Assault – Penetration, Relationship Violence, or Stalking violations result in suspension for at least two calendar years absent exceptional circumstances. Sexual Assault – Contact violations result in a minimum one year suspension absent exceptional circumstances. A finding that conduct constituting Sexual Assault – Penetration or Sexual Assault - Contact was aggravated will result in a minimum sanction of suspension for two years.

UC Davis staff or faculty members may be subject to disciplinary action following an investigation into allegations of sexual harassment or sexual violence under applicable personnel policies or collective bargaining agreements. Possible sanctions the University may impose on faculty/staff will depend on the nature of the violation and may include:

- Written reprimand in personnel file
- Reduction in salary
- Temporary or permanent demotion

- Unpaid suspension
- Denial or curtailment of emeritus status
- Dismissal from the employ of the University
- Mandated education
- Change in work location
- Restrictions from all or portions of campus
- Restrictions to scope of work

For more information about the administrative process the University uses to handle cases of sexual violence, contact HDAPP at (530) 747-3864 or (916) 734-3417 or see the [Sexual Violence Prevention and Response website](#).

### Confidentiality

The University will protect the privacy of everyone involved in a report of sexual violence to the greatest degree possible under law and University policy. If an individual does not wish to file a report with the police or the University, they can consult confidentially with CARE by contacting (530) 752-3299 or (916) 734-3799.

If an individual decides to report sexual violence to the University, a small group of administrators will consult to determine the appropriate administrative response. That group includes the Title IX Officer and HDAPP Director; and a representative from Academic Affairs, Office of Student Support and Judicial Affairs or Human Resources, as appropriate. These people will be informed of both parties' names and the allegations.

A respondent will generally not be informed that a complaint has been filed against them until the University decides to commence a formal resolution process, either alternative resolution or formal investigation. In some cases and under limited circumstances, a respondent must be informed of the allegations earlier if the allegations fall under the DOE Grievance Process. Otherwise, if an alternative resolution is proposed, the respondent is informed of the complainant's identity when they are offered the option of an alternative resolution, which only occurs after the complainant has already agreed to participate. If an investigation is charged, the respondent is not automatically told who made the complaint. However, the complainant's name will probably appear in the notification letter sent to the respondent by the Title IX Officer. For example, the letter regarding an allegation of sexual assault generally contains this language:

"I'm writing to notify you that I have received a complaint that you engaged in conduct that may have vio-



lated the University's sexual harassment and sexual violence policy. Specifically, it is alleged that you sexually assaulted (name) at (location) on (date) . . .”

Witnesses who are interviewed by the investigator will also know about the report, but they will not be told who made the report. Until the investigation is completed, no one else would have reason to be told about the report. Professors, parents, supervisors, co-workers, or others are not informed. If a complainant needs assistance getting extensions, changing residence, or with any other interim actions, CARE may be able to provide that assistance without providing any details to others.

At the conclusion of the investigation, the Title IX Officer will provide a complete copy of the investigation report with notification of the investigation outcome to both the respondent and complainant. The report may be redacted to protect privacy.

It may be helpful to know that all University employees have an obligation to notify the University's Title IX Officer about reports of sexual harassment and sexual violence made by students. Specific University employees, including managers and supervisors among others, have an obligation to notify the University's Title IX Officer about all reports of sexual harassment and sexual violence even if the person making the report requests that no action be taken. If an individual prefers to seek assistance that will not lead to a report, they should consider talking with one of the University's confidential resources before making an official complaint. A complete list of confidential resources is available [online](#), and may also be found in the Sexual Violence Support Services and Reporting Options brochure (Appendix D).

For more information about the administrative process the University uses to handle cases of sexual violence, contact HDAPP at (530) 747-3864 or (916) 734-3417 or see the [Sexual Violence Prevention and Response website](#).

## Administrative Handling of Non-Sex-Based Stalking

Administrative handling of non-sex-based stalking varies according to the affiliation of the respondent (i.e. student, staff, or academic appointee). The processes for each type of respondent are summarized below and in the Appendices. As with sex-based stalking, complainants who have experienced non-sex-based stalking are encouraged to contact CARE, where all crisis intervention and support services are confidential, free, and available to any UC Davis student, staff, or faculty. CARE offers the same support and resources to victims of stalking, regardless of whether it is sex-based or non-sex-based. Unless otherwise noted, the information already provided above regarding confidentiality and disciplinary sanctions for sexual violence apply for non-sex-based stalking as well.

### Student Respondents

The process for handling reports of non-sex-based stalking by respondents who are UC Davis student respondents, except for students in the Schools of Medicine and Veterinary Medicine, is contained in the Policy on Student Conduct and Discipline (Section 100) of the University of California Policies Applying to Campus Activities and Students (PACAOS 100) as well as the UC Davis Policy on Student Conduct and Discipline (Appendices I and J) and is coordinated by the Office of Student Support and Judicial Affairs (OSSJA).

After receiving a report of non-sex-based stalking, the OSSJA Director will assign a Judicial Officer to determine whether the report on its face alleges an act of non-sex-based stalking and, if so, initiate the OSSJA Informal Resolution process. If the report does not allege non-sex-based stalking, the Judicial Officer will still, when appropriate, take steps to stop the reported conduct, prevent its escalation or recurrence, and address its effects.

### OSSJA Informal Resolution

At the start of the OSSJA Informal Resolution process, the Judicial Officer will meet with the respondent to re-



view the allegations and give the respondent the opportunity to respond. Using a preponderance of the evidence standard, the Judicial Officer will determine whether the alleged conduct occurred and, if so, whether it constituted non-sex-based stalking. If the Judicial Officer determines there was no violation, they will issue a Not Responsible letter to the respondent and the Informal Process will be complete.

If the Judicial Officer determines that non-sex-based stalking occurred, they will also propose an appropriate sanction. The respondent has the opportunity to agree or disagree with the policy determination, the proposed sanction, or both.

- If the respondent agrees with both the policy determination and the proposed sanction, the Judicial Officer and the respondent will sign a Disciplinary Agreement and the proposed sanction will be assigned.
- If the respondent agrees with the policy determination but disagrees with the proposed sanction, they may request that the OSSJA Director conduct a Sanction Review and determine the appropriate sanction. The respondent may appeal the outcome of a Sanction Review.
- If the respondent disagrees with the policy determination, the Judicial Officer will initiate the OSSJA Formal Hearing process

### **OSSJA Formal Hearing**

In an OSSJA Formal Hearing, the OSSJA Director will appoint a Hearing Authority to review the allegations and make a recommendation, based on the preponderance of the evidence, to the Director on whether the respondent engaged in non-sex-based stalking in violation of the Policy on Student Conduct and Discipline. At the Director's discretion, the Hearing Authority may comprise a single Hearing Officer or a Hearing Panel comprising at least one student and one employee. At the Hearing, both the complainant and respondent will have the opportunity to make statements and provide evidence and witnesses. By policy, OSSJA Formal Hearings are held within 75 business days of the first meeting with the respondent at the beginning of the OSSJA Informal Resolution process unless extended for cause by the OSSJA Director. After the Formal Hearing, and considering the Hearing

Authority's recommendation, the OSSJA Director will issue a policy determination and, if appropriate, the sanction. The respondent may appeal the Director's policy and sanction decision.

### **Potential Sanctions**

Potential sanctions that can be assigned for violations of the Policy on Student Conduct and Discipline, include non-sex-based stalking are listed in Section 105.00 of PACAOS 100 (Appendix I) and include:

- Disciplinary Probation
- Loss of Privileges and Exclusion from Activities
- Suspension
- Dismissal
- Exclusion from Areas of the Campus or from Official University Functions
- Interim Suspension
- Restitution
- Revocation of Awarding of Degree
- Other disciplinary actions such as monetary fines, community service, or holds on requests for transcripts, diplomas, or other student records to be sent to third parties, as set forth in campus regulations

For more information and details on the OSSJA Informal Resolution and Formal Hearing processes used to resolve complaints of non-sex-based stalking against student respondents not in the Schools of Medicine or Veterinary Medicine, see Appendices I and J.

### **UC Davis School of Medicine**

The administrative process for addressing allegations of non-sex-based stalking against students enrolled in the School of Medicine is contained in the School of Medicine Student Code of Academic & Social Conduct Policy (Appendix L). Allegations of non-sex-based stalking involving respondents enrolled in the School of Medicine should be reported in writing to the Associate Dean of Students, Professor Sharad Jain, MD at [shjain@ucdavis.edu](mailto:shjain@ucdavis.edu), and/or the [Committee on Student Promotions](#). The Associate Dean of Students will review the allegations and, based on the preponderance of the evidence, determine whether any disciplinary action is warranted. When applicable, the Associate Dean will be responsible for selecting and implementing the appropriate sanction(s). Potential

sanctions include disciplinary probation, loss of privileges and/or exclusion from activities, suspension, and dismissal.

#### **UC Davis School of Veterinary Medicine**

The process for handling and resolving allegations of non-sex-based Stalking against students enrolled in the School of Veterinary Medicine is contained in the School of Veterinary Medicine's Policy for Student Academic and Social Misconduct (Appendix K). Most cases of social misconduct such as non-sex-based stalking are resolved through an informal process in which the Associate Dean of Professional Education and the Chair of the School of Veterinary Medicine Student Affairs Committee (SOVM-SAC) consult with the reporting party and the respondent and, if appropriate, enter a written disciplinary contract specifying agreed sanctions for any admitted violations of policy. At the Associate Dean's and Chair's discretion, the matter may also be referred to an informal hearing with the SOVM-SAC to gather facts and attempt to reach a disciplinary agreement with the respondent. Both the informal process with the Associate Dean and informal hearing with the SOVM-SAC use the preponderance of the evidence as the evidentiary standard. Potential sanctions that can be as-

signed during the informal process, except where noted below, are the same sanctions described above and listed in Section 105.00 of PACAOS 100 (Appendix I).

If a disciplinary agreement cannot be reached via an informal process, or if the proposed sanction is Suspension or Dismissal, the case will be referred to OSSJA for an OSSJA Formal Hearing as described above and in Appendix I. The respondent may also elect to have an OSSJA Formal Hearing rather than engaging in the informal process.

#### ***Staff Respondents***

The administrative process for resolving reports of non-sex-based stalking against respondents who are staff members is contained in the UC Davis policy on Bullying and Abusive Conduct in the Workplace (UCD Policy and Personnel Manual Section 390-30; Appendix M).

After receiving a report of non-sex-based stalking, the supervisor, department head, or other appropriate official will review the allegations. Reports of non-sex-based stalking are reviewed as expeditiously as possible and use a preponderance of the evidence standard. If the official determines that the allegation was substantiated, they will, in consulta-





tion with Employee and Labor Relations, take appropriate actions. Appropriate actions include interventions to stop the substantiated conduct and/or the corrective actions listed above as potential sanctions for sexual assault, relationship violence, and sex-based stalking. Respondents who receive discipline have the right to file a complaint or grievance with the University. These rights and procedures are covered under the University's Complaint Resolution Policy ([PPSM 70](#)) and the Grievance article of the applicable collective bargaining agreement.

### *Academic Appointee Respondents*

There are two types of academic appointees with respect to disciplinary processes: (1) faculty members who are members of the Academic Senate, and (2) faculty members and other academic appointees who are not members of the Academic Senate. Although both types of academic appointees are subject to the same standards of conduct, the process for reviewing and resolving complaints of non-sex-based stalking differs between the two types of academic appointees.

#### **Senate Faculty Members**

The administrative review process for Senate Faculty members is described in the Faculty Code of Conduct (APM 015; Appendix N). The Chancellor or designee (i.e. Vice Provost for Academic Affairs) will review the allegations and may assign the matter for informal inquiry, informal disposition, or for a formal investigation. If there is an informal inquiry but no informal disposition is reached, the results of the informal inquiry may be used to determine whether to assign the matter to a formal investigation.

#### Informal Inquiry

One or more reviewers may be appointed to conduct an informal inquiry to review the allegations, which may include obtaining relevant documents and interviewing witnesses. Upon submitting a report on the informal inquiry, the Chancellor can select one of the following options: (1) informal disposition (e.g., informal written or oral warning to the accused); (2) non-disciplinary administrative actions; (3) negotiated agreement with the accused; (4) mediated resolution; or (5) formal investigation.

#### Formal Investigation

The Chancellor may appoint one or more individuals as investigators to conduct a formal investigation of the allegations. When appropriate, the investigators may make recommendations regarding the potential for informal resolution, including but not limited to, mediation with the assistance of a third-party mediator. The purpose of the formal

investigation is to determine whether there is sufficient evidence to indicate that there has been a violation of the Faculty Code of Conduct. The investigators prepare a written report that includes findings of fact, analysis of the facts with respect to relevant conduct standards, and conclusions with respect to whether violations of the Faculty Code of Conduct have occurred.

After reviewing the formal investigation results, the Chancellor may pursue one or more of the following courses of action, depending on the seriousness of the case: (1) mediation or informal disposition; (2) if sufficient evidence is found to initiate disciplinary action, the Chancellor may issue a written notice of proposed disciplinary action to the accused. If the accused accepts the proposed disciplinary action, the process concludes with the implementation of the disciplinary action. If the accused declines to accept the proposed disciplinary action, the Chancellor may file a formal complaint with the UC Davis Academic Senate Committee on Privilege and Tenure (P&T).

#### Formal Hearing before P&T

Formal disciplinary hearings before P&T include presentation of evidence, both documentary and testimonial, by both the University administration and the accused, including cross-examination of witnesses. The administration has the evidentiary burden of proving a violation of the Faculty Code of Conduct by "clear and convincing evidence." Following the hearing, P&T prepares a written report containing findings of fact, analysis of the facts with respect to relevant policies, conclusions with respect to whether a violation of the Faculty Code of Conduct has been found, and recommendations to the Chancellor with respect to disciplinary action, if any. P&T's review may result in a variety of outcomes, including: (a) upholding the administration's complaint in full, including the proposed sanction, (b) upholding all or some of the administration's complaint, with a recommended sanction less severe than that proposed, and (c) finding that the administration has failed to meet its evidentiary burden with respect to all of the complaint, and a recommendation of no discipline.

#### Administrative Decision

P&T's report and investigation is submitted to the Chancellor for review and action. The Chancellor may accept P&T's recommendations and implement the recommended sanction, if any, without modification. The Chancellor may also disagree with P&T's findings and recommendations, and impose a sanction different from that recommended by P&T, although the ultimate sanction may not be more severe than the sanction originally proposed to the Chancellor. Possible disciplinary sanctions include the following

(which may be imposed in combination): (a) written censure; (b) reduction in salary; (c) demotion; (d) suspension without pay; (e) denial or curtailment of emeritus status (which requires approval of the President); and (f) dismissal from employment (which requires approval by the Board of Regents).

### Non-Senate Academic Appointees

The administrative process for resolving reports of non-sex-based stalking by respondents who are non-Senate academic appointees (NSAA) is found in the UC Policy on Non-Senate Academic Appointees/Corrective Action and Dismissal (APM 150; Appendix O). This policy applies to all academic appointees of the University who are not members of the Academic Senate except for non-Senate academic appointees covered by a Memorandum of Understanding (MOU), for whom this policy applies only to the extent provided for in the MOU. As noted above, NSAAAs are subject to the same standards of conduct as Senate Faculty. However, unlike Senate Faculty, the evidentiary standard for imposing discipline for NSAA is, “preponderance of the evidence.”

Upon receipt of an allegation of misconduct, the respondent’s department chair, unit head, supervisor, or other appropriate administrator has the authority to review the allegations, investigate, and initiate and implement disciplinary

action. The scope of the investigation depends on the circumstances of the case and typically includes a review of relevant records and interviews with relevant witnesses sufficient to determine whether a preponderance of the evidence exists to support a violation of the code of conduct. Prior to instituting corrective action or dismissal, and where appropriate, efforts to resolve the issues informally should be attempted.

Corrective action may include a written warning, written censure, suspension without pay, reduction in salary, demotion for “good cause,” or dismissal from employment. In accordance with APM 150 (Appendix O), an NSAA may challenge a dismissal via a hearing before the Academic Senate or the grievance process.

### Sexual Violence Prevention Education and Awareness Programs

All new undergraduate, graduate, and professional students independently complete mandatory online sexual violence prevention training prior to starting classes or during their first period of enrollment at UC Davis. To supplement the online training, CARE also delivers in-person sexual violence prevention and awareness presentations to new undergraduate students during their orientation programs. This dual education program for new students includes information about the nature, dynamics, and common circumstances and effects associated with sexual assault, relationship violence, and stalking. The program includes information about risk reduction and bystander intervention strategies. If a new student does not complete the online training within the time period established by the campus, a registration hold is placed on the student’s record and they are not able to register for classes until the training is completed.

In addition to education and awareness programs tailored to new students’ needs, CARE, HDAPP, and other campus partners present and sponsor an average of 150 to 200 sexual violence prevention programs, lectures, training sessions, and workshops per year to classes, residence halls, student organizations, athletic teams, and sororities and fraternities, as well as to the general campus community. These include sessions that are proactively scheduled as part of a larger education and awareness cycle, by request, in response to a perceived community need, and as part of a mandatory continuing education program (e.g. sororities and fraternities, student athletes). CARE also prepares and





widely distributes numerous educational brochures and other publications and maintains an active social media presence as part of their outreach efforts.

All UC Davis employees are required to complete sexual harassment and sexual violence education upon hire and every two years thereafter. Supervisors and managers receive additional mandatory education every two years. UC Davis also provides periodic training on the prevention and handling of sexual assault, relationship violence, and stalking to all relevant personnel including UC Davis police officers and dispatchers, Office of Student Support and Judicial Affairs staff and hearing officers, university investigators, and other staff associated with the Title IX program. HDAPP provides education relating to sexual harassment prevention for a wide variety of audiences including student groups, staff, and faculty. All instructor-led programs include information about the prevention and handling of sexual violence.

Several UC Davis offices collaborate on a variety of other activities throughout the academic year designed to ensure that all members of the UC Davis community are aware of the policies and resources pertaining to issues of sexual violence. This includes communications with the campus community through a variety of methods, including use of social media, tabling events, flyers, and special events.

### *Bystander Intervention*

In 2016, UC Davis introduced the upstander campaign to encourage bystander intervention and create a culture to help end sexual violence. An upstander is someone who takes active, intentional steps to stop sexual assault, relationship violence, and stalking. Being an upstander is synonymous with being an Aggie:

- Act
- Get help
- Give support
- Intervene in a safe manner
- Encourage others to speak out

### *Additional Resources*

The following resources provide more information on sexual harassment and sexual violence:

- [UC Sexual Violence and Sexual Harassment Policy](#) (Appendix B)
- [UC Davis Policy and Procedure Manual Section 400-20, Sexual Violence and Sexual Harassment](#) (Appendix C)
- [Sexual Violence Support Services and Reporting Options brochure](#) (Appendix D)
- [Policies Applying to Campus Activities, Organizations and, Students \(PACAOS\) – Appendix E: University of California Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework](#) (Appendix E)
- [Interim PACAOS-Appendix-F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct](#) (Appendix F)
- [Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel](#) (Appendix G)
- [Investigation and Adjudication Framework for Senate and Non-Senate Faculty Senate or Non-Senate Faculty respondents](#) (Appendix H)

## **Public Information Regarding Sex Offenders**

The State of California requires sex offenders to register with the police in the jurisdiction in which they reside, as well as with campus police departments if they are employed, carrying on a vocation, or attending school. Information on registered sex offenders is available on the [Megan's Law website](#).

## **Substance Abuse**

### **Policies, Sanctions, and Laws**

In accordance with the Drug Free Schools and Communities Act of 1989, the following information is provided regarding University and campus policies prohibiting unlawful possession, use, or distribution of drugs or alcohol; University and campus sanctions regarding drug and alcohol violations by students or employees; federal, state, and local laws and penalties for drug and alcohol offenses; health effects of drug and alcohol abuse; and local resources providing assistance for drug and alcohol abuse (counseling, rehabilitation, or re-entry programs).

### *University Policy and Sanctions*

The University strives to maintain communities and workplaces free from the illegal use, possession, or distribution of alcohol and other drugs. The manufacture, sale, distribution, dispensation, possession, or use of alcohol and

- [Website for information on sexual assault, relationship violence, and stalking](#)
- [Center for Advocacy Resources and Education \(CARE\) website](#)
- [Harassment and Discrimination Assistance and Prevention Program \(HDAPP\) website](#)

controlled substances by University students and employees on University property, at official University functions, or on University business is governed by law, University policy, and campus regulations. Students violating these laws and policies are subject to disciplinary action, including suspension or dismissal from the University, and may be referred for criminal prosecution or required to participate in appropriate treatment programs. Employees violating these laws and policies may be subject to corrective action, up to and including dismissal, under applicable University policies and labor contracts, and may be referred for criminal prosecution or required to participate in an Employee Support Program or appropriate treatment program.

### *Loss of Financial Aid for Conviction Involving Possession/Sale of Illegal Drugs*

A conviction under federal or state law for any offense involving the possession or sale of illegal drugs will result in the loss of eligibility for any Title IV, HEA grant, loan, or work-study assistance (HEA Sec. 484(r)(1)); (20 U.S.C. 1091(r)(1)), if the conviction occurs during a period of enrollment for which the student was receiving Title IV HEA program funds.

### *Federal Laws and Sanctions*

Under Federal law, it is a felony offense to sell or intend to sell, manufacture, or distribute DEA scheduled drugs or mixtures containing them (e.g. cocaine, methamphetamines, heroin, Ecstasy, GHB, Ketamine, LSD, PCP, and so-called “designer drugs”, as well as “counterfeits” purported to be such drugs), or to traffic in marijuana or hashish. Depending upon the quantity of drugs involved, penalties for first offenses range from 5 years to life (20 years to life if death or serious injury involved) and fines up to \$10 million or more, and for second offenses from 10 years to life (life if death or serious injury involved) and fines up to \$20 million.

It is important to note that illegal trafficking of over-the-counter or prescription drugs (including anabolic steroids) which are listed as DEA Schedules II–V are included in the above penalties and fines. Those convicted of possession or distribution of controlled substances can be barred from receiving benefits of federal programs, including student grants and loans, contracts, ability to conduct teaching and research using controlled substances, and professional and commercial licenses; may be subject to forfeiture of property used in or traceable to illegal controlled substance transactions; and, if non-citizens, subject to deportation.

### *California Laws and Sanctions*

California law prohibits furnishing and selling alcoholic beverages to underage (younger than 21) or obviously intoxicated individuals. Underage persons may not buy alcoholic beverages or possess them on campus, in public, or in places open to public view; the penalties for violations of these laws may include substantial fines and jail. Alcohol may not be sold without a license or permit. State law also prohibits driving a motor vehicle under the influence; drinking or possessing an open container of alcohol while driving; and operating a bicycle while intoxicated. The limit for blood alcohol concentration (BAC) for underage individuals is .01 percent. A BAC of .08 percent or higher for individuals 21 and older creates a presumption of intoxication, but they can be charged with lower blood alcohol levels. Drunk driving penalties include jail or prison, fines of \$1,000 or more, driver's license suspension or revocation, and required drug/alcohol treatment programs. Refusing to submit to a test for blood alcohol can result in suspension of driver's license for up to 3 years. Sale or possession for sale of controlled substances such as cocaine, methamphetamines, heroin, Ecstasy, GHB, Ketamine, LSD, PCP, marijuana, and “designer drugs” is a felony with terms of 3 years or more; manufacture results in terms of 3 years or more; possession alone is punishable by up to 4 years in prison. Sentences are enhanced for previously convicted felons, for distribution within 1,000 feet of a school or University or within 100 feet of a recreational facility, and for distribution to a pregnant woman or to someone under 18 by one over 18. Property used in drug transactions can be seized.

### *Sacramento City and City of Davis Ordinances*

Sacramento City ordinances and Davis municipal codes prohibit consumption of alcohol in public, possessing open containers of alcohol in public or at retail off-sale premises, and drinking in parks. City of Davis municipal codes also prohibit intoxicated persons from being in or around a vehicle in public, unless the vehicle is controlled or operated by a sober individual; and prohibit individuals and organizations from hosting or allowing a party, gathering, or event (defined as two or more persons assembled for a social occasion or activity) if underage persons are present and in possession of/consuming alcohol. Sanctions (probation, jail, fines) are imposed in accordance with California state law.



## Education, Prevention Programs, Assistance Services, and Resources

Campus programs, services, and resources include:

- Health Education and Promotion (HEP) is focused on preventing and reducing alcohol, tobacco, and other drug issues in the student population; developing, managing and evaluating strategies to aid students in making informed decisions in these areas. This program is a lead partner in the Safe Party Initiative, a campus and community evidence-based strategy that aims to reduce problems related to college student drinking at parties in the Davis community. Student “party goers” and “party throwers” can visit the [Safe Party website](#) to find tips on how to reduce the risks of alcohol-related problems.
- Alcohol, Tobacco and Other Drugs Intervention Services (ATODIS) provides free and confidential individual assessment and intervention services for UC Davis students who can meet with a Safe Zone trained ATODIS professional. Services and referrals are provided in collaboration with Counseling Services, Student Health and Counseling Services’ medical staff, Neighborhood Court, or self-referrals. Free, 90-minute group sessions are also provided in a confidential and non-judgmental environment for students referred from the conduct system or students who self-refer. More information is available at [ATODIS](#) or by calling (530) 752-6334. Smoking cessation services are also available to students free of charge. If the student meets with the ATODIS Coordinator they can receive one month of gum, patch, or lozenge nicotine replacement therapy for free. Replace prevention counseling is also available to students free of charge with no session limit. For more information call (530) 752-6334.
- UC Davis’ Collegiate Recovery Group, Aggies for Recovery, meets weekly. Meeting information can be found at [https://shcs.ucdavis.edu/recovery\\_resources](https://shcs.ucdavis.edu/recovery_resources). This group is open to any UC Davis undergraduate or graduate student who is choosing not to use any mind altering substances. This group is also open to students who are allies to people in recovery or who have family members struggling with addiction. This is not a 12-step meeting but a support group for students in recovery. Students can contact [slake@ucdavis.edu](mailto:slake@ucdavis.edu) for more information.
- Counseling Services provides short-term counseling at no cost to UC Davis registered students and referrals to other providers and services; and provides online anonymous self-assessment and screening for alcohol and related issues. More information is available from



the [Counseling Services](#) website or by calling (530) 752-0871.

- Academic & Staff Assistance Program (ASAP) offers confidential, cost free assessment, intervention, consultation and referral services to all UCD faculty, staff and their immediate families. More information is available at the [ASAP](#) website or by calling (530) 752-2727 or (916) 734-2727.

Community resources include Sacramento and Yolo County services and Twelve Step Programs:

- [Alcoholics Anonymous \(AA\)](#) 24 Hour Hotline—(916) 454-1100
- [Marijuana Anonymous](#)—(800) 766-6779
- [Cocaine Anonymous](#)—(916) 469-6588
- [Narcotics Anonymous \(NA\)](#)—(800) 565-2135; [Sacramento area](#)
- [Al-Anon/Alateen](#)—email: [wso@al-anon.org](mailto:wso@al-anon.org)
- [Sacramento County Department of Health & Human Services Alcohol & Drug Services](#)
- Yolo County Alcohol, Drug and Mental Health Services—(888-) 965-6647 (no charge, 24 hrs.)
- [Refuge Recovery](#)
- [Life Ring](#)

## Health Risks

Substance abuse can cause very serious health and behavioral problems, including short-and long-term effects upon both the body (physiological) and mind (psychological), as well as impairment of learning ability, memory, and performance. Chronic health problems may arise from long-term abuse, and acute, traumatic reactions may arise even from one-time or moderate use. In addition to the toxicity of specific drugs, mixing drugs can compound toxic effects.

Illegal, “counterfeit,” or “designer” drugs may be toxic, contaminated, or have impurities causing poisoning, and can be lethal. Acute health problems may include heart attack, stroke, and sudden death (even with first-time use of cocaine or GHB). Long-term effects include heart and/or lung damage, high blood pressure, blood vessel leaks in brain, brain cell destruction, permanent memory loss, infertility, impotence, immune system impairment, kidney failure, and cirrhosis of the liver. In terms of sexual health, substance use can cloud judgment, making it more difficult to engage in safer sex

practices that can prevent STIs/HIV or unintended pregnancy. There is also a significant and nuanced relationship between alcohol/other drugs and sexual violence. Drugs and alcohol can be used to incapacitate victims of sexual assault.

Using alcohol or other drugs while pregnant can cause fetal damage, birth defects, miscarriage and infant death. Additional information on health risks of substance abuse can be found on the [National Institute of Drug Abuse website](#).

Online resources regarding health risks of alcohol, tobacco and other drugs are available from the Student Health and Counseling Services’ Health Education and Promotion department:

- [Alcohol](#)
- [Alcohol poisoning](#)
- [Smoking Cessation](#)
- [Electronic Cigarettes](#)
- [Hookah](#)
- [Marijuana](#)
- [Opiates](#)
- [Stimulants](#)
- [Sedatives](#)
- [Prescription Drug Abuse](#)
- [Heroin](#)
- [Kratom](#)
- [Mixing Drugs](#)







## Collection of Statistics for the Annual Security Report

The UC Davis Police Department is responsible for collecting statistics, identifying reportable crimes, and reporting crimes to the FBI. The Office of Compliance and Policy provides Clery crime statistics to the Department of Education and publishes annual statistics for the public through this report. Under law, these statistics must be reported in the categories specified by each agency. FBI statistics include only crimes occurring on the Davis campus or at UCD Health that are reported to police. The Clery Act requires reports from a wider geographic area (e.g., adjacent public property and off-campus student organization property); from a broader scope of “reporters” (e.g., “campus security authorities” having “significant responsibility for student and campus activities,” including deans, athletic coaches, student housing and student judicial staff, and advisors to student organizations); for disciplinary referrals as well as arrests for drug, alcohol, and weapons violations; and for different crimes.

The current statistics for the Annual Security Report have been compiled for the previous calendar year from crime reports received by the UC Davis Police Department; from crime statistics requested and received from other police agencies having jurisdiction over off-campus UC Davis-affiliated, -owned, or -controlled property at other locations (including student organization properties such as fraternity houses); from crime reports received from non-police “campus security authorities,” and from reports received through the confidential reporting process de-

scribed previously.

The cities of Davis and Sacramento, and Yolo and Solano counties surround the UC Davis and UCD Health campuses. Police agencies with jurisdiction over those areas are sent annual written requests for statistics of crimes occurring on University affiliated property. Other law enforcement agencies also receive written requests if they have UC Davis buildings/property in their jurisdictions. UC Davis Police report arrests for liquor, drug, and weapons offenses occurring on the Davis campus, at UCD Health, and in campus residential facilities on the Davis campus. The Annual Security and Fire Safety Report also includes statistics of arrests made by UC Davis police or other police agencies on public property adjacent to campus or UCD Health and at off-campus property owned, controlled by, or affiliated with UC Davis (e.g. sororities and fraternities), as well as disciplinary referrals to Student Housing and Student Judicial Affairs for drug, alcohol, and weapon violations.

The University encourages all crimes to be promptly reported to the UC Davis Police Department, and that non-police campus security authorities receiving reports of crimes forward the information to the UC Davis Police. In general, reports are confidential unless the victim gives permission to document identifying information or for police to investigate. Report instructions include crime definitions and request specific information (date, location, nature of offense). This information is used to compile statistics, while preserving confidentiality, avoiding duplicate or inaccurate statistical reporting, and to assign reports to appropriate Clery and FBI crime classifications. For questions regarding the preparation of the Annual Security Report, call (530) 752-9050.

### Definitions of Reportable Crimes

- Murder and Non-negligent Manslaughter (Criminal Homicide)—the willful (non-negligent) killing of one human being by another.
- Negligent Manslaughter (Criminal Homicide—Manslaughter by Negligence)—the killing of another person through gross negligence.
- Sex Offense: Rape—the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- Sex Offense: Fondling—the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapability.
- Sex Offense: Incest—sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.
- Sex Offense: Statutory Rape—sexual intercourse with a person who is under the statutory age of consent.
- Robbery—the taking or attempting to take anything of value from the care, custody, or control of a person by force or threat of force or violence and/or by putting the victim in fear.
- Aggravated Assault—an unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in serious personal injury if the crime were successfully completed.)



- Burglary—the unlawful entry of a structure to commit a felony or a theft. For reporting purposes this definition includes: unlawful entry with intent to commit a larceny or felony; breaking and entering with intent to commit a larceny; housebreaking; safecracking; and all attempts to commit any of the aforementioned.
  - Motor Vehicle Theft—the theft or attempted theft of a motor vehicle. (Classify as motor vehicle theft all cases where automobiles are taken by persons not having lawful access even though the vehicles are later abandoned—including joyriding.)
  - Arson—any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.
  - Dating Violence—violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship.
  - Domestic Violence—a felony or misdemeanor crime of violence committed by a current or former spouse or intimate partner of the victim; by a person with whom the victim shares a child in common; by a person who is cohabitating with, or has cohabitated with, the victim as a spouse of intimate partner; by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.
  - Stalking—engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for the person's safety or the safety of others; or suffer substantial emotional distress.
  - Weapons: Carrying, Possessing, Etc.—the violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices, or other deadly weapons.
  - Drug Abuse Violations—the violation of laws prohibiting the production, distribution, and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation, or importation of any controlled drug or narcotic substance. Arrests for violations of State and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing and making of narcotic drugs.
  - Liquor Law Violations—the violation of State or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, or use of alcoholic beverages, not including driving under the influence and drunkenness.
  - Hate Crime—any crime committed in whole or in part, because one or more of the following actual or perceived characteristics of the victim: disability, gender, gender identity, national origin, race or ethnicity, religion, sexual orientation, or association with a person or group with one or more of these actual or perceived characteristics.
- The following crimes are counted only when they are associated with a Hate Crime:
- ▶ Larceny-Theft (Except Motor Vehicle Theft) —the unlawful taking, carrying, leading, or riding away of property from the possession or constructive possession of another. Attempted larcenies are included. Embezzlement, confidence games, forgery, worthless checks, etc., are excluded.
  - ▶ Simple Assault—an unlawful physical attack by one person upon another where neither the offender displays a weapon, nor the victim suffers obvious, severe, or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.
  - ▶ Intimidation—to unlawfully place another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.
  - ▶ Destruction/Damage/Vandalism of Property—to willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.

## Clery Act Statistics

The following tables show crime statistics for calendar years 2018, 2019, and 2020 and are provided in compliance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics. These statistics are compiled annually by the University of California, Davis.

### Notes:

- For all tables, Davis Campus 'On-Campus Total' values include crimes that occurred in on-campus residential facilities as well as at other on-campus locations.
- In 2018 and 2019, crimes reported at any UC Davis Non-Campus Building were reported as occurring at Davis-campus Non-Campus Buildings. Starting with crime statistics for 2020, crimes reported at Non-Campus Buildings are reported based on the campus location of the Office or Department that uses or administers the building.

Criminal Offenses									
Offense	Year	Davis Campus				Health Campus			Total
		On-Campus Residential Facility	On-Campus Total	Adjacent Public Property	Non-Campus Buildings	On-Campus	Adjacent Public Property	Non-Campus Buildings	
Murder Non-Negligent Manslaughter	2020	0	0	0	0	0	0	0	0
	2019	0	0	0	0	0	0	-	0
	2018	0	0	0	0	0	0	-	0
Negligent Manslaughter	2020	0	0	0	0	0	0	0	0
	2019	0	0	0	0	0	0	-	0
	2018	0	0	0	0	0	0	-	0
Rape	2020	11	15	0	2	2	0	0	19
	2019	10	11	0	1	1	0	-	13
	2018	9	13	0	2	1	0	-	16
Fondling	2020	6	7	0	0	11	0	1	19
	2019	7	16	0	3	12	0	-	31
	2018	5	9	0	0	5	0	-	14
Incest	2020	0	0	0	0	0	0	0	0
	2019	0	0	0	0	0	0	-	0
	2018	0	0	0	0	0	0	-	0
Statutory Rape	2020	0	0	0	0	0	0	0	0
	2019	0	0	0	0	0	0	-	0
	2018	0	0	0	0	0	0	-	0
Robbery	2020	0	0	0	0	0	0	0	0
	2019	2	2	0	0	1	0	-	3
	2018	0	3	0	6	0	0	-	9



## Criminal Offenses (cont.)

Offense	Year	Davis Campus				Health Campus			Total
		On-Campus Residential Facility	On-Campus Total	Adjacent Public Property	Non-Campus Buildings	On-Campus	Adjacent Public Property	Non-Campus Buildings	
Aggravated Assault	2020	0	4	0	0	3	0	0	7
	2019	5	5	0	0	5	0	-	10
	2018	3	9	0	0	3	0	-	12
Burglary	2020	1	102	0	1	2	0	0	105
	2019	13	86	0	5	3	0	-	94
	2018	14	35	0	4	3	0	-	42
Motor Vehicle Theft	2020	0	19	0	1	4	0	0	24
	2019	0	27	0	2	5	0	-	34
	2018	0	11	0	2	4	0	-	17
Arson	2020	1	3	0	0	0	0	0	3
	2019	0	2	0	1	1	0	-	4
	2018	0	0	0	0	1	0	-	1

## VAWA Offenses

Offense	Year	Davis Campus				Health Campus			Total
		On-Campus Residential Facility	On-Campus Total	Adjacent Public Property	Non-Campus Buildings	On-Campus	Adjacent Public Property	Non-Campus Buildings	
Domestic Violence	2020	11	17	0	1	5	0	0	23
	2019	6	6	0	4	9	0	-	19
	2018	9	13	0	2	9	0	-	24
Dating Violence	2020	2	2	0	0	0	0	0	2
	2019	5	6	0	0	0	0	-	6
	2018	2	5	0	0	1	0	-	6
Stalking	2020	2	2	0	0	2	0	0	4
	2019	5	19	0	1	2	0	-	22
	2018	6	16	0	0	2	0	-	18

Arrests and Disciplinary Referrals									
Offense	Year	Davis Campus				Health Campus			Total
		On-Campus Residential Facility	On-Campus Total	Adjacent Public Property	Non-Campus Buildings	On-Campus	Adjacent Public Property	Non-Campus Buildings	
Weapons Law Arrests	2020	0	1	0	0	1	0	0	2
	2019	0	2	0	2	1	0	-	5
	2018	0	3	0	2	1	0	-	6
Weapons Law Disciplinary Referrals	2020	0	0	0	0	0	0	0	0
	2019	0	1	0	0	0	0	-	1
	2018	0	0	0	0	0	0	-	0
Drug Law Arrests	2020	0	10	0	0	22	0	0	32
	2019	0	11	0	5	43	1	-	60
	2018	0	7	0	3	23	0	-	33
Drug Law Disciplinary Referrals	2020	5	8	0	0	0	0	0	8
	2019	0	0	0	0	0	0	-	0
	2018	0	0	0	0	0	0	-	0
Liquor Law Arrests	2020	0	0	0	0	0	0	0	0
	2019	0	0	0	3	0	0	-	3
	2018	0	3	0	1	1	0	-	5
Liquor Law Disciplinary Referrals	2020	1	7	0	0	0	0	0	7
	2019	0	1	0	0	0	0	-	1
	2018	0	0	0	0	0	0	-	0



## Hate Crimes

### 2020

- No hate crimes were reported on campus, in any on-campus campus residential facilities, on adjacent public property, or in non-campus buildings for the Davis campus.
- No hate crimes were reported on campus, on adjacent public property, or in non-campus buildings for the UCD Health campus.

### 2019

- Four on-campus simple assaults characterized by racial bias were reported on the Davis campus. No hate crimes were reported in Davis campus on-campus residential facilities, or on its adjacent public property or non-campus buildings.
- No hate crimes were reported on campus, on adjacent public property, or in non-campus buildings for the UCD Health campus.

### 2018

- One on-campus destruction/damage/vandalism of property characterized by sexual orientation bias was reported on the Davis campus
- No hate crimes were reported on campus, on adjacent public property, or in non-campus buildings for the UCD Health campus.

## Unfounded Crimes

### 2020

One report of burglary on campus and in an on-campus residential facility at the Davis campus was unfounded. No crimes reported on Davis campus adjacent public property or non-campus buildings were unfounded. No crimes were unfounded on the UC Davis Health campus, or its adjacent public property or non-campus buildings.

### 2019

No crimes were unfounded on the Davis or the UCD Health campuses, or their adjacent public property or non-campus buildings. No crimes were unfounded in Davis campus on-campus residential facilities.

### 2018

No crimes were unfounded on the Davis or the UCD Health campuses, or their adjacent public property or non-campus buildings. No crimes were unfounded in Davis campus residential facilities.

## Fire Safety Report

### UC Davis Fire Department

The Davis campus is served by the UC Davis Fire Department for emergency response in Fire and Emergency Medical Services, and by Safety Services Fire Prevention Services for state regulated code enforcement and life and property protection on behalf of the California State Fire Marshal.

The mission of the UC Davis Fire Department is to protect and enhance the safety and well-being of our community with pride and excellence. UCDFD presently employs 23 full-time personnel and 15 Student Resident Firefighters. Emergency response is provided from Fire Station 34, the UCDFD Fire/Police Building. The UCDFD crew has an engine, a tiller truck with a 100 foot aerial ladder, and a hazardous materials unit.

### UC Davis Fire Prevention Services

The Fire Prevention Services unit is made up of the Campus Fire Marshal, who has the State of California title of Lead Designated Campus Fire Marshal (DCFM), two In-

spectors with DCFM status, one Hazardous Materials Specialist and a Fire Extinguisher technician. Fire Prevention Services is responsible for ensuring that the Campus Fire Safety Program is carried out in order to comply with all relevant laws and regulations and to maintain a safe environment for our students, faculty, and staff members.

Fire Prevention Services performs periodic fire safety inspections and, upon request, code enforcement inspections at all campus residential facilities. Additionally, Fire Prevention Services conducts annual fire drills and defines fire safety-related policy for some of the campus residential facilities (see below).

### Campus Residential Facilities

Campus residential facilities include residence halls managed by Student Housing and Dining Services, apartments managed by independent third parties, and co-operative housing units managed by the Solar Community Housing Association. The campus residential facilities managed by Student Housing and Dining Services include the Primero Grove apartments, Solano Park apartments, The Green at





West Village apartments, and 32 separate residence hall buildings in the Segundo, Tercero, and Cuarto areas. Campus residential facilities managed by third parties include The Colleges at La Rue, The Atriums, the La Rue Park Group Living Communities, and Russell Park, managed by Tandem Properties; The Ramble, Solstice, and Viridian apartments located in West Village and managed by Sol at West Village; and 8<sup>th</sup> and Wake apartments, managed by Yolo Property Management. The co-operative housing units managed by the Solar Community Housing Association include The Domes and The Tri Co-Ops.

All campus residential facilities have fire safety policies and provide residents with information about fire safety prior to moving in. The tables in the section, 'Campus Residential Facility Fire Safety Equipment' provide information on the names, locations, and installed fire safety equipment for each campus residential facility as well as information on fire drills conducted in 2020. The subsequent sections provide summaries of fire safety-related policies and procedures.

## Fire Safety and Education

### *Student Housing and Dining Services Campus Residential Facilities*

Student Housing delivers fire education training, including training on evacuation procedures, to all Community Assistants and Resident Directors. Additionally, tailored training from Fire Prevention Services is provided upon request to students, staff, and faculty.

Fire Prevention Services conducts semi-annual fire inspections of the common areas of all Student Housing and Dining Services residential facilities as well as fire code enforcement inspections of any Student Housing and Dining Services space upon request.

The Fire Department and Fire Prevention Services, in coordination with Student Housing and Dining Services staff, conduct an annual fire drill at each Student Housing and Dining Services residence hall and at Primero Grove during the Fall Quarter. Residents are aware that a fire drill will take place, but they are not notified in advance of the scheduled date and time of the drill. When the fire alarm is activated, residents are informed that the drill is taking place, and they are required to evacuate the building. The fire drill concludes with a brief presentation on fire safety and evacuation procedures to all assembled residents. In 2020, one fire drill was conducted during Fall Quarter in each of the occupied residential buildings in the Segundo,

Tercero, and Cuarto areas. A total of 22 fire drills were conducted in Student Housing and Dining Services campus residential facilities.

All Student Housing and Dining Services residential facilities are equipped with fire detection devices and manual pull stations. When manual pull stations are activated, a hall alarm will sound and the UC Davis Fire Department will be notified. Rooms in Shasta Hall are equipped with smoke detectors that sound a local alarm within the affected room; these buildings also have heat detectors that sound an alarm in public areas and notify the fire department. Rooms in the Segundo area, the Tercero area, and Tahoe Hall are equipped with smoke detectors and heat sensitive sprinklers that sound a local alarm and release water within the affected room. Fire Department personnel will respond immediately to all alarms with a full complement of firefighting equipment. It is the responsibility of each student to evacuate the residence hall when an alarm sounds; failure to leave during an alarm will result in disciplinary action.

Each resident needs to be aware of the sensitivity of smoke detectors or fire sprinklers in their rooms and hallways. They can be activated by foreign materials (e.g. water, smoke, aerosol sprays) or sudden shock (e.g. being hit or touched). Devices cannot properly respond to smoke or fire if they are covered, taken down, or have objects hanging from them. As a result, such activity is not permitted.

Tampering with or activating an alarm in a non-emergency situation, or the presence of illegal cooking devices that cause an activation of the system, will result in disciplinary action as well as the assessment of a charge for costs attributed to the false alarm.

Fire safety is taken very seriously in the Student Housing and Dining Services residential facilities and residents are expected to adhere to all regulations. For safety reasons, the UC Davis Fire Department has imposed restrictions on furnishings and some electrical equipment. Hallways and walkways, as well as building entrance and exit areas, need to be clear at all times. No items should be stored in these areas at any time. This includes, but is not limited to, bicycles and trash. It is also prohibited for students to store gasoline or other flammable liquids in any living units. No person may use or store fireworks or firecrackers in residence halls or on campus. Additional policies and restrictions are listed below.

### General Fire Safety for Student Housing and Dining Services Residents

- **Reporting Fires** — Fires in Student Housing and Dining Services facilities can be reported by calling 911 from any landline or cellular phone, or by notifying the Community Assistant in the housing unit.
- In the event of a fire or when a fire alarm has sounded, everyone, including students, their guests, and University employees, must evacuate the building.
- **Electrical Safety** — Modifications to or changes in electrical wiring are prohibited as are splices, octopuses, or modification devices used to add plugs. Only UL approved, grounded power strips with fuses may be used.
- **False Alarm** — Residents may not intentionally or recklessly activate an alarm in a non-emergency situation.
- **Fire** — Causing, attempting to cause, or contributing to the continuation of a fire is prohibited.
- **Flammable Liquids** — Flammable liquids and other hazardous materials may not be stored or used in Student Housing buildings. This includes, but is not limited to, gasoline and lighter fluid.
- **Room Decorations** — Large wall hangings such as tapestries and large posters must be treated with flame retardant. Exterior room doors may not be more than 33% covered. Student Housing and Dining Services reserves the right to adjust this percentage and will notify residents if any change is made. Paper or plastic may not be used to cover any light or fixture. Lighting fixtures, including holiday lights, may not be hung on any surface outside rooms or suites including windows or doors.
- **Tampering** — Tampering with fire suppression equipment, including but not limited to fire extinguishers, smoke detectors, fire alarm pull stations, automatic door closers, and sprinklers, is prohibited. Tampering includes covering smoke detectors, hanging items from sprinklers or sprinkler pipes, or otherwise disabling fire suppression equipment.
- If they have not already responded to the fire, the UC Davis Fire Department, at (530) 752-1236, should be notified whenever a fire has occurred at any campus residential facility, including campus residential facilities managed by Student Housing and Dining Services. The Fire Department will notify the Campus Fire Marshal, Timothy Annis, or one of his deputies. At the Fire Marshal's discretion, the campus Safety Services Office may be notified as well.

### *The Colleges at La Rue, The Atriums, La Rue Park Group Living Communities, and Russell Park*

Fire Prevention Services conducts semi-annual fire inspections of the common areas of The Colleges at La Rue, The Atriums, the La Rue Park Group Living Communities, and Russell Park. Fire Prevention Services also conducts semi-annual inspections of each apartment in the La Rue Park Group Living Communities as well as fire code enforcement inspections in any area upon request. In cooperation with Tandem Properties staff, Fire Prevention Services conducted a virtual, online fire safety orientation presentation, which included evacuation procedures, for the residents of the La Rue Park Group Living Communities on September 23, 2020. Residents who were not able to attend the live session had access to a recording of the presentation and were required to complete a quiz to show that they received and understood the covered material.

Dwellings are equipped with fire sprinklers and there are manual pull stations located throughout the community and in the common buildings. Fire sprinklers are heat sensitive and, when activated, will release water within the affected room. When any pull station is activated or any sprinkler is activated, an alarm will sound and the fire department will be notified and will respond immediately. If any fire alarm or siren sounds for any reason in any building, all occupants must evacuate the building immediately.

Tampering with or activating an alarm in a non-emergency situation may result in disciplinary actions by the Office of Student Support and Judicial Affairs, as well as the assessment of a charge for costs attributed to the false alarm. Fire extinguishers are located on the exterior of each building, which are to be used in the event a minor fire occurs. For safety, fireworks, firecrackers and flammable or combustible liquids are not permitted to be stored in any apartment, with the exception of barbecue starter fluid, which may be stored in one-pint metal cans, and may be stored within each apartment.

Smoke detectors have been provided to each unit, as required by law. All detectors are tested prior to move-in and are deemed to be in operable condition. For safety reasons, residents are required to check all detectors on a weekly basis to ensure they are functioning properly. If any are beeping regularly or are not working when the test button is pressed, it may be a sign that the detector needs a new battery. It is the resident's responsibility to ensure that the battery is in operable condition at all times and to replace the battery as needed (unless otherwise provided by law).



Free batteries are available at the Leasing Center upon request. Residents should not remove, disable, or disconnect any detectors at any time. If any smoke alarm sounds for no apparent reason during, before or after office hours, please contact the office and management will resolve the problem as soon as possible.

Fire extinguishers are provided for resident use in the event of a minor fire and are usually located by all unit entries, stairwells, or on building exteriors. Management will service fire extinguishers monthly in accordance with law. Except for use in an emergency, fire extinguishers should not be removed from their boxes.

General Fire Safety for residents of The Colleges at La Rue, The Atriums, La Rue Park Group Living Communities, and Russell Park

- To be in compliance with the fire code, nothing may be placed on, stored, or locked to any balcony, landing, stairs, or under stair area. This includes chairs, BBQ grills, furniture of any type, flowerpots, bicycles or any other item. Bicycles may not be locked to any railing. All bicycles are to be locked to designated bicycle racks.
- If you leave your unit, make sure to ensure that all appliances have been turned off. Limit the use of extension cords, and never run them under rugs or across walkways.
- If applicable, personal items may not be stored inside of water heater closets, as doing so can create a fire hazard.
- In case of a fire in the unit or a suspected fire in a neighboring unit, please call 911 and inform management right away.
- If they have not already responded to the fire, the UC Davis Fire Department, at (530) 752-1236, should be notified whenever a fire has occurred at any campus residential facility, including the campus residential facilities managed by Tandem Properties. The Fire Department will notify the Campus Fire Marshal, Tim Annis, or one his deputies. At the Fire Marshal's dis-





cretion, the campus Safety Services Office may be notified as well.

### *8th and Wake*

UC Davis Fire Prevention Services conducts semi-annual fire inspections of the common areas of 8th and Wake apartments and fire code enforcement inspections in any space upon request. 8<sup>th</sup> and Wake apartments are equipped with functioning smoke and carbon monoxide detection devices, and residents shall perform the manufacturer's recommended test at least once a week to determine if the smoke detectors are operating properly. If the detection devices are battery operated, the resident is responsible for ensuring the battery is in operating condition at all times; replacing the battery as needed (unless otherwise provided by law); and informing the Landlord immediately if the detection device(s) do not work after replacing the batteries. Residents shall inform Yolo Property Management staff immediately in writing of any defect, malfunction or failure of any detectors. In accordance with California law, Yolo Property Management staff shall have a right to enter

the premises to check and maintain the smoke detection device(s). Keep in mind that a fire is not the only source of danger your alarms can detect. Please visit the Maintenance Information page on the [Yolo Property Management website](#) to learn more about the detectors' alert beep patterns and how to silence nuisance alarms.

### General Fire Safety for 8<sup>th</sup> and Wake Residents

- Baking soda can put out small grease fires. Please keep some in your kitchen.
- Never leave what you are cooking unattended and never leave the unit while the stovetop or oven is on.
- Cooking can sometimes create smoke that triggers smoke detectors. In this case, fanning the alarm with a towel helps clear the air. If there is in fact a fire, please call 911 immediately.
- Clean your oven and stove top periodically. Otherwise, grease and oil accumulate, creating a flash fire hazard.
- If a pan is on fire, smother the flames with a metal lid, NOT glass (glass lids may shatter). Or use baking soda



to put out a grease fire. Never use water to put out a grease fire.

- If you have a fire in your microwave oven, turn it off immediately. This will stop the fan so it won't feed oxygen to the flames. Then simply wait until the fire suffocates. Do not open the door unless you are sure the fire is out.
- Residents shall refrain from using or storing gasoline, cleaning solvent or other combustibles in the unit.
- Residents shall refrain from storing any items in the water heater closets due to the potential fire hazard.
- In case of fire:
  - Notify all roommates to leave
  - Use on-site fire extinguishers (located outside of unit in hallway) if you feel safe enough to do so.
  - Use the pull down alarms (located outside of unit in hallway)
  - Exit the building
  - Call 911 first
  - Then, call the leasing office if during business hours. If it is after hours, call the after-hours emergency phone at (530) 312-3105.
- If you smell gas:
  - Notify all roommates to leave.
  - Exit the building.
  - Call 911
  - Call Pacific Gas and Electric at (800) 743-5000.
  - Then, call the leasing office if during business hours. If it is after hours, call the after-hours emergency phone at (530) 312-3105.
- If they have not already responded to the fire, the UC Davis Fire Department, at (530) 752-1236, should be notified whenever a fire has occurred at any campus residential facility, including the 8<sup>th</sup> and Wake apartments. The Fire Department will notify the Campus Fire Marshal, Timothy Annis, or one of his deputies. At the Fire Marshal's discretion, the campus Safety Services Office may be notified as well.

### West Village

Fire Prevention Services conducts annual fire inspections of the common areas of the West Village facilities as well as code enforcement inspections of any West Village space upon request. Residents should inspect and test equipped smoke detectors on the date of initial occupancy. It is the

resident's duty to test the smoke detector(s) regularly and to notify Sol at West Village immediately in writing of any problem, defect, malfunction or failure of the smoke detector(s). Residents should not disconnect or intentionally damage a smoke detector or remove the battery without immediately replacing it with a working one. The resident is responsible for reimbursing Sol at West Village, upon request, for the cost of a new smoke detector and the installation thereof in the event of the existing smoke detector(s) becoming damaged by the resident or the resident's guests or invitees. Resident and resident's guest(s) must not tamper with, interfere with, or damage any alarm equipment and/or installation. Sol at West Village management maintains the right to enter the units at the Community to test smoke detectors, as allowed by law.

### General Fire Safety for West Village Residents

- In the event of a life threatening emergency, first report the incident to first responders by calling 911.
- In the event residents are given procedures for fire alarms, resident and resident's guests are required to adhere to all procedures.
- No flammable or combustible objects/substances are to be stored in your apartment or on patios, balconies, under stairwells, or in your garage or storage space. Resident is asked to consider fire safety regulations when decorating.
- Resident shall not obstruct or use the driveways, sidewalks, entry passages, stairs, breezeways, courtyards, or halls for any purpose other than ingress or egress.
- Do not store flammable or combustible objects within 30 inches of your water heater or furnace.
- In the event the community has a fire sprinkler system, resident acknowledges and agrees that it is important to be careful near fire sprinkler heads so as not to falsely trigger or activate them. If resident triggers or activates the fire sprinkler system without the danger of fire being present, resident will be responsible for all damages caused by the activation.
- Anyone found to falsely pull a fire alarm or discharge a fire extinguisher will be subject to criminal charges, a fine, and/or a default of the lease contract.
- The use or storage of barbecue grills on patios, balconies, walkways, breezeways, etc. is prohibited.
- An extension cord must be UL approved, 16 gauges, and not exceed a un-spliced length of six feet with a polarized plug and a single outlet; it may not be placed under floor coverings or furnishings and may not be secured by penetrating the insulation.



- If they have not already responded to the fire, the UC Davis Fire Department, at (530) 752-1236, should be notified whenever a fire has occurred at any campus residential facility, including West Village. The Fire Department will notify the Campus Fire Marshal, Timothy Annis, or one of his deputies. At the Fire Marshal's discretion, the campus Safety Services Office may be notified as well.

### *The Domes and Tri Co-Ops*

Fire Prevention Services conducts semi-annual fire inspections of the common areas of The Domes and the Tri Co-Ops as well as code enforcement inspections of any area in The Domes and the Tri Co-Ops upon request. Fire safety in each House and Dome is very important. The University, the Solar Community Housing Association, and Solar Community Housing Association contractors regularly inspect the working order of fire suppression equipment, fire extinguishers, and smoke detectors, to ensure that there are not any fire hazards or egress problems.

Smoke detectors are provided in each residential building of The Domes and the Tri Co-Ops. Under no circumstances may a resident deactivate the ceiling smoke detector, since this may cause the system to malfunction and could jeopardize other residents. Disabling the smoke detector will be recognized by the fire panel and cause the Fire Department to be called out. Damages caused by tampering with fire equipment are billed to the resident. Disregard of this policy can result in a referral to the Office of Student Support and Judicial Affairs. Residents should be aware that smoke, steam, carbon dioxide, or physical shock may activate smoke detectors.

### General Fire Safety for Resident of The Domes and the Tri Co-Ops

- If a situation, such as a fire, presents an emergency, residents should call 911.
- Residents who notice a dangerous condition in The Domes or Tri Co-Ops should contact Solar Community Housing Association staff or Maintenance Committee as soon as practicable. If the situation presents an immediate risk, and SCHA Staff cannot be reached, residents can call the UCD Operations and Maintenance desk at (530) 752-1655. Fire safety concerns can also be directed to Fire Dispatch at (530) 752-1236. Both of these lines are answered 24 hours a day, every day of the year. This service will be paid for by SCHA.
- To maintain the ability to exit a building directly and safely in case of an emergency, do not place or store items (boxes, coat racks, furniture, etc.), or store or

lock bikes, in any hallway or by any door that will slow or impede one's ability to enter or exit a room. Note: for accessibility, these egress rules also apply to primary pathways and ramps in each Solar Community Housing Association campus residential facility.

- Exit doors must be unobstructed at all times and reasonable passage must be possible for entering and exiting in case of emergency. Reasonable passage is defined as a width of 24 or more inches.
- Combustible Liquids - Flammable or combustible liquids are not permitted to be stored inside of Houses/Domes. Residents must use the combustible liquids lockers located in Herb Hall (at The Domes) and behind the Davis Student Co-op (at the Tri Co-Ops). If either locker is full and has items that need to be disposed of, residents should contact Solar Community Housing Association Staff so that proper disposal can be arranged.
- Electrical cover plates are not to be removed.
- Maintain a three-foot clearance around all firefighting equipment and electrical panels.
- Do not hang any items on fire extinguishers, fire sprinklers or fire suppression systems, nor on pipes, furnace ducts, hot water heater or electrical conduit.
- Extension cords can be used for temporary use only, and cannot be used in series (connected to one-another); surge protectors should be used for long term extension of electrical units to electrical outlets.
- Splicing of electrical cords is not permitted.
- Residents may not extend electrical power outside the house by extension cord or any other means.
- If they have not already responded to the fire, the UC Davis Fire Department, at (530) 752-1236, should be notified whenever a fire has occurred at any campus residential facility, including The Domes and the Tri Co-Ops. The Fire Department will notify the Campus Fire Marshal, Timothy Annis, or one of his deputies. At the Fire Marshal's discretion, the campus Safety Services Office may be notified as well.

## **Fire Safety Policies**

### *Use of Electrical Appliances*

### Student Housing and Dining Services Campus Residential Facilities

- All appliances must be in good working order and used responsibly, approved for use by Underwriters' Laboratory (UL), and free of wiring defects. Food may only be prepared in community or apartment kitchens.

(Microwaved food is excluded.) Appliances/food preparation items, including cooking knives, that may be stored but not used in rooms include, but are not limited to, toasters, toaster ovens, crock pots, hot air popcorn poppers, hot plates, waffle irons, rice cookers, broilers, and any devices with an open heating element.

- Barbecues may not be used on balconies, under trees, in courtyards, breezeways, or around swimming pools. They must be at least 25 feet away from any building or overhang, and this distance must be increased if smoke is travelling toward one of these areas. Lighter fluid, propane, and other flammable gases or liquids may not be stored in residence hall rooms.
- Only one refrigerator (maximum storage capacity of 4.5 cubic feet with a maximum height of 35 inches) and one microwave (maximum wattage of 800 watts) or one microfridge, is allowed in any single, double or triple room. In suites, each living room and bedroom can have one refrigerator and one microwave.
- Only one coffee maker may be in use at a time in a residence hall room.
- Portable heaters are prohibited.
- Torchiere halogen lamps are prohibited.
- Power tools may not be used in residence hall rooms or areas.
- Cooking/warming appliances may not be used in residence hall rooms with the exception of coffee pots, oil popcorn poppers [no hot air popcorn poppers], and microwaves. Kitchens located in Primero Grove should be used properly and maintained by the residents. Appliances in rooms often activate the sensitive fire alarm system; small appliances and hot air popcorn poppers may be used in community kitchens.

- Residents shall not move or remove any large appliances provided by Landlord without prior written consent of the Landlord. Resident shall not install or operate any additional refrigerators, freezers, washing machines or dryers, portable dishwashers, generators or other large appliances not provided by the Landlord, without prior written consent of the Landlord.
- Residents may operate a generator in emergency situations, provided that (1) all manufacturer safety procedures are followed, including operating the generator in an outside space and (2) the generator does not create a nuisance (noise or other) for other Residents.

### The Colleges at La Rue, The Atriums, La Rue Park Group Living Communities, and Russell Park

For residents of the La Rue Park Group Living Communities: At no time may toaster ovens, hot plates or rice cookers be used or stored in the bedrooms. Any non-permitted item will be confiscated. No alterations should be made to provided appliances. No additional appliances should be installed in the kitchen with the exception of a microwave placed securely.

### 8<sup>th</sup> and Wake





- Resident shall ensure that all appliances, with exception of the refrigerator, are turned off before departing the premises. Resident shall not at any time turn off or disconnect power to the refrigerator.

#### **The Domes and Tri Co-Ops**

It is strongly recommended that residents do not use portable electric heaters. If not used correctly, portable heaters can be very dangerous. All portable electric heaters in use must be in good repair, be UL approved, and have tip-over protection. Heaters may not exceed 1200 watts.

#### **West Village**

West Village does not have any fire safety policies specifically addressing the use of electrical appliances.

#### **Smoking**

##### **Student Housing and Dining Services Campus Residential Facilities**

Smoking and tobacco use are prohibited on University owned or leased property, including all Student Housing and Dining Services residential buildings and dining facilities. Smoking is defined as inhaling, exhaling, burning, or

carrying a lighted or heated product such as tobacco, marijuana, other smokeable substances, or smoking instruments that emit smoke. Tobacco use includes but is not limited to cigarettes, cigars, shisha, pipes, water pipes (hookah), all forms of electronic smoking devices, and all forms of smokeless tobacco. See [Policy and Procedure Manual Section 290-10, Smoke and Tobacco Free Campus](#).

##### **The Colleges at La Rue, The Atriums, the La Rue Park Living Group Communities, and Russell Park**

Smoking of any substance, including marijuana, is prohibited on the entire property, including inside of all individual units and all common buildings and facilities, as well as all adjoining grounds and common areas, including, but not limited to the following areas, if provided: pool areas, grassy areas, flowerbeds, courtyards, parking lots, pathways, balconies, porches, stairwells, etc. “Smoking” means inhaling, exhaling, breathing, or carrying any lighted cigar, cigarette, e-cigarette, pipe, or other burning, smoldering or lighted product, in any manner or in any form. See [Policy and Procedure Manual Section 290-10, Smoke and Tobacco Free Campus](#).

##### **8<sup>th</sup> and Wake**





Smoking of tobacco and marijuana products is prohibited everywhere on the premises, including in individual units and interior and exterior common areas. Smoking includes the use of e-cigarettes or vaping, and the term “smoke” includes vapor. Resident shall inform their guest(s) of this Smoking Prohibition. Resident shall promptly notify Yolo Property Management in writing of any incident where tobacco or marijuana smoke is migrating into Resident’s unit from sources outside of Resident’s unit. Yolo Property Management follows the UC Davis Smoke and Tobacco Free Policy found in the [Policy and Procedure Manual Section 290-10, Smoke and Tobacco Free Campus](#).

### **West Village**

In accordance with campus policy, smoking and tobacco use are prohibited on University owned or leased property, including all West Village residential buildings. Smoking is defined as inhaling, exhaling, burning, or carrying a lighted or heated product such as tobacco, marijuana, other smokeable substances, or smoking instruments that emit smoke. Tobacco use includes but not limited to cigarettes, cigars, shisha, pipes, water pipes (hookah), all forms of electronic smoking devices, and all forms of smokeless tobacco. See [Policy and Procedure Manual Section 290-10, Smoke and Tobacco Free Campus](#).

### **The Domes and Tri Co-Ops**

In accordance with campus policy, smoking and tobacco use are prohibited on University owned or leased property, including all residential buildings managed by the Solar Community Housing Association. Smoking is defined as inhaling, exhaling, burning, or carrying a lighted or heated product such as tobacco, marijuana, other smokeable substances, or smoking instruments that emit smoke. Tobacco use includes but not limited to cigarettes, cigars, shisha, pipes, water pipes (hookah), all forms of electronic smoking devices, and all forms of smokeless tobacco. See [Policy and Procedure Manual Section 290-10, Smoke and Tobacco Free Campus](#).

### **Open Flames**

#### **Student Housing and Dining Services Campus Residential Facilities**

- Candles, incense, and items that produce an open flame are prohibited in Student Housing and Dining Services buildings, regardless of the reason for use.
- Candles may be used in very limited capacities (e.g. a Unity candle at a wedding) at other campus facilities only after obtaining a Candle/Open Flame Permit from the UC Davis Fire Prevention office.

- Fireworks and firecrackers are prohibited on campus, including in residence halls.
- Unauthorized use of a Student Housing fireplace is prohibited.

### **The Colleges at La Rue, The Atriums, and Russell Park**

Candles may not be burned within your unit or anywhere else on the premises. The only exception to this is candles for birthday cakes. The use of candles for religious ceremonies or other special circumstances is subject to approval of the Fire Marshal. Approval will be considered on a case-by-case basis.

For residents of the La Rue Park Living Group Communities: Barbecues may not be used on any upstairs landing or stair area. Barbecues may only be used on the ground floor and must be used a minimum of twenty-five (25) feet from any building, structure or walkway. Disposal of ashes must be done in the garbage area once the coals/ashes are thoroughly cooled. Lighter fluid and supplies must be stored inside the dwelling unit in a fire safe cabinet.

### **8th and Wake**

Charcoal/gas grills or any other open flame cooking devices are not allowed – not even for storage. Please use the provided community barbecue grills.

### **West Village**

Items which require an open flame to operate or which produce heat (e.g., Bunsen burners, Sterno/canned heat, lighted candles, alcohol burners, heating elements, irons, curling irons, halogen bulbs) must be supervised by resident at all times during use and can never be left on unattended.

Sol at West Village provides community grill areas for resident use. The following rules apply:

- Facilities are for use by residents and their guests only.
- Residents’ use of facilities is at their own risk.
- Barbecue grill instructions may be posted at each location or attainable from management. Please contact the management office before attempting to use these grills.
- Please comply with all safety precautions. For the safety of all, no glass of any kind is allowed.
- Keep pets and children away from open flames.
- Use the equipment only in the manner intended by the manufacturer.
- Handle equipment with care. Do not remove or damage equipment and supplies.
- Reservations are not offered.

- The community may require a deposit or charge to use the facility. See Sol at West Village management for further details.
- In the event your community grill uses a propane tank, it cannot be stored in your apartment, garage, storage unit, or patio/balcony. When transporting propane tanks, keep the container in a secure, upright position. Never keep a filled container in a hot car or car trunk. Heat will cause the gas pressure to increase, which may open the relief valve and allow gas to escape.
- The resident will be responsible for the entire amount of all damages caused by their use of the facility, including all cleaning and repair costs.
- No fighting, dangerous conduct, or noise which disturbs others is allowed
- Do not leave personal items in this area. Owner is not responsible for any lost, stolen, or damaged items.
- Never leave a fire unattended. Do not leave until the fire is completely out.
- Keep flammable materials away from the fire, including potholders, oven mitts, wooden utensils, paper or plastic bags, food packaging, towels, etc.
- Roll up any loose-fitting or long sleeves.
- Clean the facility after use.
- If a fire on a grill seems out of control, turn off the burners.
- If a fire on a grill involves a propane tank and you can safely reach the tank valve, shut the tank valve off.
- In case of an emergency, call 911.
- Unless otherwise posted, these facilities are available for your use between the hours of 8:00 a.m. and 10:00 p.m.
- Residents are limited to 2 guests per apartment to any common area, and resident must accompany each guest(s).

### **The Domes and Tri Co-Ops**

Due to fire hazard, residents of The Domes and Tri Co-Ops are not permitted to have anything that produces an open flame, including candles, in or around any residential building. For fire permits at The Domes, a fire permit must be obtained 72 hours in advance. The online permit can be accessed and submitted via the [UC Davis Safety Services website](#).

Fireworks, explosives, and flammable materials are not permitted.

## **Fire Evacuation Procedures**

### ***Student Housing and Dining Services Residential Facilities***

In the event of an emergency, students should remember RACE:

- Remove yourself and all persons in immediate danger to safety.
- Activate manual pull station and call (or have someone else call) 911 from any phone.
- Close doors to prevent the spread of smoke and fire, grabbing only your keys.
- Extinguish the fire, only if it is smaller than a trash can.

Everyone, including students, their guests, and University employees, must evacuate the building in the event of a fire or when a fire alarm has sounded.

### ***The Colleges at La Rue, The Atriums, Russell Park, and the La Rue Park Living Communities***

If any fire alarm or siren sounds for any reason in any building, all occupants must evacuate the building immediately to their designated evacuation location.

The evacuation location for residents of The Atriums is the sand volleyball court to the southwest (away from Russell Boulevard) of the apartment complex. This is the same evacuation location for the La Rue Park Group Living Communities.

The evacuation location for residents of the La Rue Park Group Living Communities is the sand volleyball court to the northwest (toward Russell Boulevard) of the apartment complex. This is the same evacuation location for The Atriums.

For residents of Russell Park, the evacuation locations are as follows:

- Buildings 400 to 413: Russell Park bicycle path
- Buildings 414 to 425: The storage units to the South (toward Orchard Drive) of the apartment complex.

For residents of The Colleges at La Rue, evacuation locations are as follows:

- Buildings 138, 140, 152, and 166: The grassy area to the south of the Colleges (toward the football stadium), between Outdoor Adventures/Rec Pool Lodge and the Rec Pool.
- Buildings 164, 176, 178, 180, 192, 194, and 196: The parking lot to the North (toward Student Health and

Counseling Services), between The Colleges and the first row of light posts.

- Buildings 142, 144, 146, 148, 154, 156, 160, 158, and 172: The parking lot to the South (toward the football stadium) between the Hutchison Child Development Center and UCD Parking Lot 30
- Buildings 168, 170, 182, 184, 186, and 188: The parking lot to the North (toward the greenhouses).

### *8<sup>th</sup> and Wake*

When evacuation is deemed necessary by the manager or local authorities, Yolo Property Management employees will evacuate the building or portions thereof, in accordance with the scope of safety. All building occupants should evacuate as directed. Evacuation of physically challenged personnel will be given the highest priority in all emergencies. They will be evacuated by the most expeditious and safe means available. When evacuating, employees and visitors should walk, remain quiet, use handrails and follow all other emergency instructions. Upon exiting the building, residents will proceed to their predetermined assembly areas or as otherwise instructed. The primary assembly area for 8<sup>th</sup> and Wake residents is Oxford Circle Park at 505 Oxford Circle. If Oxford Circle Park is impacted by the emergency, all residents will be evacuated to the Trader Joe's parking lot within the University Mall shopping center at 825 Russell Blvd.

After evacuation is completed, staff will proceed to the assembly area and begin a Rent Roll check and report status to the Manager and local authorities if there are any concerns. The Rent Roll check will assist in determining if anyone has been left in the building. Staff will prevent entrance into the building until after the emergency is over by instructing all persons at the assembly area to remain until an "all clear" signal has been issued.

As part of their emergency checklist, Yolo Property Management staff will make certain that notification of the emergency has been communicated, including notice to the Yackzan Group, 8<sup>th</sup> and Wake Student Housing, Fire or Police Departments, Maintenance, answering service, etc.; exitways are clear at all times and properly signed or marked, and that emergency lighting will be sufficient any



time the building is occupied; everyone leaves the building and is accounted for; and all valuables are secured and that doors are closed. In case of building abandonment, all outside doors should be locked.

Upon discovering a fire (or smoke), Yolo Property Management staff will remove anyone in immediate danger and confine the fire by closing door(s), sound alarm by using the "pull-station," and attempt to extinguish the fire only if it is small and only if safe to do so. If the fire cannot be immediately extinguished, Yolo Property Management staff will commence evacuation procedures for all areas of the building affected by smoke and fire and notify the Site



Emergency Coordinator of action. Staff will notify the Fire Department by dialing 911 and give the following information: name of the community, street and address number, building number (if applicable), unit number, etc., what is burning (electrical, trash, kitchen, etc.) and other information if needed. Staff will make sure that, once all apartments on a floor are evacuated, main hallway and fire doors are closed to prevent further spread of fire.

### *West Village*

The following evacuation guidelines have been developed by management to help residents in the evacuation of their apartments in the event of fire or smoke:

- If there is fire or smoke in your apartment, go to the nearest exit by crawling close to the floor, where there is less smoke. Do this even if you can tolerate the smoke by standing up.
- Check the doorknob and entire door to see if either is hot. If both are cool to the touch, open the door slowly and look in to the hallway/walkway or stairs. If it is clear, leave your apartment and close the door.
- Call the fire department or 911. Be sure to give the exact location of the fire (community name, address, building number, and floor and apartment number.)
- Warn neighboring residents. Yell “Fire” and knock on neighboring doors.

If you are alerted to a fire by smoke from the hallway or an outside alarm, follow these guidelines:

- Determine if it is safe to leave your apartment. Check the doorknob and entire door to see if either is hot. If neither is hot, open the door slowly and check the hallway/walkway or stairs. If all is clear of fire and smoke, leave your apartment and close the door behind you.
- Stay in the apartment if the door or doorknob is hot or the hall/walkway or stairs are filled with smoke.
- Call 911 for help.
- Hang a sheet out of the window to signal to fire fighters that help is needed.
- Do not try to use the sheet to climb down the building.
- Do not jump from windows or balconies. Needless injuries and fatalities have been caused in emergencies when people have panicked and jumped.
- Stuff wet towels in the cracks around the door to keep smoke out. Use a bucket of water to splash water on the door and/or walls if they become hot.
- A wet towel tied around your nose and mouth will help filter smoke.
- Remove drapes or other combustible materials near the hot area.

- Never go back into the apartment until the fire department or community management team indicates it is safe to do so.

### *The Domes and Tri Co-Ops*

Everyone, including residents, their guests, and any Solar Community Housing Association staff present, must evacuate the building in the event of a fire or when a fire alarm has sounded. The fire evacuation location for residents of The Domes is the gravel parking lot to the east (toward the ARC) of The Domes, on the far side of Orchard Park Dr. The fire evacuation location for the residents of the Tri Co-Ops is the Tri Co-Op information kiosk on the north side (toward Regan Main) of the bicycle circle between the Tri Co-Op buildings.

### **Future Improvements**

The ongoing Emerson Hall redevelopment project will continue through the 2020-21 school year. Emerson Hall will be replaced by three separate campus residential buildings managed by Student Housing and Dining Services. The new buildings are expected to open in Fall 2021 and will incorporate updated fire safety features consistent with existing fire codes.

Fire safety improvements are not planned at the other campus residential facilities in the near future.

### **Fire Statistics**

Statistics regarding fires in campus residential facilities for 2018, 2019, and 2020 are provided in Appendix A. A current list of fires that have occurred in campus residential facilities is available at the Safety Services [website](#). A hard copy is maintained in the reception office of Safety Services, 276 Hoagland Hall, and is available from 8:00 a.m.-5:00 p.m., Monday-Friday.

## For More Information

The fire safety policies, procedures, and equipment described above were summarized from the references below. For more information, please consult the listed documents or the provided points of contact. Additionally, the UC Davis Fire Marshal, Timothy Annis, can be contacted at [timannis@ucdavis.edu](mailto:timannis@ucdavis.edu) or (530) 752-3839.

Primero Grove apartments, Solano Park apartments, The Green at West Village, and residence halls in the Segundo, Tercero, and Cuarto areas, managed by Student Housing and Dining Services

- [Fire Prevention Services website](#)
- [2021-22 Guide to Residence Hall Life](#)
- [2021-22 Guide to Solano Park Apartments](#)
- [2021-22 Guide to The Green at West Village Apartments](#)
- For additional information, please contact:
  - Student Housing and Dining Services at [studenthousing@ucdavis.edu](mailto:studenthousing@ucdavis.edu) or (530) 752-2033
  - Fire Prevention Services at [fireprevention@ucdavis.edu](mailto:fireprevention@ucdavis.edu) or (530) 752-1493

The Colleges at La Rue, The Atriums, the La Rue Park Group Living Communities, and Russell Park, managed by Tandem Properties

- 2020 Davis Model Lease Agreement and Addenda
- For additional information, please contact the Tandem Properties Office at (530) 756-5075

8<sup>th</sup> and Wake apartments, managed by Yolo Property Management

- Yolo Property Management Lease Agreement
- Yolo Property Management Emergency Response Plan
- 8<sup>th</sup> and Wake Maintenance Information page at the [Yolo Property Management website](#).
- For additional information, please contact the Yolo Property Management office at [8w@yolopm.com](mailto:8w@yolopm.com) or (530) 298-7777

West Village apartments, managed by Sol at West Village

- Sol at West Village lease agreement
- Rules and Regulations Addendum
- For additional information, please visit the [Sol at West Village website](#) or contact Sol at West Village [via email](#) or by phone (530) 759-0661

The Domes and Tri-CoOps, managed by the Solar Community Housing Association

- Campus Co-Ops Handbook
- For additional information, please contact the Solar Community Housing Association at [staff@schadavis.org](mailto:staff@schadavis.org)

## Campus Residential Facility Fire Safety Equipment and Fire Drills

The tables below show the names, locations, and installed fire safety equipment for each of the residential facilities on the Davis campus as of October 1, 2021, as well as the number of fire evacuations drills held in 2020. There are no residential facilities on the UC Davis Health campus.

### *Campus Residential Facilities Managed by Student Housing and Dining Services*

<b>Primero Grove Apartments</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Laurel; 506 Primero Grove Cr.	X		X		X	X	X	X	0
Magnolia; 512 Primero Grove Cr.	X		X		X	X	X	X	0
Manzanita; 518 Primero Grove Cr.	X		X		X	X	X	X	0
Spruce; 500 Primero Grove Cr.	X		X		X	X	X	X	0

<b>Cuarto Residence Halls</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Shasta Hall; 565 Oxford Cr.	X		X		X	X	X	X	0
Tahoe Hall; 533 Oxford Cr.	X		X		X	X	X	X	0
Yosemite Hall; 541 Oxford Cr.	X		X		X	X	X	X	Not open in 2020

<b>Segundo Residence Halls</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Alder; 1081 La Rue Rd.	X		X		X	X	X	X	1
Bixby; 1019 La Rue Rd.	X		X		X	X	X	X	1
Campo; 605 Regan Hall Bkwy.	X		X		X	X	X		0
Gilmore; 1029 La Rue Rd.	X		X		X	X	X	X	1
Indio; 505 Regan Hall Cr.	X		X		X	X	X		0
Malcolm; 1059 La Rue Rd.	X		X		X	X	X	X	1
Miller; 1079 La Rue Rd.	X		X		X	X	X	X	1
Nova; 555 Beckett Hall Cr.	X		X		X	X	X		0
Paloma; 515 Beckett Hall Cr.	X		X		X	X	X		0
Rienda; 575 Beckett Hall Cr.	X		X		X	X	X		0
Ryerson; 1063 La Rue Rd.	X		X		X	X	X	X	1
Sereno; 525 Regan Hall Cr.	X		X		X	X	X		0
Talara; 535 Beckett Hall Cr.	X		X		X	X	X		0
Thompson; 1087 La Rue Rd.	X		X		X	X	X	X	1



*Campus Residential Facilities Managed by Student Housing and Dining Services (cont.)*

<b>Tercero Residence Halls</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Campbell; 434 Dairy Rd.	X		X	X	X	X	X	X	1
Cottonwood; 337 Bioletti Way	X		X	X	X	X	X	X	1
Currant; 584 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Hawthorne; 664 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Kearney; 352 Dairy Rd.	X		X		X	X	X	X	1
Laben; 376 Dairy Rd.			X		X	X	X		1
Live Oak; 622 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Madrone; 375 Bioletti Way	X		X	X	X	X	X	X	1
Mahogany; 686 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Pine; 568 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Potter; 468 Dairy Rd.	X		X	X	X	X	X	X	1
Redwood; 363 Bioletti Way	X		X	X	X	X	X	X	1
Scrub Oak; 598 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Sequoia; 648 Tercero Hall Dr.	X		X	X	X	X	X	X	1
Wall; 637 La Rue Rd.	X		X	X	X	X	X	X	1

<b>Solano Park Apartments</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Solano Park Apts #1100; 1100 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #1200; 1200 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #1400; 1400 Solano Park Cr.			X		X	X			0
Solano Park Apts #1500; 1500 Solano Park Cr.			X		X	X			0
Solano Park Apts #1600; 1600 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #1700; 1700 Solano Park Cr.			X		X	X			0
Solano Park Apts #1800; 1800 Solano Park Cr.			X		X	X			0
Solano Park Apts #2000; 2000 Solano Park Cr.			X		X	X			0
Solano Park Apts #2100; 2100 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #2200; 2200 Solano Park Cr.			X		X	X			0

*Campus Residential Facilities Managed by Student Housing and Dining Services (cont.)*

Solano Park Apartments (cont.)	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Solano Park Apts #2400; 2400 Solano Park Cr.			X		X	X			0
Solano Park Apts #2600; 2600 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #2700; 2700 Solano Park Cr.			X		X	X			0
Solano Park Apts #2800; 2800 Solano Park Cr.			X		X	X			0
Solano Park Apts #3000; 3000 Solano Park Cr.			X		X	X			0
Solano Park Apts #3100; 3100 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #3200; 3200 Solano Park Cr.			X		X	X			0
Solano Park Apts #3400; 3400 Solano Park Cr.			X		X	X			0
Solano Park Apts #3500; 3500 Solano Park Cr.			X		X	X			0
Solano Park Apts #3600; 3600 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #3700; 3700 Solano Park Cr.			X		X	X			0
Solano Park Apts #3800; 3800 Solano Park Cr.			X		X	X			0
Solano Park Apts #3900; 3900 Solano Park Cr.			X		X	X			0
Solano Park Apts #4000; 4000 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #4100; 4100 Solano Park Cr.			X		X	X			0
Solano Park Apts #4200; 4200 Solano Park Cr.		X	X		X	X			0
Solano Park Apts #4300; 4300 Solano Park Cr.			X		X	X			0

The Green at West Village	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
184 Horizon; 184 Horizon Street	X		X	X	X	X	X	X	Under construction in 2020
187 Mint; 187 Mint Street	X		X	X	X	X	X	X	
2079 Tilia; 2079 Tilia Street	X		X	X	X	X	X	X	
2231 Jade; 2231 Jade Street	X		X	X	X	X	X	X	
298 Celadon; 298 Celadon Street	X		X	X	X	X	X	X	
298 Citron; 298 Citron Street	X		X	X	X	X	X	X	
298 Horizon; 298 Horizon Street	X		X	X	X	X	X	X	
301 Celadon; 301 Celadon Street	X		X	X	X	X	X	X	
301 Citron; 301 Citron Street	X		X	X	X	X	X	X	

*Campus Residential Facilities Managed by Tandem Properties*

The Colleges at La Rue	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Colleges at La Rue #1; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #2; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #3; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #4; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #5; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #6; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #7; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #8; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #9; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #10; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #11; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #12; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #13; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #14; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #15; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #16; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #17; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #18; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #19; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #20; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #21; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #22; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #23; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #24; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #25; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #26; 164 Orchard Park Dr.	X		X		X	X		X	0
Colleges at La Rue #27; 164 Orchard Park Dr.	X		X		X	X		X	0



*Campus Residential Facilities Managed by Tandem Properties (cont.)*

<b>The Atriums</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Atriums at La Rue 50; 400 Russell Park Dr.	X		X		X	X	X	X	0
Atriums at La Rue 100; 400 Russell Park Dr.	X		X		X	X	X	X	0
Atriums at La Rue 200; 400 Russell Park Dr.	X		X		X	X	X	X	0
Atriums at La Rue 300; 400 Russell Park Dr.	X		X		X	X	X	X	0
Atriums at La Rue 400; 400 Russell Park Dr.	X		X		X	X	X	X	0

<b>La Rue Park Group Living Communities</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
100 Parkway Circle	X		X		X	X	X		0
200 Parkway Circle	X		X		X	X	X		0
310 Parkway Circle	X		X		X	X	X		0
320 Parkway Circle	X		X		X	X	X		0
330 Parkway Circle	X		X		X	X	X		0
400 Parkway Circle	X		X		X	X	X		0
500 Parkway Circle	X		X		X	X	X		0

Fire Prevention Services conducted a virtual fire safety orientation presentation, which included evacuation procedures, for all of the residents of the La Rue Park Group Living Communities on September 23, 2020.



*Campus Residential Facilities Managed by Tandem Properties (cont.)*

<b>Russell Park Apartments</b>	<b>Fire Sprinkler</b>		<b>Fire Alarm System</b>				<b>Fire Separations</b>		<b>Fire Drills in 2020</b>
<b>Residential Facility</b>	<b>Full</b>	<b>Partial</b>	<b>Smoke</b>	<b>Duct</b>	<b>Manual Pull</b>	<b>Evac Device</b>	<b>Corridor</b>	<b>Room</b>	
Russell Park Apts; 400 Russell Park		X	X		X	X			0
Russell Park Apts; 401 Russell Park		X	X		X	X			0
Russell Park Apts; 402 Russell Park		X	X		X	X			0
Russell Park Apts; 403 Russell Park		X	X		X	X			0
Russell Park Apts; 404 Russell Park		X	X		X	X			0
Russell Park Apts; 405 Russell Park		X	X		X	X			0
Russell Park Apts; 406 Russell Park		X	X		X	X			0
Russell Park Apts; 407 Russell Park		X	X		X	X			0
Russell Park Apts; 408 Russell Park		X	X		X	X			0
Russell Park Apts; 409 Russell Park		X	X		X	X			0
Russell Park Apts; 410 Russell Park		X	X		X	X			0
Russell Park Apts; 411 Russell Park		X	X		X	X			0
Russell Park Apts; 412 Russell Park		X	X		X	X			0
Russell Park Apts; 413 Russell Park		X	X		X	X			0
Russell Park Apts; 414 Russell Park		X	X		X	X			0
Russell Park Apts; 415 Russell Park		X	X		X	X			0
Russell Park Apts; 416 Russell Park		X	X		X	X			0
Russell Park Apts; 417 Russell Park		X	X		X	X			0
Russell Park Apts; 418 Russell Park		X	X		X	X			0
Russell Park Apts; 419 Russell Park		X	X		X	X			0
Russell Park Apts; 420 Russell Park		X	X		X	X			0
Russell Park Apts; 421 Russell Park		X	X		X	X			0
Russell Park Apts; 422 Russell Park		X	X		X	X			0
Russell Park Apts; 423 Russell Park		X	X		X	X			0
Russell Park Apts; 424 Russell Park		X	X		X	X			0
Russell Park Apts; 425 Russell Park		X	X		X	X			0

*Campus Residential Facilities Managed by Sol at West Village*

The Ramble	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
West Village Ramble; 100 Sage St. Bldg. A	X		X		X	X	X		0
West Village Ramble; 100 Sage St. Bldg. B	X		X		X	X	X		0
West Village Ramble; 100 Sage St. Bldg. C	X		X		X	X	X		0
West Village Ramble; 110 Sage St. Bldg. A	X		X		X	X	X		0
West Village Ramble; 110 Sage St. Bldg. B	X		X		X	X	X		0
West Village Ramble; 110 Sage St. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1538 Jade St. Bldg. A	X		X		X	X	X		0
West Village Ramble; 1538 Jade St..Bldg. B	X		X		X	X	X		0
West Village Ramble; 1540 Jade St..Bldg. A	X		X		X	X	X		0
West Village Ramble; 1540 Jade St..Bldg. B	X		X		X	X	X		0
West Village Ramble; 1540 Jade St..Bldg. C	X		X		X	X	X		0
West Village Ramble; 1545 Jade St..Bldg. A	X		X		X	X	X		0
West Village Ramble; 1545 Jade St..Bldg. B	X		X		X	X	X		0
West Village Ramble; 1545 Jade St. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1545 Jade St. Bldg. D	X		X		X	X	X		0
West Village Ramble; 1655 Hutchison Pl. Bldg. A	X		X		X	X	X		0
West Village Ramble; 1655 Hutchison Pl. Bldg. B	X		X		X	X	X		0
West Village Ramble; 1655 Hutchison Pl. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1721 Hutchison Dr. Bldg. A	X		X		X	X	X		0
West Village Ramble; 1721 Hutchison Dr. Bldg. B	X		X		X	X	X		0
West Village Ramble; 1721 Hutchison Dr. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1739 Hutchison Dr. Bldg. A	X		X		X	X	X		0
West Village Ramble; 1739 Hutchison Dr. Bldg. B	X		X		X	X	X		0
West Village Ramble; 1739 Hutchison Dr. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1743 Hutchison Dr. Bldg. A	X		X		X	X	X		0
West Village Ramble; 1743 Hutchison Dr. Bldg. B	X		X		X	X	X		0
West Village Ramble; 1743 Hutchison Dr. Bldg. C	X		X		X	X	X		0
West Village Ramble; 1743 Hutchison Dr. Bldg. D	X		X		X	X	X		0



*Campus Residential Facilities Managed by Sol at West Village (cont.)*

<b>The Ramble (cont.)</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
West Village Ramble; 301 N. Sage Dr. Bldg. A	X		X		X	X	X		0
West Village Ramble; 301 N. Sage Dr. Bldg. B	X		X		X	X	X		0
West Village Ramble; 301 N. Sage Dr. Bldg. C	X		X		X	X	X		0
West Village Ramble; 301 N. Sage Dr. Bldg. D	X		X		X	X	X		0

<b>Solstice</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
West Village Solstice; 1890 Tilia St.	X		X		X	X	X		0
West Village Solstice; 2075 Jade St.	X		X		X	X	X		0
West Village Solstice; 2120 Jade St.	X		X		X	X	X		0
West Village Solstice; 2145 Jade St.	X		X		X	X	X		0
West Village Solstice; 2150 Tilia St.	X		X		X	X	X		0
West Village Solstice; 1885 Jade St.	X		X		X	X	X		0
West Village Solstice; 220 Celadon St.	X		X		X	X	X		0
West Village Solstice; 250 Celadon St.	X		X		X	X	X		0
West Village Solstice; 255 Celadon St.	X		X		X	X	X		0
West Village Solstice; 225 Celadon St.	X		X		X	X	X		0
West Village Solstice; 2035 Jade St.	X		X		X	X	X		0
West Village Solstice; 2040 Tilia St.	X		X		X	X	X		0
West Village Solstice; 2080 Tilia St.	X		X		X	X	X		0

<b>Viridian</b>	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
West Village Viridian; 1715 Tilia St.	X		X		X	X	X		0
West Village Viridian; 1605 Tilia St.	X		X		X	X	X		0
West Village Viridian; 215 Sage St.	X		X		X	X	X		0
West Village Viridian; 201 Sage St.	X		X		X	X	X		0
West Village Viridian; 1590 Tilia St.	X		X		X	X	X		0
West Village Viridian; 1575 Jade St.	X		X		X	X	X		0

*Campus Residential Facilities Managed by Yolo Property Management*

8th and Wake	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
8th and Wake North; 1440 Wake Forest Dr.	X		X	X	X	X	X	X	0
8th and Wake South; 1440 Wake Forest Dr.	X		X	X	X	X	X	X	0

*Campus Residential Facilities Managed by Solar Community Housing Association*

The Domes	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Dome 02; 319 Orchard Park Dr.			X			X			0
Dome 03; 325 Orchard Park Dr.			X			X			0
Dome 04; 331 Orchard Park Dr.			X			X			0
Dome 05; 337 Orchard Park Dr.			X			X			0
Dome 06; 343 Orchard Park Dr.			X			X			0
Dome 07; 397 Orchard Park Dr.			X			X			0
Dome 08; 391 Orchard Park Dr.			X			X			0
Dome 09; 385 Orchard Park Dr.			X			X			0
Dome 10; 379 Orchard Park Dr.			X			X			0
Dome 11; 367 Orchard Park Dr.			X			X			0
Dome 12; 361 Orchard Park Dr.			X			X			0
Dome 13; 355 Orchard Park Dr.			X			X			0
Dome 14; 349 Orchard Park Dr.			X			X			0
Dome 15; 373 Orchard Park Dr.			X			X			0

The Tri Co-Ops	Fire Sprinkler		Fire Alarm System				Fire Separations		Fire Drills in 2020
Residential Facility	Full	Partial	Smoke	Duct	Manual Pull	Evac Device	Corridor	Room	
Davis Student Co-Op (TB 13) 530 Regan Hall Cr.	X		X		X	X			0
Pierce Co-Op (TB 14) 540 Regan Hall Cr.	X		X		X	X			0
Agrarian Effort Co-Op (TB 15) 550 Regan Hall Cr.	X		X		X	X			0

## Important Contacts

Aggie Hosts	(530) 752-2677
Academic and Staff Assistance Program (ASAP)	(530) 752-2727
Center for Advocacy Resources and Education (CARE)	(530) 752-3299
Family Protection and Legal Assistance Clinic	(530) 752-6532
Harassment and Discrimination Assistance and Prevention Program (HDAPP)	(530) 747-3864
HDAPP Anonymous Report Line	(530) 747-3865
Lesbian, Gay, Bisexual, Transgender, Queer, Intersexual, Asexual Resource Center	(530) 752-2452
Office of Student Support and Judicial Affairs	(530) 752-1128
Ombuds Office	(530) 219-6750
Services for International Students and Scholars	(530) 752-0864
Student Health and Counseling Services	(530) 752-2300
Student Housing	(530) 752-2033
Title IX Office	(530) 752-9466
UC Davis Fire Department	(530) 752-1234
UC Davis Fire Prevention	(530) 752-1493
UC Davis Police—Emergency	911
UC Davis Police—Non-emergency (Davis)	(530) 754-2677
UC Davis Police—Non-emergency (UCD Health)	(916) 734-3841
UC Davis Safe Rides	(530) 752-2677
Women's Resources and Research Center	(530) 752-3372



## **Appendices**

- A. 2018, 2019, and 2020 Fire Statistics for Davis Campus Residential Facilities
- B. University of California Policy on Sexual Violence and Sexual Harassment
- C. UC Davis Policy on Sexual Violence and Sexual Harassment (PPM Section 400-20)
- D. Sexual Violence Support Services and Reporting Options brochure
- E. Policies Applying to Campus Activities, Organizations and, Students (PACAOS) – Appendix E: University of California Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework
- F. Interim PACAOS-Appendix-F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct
- G. Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel
- H. Investigation and Adjudication Framework for Senate and Non-Senate Faculty Senate or Non-Senate Faculty Respondents
- I. University of California Policy on Student Conduct and Discipline (PACAOS 100)
- J. UC Davis Policy on Student Conduct and Discipline
- K. UC Davis School of Veterinary Medicine Policy for Student Academic and Social Misconduct
- L. UC Davis School of Medicine Student Code of Academic & Social Conduct Policy
- M. UC Davis Policy on Bullying and Abusive Conduct in the Workplace (PPM 390-30)
- N. UC Faculty Code of Conduct (APM 015)
- O. UC Non-Senate Academic Appointees/Corrective Action and Dismissal (APM 150)

## **Appendix A**

### 2018, 2019, and 2020 Fire Statistics for Davis Campus Residential Facilities

## Appendix A

### 2018, 2019, and 2020 Fire Statistics for Davis Campus Residential Facilities

#### Fires in Davis Campus Residential Facilities in 2020

Primero Grove Apartments								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Laurel; 506 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Magnolia; 512 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Manzanita; 518 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Spruce; 500 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Cuarto Residence Halls								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Emerson Hall; 565 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thoreau Hall; 533 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Segundo Residence Halls								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Alder; 1081 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Bixby; 1019 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Campo; 605 Regan Hall Bkwy.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Gilmore; 1029 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Indio; 505 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Malcolm; 1059 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Miller; 1079 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Nova; 555 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Paloma; 515 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Rienda; 575 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Ryerson; 1063 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Serenio; 525 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Talara; 535 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thompson; 1087 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2020 (cont.)

Tercero Residence Halls								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Campbell; 434 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Cottonwood; 337 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Currant; 584 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Hawthorne; 664 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Kearney; 352 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Laben; 376 Dairy Rd.	1	1	1/26/20	Paper	Arson	0	0	0
Live Oak; 622 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Madrone; 375 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Mahogany; 686 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pine; 568 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Potter; 468 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Redwood; 363 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Scrub Oak; 598 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Sequoia; 648 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Wall; 637 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Solano Park Apartments								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #1100; 1100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1200; 1200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1300; 1300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1400; 1400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1500; 1500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1600; 1600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1700; 1700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1800; 1800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1900; 1900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2000; 2000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2100; 2100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2200; 2200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2020 (cont.)

Solano Park Apartments (cont.)								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #2300; 2300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2400; 2400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2500; 2500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2600; 2600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2700; 2700 Solano Park Cr.	1	1	10/18/20	Cooking	Unintentional	0	0	0
Solano Park Apts #2800; 2800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2900; 2900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3000; 3000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3100; 3100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3200; 3200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3300; 3300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3400; 3400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3500; 3500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3600; 3600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3700; 3700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3800; 3800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3900; 3900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4000; 4000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4100; 4100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4200; 4200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4300; 4300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4400; 4400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2020 (cont.)

The Colleges at La Rue								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Colleges at La Rue #1; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #2; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #3; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #4; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #5; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #6; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #7; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #8; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #9; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #10; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #11; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #12; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #13; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #14; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #15; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #16; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #17; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #18; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #19; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #20; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #21; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #22; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #23; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #24; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #25; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #26; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #27; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2020 (cont.)

The Atriums								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Atriums at La Rue 50; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 100; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 200; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 300; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 400; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

La Rue Park Group Living Communities								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
100 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
200 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
310 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
320 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
330 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
400 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
500 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2020 (cont.)

Russell Parks Apartments								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Russell Park Apts; 400 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 401 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 402 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 403 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 404 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 405 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 406 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 407 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 408 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 409 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 410 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 411 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 412 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 413 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 414 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 415 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 416 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 417 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 418 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 419 Russell Park	1	1	5/5/20	Cooking	Unintentional	0	0	0
Russell Park Apts; 420 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 421 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 422 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 423 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 424 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 425 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2020 (cont.)

The Ramble								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Ramble; 100 Sage St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. C	1	1	8/9/20	Cooking	Unintentional	0	0	0
West Village Ramble; 1545 Jade St. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2020 (cont.)

Solstice								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Solstice; 1890 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2075 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2120 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2145 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2150 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 1885 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 220 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 250 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 255 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 225 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2035 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2040 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2080 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Viridian								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Viridian; 1715 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1605 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 215 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 201 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1590 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1575 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2020 (cont.)

8th and Wake								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
8th and Wake North; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
8th and Wake South; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Domes								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Dome 02; 319 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 03; 325 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 04; 331 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 05; 337 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 06; 343 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 07; 397 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 08; 391 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 09; 385 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 10; 379 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 11; 367 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 12; 361 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 13; 355 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 14; 349 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 15; 373 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Tri Co-Ops								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Davis Student Co-Op (TB 13) 530 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pierce Co-Op (TB 14) 540 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Agrarian Effort Co-Op (TB 15) 550 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019

### Primero Grove Apartments

Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Laurel; 506 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Magnolia; 512 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Manzanita; 518 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Spruce; 500 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

### Cuarto Residence Halls

Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Emerson Hall; 565 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thoreau Hall; 533 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

### Segundo Residence Halls

Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Alder; 1081 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Bixby; 1019 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Campo; 605 Regan Hall Bkwy.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Gilmore; 1029 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Indio; 505 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Malcolm; 1059 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Miller; 1079 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Nova; 555 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Paloma; 515 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Rienda; 575 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Ryerson; 1063 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Sereno; 525 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Talara; 535 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thompson; 1087 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2019 (cont.)

Tercero Residence Halls								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Campbell; 434 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Cottonwood; 337 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Currant; 584 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Hawthorne; 664 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Kearney; 352 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Laben; 376 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Live Oak; 622 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Madrone; 375 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Mahogany; 686 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pine; 568 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Potter; 468 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Redwood; 363 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Scrub Oak; 598 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Sequoia; 648 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Wall; 637 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Solano Park Apartments								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #1100; 1100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1200; 1200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1300; 1300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1400; 1400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1500; 1500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1600; 1600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1700; 1700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1800; 1800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1900; 1900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2000; 2000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2100; 2100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2200; 2200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019 (cont.)

Solano Park Apartments (cont.)								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #2300; 2300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2400; 2400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2500; 2500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2600; 2600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2700; 2700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2800; 2800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2900; 2900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3000; 3000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3100; 3100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3200; 3200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3300; 3300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3400; 3400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3500; 3500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3600; 3600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3700; 3700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3800; 3800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3900; 3900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4000; 4000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4100; 4100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4200; 4200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4300; 4300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4400; 4400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019 (cont.)

The Colleges at La Rue								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Colleges at La Rue #1; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #2; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #3; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #4; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #5; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #6; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #7; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #8; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #9; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #10; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #11; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #12; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #13; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #14; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #15; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #16; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #17; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #18; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #19; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #20; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #21; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #22; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #23; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #24; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #25; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #26; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #27; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2019 (cont.)

The Ramble								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Ramble; 100 Sage St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019 (cont.)

The Atriums								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Atriums at La Rue 50; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 100; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 200; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 300; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 400; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

La Rue Park Group Living Communities								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
100 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
200 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
310 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
320 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
330 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
400 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
500 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019 (cont.)

Russell Parks Apartments								
Residential Facility	Fires in 2020	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Russell Park Apts; 400 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 401 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 402 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 403 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 404 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 405 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 406 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 407 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 408 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 409 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 410 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 411 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 412 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 413 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 414 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 415 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 416 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 417 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 418 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 419 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 420 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 421 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 422 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 423 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 424 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 425 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2019 (cont.)

Solstice								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Solstice; 1890 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2075 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2120 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2145 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2150 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 1885 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 220 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 250 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 255 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 225 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2035 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2040 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2080 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Viridian								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Viridian; 1715 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1605 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 215 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 201 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1590 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1575 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2019 (cont.)

8th and Wake								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
8th and Wake North; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
8th and Wake South; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Domes								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Dome 02; 319 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 03; 325 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 04; 331 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 05; 337 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 06; 343 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 07; 397 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 08; 391 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 09; 385 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 10; 379 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 11; 367 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 12; 361 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 13; 355 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 14; 349 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 15; 373 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Tri Co-Ops								
Residential Facility	Fires in 2019	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Davis Student Co-Op (TB 13) 530 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pierce Co-Op (TB 14) 540 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Agrarian Effort Co-Op (TB 15) 550 Regan Hall Cr.	1	1	5/28/19	Cooking	Unintentional	0	0	0

## Fires in Davis Campus Residential Facilities in 2018

### Primero Grove Apartments

Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Laurel; 506 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Magnolia; 512 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Manzanita; 518 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Spruce; 500 Primero Grove Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

### Cuarto Residence Halls

Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Emerson Hall; 565 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thoreau Hall; 533 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Webster Hall; 541 Oxford Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

### Segundo Residence Halls

Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Alder; 1081 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Bixby; 1019 La Rue Rd.	1	1	10/14/18	Cooking	Unintentional	0	0	0
Campo; 605 Regan Hall Bkwy.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Gilmore; 1029 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Indio; 505 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Malcolm; 1059 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Miller; 1079 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Nova; 555 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Paloma; 515 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Rienda; 575 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Ryerson; 1063 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Sereno; 525 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Talara; 535 Beckett Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Thompson; 1087 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2018 (cont.)

Tercero Residence Halls								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Campbell; 434 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Cottonwood; 337 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Currant; 584 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Hawthorne; 664 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Kearney; 352 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Laben; 376 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Live Oak; 622 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Madrone; 375 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Mahogany; 686 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pine; 568 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Potter; 468 Dairy Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Redwood; 363 Bioletti Way	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Scrub Oak; 598 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Sequoia; 648 Tercero Hall Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Wall; 637 La Rue Rd.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Solano Park Apartments								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #1100; 1100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1200; 1200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1300; 1300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1400; 1400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1500; 1500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1600; 1600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1700; 1700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1800; 1800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #1900; 1900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2000; 2000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2100; 2100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2200; 2200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2018 (cont.)

Solano Park Apartments (cont.)								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Solano Park Apts #2300; 2300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2400; 2400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2500; 2500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2600; 2600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2700; 2700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2800; 2800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #2900; 2900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3000; 3000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3100; 3100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3200; 3200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3300; 3300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3400; 3400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3500; 3500 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3600; 3600 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3700; 3700 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3800; 3800 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #3900; 3900 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4000; 4000 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4100; 4100 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4200; 4200 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4300; 4300 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Solano Park Apts #4400; 4400 Solano Park Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2018 (cont.)

The Colleges at La Rue								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Colleges at La Rue #1; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #2; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #3; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #4; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #5; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #6; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #7; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #8; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #9; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #10; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #11; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #12; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #13; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #14; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #15; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #16; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #17; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #18; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #19; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #20; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #21; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #22; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #23; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #24; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #25; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #26; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Colleges at La Rue #27; 164 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2018 (cont.)

The Atriums								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Atriums at La Rue 50; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 100; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 200; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 300; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Atriums at La Rue 400; 400 Russel Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

La Rue Park Group Living Communities								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
100 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
200 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
310 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
320 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
330 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
400 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
500 Parkway Circle	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in Davis Campus Residential Facilities in 2018 (cont.)

Russell Park Apartments								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Russell Park Apts; 400 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 401 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 402 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 403 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 404 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 405 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 406 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 407 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 408 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 409 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 410 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 411 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 412 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 413 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 414 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 415 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 416 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 417 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 418 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 419 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 420 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 421 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 422 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 423 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 424 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Russell Park Apts; 425 Russell Park	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a



## Fires in Davis Campus Residential Facilities in 2018 (cont.)

The Ramble								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Ramble; 100 Sage St. Bldg. A	0*	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 100 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 110 Sage St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1538 Jade St..Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St..Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St..Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1540 Jade St..Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St..Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St..Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1545 Jade St. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1655 Hutchison Pl. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1721 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1739 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. A	1	1	5/22/18	Cigarette	Unintentional	0	0	0
West Village Ramble; 1743 Hutchison Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 1743 Hutchison Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. A	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. B	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. C	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Ramble; 301 N. Sage Dr. Bldg. D	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

\*Mar 2022 revision: Typographical error. "Fires in 2018" value changed from 1 to 0.

## Fires in Davis Campus Residential Facilities in 2018 (cont.)

Solstice								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Solstice; 1890 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2075 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2120 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2145 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2150 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 1885 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 220 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 250 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 255 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 225 Celadon St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2035 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2040 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Solstice; 2080 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Viridian								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
West Village Viridian; 1715 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1605 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 215 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 201 Sage St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1590 Tilia St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
West Village Viridian; 1575 Jade St.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## Fires in 2018 (cont.)

8th and Wake								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
8th and Wake North; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
8th and Wake South; 1440 Wake Forest Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Domes								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Dome 02; 319 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 03; 325 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 04; 331 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 05; 337 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 06; 343 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 07; 397 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 08; 391 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 09; 385 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 10; 379 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 11; 367 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 12; 361 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 13; 355 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 14; 349 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Dome 15; 373 Orchard Park Dr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

The Tri Co-Ops								
Residential Facility	Fires in 2018	Fire #	Date	Type	Cause	Injuries	Deaths	Value of Property Damage Caused by Fire
Davis Student Co-Op (TB 13) 530 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Pierce Co-Op (TB 14) 540 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Agrarian Effort Co-Op (TB 15) 550 Regan Hall Cr.	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a

## **Appendix B**

**University of California  
Policy on Sexual Violence and Sexual Harassment**





# Sexual Violence and Sexual Harassment

[Violencia sexual y acoso sexual](#)

[中文版本，請按這裡](#)

[Seksuwal na Karahasan at Sekswal na Panliligaliq](#)

<b>Responsible Officer:</b>	Systemwide Title IX Director
<b>Responsible Office:</b>	Systemwide Title IX Office
<b>Issuance Date:</b>	12/17/2021
<b>Effective Date:</b>	1/01/2022
<b>Last Review Date:</b>	12/8/2021
<b>Scope:</b>	This Sexual Harassment and Sexual Violence Policy (“Policy”) applies to all University employees as well as undergraduate, graduate, and professional students (“students”), and third parties. The Policy applies at all University campuses, the Lawrence Berkeley National Laboratory, Medical Centers, the Office of the President, Agriculture and Natural Resources, and to all University programs and activities.

***For non-confidential help with sexual violence, sexual harassment, relationship violence, and stalking, contact your Title IX Officer. For confidential help, contact your local CARE Advocate. You can find information on local resources at [Sexual Violence Prevention and Response](#)***

***(<http://sexualviolence.universityofcalifornia.edu/get-help/index.html>). Your options for reporting to agencies outside the University are in Section IV.E.***

**FOR QUESTIONS ABOUT THIS POLICY, PLEASE CONTACT:**

<b>Contact:</b>	Suzanne Taylor
<b>Title:</b>	Systemwide Title IX Director
<b>Email:</b>	<a href="mailto:suzanne.taylor@ucop.edu">suzanne.taylor@ucop.edu</a>
<b>Phone:</b>	(510) 987-9161

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## I. POLICY SUMMARY

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The University of California (“University”) is committed to maintaining a community dedicated to the advancement, application and transmission of knowledge and creative endeavors through academic excellence, where all people who participate in University programs and activities can work and learn together in an atmosphere free of harassment, exploitation, or intimidation.

Sexual violence, sexual harassment, retaliation, and other behavior prohibited by this Policy interfere with those goals. The University will respond promptly and effectively to reports of such conduct. This includes action to stop, prevent, correct, and when necessary, discipline, behavior that violates this Policy.

This Policy addresses the University’s responsibilities and procedures related to sexual violence, sexual harassment, retaliation, and other prohibited behavior as those terms are defined in this Policy (together, “Prohibited Conduct”) in order to ensure an equitable and inclusive education and employment environment. The Policy defines Prohibited Conduct and explains the administrative procedures the University uses to resolve reports of Prohibited Conduct.

**Note on Federal Regulations:** The Title IX regulations issued by the U.S. Department of Education (“DOE”) that went into effect August 14, 2020 require the University to follow a specific grievance process (“DOE Grievance Process”) in response to conduct covered by the regulations (“DOE-Covered Conduct”). The University advocated strongly for DOE to change some components of the DOE Grievance Process before DOE issued the regulations; DOE did not. Because compliance with the regulations is a condition of federal funding, the University has nonetheless revised its policies to fully implement them. This Policy is more expansive than the regulations in both conduct prohibited (described in Section II) and its coverage (described in Section III.B). So, the University will apply the DOE Grievance Process only when required, in response to DOE-Covered Conduct. It will follow its existing processes for all other reports. [Appendix IV](#) describes how the University will determine whether it must apply the DOE Grievance Process.

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## II. DEFINITIONS

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### A. Consent

Consent is *affirmative, conscious, voluntary, and revocable*. Consent to sexual activity requires of each person an affirmative, conscious, and voluntary agreement to engage in sexual activity.

It is the responsibility of each person to ensure they have the affirmative consent of the other to engage in the sexual activity. Lack of protest, lack of resistance, or silence do not, alone, constitute consent. Affirmative consent must be ongoing and can be revoked at any time during sexual activity.

The existence of a dating relationship or past sexual relations between the Complainant and Respondent will never by itself be assumed to be an indicator of consent (nor will subsequent sexual relations or dating relationship alone suffice as evidence of consent to prior conduct).

The Respondent's belief that the Complainant consented will not provide a valid defense unless the belief was actual and reasonable. In making this determination, the factfinder will consider all of the facts and circumstances the Respondent knew, or reasonably should have known, at the time. In particular, the Respondent's belief is not a valid defense where:

1. The Respondent's belief arose from the Respondent's own intoxication or recklessness;
2. The Respondent did not take reasonable steps, in the circumstances known to the Respondent at the time, to ascertain whether the Complainant affirmatively consented; or
3. The Respondent knew or a reasonable person should have known that the Complainant was unable to consent because the Complainant was incapacitated, in that the Complainant was:
  - a. asleep or unconscious;
  - b. unable to understand the fact, nature, or extent of the sexual activity due to the influence of drugs, alcohol, or medication; or
  - c. unable to communicate due to a mental or physical condition.

Note: Incapacitation is a state beyond drunkenness or intoxication. A person is not necessarily incapacitated merely as a result of drinking, using drugs, or taking medication.

## **B. Prohibited Conduct**

### **1. Sexual Violence:**

- a. **Sexual Assault - Penetration:** Without the consent of the Complainant, penetration, no matter how slight, of:
  - the Complainant's mouth by a penis or other genitalia; or
  - the Complainant's vagina or anus by any body part or object.
- b. **Sexual Assault - Contact:** Without the consent of the Complainant, intentionally:
  - touching Complainant's intimate body part (genitals, anus, groin, breast, or buttocks);
  - making the Complainant touch another or themselves on any intimate body part; or
  - touching the Complainant with one's intimate body part, whether the intimate body part is clothed or unclothed.

**Note:** This definition encompasses a broad spectrum of conduct, not all of which is sexual violence. So, the Title IX Officer must sometimes determine whether an

allegation should be charged as sexual violence or sexual harassment. (See FAQ #4 for more information.)

Conduct that meets the definition of both Sexual Assault—Contact and Sexual Assault—Penetration will be charged as Sexual Assault—Penetration.

**Note:** *Sexual Assault—Penetration* and *Sexual Assault—Contact* are aggravated when they include any of the following:

- Overcoming the will of Complainant by:
  - *force* (the use of physical force or inducing reasonable fear of immediate or future bodily injury);
  - *violence* (the use of physical force to cause harm or injury);
  - *menace* (a threat, statement, or act showing intent to injure);
  - *duress* (a direct or implied threat of force, violence, danger, hardship, or retribution that is enough to cause a reasonable person of ordinary sensitivity, taking into account all circumstances including age and relationship (including a power imbalance), to do or submit to something that they would not otherwise do); or
  - deliberately causing the Complainant to be incapacitated (for example, through drugs or alcohol);
- Deliberately taking advantage of the Complainant's incapacitation (including incapacitation that results from voluntary use of drugs or alcohol);
- Recording, photographing, transmitting, or distributing intimate or sexual images of Complainant without Complainant's prior knowledge and consent; or
- Engaging in the conduct during or in connection with a clinical encounter (as defined in Appendix V) in which the Complainant was a patient and the Respondent was a health care provider or health care worker.

**c. Relationship Violence:**

i. Relationship Violence is:

- physical violence toward the Complainant or a person who has a close relationship with the Complainant (such as a current or former spouse or intimate partner, a child or other relative), or
- intentional or reckless physical or non-physical conduct toward the Complainant or someone who has a close relationship with the Complainant (such as a current or former spouse or intimate partner, a child or other relative) that would make a reasonable person in the Complainant's position fear physical violence toward themselves or toward the person with whom they have the close relationship,

that is by a person who is or has been in a spousal, romantic, or intimate relationship with the Complainant, or who shares a child with the Complainant, *and* that is part of a pattern of abusive behavior by the person toward the Complainant.



- ii. Physical violence is physical conduct that intentionally or recklessly threatens the health and safety of the recipient of the behavior, including assault.
  - iii. Patterns of abusive behavior may consist of or include non-physical tactics (such as threats, isolation, property destruction, abuse of pets, economic control, displaying weapons, degradation, or exploitation of a power imbalance).
  - iv. The nature of the relationship between the Complainant and Respondent is determined by the length and type of relationship, and the frequency of interaction between them. Relationship violence includes both “dating violence” and “domestic violence.”
  - v. Conduct by a party in defense of self or another is not Relationship Violence under this Policy. If either party asserts that they acted in defense of self or another, the Title IX Officer will use all available, relevant evidence to evaluate the assertion, including reasonableness of the defensive actions and which party is the predominant aggressor.
- d. Stalking:** Repeated conduct directed at a Complainant (for example, following, monitoring, observing, surveilling, threatening, communicating or interfering with property), of a sexual, romantic or other sex-based nature or motivation, that would cause a reasonable person to fear for their safety, or the safety of others, or to suffer substantial emotional distress. Stalking that is not sex-based is addressed by other University policies including but not limited to the [Policy on Student Conduct and Discipline Section 102.10](#).
- e. Sexual Exploitation:**
- i. Sexual Exploitation is taking sexual advantage of another, where the conduct is not otherwise addressed in this Policy, in the following circumstances:
    - a) The trafficking or prostituting of another without their consent: Inducing the Complainant to perform a commercial sex act through force, fraud, or coercion, or where the Complainant is under the age of 18;
    - b) Knowingly making a material false representation about sexually transmitted infection, birth control, or prophylactic status with the specific intent and effect of inducing the Complainant to participate in a specific sexual act or encounter;
    - c) Providing alcohol or drugs to the Complainant with the specific intent and effect of facilitating Prohibited Conduct; or
    - d) Actively facilitating or assisting another person in committing Prohibited Conduct.
  - ii. As used in the above definition of Sexual Exploitation:
    - a) Coercion is overcoming the will of Complainant through:
      - credible threats of serious physical or non-physical harm to the Complainant or another person;

- a plan intended to make the Complainant believe that failure to perform an act would result in serious physical or non-physical harm to the Complainant or another person; or
  - the abuse or credible threat of abuse of a legal or University policy process.
- b) A commercial sex act is any sex act for which anything of value is given to or received by any person.
- c) Force is physical conduct that would reasonably overcome the will of another.
- d) Fraud is intentional deception that would reasonably overcome the will of another.

## **2. Sexual Harassment:**

- a. Sexual Harassment is when:
- i. *Quid Pro Quo*: a person's submission to unwelcome sexual conduct is implicitly or explicitly made the basis for employment decisions, academic evaluation, grades or advancement, or other decisions affecting participation in a University program or activity; or
  - ii. *Hostile Environment*: unwelcome sexual or other sex-based conduct is sufficiently severe, persistent or pervasive that it unreasonably denies, adversely limits, or interferes with a person's participation in or benefit from the education, employment or other programs or activities of the University, and creates an environment that a reasonable person would find to be intimidating or offensive.
- b. Sexual conduct includes sexual or romantic advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature.
- c. Other sex-based conduct includes acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender, gender identity, gender expression, sex- or gender-stereotyping, or sexual orientation.
- d. Consideration is given to the totality of the circumstances in which the conduct occurred.
- e. This Policy will be implemented in a manner that recognizes the importance of the rights to freedom of speech and expression and will not be interpreted to prohibit expressive conduct that is protected by the free speech and academic freedom principles discussed in Section III.F.

## **3. Other Prohibited Behavior:**

- a. Invasions of Sexual Privacy.
- i. Without a person's consent, watching or enabling others to watch that person's nudity or sexual acts in a place where that person has a reasonable expectation of privacy;

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- ii. Without a person's consent, making or attempting to make photographs (including videos) or audio recordings, or posting, transmitting or distributing such recorded material, depicting that person's nudity or sexual acts in a place where that person has a reasonable expectation of privacy;
  - iii. Using depictions of nudity or sexual activity to extort something of value from a person; or.
  - iv. Threatening to post or share depictions of nudity or sexual activity unless a person takes a particular action.
- b. Sexual intercourse with a person under the age of 18.
- c. Exposing one's genitals in a public place for the purpose of sexual gratification.
- d. Failing to comply with the terms of a no-contact order, a suspension of any length, or any order of exclusion issued under this Policy.
- e. Engaging in Retaliation. Retaliation is an adverse action against a person based on their report or other disclosure of alleged Prohibited Conduct to a University employee, or their participation in, refusal to participate in, or assistance with the investigation, reporting, remedial, or disciplinary processes provided for in this Policy.

An adverse action is conduct that would discourage a reasonable person from reporting Prohibited Conduct or participating in a process provided for in this Policy, such as threats, intimidation, harassment, discrimination and coercion. Good faith actions lawfully pursued in response to a report of Prohibited Conduct (such as gathering evidence) are not, without more, retaliation.

**Note One:** To determine whether conduct is DOE-Covered Conduct the Title IX Officer will do the assessment and apply the definitions in [Appendix IV](#). The definitions here are broader than and encompass all conduct included in the Appendix IV definitions.

**Note Two:** When Prohibited Conduct allegedly occurs in the context of patient care, the Title IX Officer will refer to Appendix V and, when indicated, apply the definitions in that Appendix.

**C. Other Definitions:**

1. **Complainant:** A person alleged, in a report to the Title IX Officer, to have experienced Prohibited Conduct.
2. **Confidential Resources:** The following employees who receive information about Prohibited Conduct in their confidential capacity:
  - a. CARE,
  - b. Ombuds,
  - c. Licensed counselors in student counseling centers and in employee assistance programs,

- d. Any persons with a professional license requiring confidentiality (including health center employees but excluding campus legal counsel), or someone who is supervised by such a person; and.
- e. Pastoral counselors (persons associated with a religious order or denomination, who are recognized by that religious order or denomination as someone who provides confidential counseling).

Designation as a “Confidential Resource” under this Policy only exempts a person from reporting to the Title IX Officer. It does not affect other mandatory reporting obligations under *UC CANRA (Child Abuse and Neglect Reporting Act) Policy*, the Clery Act as a Campus Security Authority (CSA), and other policies or laws that require reporting to campus or local law enforcement, or Child Protective Services.

### **3. Supportive and Remedial Measures.**

- a. Supportive Measures include both Interim Measures and Mitigating Measures. The University provides Supportive Measures as appropriate and reasonably available, without fee or charge.
  - i. Interim Measures: Services, accommodations, or other measures put in place temporarily after the Title IX Officer receives a report of Prohibited Conduct to assist or protect the Complainant, the Respondent, or the University community; restore or preserve a party’s access to a University program or activity; or deter Prohibited Conduct. Interim measures may:
    - remain in place until the final outcome of a Resolution Process (see Section V.A.5) or a subsequent disciplinary or appeal process;
    - change or terminate depending on the parties’ evolving needs, as assessed by the Title IX Officer; or
    - become permanent as part of the resolution of a report.
  - ii. Mitigating Measures: Services, accommodations or other measures for a Complainant who is not in a Resolution Process (see Section V.A.5), including a Complainant who was previously in a Resolution Process that did not result in a finding of a policy violation. Mitigating measures may be implemented to provide support, restore or preserve access to a University program or activity, or deter Prohibited Conduct.
- b. Remedial Measures: Services, accommodations, or other measures put in place as a result of a completed Resolution Process (see Section V.A.5).

Examples of services, accommodations, and other measures are in Appendix III. The Title IX Officer will consult with the Complainant and, when appropriate, the Respondent, to identify suitable services, accommodations and other measures.

In matters involving DOE-Covered Conduct, the Title IX Officer will ensure Supportive Measures are non-disciplinary and non-punitive, and that they do not unreasonably burden a party.

Campuses may take other measures per other University policies.



4. **Location:** “Location” is any University campus, the Lawrence Berkeley National Laboratory, Medical Centers, the Office of the President, and Agriculture and Natural Resources.
5. **Preponderance of Evidence:** A standard of proof that requires that a fact be found when its occurrence, based on evidence, is more likely than not.
6. **Respondent:** A person alleged, in a report to the Title IX Officer, to have engaged in Prohibited Conduct.
7. **Responsible Employee:** Any University employee who is not a Confidential Resource. If a Responsible Employee learns, in the course of employment, that a student may have experienced Prohibited Conduct or that Prohibited Conduct may have occurred in the context of patient care, they must promptly notify the Title IX Officer or designee. This includes resident assistants, graduate teaching assistants, and all other student employees, when disclosures are made to them in their capacities as employees.

In addition, if any of the following people learn, in the course of employment, that any other person affiliated with the University may have experienced Prohibited Conduct, they must promptly notify the Title IX Officer or designee:

- Campus Police
- Human Resources Administrators, Academic Personnel Administrators, and Title IX Professionals
- Managers and Supervisors including Deans, Department Chairs, and Directors of Organized Research Units
- Faculty members

Despite the above, Responsible Employees need not report possible Prohibited Conduct they learn of while attending a public awareness event, such as “Take Back the Night” (see FAQ #9), or disclosed by someone while participating in human subjects research that has either been approved by an Institutional Review Board (IRB) or certified as exempt from IRB review (see FAQ #10).

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### III. POLICY TEXT

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#### A. General

The University is committed to maintaining a community free of sexual harassment, sexual violence, retaliation, and other behavior prohibited by this Policy (together, “Prohibited Conduct”). Prohibited Conduct violates this Policy and may violate law. Any person can report conduct that may be Prohibited Conduct. The University will respond promptly and equitably to such reports. This includes appropriate action to stop, prevent, and remedy the Prohibited Conduct and, when necessary, to discipline the Respondent.

Discrimination based on sex (including gender, gender identity, gender expression, sex- or gender-stereotyping, or sexual orientation) violates law and other University policies even when it is not Prohibited Conduct. The University will respond promptly and equitably to reports of such behavior. Such conduct may contribute to the creation of a

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hostile work or academic environment based on sex. So, when determining whether a Complainant experienced a hostile environment as defined in this Policy, the Title IX Officer will consider other sex-based discrimination in combination with incidents of sexual harassment.

**B. Policy Coverage**

This Policy covers acts of Prohibited Conduct committed by University students (as defined in Section 14.00 of the Policies Applying to Campus Activities, Organizations, and Students, and including applicants who become students and former students, as described in Section 101.00 of the Policy on Student Conduct and Discipline), employees, and third parties (such as Regents, contractors, vendors, visitors, guests, patients and volunteers), and acts of Prohibited Conduct committed against students, employees and third parties, when the conduct occurs:

1. on University property;
2. in connection with University employment or in the context of a University program or activity (including, for example, University-sponsored study abroad, research, on-line courses, health services, or internship programs); or
3. off University property and outside the context of a University program or activity, but has continuing adverse effects on—or creates a hostile environment for students, employees or third parties while on—University property or in any University program or activity.

Consistent with Section 101.00 of the Policy on Student Conduct and Discipline, if and as specified in implementing campus regulations, this Policy may cover additional Prohibited Conduct by students that occurs off campus.

Not every report of Prohibited Conduct will result in a Resolution Process described in Section V.A.5, even if it is covered by this Policy. Rather, the Title XI Officer will close some reports after making an initial assessment (see Section V.A.4).

**C. Conduct that Violates this Policy**

This Policy prohibits sexual violence, sexual harassment, retaliation and other prohibited behavior as defined in Section II and Appendix V. Incidents that violate this Policy may occur between:

- any members of the University community, including faculty and other academic appointees, staff, student employees, students, coaches, doctors, residents, interns, and third parties;
- people in hierarchical relationships and peers;
- people of any gender, gender identity, or sexual orientation; and
- strangers and non-strangers.

People may engage in Prohibited Conduct in person or through other means. This includes electronic media, such as the internet, social networks, cell phones, texts, and other devices or forms of contact.

#### D. Consensual Relationships

While romantic and sexual relationships between members of the University community may begin as consensual, Prohibited Conduct may occur within such relationships. So, the University will treat a report of Prohibited Conduct that occurs in the context of a consensual relationship as any other report.

Consensual romantic and sexual relationships between members of the University community may create conflicts of interest. So, such relationships between a student and a faculty member or other employee, or between employees, are also subject to other University policies, such as [The Faculty Code of Conduct](#), APM-015.II.A.6 & 7 and local policies.

#### E. Protection of Complainants, Respondents, and Witnesses

1. **Amnesty:** To encourage reporting, the University will not discipline Complainants or witnesses for student conduct policy violations that occur around the time of alleged Prohibited Conduct unless the University determines the violation was egregious. Examples of egregious violations include conduct that risked someone's health or safety, or involved plagiarism, cheating, or academic dishonesty.

Complainants may be particularly afraid to report Prohibited Conduct when alcohol, drugs, or other intoxicants were involved (for example, when there was underage drinking). This amnesty provision applies to alcohol- and drug-related student violations.

2. **Retaliation:** The University prohibits Retaliation against someone for reporting possible Prohibited Conduct or participating or not participating in a process under this Policy. (See Section II.B.3.e)
3. **Privacy and Confidentiality:** The University must balance the privacy interests of people involved in a report of Prohibited Conduct against the need to gather information, ensure a fair process, and stop, prevent and remedy Prohibited Conduct. In this context, the University tries to protect people's privacy to the extent permitted by law and University policies. The University otherwise keeps confidential the identities of parties, witnesses and those who report Prohibited Conduct, except as required by law or permitted by FERPA, and protects the privacy of personally identifiable information per all applicable state and federal privacy laws, and University policies.

#### F. Free Speech and Academic Freedom

The faculty and other academic appointees, staff, and students of the University enjoy significant free speech protections guaranteed by the First Amendment of the United States Constitution and Article 1 Section 2 of the California Constitution. This Policy is intended to protect members of the University community from discrimination, not to regulate protected speech. This Policy will be implemented in a manner that recognizes the importance of rights to freedom of speech and expression.

The University also has a compelling interest in free inquiry and the collective search for knowledge and thus recognizes principles of academic freedom as a special area of protected speech. Consistent with these principles, no provision of this Policy will be interpreted to prohibit conduct that is legitimately related to the course content, teaching

methods, scholarship, or public commentary of an individual faculty member or the educational, political, artistic, or literary expression of students in classrooms and public forums (See APM-010, 011 and 015.)

However, freedom of speech and academic freedom are not limitless and do not protect speech or expressive conduct that violates federal or State anti-discrimination laws.

#### **G. Confidential Resources**

People who have experienced Prohibited Conduct may speak confidentially with a Confidential Resource (see Section II.C.2). Confidential Resources are not Responsible Employees and need not report information they receive while acting in their confidential capacity to the Title IX Officer. Disclosures to Confidential Resources while they are acting in their confidential capacity are not “reports” under this Policy and will not, alone, result in any formal University action. Confidential Resources will inform a person who discloses experiencing possible Prohibited Conduct of the discloser’s right to report directly to the Title IX Officer and how to do so.

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### **IV. COMPLIANCE/RESPONSIBILITIES**

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#### **A. Policy Implementation**

Executive Officers (the University President, Chancellor, Lawrence Berkeley National Laboratory Director, or Vice President of Agriculture and Natural Resources or Executive Vice President of UC Health) can develop supplementary information to support implementation of this Policy. The Systemwide Title IX Director will interpret this Policy consistently and in a way that does not substantively change the Policy.

The Executive Officer at each location must establish and implement local procedures consistent with this Policy. Exceptions to local procedures required by the Policy must be approved by the Executive Officer or designee.

#### **B. Revisions to the Policy**

The President approves this Policy and any revisions. The Systemwide Title IX Director may recommend revisions to the Policy consistent with approval authorities and applicable Bylaws, Standing Orders, and Policies of The Regents. The Systemwide Title IX Director will ensure that the Policy is reviewed regularly and updated in a manner that is consistent with other University policies.

#### **C. Approval of Actions**

Actions within the Policy must be approved according to local procedures.

#### **D. Compliance with the Policy**

The Executive Officer at each location will designate the local management office that is responsible for monitoring, enforcing, and reporting policy compliance. The Senior Vice President – Chief Compliance and Audit Officer will periodically audit and monitor compliance with the Policy.



## E. Additional Enforcement Information

The U.S. Equal Employment Opportunity Commission ([EEOC](#)) and the California Department of Fair Employment and Housing ([DFEH](#)) investigate reports of unlawful harassment, including sexual violence, in employment. The U.S. Department of Education Office for Civil Rights (DOE-OCR) investigates complaints of sexual harassment, including sexual violence, of students and employees in University programs or activities. The U.S. Department of Health & Human Services Office for Civil Rights (HHS-OCR) investigates complaints of sexual harassment, including sexual violence, occurring in the context of clinical, health, research, education and employment programs. These agencies may serve as fact finders and attempt to facilitate the voluntary resolution of disputes. For more information, contact the nearest office of the EEOC, DFEH or DOE-OCR or HHS-OCR.

## F. Noncompliance with the Policy

Consequences of engaging in Prohibited Conduct are governed by the [Policy on Student Conduct and Discipline](#); Personnel Policies for Staff Members [62](#), [63](#), & [64](#) pertaining to discipline and separation matters; [The Faculty Code of Conduct \(APM - 015\)](#) and [University Policy on Faculty Conduct and the Administration of Discipline \(APM - 016\)](#); [Non-Senate Academic Appointees/Corrective Action and Dismissal \(APM-150\)](#); collective bargaining agreements; policies governing competence and conduct of health professionals and trainees; and other policies and procedures. See Section VI and Appendices I & II. Other non-compliance with this Policy may result in educational efforts, employment consequences, or educational consequences up to and including informal counseling, adverse performance evaluations, corrective actions, and termination.

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# V. PROCEDURES

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## A. Procedures for Reporting and Responding to Reports of Prohibited Conduct

This section provides an overview of the procedures the University uses to respond to reports of Prohibited Conduct. While the Title IX Officer has responsibility for oversight of the reporting and response processes, other offices at each location will be involved and consulted as necessary. The specific procedures for investigating and resolving complaints of Prohibited Conduct depend on the Respondent's identity and relationship to the University. The Complainant and the Respondent are sometimes referred to together in this section as "the parties."

- Where the Respondent is a student, the procedures are in [Appendix E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for Non-DOE-Covered Conduct](#) of the Policies Applying to Campus Activities, Organizations, and Students, and local implementing procedures, except that when the conduct is DOE-Covered Conduct the procedures are [Interim Appendix F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct](#).

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- Where the Respondent is a faculty member, the procedures are in the [Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Senate and Non-Senate Faculty](#), and local implementing procedures.
- Where the Respondent is a staff member or non-faculty academic employee, including a post-MD resident, the procedures are in the Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel, and local implementing procedures.
- Where the Respondent is a physician or other health care provider credentialed and privileged by hospital medical staff, or a health professional training program student, resident or fellow, then in addition to the above frameworks they may be subject to investigation and adjudication of professional misconduct under other rules and policies (for example, medical staff bylaws and school-based policies), potentially resulting in corrective action or termination.
- Where the Respondent is a Regent, the procedures are in *Regents Policy 1112: Policy on Review of Allegations of Board Member Misconduct*.
- If there is a question about the predominant role of the Respondent, the Title IX Officer will determine which procedure applies based on the circumstances (such as which role predominates in the context of the Prohibited Conduct). Where a Respondent is both a student and an employee, the University will apply only one procedure to determine responsibility, but the Respondent may be subject to discipline applicable to both students and employees.
- Where the Respondent is a third party, the Title IX Officer will determine the appropriate manner of resolution consistent with the University's commitment to a prompt and equitable process and applicable law, federal guidance, and this Policy, which may be an Other Inquiry per Section V.A.5.d. The University's ability to take appropriate responsive action depends on its relationship and level of control over the third party, if any.
- Where there is no identifiable, individual Respondent (such as where the Complainant alleges Prohibited Conduct by an organization or a Respondent whose identity is unknown, or conduct by multiple people that rises to the level of Prohibited Conduct only when considered in the aggregate), the Title IX Officer may respond through an Other Inquiry per Section V.A.5.d.

## 1. Reporting

Any person can report Prohibited Conduct, including anonymously. They can report to the Title IX Officer, to any Responsible Employee, or to another appropriate office such as the Academic Personnel Office, Student Affairs, Office of the Provost, or Human Resources Office. The person or office that receives the report must forward it to the Title IX Officer. If the person to whom a report normally would be made is the Respondent, reports may be made to another Responsible Employee or office. Upon receipt of a report of Prohibited Conduct from a Responsible Employee, the Title IX Officer will attempt to contact the Complainant, if known, to inform them of their rights, options, and resources.

## **2. Timelines for Making Reports**

There is no time limit for reporting, and people should report incidents even if significant time has passed. However, the sooner the University receives a report, the better able it is to respond, investigate, remedy, and impose discipline if appropriate.

## **3. Initial Assessment of a Report / Immediate Health and Safety**

As soon as practicable after receiving a report, the Title IX Officer will make an initial assessment, including a limited factual inquiry when appropriate, to determine how to proceed.

The Title IX Officer will first assess the report to determine whether the alleged conduct is DOE-Covered Conduct and, if so, whether to begin a DOE Grievance Process or Alternative Resolution. This stage of the assessment is described in [Appendix IV](#).

If the alleged conduct is not DOE-Covered Conduct, then the Title IX Officer will next determine:

- whether the report on its face alleges an act of Prohibited Conduct as defined in Section II; and Appendix V; and
- if so, whether the Prohibited Conduct is covered by this Policy, as described in Section III.B.

The Title IX Officer may consult with other offices as necessary. This may include Academic Personnel Offices for complaints involving faculty and other academic appointees, Student Affairs Offices for complaints involving students, Human Resources or Employee and Labor Relations Offices for complaints involving staff and health professionals for complaints stemming from a clinical encounter.

The Title IX Officer, in coordination with the Case Management Team (see Section V.B.5.), and in consultation with the Complainant when possible, will:

- make an immediate assessment of the health and safety of the Complainant and the campus community,
- determine and oversee Supportive Measures that are immediately necessary (including no-contact orders with the parameters described in Appendix III), and
- outreach to the Complainant per a template issued by the Systemwide Title IX Office that includes, for example, an explanation of rights and reporting options (including the right to report to the police), a request to meet with the Title IX Officer, and available campus and community resources.

Also see Appendix III and Location Responsibilities in Section V.B.11. The Title IX Officer will also inform the Complainant of the range of possible outcomes of the report, including Supportive and Remedial measures and disciplinary actions, the procedures leading to such outcomes, and their right to make a DOE Formal Complaint.

## **4. Closure After Initial Assessment**

Not all reports the Title IX Officer receives are reports of Prohibited Conduct that can be resolved through a Resolution Process described below. This includes reports for

which the Title IX Officer determines that:

- even if true, the alleged conduct is not Prohibited Conduct (see Section II and Appendix IV);
- the conduct is not covered by this Policy (see Section III.B);
- there is not enough information to carry out a Resolution Process (for example, the identities of the people involved);
- a Complainant's request that no investigation occur can be honored (see Section IV.A.5.b); or
- there is not enough nexus between the conduct and the University to carry out a Resolution Process (for example, the conduct did not occur in the context of a University program or activity and involved only third parties).

The Title IX Officer will close such matters per written guidelines issued by the Systemwide Title IX Office. The Title IX Officer will still, when appropriate, take steps to stop the reported conduct, prevent its escalation or recurrence, and address its effects. Such steps may include, for example, offering resources and Mitigating Measures to the Complainant and providing targeted preventive education (including to the Respondent) and training programs.

When the reported conduct is not Prohibited Conduct (such as stalking or harassment that is not sex-based or comments of a sexual nature during a clinical encounter that do not rise to the level of a Hostile Environment), the Title IX Officer will, if appropriate, refer the matter to another office for review and resolution.

To determine whether there is enough nexus between the conduct and the University to carry out a Resolution Process, the Title IX Officer will consider factors such as:

- where and in what context the Prohibited Conduct allegedly occurred (meaning whether there is a connection between the conduct and University property or a University program or activity);
- whether the Complainant or Respondent were University community members when the Prohibited Conduct allegedly occurred;
- whether the Complainant or Respondent were University community members at the time of the report; and
- whether there is information indicating an ongoing threat to the University community.

## **5. Overview of Resolution Processes**

Reports of Prohibited Conduct that are not closed after the Title IX Officer's initial assessment may be addressed through Alternative Resolution, Formal Investigation, a DOE Grievance Process, a separate employee grievance or complaint process, or Other Inquiry. Each of these is described below. Resolution Processes are non-adversarial proceedings. At the beginning of any Resolution Process, the Title IX Officer will inform parties of the University's rules of conduct during the process.

### **a. Alternative Resolution**

Alternative Resolution is not available when the Complainant is a student and the



Respondent is an employee. In other cases, after an initial assessment of the alleged facts, the Title IX Officer may—if the Complainant and Respondent agree in writing—begin an Alternative Resolution process. The Title IX Officer will, if appropriate, begin the process in consultation with other offices depending on whether the Complainant and Respondent are faculty, other academic appointees, staff, student employees, or students. Alternative Resolution may include, among other responses:

- separating the parties;
- providing for safety;
- referring the parties to counseling;
- mediation (except in cases of sexual violence);
- referral for disciplinary action;
- an agreement between the parties;
- conducting targeted preventive educational and training programs; and
- conducting a follow-up review to ensure that the resolution has been carried out effectively.

Alternative Resolution may be especially useful when:

- an investigation is not likely to lead to a resolution;
- both parties prefer an informal process; or
- a case involves less serious allegations.

The Title IX Officer has discretion to determine whether the complaint is appropriate for Alternative Resolution, to determine the type of resolution to pursue, and to stop the process at any time before its conclusion and move to a Formal Investigation or (if it applies) DOE Grievance Process.

Participation in Alternative Resolution is voluntary, meaning both the Complainant and the Respondent must agree to participate. If Alternative Resolution is selected, the Title IX Officer will provide timely written notice to both parties that includes:

- the allegations;
- the Title IX Officer has begun the process;
- the process is voluntary and will end upon either party's request;
- termination may result in Formal Investigation or (if it applies) a DOE Grievance Process (see Section V.A.5.b);
- they may be accompanied by an advisor throughout the process;
- the Title IX Officer will notify both parties of the process's outcome; and
- the process is private but not confidential, the Title IX Officer will maintain a record of the process and may share information with others if needed to carry

out the resolution, and information shared by parties may be considered in any subsequent Resolution Process.

The Title IX Officer will oversee the Alternative Resolution process and, if other campus officials are involved in the process, maintain an appropriate level of involvement.

The Title IX Officer will complete the Alternative Resolution process promptly, typically within 30 to 60 business days of notifying the parties in writing of starting the process. However, the Title IX Officer may extend past 60 days for good cause. The Title IX Officer will notify the parties in writing of the reason for any extension and the projected new timeline. The actual time required will depend on the specific circumstances, including the complexity of the allegations and the nature of the alleged conduct. The Title IX Officer will consider, approve, and communicate extensions per written guidelines from the Systemwide Title IX Office.

Once the parties have agreed to the terms of an Alternative Resolution, the University will not conduct a Formal Investigation or (if it applies) DOE Grievance Process unless the Title IX Officer determines that the Respondent failed to satisfy the terms of the Alternative Resolution, or that the Alternative Resolution was unsuccessful in stopping the Prohibited Conduct or preventing its recurrence.

The Title IX Officer will keep records of all reports and conduct addressed through Alternative Resolution.

#### **b. Formal Investigation or DOE Grievance Process**

The Title IX Officer will begin a DOE Grievance Process when they determine it is necessary per [Appendix IV](#). This may happen after an Alternative Resolution to address DOE-Covered Conduct that ends before the parties agree on terms. The DOE Grievance Process begins with an investigation.

The Title IX Officer will begin a Formal Investigation when they decide not to close a report after their initial assessment, the alleged conduct is not DOE-Covered Conduct, and either (i) Alternative Resolution and Other Inquiry are not appropriate, or (ii) the parties do not agree to participate in Alternative Resolution or it ends before they agree on terms. In both Formal Investigations and DOE Grievance Process investigations:

The Title IX Officer may coordinate the investigation with other offices, depending on the identities of the Complainant and Respondent (that is, faculty, other academic appointees, staff, or students).

If the Complainant does not want an investigation, the Title IX Officer will seriously consider this preference. However, the Title IX Officer may determine an investigation is necessary to mitigate a risk to the campus community. If the Title IX Officer decides to open an investigation despite the Complainant's request, the Title IX Officer will: tell the Complainant of the decision before beginning the investigation or otherwise notifying the Respondent of the Complainant's identity; tell the Respondent that the Complainant did not request an investigation but the Title IX Officer determined one was necessary; and provide the Complainant with all

information required by this Policy unless the Complainant states in writing that they do not want it.

If the Title IX Officer does not begin an investigation, they will inform the Complainant that this limits possible remedies. The Title IX Officer will nonetheless provide Mitigating Measures as appropriate and consistent with Complainant's privacy and the absence of an investigation.

When the Title IX Officer begins an investigation, they will give the parties a written summary of the allegations, an explanation of their rights, the procedures that will be followed, available resources, and this Policy. While the parties have the right to identify evidence and witnesses, the University bears the burden of proof and of gathering evidence sufficient to reach a determination regarding responsibility.

- i. *Timeframe.* The Title IX Officer will complete the investigation promptly, typically within 60 to 90 business days of notifying the parties in writing of the charges. However, the Title IX Officer may extend the timeframe past 90 days for good cause. The Title IX Officer will periodically update parties on the status of the investigation and notify them in writing of the reason for any extension and the projected new timeline. The actual time required depends on the specific circumstances, including the complexity of the matter and the severity and extent of the alleged conduct. The Title IX Officer will consider, approve, and communicate extensions per written guidelines from the Systemwide Title IX Office.

If the police are also investigating the alleged conduct, the Title IX Officer will coordinate with the police but must nonetheless act promptly without delaying the investigation until the end of the criminal investigation.

- ii. *Disclosure of Information.* The investigation generally includes interviews with the parties and any witnesses, and a review of evidence. The Title IX Officer will share information with witnesses only as reasonably necessary to conduct a fair and thorough investigation. They will also counsel witnesses about keeping information learned through the investigation private to protect both the people involved and the integrity of the investigation. They will inform witnesses that directly related information they provide and their identities will likely be disclosed to the Complainant and Respondent.
- iii. *Right to an Advisor.* The Complainant and Respondent may have an advisor present when they are interviewed and at meetings. They may have other support persons present under other policies. Other witnesses may have an advisor present at the discretion of the Title IX Officer or as required by University policy or a collective bargaining agreement.
- iv. *Academic Freedom/Merit.* When the investigation implicates academic merit or academic freedom, the Title IX Officer will consult with the appropriate academic officer for relevant academic judgment.
- v. *Initiation of Investigation by University.* The Title IX Officer may choose to begin and conduct an investigation without a Complainant when there is, for example:

- information indicating an ongoing threat to the University community;
  - a pattern of alleged sexually harassing conduct toward multiple people by the same Respondent that would, in the aggregate, create a hostile environment (as defined in this Policy) for a reasonable person; or
  - allegations of Prohibited Conduct covered by this Policy in the public realm (such as reports in the news or social media).
- vi. *Administrative Closure.* The Title IX Officer may close an investigation before completing it if they determine that a significant change in circumstances has so substantially impaired the investigation that they cannot reach reasonably reliable conclusions about whether the alleged conduct occurred. The Title IX Officer will still, when appropriate, take steps to stop the reported conduct, prevent its escalation or recurrence, and address its effects. They will also offer as appropriate resources to the parties and Mitigating Measures to the Complainant.

**c. Grievance/Complaint Procedures for Employees**

Instead of, or in addition to, reporting to the Title IX Officer or other Responsible Employee, a University employee may file a grievance or complaint. That grievance or complaint must meet all of the requirements, including time limits for filing, under the applicable complaint resolution or grievance procedure listed in *Appendix I: University Complaint Resolution and Grievance Procedures*. Any such grievance or complaint will be forwarded to the Title IX Officer for processing under this Policy, and the grievance or complaint procedure will be held in abeyance pending resolution under this Policy, unless the applicable collective bargaining agreement provides otherwise. After completion of the process under this Policy, the grievance or complaint may be reactivated under the applicable grievance or complaint procedure.

**d. Other Inquiry**

When a report is not closed after initial assessment yet is not appropriate for Alternative Resolution, Formal Investigation or a DOE Grievance Process because there is no individual identifiable Respondent over whom the Title IX Officer has jurisdiction, the Title IX Officer will:

- conduct an inquiry to try to determine what occurred, and
- take prompt steps reasonably calculated to stop any substantiated conduct, prevent its recurrence, and, as appropriate, remedy its effects.

Such an inquiry may be appropriate when, for example, the Complainant alleges Prohibited Conduct by an organization, a person whose identity is unknown, or a third party, or alleges conduct by multiple people that rises to the level of Prohibited Conduct only when considered in the aggregate.

The extent of the inquiry and responsive steps will depend on the specific circumstances. This includes, for example:

- the nature and location of the alleged conduct,



- the University's relationship to the Complainant, and
- the University's relationship to and level of control over the organization or person alleged to have engaged in the conduct.

The Title IX Officer will complete the inquiry promptly (typically within 60 days, unless extended for good cause), and notify the Complainant of the outcome.

**e. Notifications and Documentation**

When engaging in a Resolution Process provided for in this Section V.A.5, the Title IX Officer will provide written notices to the parties and keep records per guidelines issued by the Systemwide Title IX Office. The guidelines will address, for example:

- information provided to the parties about their rights and options;
- notices provided to the parties at the beginning and end of a process;
- documentation of the parties' agreement to engage in Alternative Resolution;
- documentation of resolutions reached through Alternative Resolution, including documentation to be obtained from any other campus officials involved in the resolution; and
- the types of documentation to be kept at the end of a process.

**6. The Investigation Report and Outcome**

If either a Formal Investigation or DOE Grievance Process investigation is conducted, the Title IX Officer will prepare a written report that includes:

- the factual allegations and alleged policy violations;
- statements of the parties;
- a summary of the evidence;
- an explanation of why any proffered evidence was not relied upon;
- credibility determinations when appropriate;
- findings of fact; and
- an analysis of whether this Policy was violated.

The report will also include the Title IX Officer's determination of whether the Respondent violated this Policy. However, in a DOE Grievance Process, and any time the Respondent is a student, the determination is only preliminary. In determining whether this Policy was violated, the Title IX Officer will apply the preponderance of evidence standard.

At the end of the investigation, the Title IX Officer will simultaneously provide the parties the Investigation Report. The report may be redacted to protect privacy (see APM-160 and other University policies governing privacy). The Title IX Officer will also inform the parties in writing of the outcome of the investigation and its rationale, and of any available appeal rights.

In a DOE Grievance Process, and any time the Respondent is a student, the Title IX Officer will inform the parties of their right to contest or not accept the investigator's

preliminary determination and have a hearing to determine whether this Policy was violated. If they do, the next stage of the DOE Grievance Process or Formal Investigation is a hearing. (See *Appendix E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for Non-DOE-Covered Conduct*, [\*Interim Appendix F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct\*](#); [\*Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Senate and Non-Senate Faculty\*](#), and [\*Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel\*](#).)

## **7. Remedy**

- a. If the University finds Prohibited Conduct, the University will take prompt and effective steps reasonably calculated to stop the violation, prevent its recurrence, and, as appropriate, remedy its effects. For examples of available remedial measures, see Appendix III.
- b. If the remedy has not already been provided, the Title IX Officer will oversee its implementation in consultation with appropriate administrators. The Title IX Officer will consider whether any systemic remedies, such as enhanced training or improved security, are also appropriate.

## **8. Discipline**

- a. The Title IX Officer will forward the Investigation Report (with attachments) to the appropriate administrator responsible for possible further action, including discipline.
- b. Any member of the University community who is found to have engaged in Prohibited Conduct may be subject to disciplinary action, up to and including dismissal per the applicable University disciplinary procedure (Appendix II: University Disciplinary Procedures) or other policy.
- c. At the end of any disciplinary proceeding the Complainant and the Respondent will be contemporaneously informed in writing of:
  - the outcome, including the final determination regarding the alleged offense, any discipline, and the rationale for the results;
  - any available appeal rights and procedures; and
  - any subsequent change to the results and when results become final.

The University tries to finalize and notify parties of disciplinary decisions reasonably promptly per applicable procedures, depending on the severity and extent of the Prohibited Conduct and the complexity of the matter.

## **B. Location Responsibilities**

Each Location must do the following:

1. Designate and provide adequate resources and independence to a Title IX Officer. The responsibilities of the Title IX Officer include, but may not be limited to, the following duties:

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**Sexual Violence and Sexual Harassment**

- a. Coordinate compliance with this policy, including investigations, reports and remedies.
  - b. Coordinate with other responsible units to ensure that Supportive and Remedial measures determined necessary by the Title IX Officer are provided.
  - c. Coordinate with other responsible units to ensure that local sexual violence and sexual harassment prevention education and training programs are offered and provided, as required by the Policy.
  - d. Provide educational materials to promote compliance with the Policy and familiarity with local reporting procedures.
  - e. Ensure University employees and contractors responsible for reporting or responding to reports of Prohibited Conduct, including those with responsibility in the investigation, adjudication and appeal processes, have proper training. Provide and track training for employees who are investigators, other key members of the Title IX Officer's staff, and hearing officers and coordinators per guidelines issued by the Systemwide Title IX Office. Ensure University training materials promote impartial investigations and adjudications. Make training materials publicly available on the campus website if required by law.
  - f. Implement measures to help ensure University employees and contractors who are responsible for investigating, resolving, and adjudicating reports of Prohibited Conduct do not have a conflict of interest or bias for or against any individual party, or for or against complainants or respondents generally.
  - g. Respond promptly and equitably to reports of Prohibited Conduct according to the Policy.
  - h. Keep records of reports of Prohibited Conduct, and any actions taken in response to reports, including records of decisions regarding Supportive and Remedial Measures, investigations, resolutions, and disciplinary action, per University records management policies and guidelines issued by the Systemwide Title IX Office.
  - i. Identify and address any patterns or systemic problems that arise during the review of Prohibited Conduct reports.
  - j. Post on the sexual violence website the names and contact information of the Title IX Officer and of additional designated, trained, sexual harassment or sexual violence advisors.
2. Designate persons who can offer confidential consultations, without reporting the incident to the Title IX Officer, to any member of the University community seeking information, or advice about making a report of Prohibited Conduct. Each location will post information about how and where to contact confidential resources on its web site.

People who consult with such confidential resources will be advised that their discussions in these settings are not considered actual reports of Prohibited Conduct and that without additional action by the person, these discussions will not result in any formal action by the University to resolve their concerns.

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3. Establish an independent, confidential Advocacy Office for addressing Sexual Violence called *CARE: Advocacy Office for Sexual and Gender-Based Violence and Misconduct*.
4. Provide a “Respondent Services Coordinator” who facilitates fair and equitable services for the Respondent.
5. Establish a response team model consisting of two teams:
  - a. A Case Management Team (CMT) which maintains consistent coordination of reported sexual violence cases, ensures all cases are addressed promptly and equitably, and ensures the response is trauma-informed; and
  - b. A Coordinated Community Review Team (CCRT) responsible for a campus collaborative approach to preventing and addressing sexual violence. The CCRT serves in an advisory capacity to campus leadership and community members about best practices in policies, education, prevention and response to sexual violence.

**Note:** The requirements of #3, 4, and 5 above are for locations with students only. However, ANR, UCOP, and LBNL should coordinate delivery of these services with associated campuses or affiliated organizations.

6. Provide mandatory annual training and education about Prohibited Conduct and how such conduct can be reported, to all students, faculty, other academic appointees, and staff per applicable State and federal law, and University policies.
7. Offer primary prevention programs and awareness campaigns to the University community to promote ongoing awareness of Sexual Violence. These campaigns will include, but are not limited to, education about the definition of consent, consensual relationships, options for bystander intervention, trauma-informed approaches, and risk reduction awareness information. These programs are to promote behaviors that foster healthy and respectful relationships while also encouraging a safe environment for bystanders to intervene in a potential case of Sexual Violence.
8. Follow University established and approved processes for investigation, adjudication, and discipline.
9. Provide comprehensive, regular training with a trauma-informed perspective for people responsible for responding to reports of Prohibited Conduct, including Advocacy and Respondent services, Alternative Resolution and Formal Investigation processes, and the hearing, remedy, discipline and appeal processes.
10. Publicize a location-specific process for reporting incidents of Prohibited Conduct.
11. Provide written explanation of rights and available options as outlined in this Policy including:
  - a. How and to whom to report alleged violations.
  - b. Options for notifying law enforcement and campus authorities; the right to be assisted by campus authorities in notifying law enforcement, if the Complainant so chooses; and the right to decline to notify such authorities.



- c. The rights of Complainants regarding orders of protection, no-contact orders, restraining orders, or similar orders issued by criminal or civil courts, as well as the University's responsibilities to comply with such orders.
- d. The importance of preserving evidence that may assist in proving that a criminal offense occurred or in obtaining a protection order.
- e. Counseling, health assistance, mental health assistance, victim advocacy, legal assistance, visa and immigration assistance, and other services available within both the University and the community.
- f. Options for, and available assistance to change academic, living, transportation, and working situations, if the Complainant requests and if such options are reasonably available—regardless of whether the Complainant chooses to report alleged conduct to law enforcement.
- g. Applicable procedures for institutional disciplinary action.
- h. Distribute and post this Policy. Each location is required to distribute this Policy to students, faculty, other academic appointees, staff, volunteers who regularly interact with students, and contractors who provide services involving regular interaction with students, by such means as websites, student information boards, student handbook, faculty handbook and staff websites and information boards and during training and student orientation.

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## VI. RELATED INFORMATION

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A. [University of California Standards of Ethical Conduct](#)

B. [University of California Statement of Ethical Values](#)

### Academic Personnel Manual

A. [Academic Personnel Manual \(APM\) Section 015, The Faculty Code of Conduct](#)

B. [Academic Personnel Manual \(APM\) Section 016, University Policy on Faculty Conduct and the Administration of Discipline](#)

C. [Academic Personnel Manual \(APM\) Section 035, Affirmative Action and Nondiscrimination in Employment](#)

D. [Academic Personnel Manual \(APM\) Section 140,](#) Non-Senate Academic Appointees/Grievances

E. [Academic Personnel Manual \(APM\) Section 150,](#) Non-Senate Academic Appointees/Corrective Action and Dismissal

F. [Academic Personnel Manual \(APM\) Section 160,](#) Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of

### Presidential Policies and Guidelines

A. [University of California Corrective Action PPSM 62](#)

B. [University of California Investigatory Leave PPSM 63](#)

C. [University of California Termination and Job Abandonment PPSM 64](#)

- D. [University of California Termination Appointment PPSM II-64](#)
- E. [University of California Complaint Resolution \(Senior Managers\) PPSM II-70](#)
- F. [University of California Complaint Resolution \(Staff Personnel\) PPSM 70](#)
- G. [University of California Discrimination, Harassment, and Affirmative Action in the Workplace](#)
- H. [Policy on Student Conduct and Discipline](#)
- I. [University of California Policies Applying to Campus Activities, Organizations, and Students](#)
- J. [Student-Related Policy Applying to Nondiscrimination on the Basis of Sex](#)
- K. [Nondiscrimination Policy Statement for University of California Publications Regarding Student-Related Matters](#)
- L. [Business and Finance Bulletin RMP-2: Records Retention and Disposition: Principles, Processes, and Guidelines](#)
- M. [University of California Reporting Child Abuse and Neglect](#)
- N. [University of California Clery Act Policy – Campus Safety and Security Reporting](#)

### **Federal and State Regulations**

- A. [Fair Employment and Housing Act, Gov't Code section 12952](#)
- B. [Title VII of the Civil Rights Act of 1964, 42 U.S.C. 2000e](#)
- C. [Title IX of the Education Amendments Act of 1972, 20 U.S.C. section 1681](#)
- D. [Violence Against Women Reauthorization Act \(VAWA\) of 2013](#)
- E. The Affordable Care Act, 18 U.S.C. section 18116

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## **VII. FREQUENTLY ASKED QUESTIONS**

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### **1. Who can be considered an advisor as described in this Policy?**

An advisor may be any person, except another party or potential witness, who provides the Complainant or Respondent with support, guidance, or advice (including attorneys). The institution cannot limit the choice of an advisor, but may restrict the extent and manner of the advisor's participation in the proceedings as long as the restrictions apply equally to Complainants and Respondents. At the beginning of any Resolution Process, the Title IX Officer will inform parties of the University's rules of conduct during the process, and potential consequences if an advisor does not meet those standards, including disqualification from further services as the advisor.

### **2. What is a “result” or “outcome” of a disciplinary proceeding?**

A result or outcome includes a written description of any initial, temporary, and final decision made by any authorized person, which aims to resolve a disciplinary matter. The result must disclose any discipline imposed and the rationale for the result and the discipline.

**3. How is “nudity” defined for the purposes of this Policy?**

“Nudity” means the absence of an opaque covering which covers the genitals, pubic hair, buttocks, perineum, anus or anal region of any person or any portion of the breasts at or below the areola.

**4. Why might some conduct prohibited by this Policy be sexual harassment in some cases but sexual violence or other prohibited behavior in others?**

This Policy prohibits a broad spectrum of conduct which may, depending on the circumstances, be appropriately charged as Sexual Harassment, Sexual Violence, or Other Prohibited Behavior. In deciding whether alleged conduct rises to the level of a Policy violation, and which Policy provision to charge, the Title IX Officer may consider both the specific conduct alleged and the surrounding circumstances, like:

- the severity of the conduct;
- where the conduct occurred (for example, a confined space or a public one);
- duration of the conduct;
- any contemporaneous statements or other behavior by the Respondent (for example lewd or threatening gestures, gender-based nonsexual conduct);
- whether contact occurred over or under clothing;
- the relationship between the parties (for example, whether there is a power imbalance);

and other relevant factors. For example, whether the Title IX Officer will charge a Respondent’s alleged touching of a Complainant’s buttocks as either Sexual Harassment or Sexual Assault – Contact will depend on the specific nature of the touching, and the context in which it occurred. Similarly, a Respondent’s alleged publication of sexually explicit photos of a Complainant that is not an Invasion of Sexual Privacy as defined in this Policy might still, depending on the circumstances, be charged as Sexual Harassment.

**5. Does Sexual Assault include “rape” and “sexual battery” as those terms are used in the criminal law context?**

Yes. The types of conduct prohibited by this Policy include “rape” and “sexual battery” as defined in the California Penal Code. For additional questions about whether a specific type of conduct violates this Policy or the law, please contact your local CARE Advocate, UC Police, or Title IX Officer.

**6. Can parties be asked not to discuss the allegations under investigation? Once the outcome of an investigation or disciplinary proceeding under this Policy is disclosed to the parties, can they be asked to keep this information confidential?**

The Complainant and Respondent can be advised of the private and sensitive nature of the allegations, personnel and student discipline, and other matters that arise under this Policy but should not be restricted from discussing the allegations or gathering evidence (provided their conduct is not Retaliation as defined in Section II), or from further disclosing information about outcomes.

**7. Does the University need to conduct a Title IX investigation if a criminal investigation is taking place?**

A criminal investigation is intended to determine whether someone violated criminal law. At the end of the criminal process the person may be imprisoned or subject to criminal penalties. The University has a duty under Title IX to resolve complaints promptly and equitably and to provide a safe and nondiscriminatory environment for all community members.

Because the purposes and the standards for criminal and Title IX investigations are different, the termination of a criminal investigation without an arrest or conviction does not affect the University's Title IX obligations. Even if a criminal investigation is ongoing, the University must still conduct its own Title IX investigation.

The University should notify Complainants of the right to file a criminal complaint and should not dissuade Complainants from doing so. Title IX does not require the University to report alleged conduct to law enforcement, but the University may have reporting obligations under laws such as the Clery Act and the California Child Abuse and Neglect Reporting Act (CANRA), and may report alleged conduct per memoranda of understandings between the University and the police.

**8. How should the University proceed when campus or local law enforcement agencies (“police”) are conducting a criminal investigation while the University is conducting a parallel Title IX investigation?**

If the Respondent's alleged conduct is also the subject of a criminal investigation, the Title IX Officer will coordinate its investigation with the police. The fact-finding portion of a Title IX investigation may be delayed temporarily during the evidence-gathering stage of the criminal investigation. During this delay, the University may put Interim Measures in place. The length of time for evidence gathering by criminal investigators will vary depending on the specific circumstances of each case.

**9. Is the University required to investigate information regarding sexual violence incidents shared by survivors during public awareness events, such as “Take Back the Night”?**

Responsible employees are not required to report incidents that they learn of while attending public awareness events, such as “Take Back the Night,” and the University is not required to open investigations based on statements made during such events.

**10. Are Responsible Employees required to report disclosures about Prohibited Conduct received in the course of conducting Institutional Review Board–approved or certified exempt human subjects research?**

Responsible Employees are not required to report disclosures of Prohibited Conduct made by someone when participating in human subjects research that has either been approved by an Institutional Review Board (IRB) or certified as exempt from IRB review under one or more of the categories in 45 CFR 46.104. When conducting research that is designed, or likely, to elicit information about sexual violence or sexual harassment, researchers are strongly encouraged to provide information about University and community resources to research participants.



Disclosures of incidents of alleged Prohibited Conduct made during a person's participation as a subject in an IRB-approved or certified exempt human subjects research protocol will not be considered notice to the University for purposes of triggering its obligation to investigate. The reporting exemption that this section describes (for disclosures made by a person when participating in IRB-approved or certified exempt human subjects research) does NOT apply to disclosures made to research personnel outside of the course of the research protocol (for example, to faculty during office hours or while providing academic advising).

This reporting exemption does not affect mandatory reporting obligations under federal, state, or local laws, such as the Clery Act and the California Child Abuse and Neglect Reporting Act (CANRA), and other policies or laws that require reporting to campus or local law enforcement, or Child Protective Services.

**11. I am covered by a collective bargaining agreement. Does this Policy apply to me?**

Yes. However, please note that consequences of non-compliance with this Policy, and relevant complaint resolution, grievance and disciplinary procedures, for employees who are covered by a Memorandum of Understanding with an exclusive bargaining agent are governed by the appropriate collective bargaining agreement.

**12. What is the significance of the Title IX regulations issued by the U.S. Department of Education in 2020?**

The federal Title IX regulations that went into effect August 14, 2020 cover certain forms of sexual misconduct, if the conduct occurred in a University program or activity, while the Complainant was in the United States. They require the University to follow a specific grievance process that includes a live hearing with direct questioning by parties' advisors before disciplining a Respondent for conduct covered by the regulations. Though the University would prefer not to implement some components of the process, compliance with the regulations is a condition of receiving federal funds such as Federal Pell Grants for students. So, the University will implement the DOE Grievance Process, but only when required (in response to DOE-Covered Conduct). To investigate conduct not covered by the regulations, the University will continue following the Formal Investigation process in place before the regulations were issued. The Formal Investigation process may include a live hearing, but only when the respondent is a student—and the hearing does not include direct questioning by advisors. Though administering two separate processes for similar conduct is more difficult, the University believes this provides the most protection for our community. Alternative Resolution is also available in some cases, even if they are covered by the regulations. More information about DOE-Covered Conduct is in [Appendix IV](#).

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## **VIII. REVISION HISTORY**

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**January 1, 2022:** This Policy was updated to comply with Senate Bill 493, which amended Section 66262.5 and added Section 66281.8 of the California Education Code. Provisions specifically addressing Prohibited Conduct in the clinical setting were also added.

**August 14, 2020:** This Policy was updated on an interim basis to comply with federal Title IX regulations effective August 14, 2020.

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**July 31, 2019:** Revised version reflecting comprehensive, systemwide review issued

**August 14, 2018:** Addition of FAQ #10 regarding the obligations of Responsible Employees when conducting Institutional Review Board—approved or certified exempt human subject research.

**June 5, 2018:** Technical revision: updated contact information.

**September 1, 2017:** Technical revisions:

- updated the Policy responsible office and contact information
- added links of the Staff and Faculty Adjudication Frameworks to Appendix II: University Disciplinary Procedures.

This Policy was remediated to meet Web Accessibility Content Guidelines (WCAG) 2.0.

**November 7, 2016:** Deleted the rescinded PPSMs #65, #67 and #71 from the Policy document and updated the FAQs and the links on Appendix I under Academic and Staff Personnel.

**January 1, 2016:** This Policy updated the processes for reporting and responding to complaints and added a new definition of “responsible employees.”

**June 17, 2015:** This Policy was updated on an Interim basis effective until December 31, 2015.

**February 25, 2014:** This Policy was reformatted into the standard University policy template.

As a result of the issuance of this Policy, the following documents are rescinded as of the effective date of this Policy and are no longer applicable:

- *University of California Policy on Sexual Harassment*, dated February 10, 2006
- *University of California Procedures for Responding to Reports of Sexual Harassment*, dated December 14, 2004
- *University of California Policy on Sexual Harassment and Complaint Resolution Procedures*, dated April 23, 1992
- *University of California Policy on Sexual Harassment and complaint Resolution Procedures*, dated March 10, 1986

Future revisions to this Policy will be circulated under standard procedures for Presidential Policies. The review will include circulation under the standard Academic Personnel Manual (APM) process, with final authority resting with the President.

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## IX. APPENDICES

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### Appendix I: Applicable Complaint Resolution and Grievance Policies

#### Academic Personnel:

Members of the Academic Senate	<a href="#">Senate Bylaw 335</a>
Non-Senate Academic Appointees	<a href="#">APM - 140</a>
Exclusively Represented Academic Appointees	<a href="#">Bargaining Units &amp; Contracts</a>

#### Students:

[Policies Applying to Campus Activities, Organizations and Students, Section 110.00](#)

#### Staff Personnel:

Complaint Resolution (Senior Managers)	<a href="#">PPSM II-70</a>
Complaint Resolution (Staff Personnel)	<a href="#">PPSM 70</a>
Exclusively Represented Staff Personnel	<a href="#">Bargaining Units &amp; Contracts</a>
Lawrence Berkeley National Laboratory Employees	<a href="#">Applicable Laboratory policy</a>

#### All members of the University community:

The [University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities \(Whistleblower Policy\)](#) protects the reporting and investigation of violations of state or federal laws or regulations, including sexual harassment.

#### All University employees and applicants for employment:

The University's Whistleblower Protection Policy provides a complaint resolution process for employees and applicants for employment who have been subjected to retaliation as a result of having made a protected disclosure under the Whistleblower Policy or refused to obey an illegal order.

### Appendix II: University Disciplinary Policies and Procedures

The following are the University's disciplinary policies and procedures:

- A. [The Faculty Code of Conduct \(APM - 015\)](#) (as approved by the Assembly of the Academic Senate and by The Regents) Establishes the ethical and professional standards which University faculty are expected to observe.

Because the forms of unacceptable behavior listed in The Faculty Code of Conduct also apply to sexual violence or sexual harassment, a violation of the University's Policy on Sexual Harassment and Sexual Violence may be a violation of the Faculty Code of Conduct. The [University Policy on Faculty Conduct and the Administration of Discipline \(APM - 016\)](#), as approved by the Assembly of the Academic Senate and by The Regents, outlines sanctions and disciplinary procedures for faculty.

The [Sexual Violence and Sexual Harassment Senate and Non-Senate Faculty Adjudication Framework](#) sets forth the University's procedures for resolving complaints of

sexual violence and sexual harassment where the Respondent is a member of the University faculty.

- B. Provisions of the policy on [Non-Senate Academic Appointees/Corrective Action and Dismissal \(APM - 150\)](#) (non-exclusively represented academic appointees) and collective bargaining agreements (exclusively represented academic appointees) allow for corrective action, investigatory leave, or dismissal for conduct which violates University policy.

The [Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel](#) sets forth the University's procedures for resolving complaints against non-Senate academic appointees subject to APM-150.

- C. [Appendix E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for Non-DOE-Covered Conduct](#) and [Interim Appendix F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct](#) of the Policies Applying to Campus Activities, Organizations, and Students sets forth these procedures when DOE-Covered Conduct of the Policies Applying to Campus Activities, Organizations, and Students sets forth the University's procedures for resolving complaints of sexual violence and sexual harassment against students, including the discipline of students found in violation of University policy. See also, the policy on Student Conduct and Discipline.

- D. Provisions of the [Personnel Policies for Staff Members](#), and the Lawrence Berkeley National Laboratory personnel policies (applicable to non-exclusively represented staff employees), and collective bargaining agreements (applicable to exclusively represented staff employees) prohibit conduct that violates University policy for sexual violence or sexual harassment and provide for disciplinary action for violating University policy.

- [PPSM-62: Corrective Action](#)
- [PPSM-63: Investigatory Leave](#)
- [PPSM-64: Termination and Job Abandonment](#)
- [PPSM II-64: Termination of Appointment](#)

The [Sexual Violence and Sexual Harassment Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel](#) sets forth the University's procedures for resolving complaints where the Respondent is University personnel other than faculty.

### **Appendix III: Supportive and Remedial Measures**

When determining Supportive and Remedial Measures (as defined in [Section II](#)), the Title IX Officer will assess how much the University can protect the parties' privacy while also ensuring the measures are effective. The Title IX Officer will explain to the parties any limits on protecting their privacy.

In determining Supportive Measures, the Title IX Officer will tailor the measures to the circumstances of each case, minimize burdens on the parties, and avoid depriving the parties of educational and employment opportunities as much as practicable.



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In matters involving DOE-Covered Conduct, the Title IX Officer will ensure Supportive Measures are non-disciplinary and non-punitive, and that they do not unreasonably burden a party.

When determining limitations on parties' contact, the Title IX Officer will follow the parameters in paragraph vi (No-Contact Options) below.

In addition to Supportive and Remedial measures, the Title IX Officer may take other actions to stop reported conduct, prevent its escalation or recurrence, and address its effects.

Examples of services, accommodations, and other available measures include:

**i. *Campus Services Generally:***

Academic, employment, and other support including tutoring, counseling, disability services, health and mental health services, family planning services, survivor advocacy, housing assistance, legal assistance, referral to employee assistance program, information about the right to report a crime to campus or local law enforcement, and written materials prepared by the Title IX Officer pursuant to V.B of the Policy.

**ii. *Measures Available to Employees, Including Academic, Staff and Student Employees:***

Change to a different workstation, schedule, work location, unit, department, or position for which the employee is qualified provided that, in the case of a Complainant the change is voluntary and equitable.

**iii. *Training and Education of the Respondent:***

The Respondent may be required to undergo training, including sexual harassment prevention training, anger management training, and periodic refresher classes.

**iv. *Campus Services Modified:***

- If a campus service is not generally available or a fee is imposed, access may be arranged or fees waived when appropriate.
- Comprehensive, holistic survivor services including additional medical, counseling and academic support services.
- Any other accommodations or Interim Measures that are reasonably available once a Complainant has requested them.

**v. *Additional Educational Measures for Students:***

- Change advisors, composition of dissertation committee, class sections and similar schedule adjustments.
- Arrange extra time to complete academic requirements of a class or program, or to re-take a class or withdraw from a class, without an academic or financial penalty if the University delayed such accommodations after it reasonably should have known of the violation.
- Review any disciplinary actions taken against the Complainant subsequent to the alleged violation to determine whether there is a causal connection between the violation and the Complainant's misconduct.

**vi. No-Contact Options:**

- Complainant and Respondent Options. The Title IX Officer will:
  - Ensure the parties have been notified of options to avoid contact;
  - Assist the parties in changing, as appropriate, living, transportation, dining, and working situations, or academic and extracurricular activities;
  - Assist the parties in requesting and understanding the terms, parameters and consequence of violating no--contact orders; and
  - Arrange for escort services to ensure that the parties can move safely to work, classes, and activities
- Parameters for No-Contact Orders Between Parties:
  - A no-contact order restricting a party from contacting the other party maybe appropriate as a Supportive Measure (Interim or Mitigating) or a Remedial Measure (see Section II.C.3). No-contact orders may also be appropriate under other University policies.
  - A no-contact order issued as an Interim Measure may be unilateral (prohibiting one party from contacting the other) or mutual (prohibiting both parties from contacting each other). However, the University will not prohibit the Complainant from contacting the Respondent unless the specific circumstances indicate the restriction is necessary or justifiable to protect the Respondent's safety or well-being, or to respond to interference with a Resolution Process.
  - A no-contact order issued as a Remedial Measure will restrict only a party found in violation of University policy.
- A no-contact order issued as an Interim or Remedial Measure will include an explanation of its terms, including what conduct could violate it and result in corrective action. If the no-contact order is mutual, then the notice will also explain why it is mutual.
- Respondent's Restrictions:
  - Allowing the Complainant to take regular sections of courses while arranging for the Respondent to take the courses online or through independent study;
  - Moving the Respondent to a different residence hall or work space;
  - Forbidding the Respondent to participate in specific athletic or extracurricular events or social clubs (including fraternities or sororities);
  - Requiring that the Respondent observe no-contact orders from the Complainant for a period of time (up to the Complainant's graduation or other departure from the campus) via work scheduling or class changes;
  - Prohibiting the Respondent from attending classes for a period of time, transferring the Respondent to another campus, or putting the Respondent on investigatory leave; and
  - Excluding the Respondent from the campus or workplace.

vii. *Other Measures Devised by the Title IX Officer or Other Administrator.*

## **Appendix IV: DOE-Covered Conduct**

**Summary:** Per the federal Title IX regulations effective August 14, 2020 (DOE Regulations), the University cannot discipline a Respondent for DOE-Covered Conduct unless it follows the DOE Grievance Process. The DOE Grievance Process is triggered only by a DOE Formal Complaint that alleges DOE-Covered Conduct. Only a qualified Complainant (Section A.1, below) or the Title IX Officer (Section A.4, below) can make a DOE Formal Complaint. Instead of a DOE Grievance Process, the Title IX Officer could in some cases potentially open an Alternative Resolution in response to such a complaint. The DOE Grievance Process and Alternative Resolution are described in Section V.A.5 of this Policy.

When allegations of DOE-Covered Conduct in a DOE Formal Complaint and allegations of other Prohibited Conduct or of violations of other University policies arise out of the same facts or circumstances, then the University will address all allegations together through either the DOE Grievance Process procedures or Alternative Resolution.

When allegations do not include DOE-Covered Conduct, then the Title IX Officer will determine whether to open a different Resolution Process per the Initial Assessment process in Section V.A.3 of the Policy.

To ensure the University provides a DOE Grievance Process when (and only when) required, and otherwise complies with the DOE Regulations, the Title IX Officer will follow the Initial Assessment process outlined in Section A upon receiving a report. The Title IX Officer will document their decision-making per written guidelines issued by the Systemwide Title IX Office.

### **Process:**

**A. Initial Assessment.** The Title IX Officer will assess the report to determine whether to open a DOE Grievance Process, Alternative Resolution, or other Resolution Process.

1. *Formal Complaint from a Qualified Complainant.* The Title IX Officer will first determine whether they received a DOE Formal Complaint from a qualified Complainant. To be such, the report must:
  - allege conduct that occurred on or after August 14, 2020;
  - be in writing;
  - be made by the person who allegedly experienced the harassment, and not by a third party;
  - be made by a person qualified to make it under the DOE Regulations, meaning someone participating or attempting to participate in a University program or activity;
  - be against an identified Respondent;
  - request an investigation; *and*
  - allege DOE Sex-Based Misconduct, as defined in Section B (***DOE-Covered Conduct***) below.

**Yes DOE Formal Complaint:** If the report **is** a DOE Formal Complaint from a qualified Complainant, the Title IX Officer must next determine whether they are required to “dismiss” it (*Required Dismissal of Formal Complaint*, below).

**No DOE Formal Complaint:** If the report **is not** a DOE Formal Complaint from a qualified Complainant, the Title IX Officer must still determine whether the alleged conduct is DOE-Covered Conduct (*DOE-Covered Conduct*, below); if it is, the Title IX Officer may need to themselves “sign” a DOE Formal Complaint (*Decision to Open or Close*, below). Note: Before signing themselves, the Title IX Officer will inform a qualified Complainant of how to make a DOE Formal Complaint, and give them that opportunity.

2. *Required Dismissal of Formal Complaint.* If the report is a DOE Formal Complaint from a qualified Complainant, the Title IX Officer will next determine whether they must “dismiss” the complaint or any of its allegations. They must “dismiss” the complaint if the conduct, even if true, is not DOE-Covered Conduct, as defined in Section B (*DOE-Covered Conduct*, below).

This “dismissal” is required by the DOE regulations, and means the Title IX Officer will no longer consider the allegations DOE-Covered Conduct. It does not necessarily mean the Title IX Officer will close the matter. Rather, the Title IX Officer will decide whether and how to continue resolution of the dismissed allegations, as explained in Section C, below.

**No Dismissal:** If dismissal **is not** required, the Title IX Officer will begin either a DOE Grievance Process or Alternative Resolution.

**Yes Dismissal:** If dismissal **is** required, the Title IX Officer will “dismiss” the complaint per Section C (*Required Dismissal of Formal Complaint*, below).

3. *DOE-Covered Conduct.* If the report is not a DOE Formal Complaint from a qualified Complainant, the Title IX Officer will determine whether the report is nonetheless of DOE-Covered Conduct, as defined in Section B (*DOE-Covered Conduct*, below).

**No DOE-Covered Conduct:** If the conduct **is not** DOE-Covered Conduct, this is the end of the DOE process. The Title IX Officer will continue their assessment under Section V.A.3 of the Policy and decide whether to open a different Resolution Process.

**Yes DOE-Covered Conduct:** If the conduct **is** DOE-Covered Conduct, the Title IX Officer will decide whether to close the matter or, instead, open a DOE Grievance Process, Alternative Resolution, or Other Inquiry (*Decision to Close or Open*, below).

4. *Decision to Close or Open.* If the Title IX Officer did not receive a DOE Formal Complaint from a qualified Complainant, yet the alleged conduct is DOE-Covered Conduct, then they must either:
  - close the matter,
  - “sign” a DOE Formal Complaint themselves and open either a DOE



Grievance Process or Alternative Resolution, *or*

- open an Other Inquiry (if it applies).

**Decision to Close.** The Title IX Officer may decide to close the matter when, for example, the Complainant does not want an investigation and the Title IX Officer determines one is not necessary.

**Decision to Sign.** The Title IX Officer may decide to sign a DOE Formal Complaint themselves when, for example:

- the Complainant does not want an investigation, but the Title IX officer determines one is necessary (see Section V.A.5.b)
- the Complainant does want an investigation, but is not qualified to make a DOE Formal Complaint themselves because they are not participating or attempting to participate in a University program or activity (for example, they are a former employee or student, or third party)
- the Complainant's identity is unknown (for example, when the Complainant reported anonymously or a third party report did not identify the Complainant)

**Decision to Open Other Inquiry.** The Title IX Officer may decide to open an Other Inquiry when the University cannot discipline the Respondent—for example, when the Respondent is not an employee or a student.

**Complainant Rights.** If the Title IX Officer signs the DOE Formal Complaint, they will notify the person who allegedly experienced the conduct, if known, who will be and have all rights of a Complainant in the Resolution Process.

**B. DOE-Covered Conduct.** Conduct is DOE-Covered Conduct if all of the below are true:

1. *Date:* The alleged conduct occurred on or after August 14, 2020.
2. *Territoriality.* The Complainant was in the United States when the conduct allegedly occurred.
3. *Program or Activity.* The conduct occurred in a University program or activity, meaning the location was either:
  - on-campus, *or*
  - off-campus, and the conduct occurred:
    - in the context of University operations;
    - at a location, event or circumstance over which the University exercised substantial control over the Respondent and the context in which the conduct occurred; or
    - at a building owned or controlled by a student organization that is officially recognized by the University.
4. *DOE Sex-Based Misconduct.* The alleged conduct is DOE Sex-Based Misconduct, meaning it is any of the following:
  - a. conduct by an employee that meets the definition of *Quid Pro Quo* Sexual

**University of California – Policy SVSH INTERIM POLICY**  
**Sexual Violence and Sexual Harassment**

Harassment in Section II of the Policy;

- b. unwelcome sexual or other sex-based conduct (as defined in Section II of the Policy) that a reasonable person would determine is so severe, pervasive, and objectively offensive that it effectively denied the Complainant equal access to the University's programs or activities;
- c. conduct that meets the definition of Sexual Assault-Penetration;
- d. intentionally touching Complainant's intimate body part (genitals, anus, groin, breast, or buttocks) without the Complainant's consent (as defined in Section II of the Policy);
- e. conduct that meets the definition of Relationship Violence in Section II of the Policy;
- f. conduct that meets the definition of Stalking in Section II of the Policy;
- g. sexual intercourse with a person under the age of 18; or
- h. conduct that meets the definition of Invasion of Sexual Privacy in Section II of the Policy, and that a reasonable person would determine was so severe, pervasive, and objectively offensive that it effectively denied the Complainant equal access to the University's programs or activities.

**C. Required Dismissal of Allegations.** The Title IX Officer must "dismiss" allegations in a DOE Formal Complaint if:

- they determine during the Initial Assessment that the alleged conduct, even if true, is not DOE-Covered Conduct, as defined in Section B (DOE-Covered Conduct, below), or
- they determine during the investigation that the alleged conduct, even if true, did not occur in a University program or activity or that the Complainant was not in the United States at the time of the alleged conduct.

1. *Significance of Dismissal.* As noted above, "dismissal" means the Title IX Officer will no longer consider the allegations DOE-Covered Conduct. It does not necessarily mean the Title IX Officer will close the matter. Rather, the Title IX Officer will decide whether and how to continue resolution of the dismissed allegations.

If as a result of dismissal there are no allegations of DOE-Covered Conduct, then any further investigation will be as Formal Investigation (see Section V.A.5 of this Policy).

If after the dismissal there are still other allegations of DOE-Covered Conduct, then the Title IX Officer will continue following the procedures in the DOE Grievance Process for all allegations, per Section D.2 (*Consolidation of DOE-Covered Conduct Allegations with other Prohibited Conduct Allegations*); that is, the Title IX Officer will notify the parties that the dismissed allegations are not covered by the DOE Regulations, but will still process all allegations under the DOE Grievance Process for clarity and consistency.

If the matter is in Alternative Resolution, the Title IX Officer may continue with that process, but will notify the parties which allegations were dismissed and which (if any) continue to be considered DOE-Covered Conduct.

2. *Notice of Dismissal.* If the Title IX Officer is required to “dismiss” allegations from a DOE Formal Complaint, they will notify the parties in writing:
  - a. of the allegations dismissed and the reasons;
  - b. whether they will continue resolution of the dismissed allegations and, if so, under what Resolution Process;
  - c. that the parties can appeal the dismissal on the grounds listed below;
  - d. that the parties will be notified in writing if the other party appeals;
  - e. that the parties will have equal rights during any appeal process, including the opportunity to submit a written statement in support of, or challenging, the dismissal;
  - f. that a written decision on the appeal and the rationale will be issued simultaneously to both parties;
  - g. contact information for the appeal officer; and
  - h. that this Policy prohibits Retaliation.
3. *Grounds for Appeal of Dismissal.* The appeal should identify the reason the party is challenging the dismissal on one or more of the available grounds:
  - a. there was procedural error that affected the decision to dismiss; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;
  - b. there is new evidence that was not reasonably available at the time of the decision to dismiss that could affect the decision; or
  - c. the Title IX Officer or investigator had a conflict of interest or bias that affected the decision.
4. *Commencing an Appeal of Dismissal.* An appeal must be submitted to the appeal officer within 5 business days after notice of dismissal. The appeal must identify the grounds for appeal and contain specific arguments supporting each ground. The appeal officer will notify the other party of the appeal and that the other party can submit a written statement in response to the appeal, within three business days.
5. *Standards for Deliberation.* The appeal officer will decide whether the appealing party has proven the asserted grounds for appeal. They will consider the notice of dismissal, the appeal statements of the parties, and any additional information from the Title IX Officer.
6. *Decision by Appeal Officer.* The appeal officer may:
  - a. uphold the dismissal;
  - b. overturn the dismissal; or

- c. in appeals alleging new evidence, send the case back to the Title IX Officer with a request to determine whether the new evidence affects the dismissal and report back to the appeal officer.
- 7. *Notice of Decision.* Within 10 business days of receiving the appeal, the appeal officer will provide their written decision to the parties and the Title IX Officer, to include:
  - a. a statement of the grounds identified on appeal;
  - b. a summary of the information considered by the appeal officer; and
  - c. the decision of the appeal officer and the rationale for the decision.
- D. Case Consolidation.** The following provisions apply when the University opens a DOE Grievance Process.
  - 1. *Consolidation of DOE Formal Complaints.* The Title IX Officer may consolidate allegations of DOE-Covered Conduct against multiple respondents, by multiple complainants, or by one party against the other party, when the allegations arise out of the same facts or circumstances.
  - 2. *Consolidation of DOE-Covered Conduct Allegations with other Prohibited Conduct Allegations.* When allegations of DOE-Covered Conduct and allegations of other Prohibited Conduct or of violations of other University policies arise from the same facts or circumstances, the Title IX Officer will process all allegations under the DOE Grievance Process procedures for clarity and consistency. The Title IX Officer will clearly document and inform the parties of which allegations are and are not DOE-Covered Conduct

## **Appendix V: Prohibited Conduct in the Context of Patient Care.**

There are many circumstances in which a health care provider or health care worker may touch or penetrate a patient's body as a legitimate part of the patient's health care. On the other hand, conduct that a health care provider or health care worker engages in with a sexual purpose is never a legitimate part of a patient's health care. So when Prohibited Conduct allegedly occurs in the context of patient care, the Title IX Officer will refer to this Appendix V and, when indicated, apply its definitions.

- A. Application.** The Title IX Officer will apply the definitions in Section B of this Appendix V to allegations of Prohibited Conduct if:
  - a. the alleged conduct occurred during or in connection with a clinical encounter in which the Complainant was a patient and the Respondent was a health care provider or health care worker; and
  - b. the allegation is that the Respondent, for a sexual purpose:
    - o penetrated the Complainant's vagina or anus with either (a) any part of the Respondent's hand or (b) a medical device (Sexual Assault – Penetration);
    - o touched the Complainant's intimate body part (Sexual Assault – Contact);
    - o made the Complainant touch themselves on an intimate body part (Sexual Assault – Contact);

- engaged in Sexual Harassment (Quid Pro Quo or Hostile Environment);
- watched or enabled others to watch Complainant's nudity or sexual acts (Invasion of Sexual Privacy); or
- made or attempted to make photographs (including videos) or audio recordings, or posted, transmitted or distributed such recorded material, depicting the Complainant's nudity or sexual acts (Invasion of Sexual Privacy).

For all other allegations (such as that Respondent penetrated Complainant's mouth with Respondent's genitalia, used depictions of Complainant's sexual activity to extort Complainant, or exposed their genitals), the Title IX Officer will apply the definitions in Section II (not this Appendix V).

## **B. Definitions.**

### **1. Prohibited Conduct.**

- a. Sexual Assault – Penetration.** Penetration, no matter how slight, of the Complainant's vagina or anus by any part of the Respondent's hand or by a medical device, if the Respondent engaged in the conduct for a sexual purpose.
- b. Sexual Assault – Contact.** Intentionally, and for a sexual purpose --
  - touching Complainant's intimate body part (genitals, anus, groin, breast, or buttocks), or
  - making the Complainant touch themselves on an intimate body part, whether the intimate body part is clothed or unclothed.
- c. Invasions of Sexual Privacy.** For a sexual purpose:
  - watching or enabling others to watch the Complainant's nudity or sexual acts; or
  - making or attempting to make photographs (including videos) or audio recordings, or posting, transmitting or distributing such recorded material, depicting the Complainant's nudity or sexual acts.
- d. Sexual Harassment.** Conduct that meets the definition of Pro Quo Sexual Harassment or Hostile Environment Sexual Harassment as defined in Section II of the SVSH Policy, if Respondent engaged in the conduct for a sexual purpose.

**Note on Sexual Purpose:** In determining whether the Respondent engaged in conduct for a sexual purpose, the Title IX Officer will consider all relevant facts and circumstances, such as whether the conduct was Clinically Indicated. Whether the conduct was Clinically Indicated is typically relevant to but not determinative of whether Respondent engaged in Prohibited Conduct. A Respondent has a "sexual purpose" if, for example, they engage in conduct with any sexual motivation, for sexual gratification, or as an expression of dominance.

- 2. Clinical Encounter:** An inpatient visit, medical office visit, or ancillary service visit during which a patient has a direct interaction with a health care provider or worker,



where a health care provider has responsibility for diagnosing, evaluating, or treating the patient's condition, or a health care worker is tasked with delivering a health care item or service (for example, a test or procedure) prescribed by a health care provider.

**3. Clinically Indicated:** Health care services are clinically indicated in either of the following circumstances.

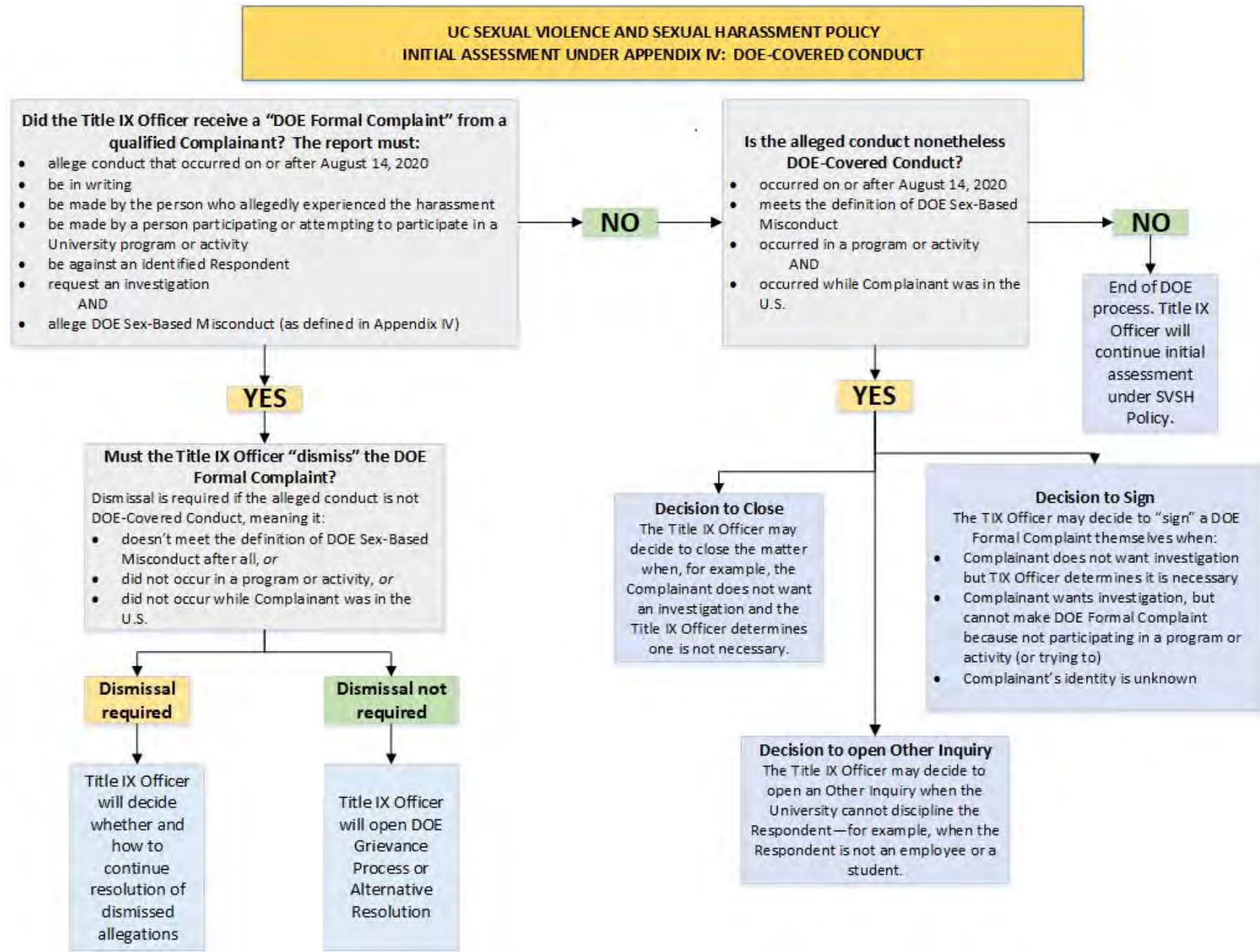
**a. Clinical Care:**

- a health care provider, exercising prudent clinical judgment, would provide them to a patient for the purpose of preventing, evaluating, diagnosing, or treating an illness, injury, disease, condition, or its symptoms;
- as performed, they meet the applicable Standard of Care (as defined below);
- as performed, they are appropriate, in terms of type, frequency, extent, site, and duration; and
- as performed, they are considered effective for the patient's illness, injury, disease, condition, or symptoms.

**b. Research or Clinical Trial:** They are required for the performance of a clinical trial approved by an IRB with jurisdiction, and are provided consistent with the IRB-approved protocol and with the IRB-approved consent process.

**Note on Informed Consent:** "Informed consent" of a patient or the patient's legally authorized representative to an examination or procedure the health care provider knows or should know is not Clinically Indicated, or to the making or distribution of media involving an examination or procedure for purposes unrelated to Clinically Indicated patient care, or legitimate research or education activities, is not a defense to an allegation of Prohibited Conduct under the SVSH Policy.

**4. Standard of Care:** The reasonable degree of skill, knowledge and care, based on credible scientific evidence published in current peer-reviewed medical literature, and ordinarily possessed and exercised by members of a person's profession and specialty under similar circumstances. The Standard of Care encompasses whether and under what circumstances a procedure is performed; the way it is performed; and whether and if so in what manner informed consent should be obtained prior to performance (for example, whether consent must be obtained in writing, whether documentation of consent in the medical record is required, or whether it may be implied under the circumstances, and the required content of the consent discussion, form, or both).



# **Appendix C**

**UC Davis**

**Policy on Sexual Violence and Sexual Harassment  
(PPM Section 400-20)**

**Chapter 400, Campus Climate**

**Section 20, Sexual Violence and Sexual Harassment**

**Date:** 3/16/2020

**Supersedes:** 4/1/16, rev. 3/17/17, 9/8/17

**Responsible Department:** Compliance and Policy

**Source Document:** UC Policy on Sexual Violence and Sexual Harassment

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**I. Purpose**

- A. This section provides guidance to those who believe they have been subject to sexual violence or sexual harassment, or have been accused of sexual violence or sexual harassment, as defined by the [UC Policy on Sexual Violence and Sexual Harassment](#), and describes the University's actions to address those complaints through administrative channels.
- B. It supplements the UC Policy on Sexual Violence and Sexual Harassment. To the extent this policy is inconsistent with the UC Policy on Sexual Violence and Sexual Harassment, the UC policy controls.

**II. Policy**

- A. The University is committed to creating and maintaining a community where all individuals who participate in University programs and activities can work and learn together in an atmosphere free of sexual violence and sexual harassment.
- B. When allegations of sexual violence or sexual harassment are brought to the University's attention, those allegations are promptly reviewed and addressed under the UC Policy on Sexual Violence and Sexual Harassment.
- C. This policy applies to allegations that occur:
  - 1. on University properties;
  - 2. in connection with University employment or in the context of a University employment or education program, activity or service; or
  - 3. off-campus or outside of University employment or educational program, activity or service, when the alleged conduct affects the complainant's employment or access to University programs and activities, or that would violate other policies had it occurred on campus.
- D. Violations of this policy will be handled following the appropriate adjudication and disciplinary procedures (see VIII.A, below).
- E. Employees who are in or enter into a consensual relationship with another employee where they have supervisory, decision-making, oversight, evaluative, or advisory responsibilities, must follow the reporting guidelines set forth in [Section 380-13](#).
- F. No provision of this policy is interpreted to prohibit conduct that is legitimately related to:
  - 1. course content, teaching methods, scholarship, or public commentary of an individual faculty member; or
  - 2. the educational, political, artistic, or literary expression of students in classrooms or public forums.
- G. However, freedom of speech and academic freedom are not limitless and do not protect speech or expressive conduct that violates federal or state anti-discrimination laws.

### III. Prohibited Conduct

- A. The following conduct is prohibited by this policy:
  - 1. Sexual harassment
  - 2. Sexual violence
    - a. Sexual assault, including penetration and other sexual contact
    - b. Relationship violence, including domestic violence and dating violence
    - c. Stalking
  - 3. Invasion of sexual privacy
    - a. Viewing, allowing others to view, recording or photographing nudity or sexual acts without consent where the individual(s) viewed, recorded or photographed has a reasonable expectation of privacy
    - b. Extorting something of value from a person by using recordings or photographs of that person's nudity or sexual activity
  - 4. Exposing one's genitals in a public place for the purpose of sexual gratification
  - 5. Sexual intercourse with a person under the age of 18
  - 6. Failure to comply with a no-contact order, a suspension of any length, or any order of exclusion issued under the UC Policy on Sexual Violence and Sexual Harassment
  - 7. Retaliation
- B. Specific definitions of prohibited activities are provided in the [UC Policy on Sexual Violence and Sexual Harassment](#).

### IV. Consent and Incapacitation

- A. An affirmative, conscious, voluntary agreement by each participant to engage in sexual activity is required in order to gain consent.
- B. Consent is revocable and can be withdrawn at any time during the activity.
  - 1. Affirmative consent must be ongoing throughout the sexual activity.
  - 2. The existence of a dating relationship or past sexual relations between the parties alone is not an indicator of consent.
  - 3. A subsequent dating relationship or sexual relations alone are not indicators of consent for prior conduct.
- C. Consent is not possible when the complainant is incapacitated.
- D. The respondent's belief that the complainant consented is not a valid excuse where:
  - 1. the respondent's belief arose from the respondent's own intoxication or recklessness,
  - 2. the respondent did not take reasonable steps to ascertain whether the complainant affirmatively consented, or
  - 3. the respondent knew or should have known the complainant was incapacitated.
- E. Additional information regarding the definitions of consent and incapacitation is available in the [UC Policy on Sexual Violence and Sexual Harassment](#).



## V. Options for Consultations and Reporting

### A. Confidential consultations

1. Individuals seeking confidential assistance or support related to prohibited conduct may consult with the following departments:
  - a. Center for Advocacy Resources and Education (CARE) (530-752-3299 Davis Campus; 916-734-3799 UC Davis Health); (<https://care.ucdavis.edu>).
  - b. Lesbian, Gay, Bisexual, Transgender, Queer, Intersex, Asexual Resource Center (LGBTQIARC) (530-752-2452); (<https://lgbtqia.ucdavis.edu/>).
  - c. Ombuds Office (530-754-7233; 916-734-1600); (<https://ombuds.ucdavis.edu/>).
  - d. Women's Resources and Research Center (WRRRC) (530-752-3372); (<https://wrrc.ucdavis.edu/>).
2. Individuals seeking confidential assistance or support related to prohibited conduct may also consult with licensed counselors and licensed healthcare providers and those employees who report directly to such providers at Student Health and Counseling Services (SHCS) 530-752-0871; <https://shcs.ucdavis.edu/counseling-services> and Academic and Staff Assistance Program (ASAP) 530-752-2727; 916-734-2727; <https://www.hr.ucdavis.edu/departments/asap>. When receiving reports of prohibited conduct within the course and scope of providing care to a patient, these individuals are confidential resources under this policy.
3. Disclosures to confidential resources will not automatically lead to an investigation or other University response unless the individual chooses to make an official report as described below.

### B. Official reporting to the University

1. Individuals who wish to report behavior that may be considered prohibited conduct under this policy, including third-party or anonymous reports, may report the behavior to the following:
  - a. Harassment & Discrimination Assistance and Prevention Program (HDAPP) (Davis campus, 530-747-3864 UC Davis Health, 916-734-3417).
  - b. Title IX Officer (530-752-9466).
  - c. Any responsible employee (identified in VI.C, below).
2. Responsible employees who are made aware of any behavior that may be considered prohibited conduct must report the behavior to HDAPP, Title IX Officer, or their offices.
3. All reports of sexual harassment and sexual violence are reviewed by the Title IX Officer and HDAPP to determine the appropriate University response. The University generally responds either by alternative resolution or by initiating a formal investigation. Both processes are discussed in more detail in section V.A.5 of the [University of California Sexual Violence and Sexual Harassment Policy](#). When the respondent is a third party, the University's ability to take appropriate responsive action depends on its relationship and level of control over the third party, if any.
4. Reporting prohibited conduct to the University will not automatically lead to a criminal report or criminal investigation; individuals who wish to pursue a criminal investigation into

prohibited conduct as defined under III.A.2, 3, 4, and 5 above must report the incident to the appropriate police department.

5. Additional information regarding reporting and University response to sexual violence complaints is available at <https://sexualviolence.ucdavis.edu>.

## **VI. Roles and Responsibilities**

### **A. Title IX Officer**

1. Develops and implements procedures for prompt and effective responses to reports of sexual violence and sexual harassment.
2. Oversees a prompt and equitable response to reports of prohibited conduct.
3. Initiates formal investigations into prohibited conduct.
4. With HDAPP, identifies and addresses any patterns or systemic problems that arise during the review of complaints of prohibited conduct.
5. Ensures the University offers prevention education and awareness programs to all incoming students and new employees, and ongoing training to the University community.
6. Ensures all individuals conducting formal investigations or hearings on sexual violence issues receive annual training related to sexual violence.

### **B. HDAPP**

1. Plans and manages sexual violence and sexual harassment prevention education and training programs to ensure:
  - a. Wide dissemination of this policy to the University community.
  - b. Educational and training materials to promote compliance with the policy and familiarity with campus reporting procedures.
  - c. Coordination of training required by state law and University policy.
2. Receives reports of prohibited conduct and ensures that timelines, procedures, rights, and remedies are met.
3. Coordinates and implements the alternative resolution process.
4. Ensures that individuals making reports receive notifications as required by V.A.3 of the [UC Policy on Sexual Violence and Sexual Harassment](#).
5. In accordance with University records retention policies, maintains records of reports of prohibited activities and actions taken in response to reports, including records of investigations, alternative resolutions, and disciplinary action as appropriate.

### **C. Responsible Employees**

1. Individuals are identified as Responsible Employees as follows:
  - a. With regard to student complaints of prohibited conduct, all University employees (including student employees) who are not confidential resources as identified in V.A. above and who in the course of employment receive information that a student may have been subjected to prohibited conduct are Responsible Employees.
  - b. With regard to all other reports of prohibited conduct, the following are identified as Responsible Employees:

- 1) Campus Police
  - 2) Human Resource Administrators, Academic Affairs and Title IX Professionals
  - 3) Managers and supervisors including Deans, Department Chairs, Directors of Organized Research Units and other academic appointees with managerial responsibilities.
  - 4) Faculty members.
2. Are responsible for all of the following:
    - a. Supporting and contributing to a work or educational environment free from all forms of harassment or discrimination.
    - b. Immediately consulting with HDAPP or the Title IX Officer following notice of prohibited conduct.
    - c. In consultation with HDAPP or the Title IX Officer, implementing appropriate interim actions.
    - d. Participating in training as required by University policy and state law.
  3. Responsible employees who fail to forward reports of possible prohibited conduct may be subject to corrective action, including potential disciplinary action.
- D. Title IX Investigators
1. Act as neutral fact-finders in conducting a full, fair, and thorough investigation into prohibited conduct as charged by the Title IX Officer.
  2. Complete investigations in a timely manner.
  3. Request extension when needed for good cause, in order to complete a full, fair, and thorough investigation.
  4. Participate in annual training on sexual violence.
- E. The Director—Student Judicial Affairs is responsible for imposing disciplinary sanctions on students who are found responsible for violating this policy.
- F. The Chief Human Resources Officer is responsible for overseeing the disciplinary process when a staff member is found in violation of this policy.
- G. The Vice Provost—Academic Affairs is responsible for overseeing the disciplinary process when a faculty member or a non-faculty academic appointee is found in violation of this policy.
- H. CARE
1. Provides advocacy and support services to individuals who have experienced sexual violence or harassment, including but not limited to:
    - a. Confidential crisis intervention.
    - b. Accompaniment to forensic medical examinations.
    - c. Accompaniment to investigation interviews and hearings.
    - d. Assistance with securing no-contact orders or restraining orders.
    - e. Providing referrals to other campus and community services.

2. Coordinates with HDAPP to provide training and prevention programs.
- I. Respondent Services Coordinator
  1. Facilitates fair and equitable services for the respondent.
  2. Provides information regarding the University's administrative processes to the respondent.
  3. Makes referrals to appropriate campus and community resources.
- J. Case Management Teams
  1. Sexual Violence Case Management Team (SVCMT)
    - a. Meets at least biweekly to coordinate timely responses to allegations of sexual violence and student-student sexual harassment, and to monitor such allegations through the resolution process.
    - b. Members include the Title IX Officer, HDAPP, and representatives from, CARE, the Office of Student Support and Judicial Affairs, the UC Davis Police Department and other members as required.
  2. Sexual Harassment Case Management Team (SHCMT)
    - a. Meets regularly to coordinate timely responses to employee allegations of sexual harassment and to monitor such allegations through the resolution process.
    - b. Members include the Title IX Officer; HDAPP; and representatives from Human Resources, Academic Affairs, CARE and other members as required.
- K. Campus Community Review Team (CCRT)
  1. Meets at least quarterly and serves in an advisory capacity to campus leadership and community members about best practices in policies, education, prevention and response to sexual violence.
  2. Is composed of campus and community stakeholders involved in sexual violence response and prevention efforts.

## **VII. Further Information**

- A. HDAPP provides information and assistance to the Davis campus (530-747-3864, <https://hdapp.ucdavis.edu>); and provides information and assistance to UC Davis Health (916-734-3417).
- B. CARE is a confidential resource that provides information and assistance regarding sexual violence and sexual harassment to students, staff, faculty, and other University affiliates (530-752-3299 at Davis; 916-734-3799 at UC Davis Health; <https://care.ucdavis.edu>).
- C. The following agencies may serve as neutral fact finders to facilitate the voluntary resolution of complaints against the University. Contact information for the nearest office is available on the agencies' websites.
  1. The federal [Equal Employment Opportunity Commission \(EEOC\)](#) and the [California Department of Fair Employment and Housing](#) investigate complaints of discrimination, including unlawful sexual harassment in employment.
  2. The [U.S. Department of Education Office for Civil Rights](#) investigates complaints of discrimination, including unlawful sexual harassment of students in educational programs or activities.

## VIII. References and Related Resources

- A. Disciplinary frameworks and procedures:
  - 1. [Policies Applying to Campus Activities, Organizations, and Students, Section 100.00, Policy on Student Conduct and Discipline](#) and [Appendix E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework](#).
  - 2. [UC Davis Administration of Student Discipline](#).
  - 3. [Investigation and Adjudication Framework for Senate and Non-Senate Faculty](#).
  - 4. [Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel](#).
  - 5. [Academic Personnel Manual](#):
    - a. [Section 016, University Policy on Faculty Conduct and the Administration of Discipline](#) and [UCD 016, Procedures for Faculty Discipline](#).
    - b. [Section 150, Non-Senate Academic Appointees/Corrective Action and Dismissal](#).
  - 6. [Personnel Policies for Staff Members, Policy](#) and [UCD Procedure 62, Corrective Action](#).
  - 7. [UC Collective Bargaining Agreements](#).
- B. Office of the President:
  - 1. [University of California Policy on Sexual Violence and Sexual Harassment](#).
  - 2. [Policies Applying to Campus Activities, Organizations, and Students, Section 110.00, Policy on Student Grievance Procedures](#).
- C. [Title VII of the Civil Rights Act of 1964, 42 US Code 2000e et seq.](#)
- D. [EEOC Guidelines on Discrimination Because of Sex, 29 CFR 1604.11](#).
- E. Title IX, Educational Amendments of 1972, 20 US Code [1681](#) and [1687](#).
- F. [Title IX Regulations, 34 CFR Part 106](#).
- G. [California Fair Employment and Housing Act, Government Code 12900 et seq.](#)
- H. UC Davis Policy and Procedure Manual:
  - 1. [Section 320-20, Privacy of and Access to Personal Information](#).
  - 2. [Section 380-13, Near Relatives and Consensual Relationships](#).
- I. [Section 400-01, Freedom of Expression](#).
  - 1. [Section 400-05, Fraud Risk Management](#).
  - 2. [Section 400-15, Complaints of Discrimination and Harassment](#).
- J. [Academic Personnel Manual](#):
  - 1. [Section 010, Academic Freedom](#).
  - 2. [Section 015, Faculty Code of Conduct](#) and [UCD-015, Procedures for Faculty Misconduct Allegations](#).
  - 3. [Section 035, Affirmative Action and Nondiscrimination in Employment](#).
  - 4. [Section 140](#) and [UCD-140, Non-Senate Academic Appointees/Grievances](#).



K. [Academic Senate Bylaw 335](#) and [Davis Division Bylaw 87](#).

**IX.** [Personnel Policies for Staff Members Policy](#) and [UCD Procedure 70, Complaint Resolution](#).

A. [Resident Medical Staff Personnel Policy and Procedure](#):

1. Policy 200, Nondiscrimination.
2. Policy 440, Grievances.

B. [UC Davis Principles of Community](#).

## **Appendix D**

### **Sexual Violence Support Services and Reporting Options Brochure**

## Sexual Violence Support Services and Reporting Options

The University of California is committed to creating and maintaining a community where all individuals who participate in University programs and activities can work and learn together in an atmosphere free of harassment, exploitation, or intimidation. The University prohibits sexual violence, including sexual assault, relationship violence, and stalking; such behavior violates University policy and may also violate the law.

UC Davis takes all complaints of sexual violence very seriously. The safety and well-being of our students, faculty, and staff are among the University's highest priorities. Anyone who has been affected by sexual violence, whether on or off campus, is encouraged to utilize the support services listed here.

You have the right to choose whether you want to report an incident of sexual violence to the University, to local law enforcement agencies, to either, or to both. You also have the right not to file a report. This handout provides a brief description of reporting options and the resources available for support regardless of whether you choose to report the incident.

UC Davis does not discriminate on the basis of race, color, national origin, religion, sex, gender identity, pregnancy (including pregnancy, childbirth, and medical conditions related to pregnancy or childbirth), physical or mental disability, age, medical condition (cancer related or genetic characteristics), ancestry, marital status, citizenship, sexual orientation, or service in the uniformed services (includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services) status as a Vietnam-era veteran or special disabled veteran, in accordance with all applicable state and federal laws, and with University policy. As required by Title IX, the University of California, Davis, does not discriminate on the basis of sex in its educational programs, admissions, employment, or other activities.

Inquiries related to Title IX and to Section 34 CFR § 106.9 may be referred to the Title IX Coordinator: Wendi Delmendo / Mrak Hall, Fifth Floor / One Shields Ave, Davis, CA 95616 / 530-752-9466 / [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu)

Inquiries may also be directed to: Assistant Secretary for Civil Rights of the Department of Education / San Francisco Office / U.S. Department of Education / 50 Beale Street, Suite 7200 / San Francisco, CA 94105-1813 / 415-486-5555 / [OCR.SanFrancisco@ed.gov](mailto:OCR.SanFrancisco@ed.gov)



# SEXUAL VIOLENCE SUPPORT SERVICES AND REPORTING OPTIONS



## Support Services Available On and Off-Campus

### Confidential campus resources:

**CARE (Center for Advocacy, Resources and Education)**  
530-752-3299 [care.ucdavis.edu](http://care.ucdavis.edu)

CARE is the advocate office for sexual and gender-based violence and sexual misconduct. CARE provides free, confidential crisis intervention, advocacy and accompaniment services to any survivor of sexual harassment, sexual assault, intimate partner violence, or stalking, regardless of their decision to formally report the matter. The CARE unit serves in an advocacy role for your interests and needs, and will discuss rights, options and procedures regarding safety planning, reporting, academic and financial aid assistance, housing, transportation and employment accommodations, and counseling and medical needs. Services are available to UC Davis students, staff, academic appointees, and faculty.

**Counseling Services**  
530-752-2349 [shcs.ucdavis.edu/services/counseling.html](http://shcs.ucdavis.edu/services/counseling.html)  
Counseling Services offers free, confidential short-term individual counseling to all registered UC Davis students.

**ASAP (Academic & Staff Assistance Program)**  
530-752-2727 [www.hr.ucdavis.edu/worklife-wellness/ASAP](http://www.hr.ucdavis.edu/worklife-wellness/ASAP)  
ASAP offers free, confidential assessment, intervention, consultation and referral services to all UC Davis faculty, staff and their immediate families.

**WRRC (Women's Resources and Research Center)**  
530-752-3372 [wrrc.ucdavis.edu](http://wrrc.ucdavis.edu)  
The WRRC spaces, programs, and services are open to all. The WRRC offers confidential support and referrals on a wide range of topics, including sexual assault and dating violence.

**LGBTQIA (Lesbian, Gay, Bisexual, Transgender, Queer, Intersex, Asexual Resource Center)**  
530-752-2452 [lgbtqia.ucdavis.edu](http://lgbtqia.ucdavis.edu)  
The LGBTQIA Resource Center provides an open, safe, inclusive and confidential space and community for all individuals.

**Office of the Ombuds**  
530-754-7233 or 916-734-1600 [ombuds.ucdavis.edu](http://ombuds.ucdavis.edu)  
The UC Davis Ombuds Office is a confidential, independent, impartial, and informal problem-solving and conflict management resource for all members of the UC Davis campus community.

**Family Protection and Legal Assistance Clinic**  
530-752-6942  
[law.ucdavis.edu/clinics/family-protection-clinic.html](http://law.ucdavis.edu/clinics/family-protection-clinic.html)  
The Family Protection and Legal Assistance Clinic provides free legal representation to victims of domestic violence seeking restraining orders in Yolo and Sacramento County.

**ASUCD Legal Services**  
530-752-1990 [asucd.ucdavis.edu/units/legal-services](http://asucd.ucdavis.edu/units/legal-services)  
ASUCD legal services provide each UC Davis undergraduate student a free fifteen minute consultation with an attorney.

### Additional campus resources (non-confidential)

**HDAPP (Harassment & Discrimination Assistance and Prevention Program)**  
[hdapp.ucdavis.edu](http://hdapp.ucdavis.edu)  
530-747-3864 (Davis) or 916-734-3417 (UCD Health)  
*Anonymous Call Lines: 530-747-3865 (Davis) or 916-734-2255 (UCD Health)*  
HDAPP assists individuals and campus units with resolving sexual harassment, sexual violence and discrimination complaints. HDAPP can help you understand what your options are and connect you with other support services and resources. You may consult with HDAPP anonymously if you choose. However, if you provide identifying information about yourself or the person who engaged in the sexual harassment or sexual violence, the University may have an obligation to take action.

**Office of Student Support and Judicial Affairs**  
530-752-1128 [sja.ucdavis.edu](http://sja.ucdavis.edu)  
The Office of Student Support and Judicial Affairs serves the campus by enforcing student conduct standards, upholding student rights, and assisting students in need.

**Title IX Officer: Wendi Delmendo**  
530-752-9466 [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu)  
The Title IX Officer is responsible for coordinating the University's response to reports of sexual violence and sexual harassment.

Off-campus confidential resources:

**Empower Yolo**  
*530-662-1133 or 916-371-1907    [empoweryolo.org](http://empoweryolo.org)*

Empower Yolo provides confidential crisis intervention, advocacy and accompaniment services to survivors of violence in Yolo County.

**Women Escaping a Violent Environment, (WEAVE)**  
*916-920-2952 or 866-920-2952 (toll free)*  
*[www.weaveinc.org](http://www.weaveinc.org)*

WEAVE is the primary provider of crisis intervention services for survivors of domestic violence and sexual assault in Sacramento County.

**My Sister’s House**  
*916-428-3271    [www.my-sisters-house.org](http://www.my-sisters-house.org)*

My Sister’s House provides culturally specific domestic/dating violence services to the Asian/Pacific Islander community.

**Non-citizens who experience sexual violence may need specialized assistance with concerns related to their immigration status. These resources may be able to help:**

**Services for International Students and Scholars**  
*530-752-0864    [siss.ucdavis.edu](http://siss.ucdavis.edu) (non-confidential)*

**Center for International Education**  
*530-757-8686*  
*<https://cie.ucdavis.edu/resources-and-support/visa-information>*  
*(non-confidential)*

**California Rural Legal Assistance Foundation, Inc.**  
*916-446-7904    [www.crlaf.org](http://www.crlaf.org) (confidential)*

**Opening Doors, Inc.**  
*916-492-2591    [www.openingdoorsinc.org](http://www.openingdoorsinc.org)    (non-confidential)*

Reporting Sexual Violence to the University

You can report an incident of sexual harassment or sexual violence to the University by contacting the Harassment & Discrimination Assistance and Prevention Program (HDAPP) at 530-747-3864. If you would like a victim advocate to accompany you when making a report, you may also contact the Center for Advocacy, Resources and Education (CARE) at 530-752-3299. All reports are reviewed by the Title IX Officer. After receiving a report, HDAPP will provide you with information about University resources available to you and the processes that may be available to respond to your report, including Investigation or Alternative Resolution.

Alternative Resolution

Alternative Resolution is a flexible, voluntary, and binding process that seeks to stop the prohibited conduct, prevent its recurrence, and meet the needs of the complainant, without a determination of whether the accused violated the SVSH Policy. Both you and the accused must agree to participate in the process. Alternative Resolution may include separating the parties; referring the parties to counseling; an agreement between the parties; and/or targeted preventive education and training programs. Once the parties have agreed to the terms of an Alternative Resolution, the University will not conduct an Investigation unless the Title IX Officer determines that the accused failed to satisfy the terms of the Alternative Resolution, or that it was unsuccessful in stopping the prohibited conduct or preventing its recurrence.

Investigation

If an investigation is warranted, the Title IX Officer will appoint a University Investigator. Both you and the accused individual will be notified of the investigation, and each of you will have the same rights during it, including, but not limited to, the right to: (1) be accompanied by an adviser and support person of your choice at any investigatory interview, and (2) be simultaneously informed in writing of the outcome of the investigation. The University investigator will separately meet with you, the accused individual, and other potential witnesses, to gather information. When the fact-gathering portion of the investigation is complete, the investigator will prepare and submit a report addressing whether the allegations are substantiated and make either a recommendation or finding on whether University policy was violated. The specific post-investigation resolution process that will be used depends on several factors, such as the affiliation of the accused to the University and the nature of the allegations. You will be informed of the specific post-investigation resolution process applicable to your situation prior to the start of the investigation. More detailed information about the different post-investigation resolution processes and frameworks can be found on the Sexual Violence Prevention and Response website at <https://sexualviolence.ucdavis.edu> or by contacting HDAPP at 530-747-3864 or [hdapp@ucdavis.edu](mailto:hdapp@ucdavis.edu).

Reporting to Law Enforcement

You may report an incident to law enforcement at any time. In the event of an emergency where you need immediate assistance, dial 9-1-1 to be connected with the nearest police department. If there is no emergency, you can file a police report in the jurisdiction where the assault occurred. You can reach the UC Davis Police Department at 530-754-2677 (campus) or 916-734-2555 (UCD Medical Center), or the City of Davis Police Department at 530-747-5400. A victim advocate from CARE can assist you with filing a police report with any jurisdiction.

Supportive and Protective Measures

Whether you choose to report the incident or not, you are encouraged to contact CARE where all intervention services are confidential, free, and available to any UC Davis student, staff, or faculty. A victim advocate can discuss supportive or protective measures you may want to consider, which may include the following:

- Obtaining orders of protection, no contact orders, restraining orders, or similar lawful orders issued by criminal or civil courts. These orders would be honored both on and off-campus and the victim advocate could assist with making any necessary accommodations to enforce an order.
- Creating a plan to limit or prevent contact between you and the other person. This may include making changes to class, work situations, transportation, or housing arrangements for you or the accused, regardless of whether the crime is reported to campus police or local law enforcement.
- Taking steps to increase your sense of safety and security while you continue with your classes, work and other activities. Depending upon the circumstances of the case, the University may consider other interim measures. If the accused is a student and if the circumstances warrant it, the University may decide that an interim suspension is necessary.

Confidentiality

The University will protect the privacy of everyone involved in a report of sexual harassment and sexual violence to the greatest degree possible under the law and University policy. All University employees, including student employees, are required to report all incidents of sexual harassment and sexual violence against students to the Title IX Office. Additionally, certain University officials – supervisors, faculty, coaches and other officials – are required to report all incidents of sexual harassment and sexual violence. If you prefer to seek assistance that will not lead to a report, consider talking with one of the University’s confidential resources before making an official complaint. Confidential resources for the campus include CARE, Counseling Services, ASAP, WRRC, LGBTQIA, and the Ombuds Office.

Timing and Preservation of Evidence

If you decide you would like to report an incident, you are encouraged to file a report as soon as possible. Delays in reporting may make gathering evidence more difficult which may in turn affect criminal prosecutions and University investigations. Regardless of whether the incident is reported to the police, it is important to seek immediate medical attention, even if there is no evidence of serious injury. A medical examination is important to check for sexually transmitted diseases or other infection/injuries,

and for pregnancy. A CARE advocate can help you find an appropriate medical provider.

You are encouraged to preserve all physical evidence if you are a victim of sexual assault (i.e. do not bathe, douche, change clothing, clean the bed/linen/area where assault occurred). If the sexual assault happened within 5 days, you may have the option to have an evidentiary exam in order to collect evidence of the assault. The CARE victim advocate can help you to arrange this exam even if you have not decided whether you want to report the incident.

Victims of sexual assault, relationship violence, and stalking are encouraged to also preserve evidence by saving text messages, instant messages, social networking pages, other communications, pictures, logs or other copies of documents that may be useful to University investigators or police.

Additional Information

The following resources provide more information on sexual harassment and sexual violence:

- Website for information on sexual assault, domestic violence, dating violence and stalking, *<http://sexualviolence.ucdavis.edu>*
- Website for Center for Advocacy Resources and Education (CARE), *<http://care.ucdavis.edu>*
- Website for Harassment and Discrimination Assistance and Prevention Program (HDAPP), *<http://hdapp.ucdavis.edu>*
- The UCD sexual violence and sexual harassment policy PPM 400-20, *<https://ucdavispolicy.ellucid.com/documents/view/41/active/>*



## **Appendix E**

**Policies Applying to Campus Activities, Organizations and, Students  
(PACAOS) – Appendix E:  
University of California Sexual Violence and Sexual Harassment  
Student Investigation and Adjudication Framework**





# PACAOS-Appendix-E: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for Non-DOE-Covered Conduct

[PACAOS-Anexo-E: Marco de investigación y resolución para estudiantes respecto de la violencia sexual y el acoso sexual](#)

[PACAOS-附錄-E：性暴力與性騷擾學生調查及裁定架構](#)

[PACAOS-Apendiks-E: Imbestigasyon sa Seksuwal na Karahasan at Seksuwal na Panliligalig ng Estudyante at Balangkas ng Paghatol](#)

<b>Responsible Officer:</b>	VP - Student Affairs
<b>Responsible Office:</b>	SA - Student Affairs
<b>Issuance Date:</b>	12/17/2021
<b>Effective Date:</b>	1/01/2022
<b>Last Review Date:</b>	12/8/2021
<b>Scope:</b>	Consistent with PACAOS 12.00, these Policies and the campus regulations implementing them apply to all campuses and properties of the University and to functions administered by the University, unless in special circumstances the President directs otherwise.

<b>Contact:</b>	Eric Heng
<b>Title:</b>	Director, Student Policies & Governance
<b>Email:</b>	Eric.Heng@ucop.edu
<b>Phone:</b>	(510) 987-0239

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## **I. POLICY SUMMARY**

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Consistent with the University *Policy on Sexual Violence and Sexual Harassment (SVSH Policy)* (see Section V.A.5.b. (“Formal Investigation”) and V.A.6. (“The Investigation Report and Outcome”)), the following describes the University’s procedures for resolving non-DOE-Covered Conduct, as defined by the *SVSH Policy* where the responding parties are students, including the sanctioning of students who are found in violation of the *SVSH Policy*. *Appendix F* describes the University’s procedures for resolving Department of Education (DOE) Formal Complaints of DOE-Covered Conduct, as defined in the *SVSH Policy*, where the responding parties are students, including the sanctioning of students who are found responsible for DOE-Covered Conduct in violation of the *SVSH Policy*.

Campuses will also apply these procedures to resolve reports of other violations of University policies that apply to students (herein, “student conduct policies”) that occur in connection with violations of the *SVSH Policy*.

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## **II. DEFINITIONS**

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Applicable definitions for the *SVSH Policy* can be found at <https://policy.ucop.edu/doc/4000385/SVSH>.

Applicable definitions for the [Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\)](#), and the campus implementing regulations adopted pursuant to them, are provided in Section 14.00.

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## **III. POLICY TEXT**

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### **I. PREFACE**

The University of California is committed to creating and maintaining a community where all individuals who participate in University programs and activities can work and learn together in an atmosphere free of Sexual Violence, Sexual Harassment, and other conduct prohibited under the *SVSH Policy* (collectively, “Prohibited Conduct”).

Consistent with its legal obligations, including those under Title IX of the Education Amendments of 1972, the Violence Against Women Reauthorization Act of 2013, and California Education Code section 67386, the University responds promptly and effectively to reports of Prohibited Conduct under the *SVSH Policy*, and takes appropriate action to stop, prevent, remedy, and when necessary, to discipline behavior that violates the *SVSH Policy*. The University’s student disciplinary procedures emphasize education, personal growth, accountability, and ethical behavior – upholding standards of responsible conduct to protect the welfare of the University community.

The procedures are designed to provide a prompt, fair, and impartial resolution of the matter.

The following describes the University's formal investigation and adjudication (together, "resolution") procedures for resolving complaints of non-DOE-Covered Conduct under the *SVSH Policy* or related student conduct policy violations where the responding parties ("Respondents" as defined in the *SVSH Policy*) are students, including the sanctioning of students where policy violations are determined to have occurred. Consistent with the *Policies Applying to Campus Activities, Organizations, and Students (PACAOS)* – 101.00, of the *Policy on Student Conduct and Discipline*, these procedures also apply to (1) applicants who become students, for offenses committed on campus and/or while participating in University-related events or activities that take place following a student's submittal of the application through their official enrollment; and (2) former students for offenses committed while a student.

## **II. RESOURCES RELATING TO SEXUAL VIOLENCE AND SEXUAL HARASSMENT (STAGE ONE)**

The University has a Title IX office at each campus that is responsible for receiving and responding to reports of Prohibited Conduct under the *SVSH Policy*. Confidential Resources, as defined by the *SVSH Policy*, also are available at each campus both before and after a person communicates with the Title IX office about potential violations of the *SVSH Policy*. Confidential Resources are also available to a person who chooses not to communicate with the Title IX office. These Confidential Resources are not required to report Prohibited Conduct to the Title IX office.

## **III. REPORT OF AND RESPONSE TO PROHIBITED CONDUCT (STAGE ONE)**

- A. Consistent with the *SVSH Policy*, the University may consider any person who reportedly experienced Prohibited Conduct a "Complainant," whether or not they make a report or participate in the resolution process.
- B. The University will strive to honor the stated wishes of the Complainant concerning whether to move forward with an investigation. In accordance with the *SVSH Policy*, if the Complainant requests that no investigation occur, the Title IX Officer will determine whether the allegations, nonetheless, require an investigation to mitigate a potential risk to the campus community. If the Title IX Office begins a Formal Investigation despite the Complainant's request, it will provide Complainant with all information required by this and the *SVSH Policy* unless Complainant states in writing that they do not want it.
- C. Throughout this resolution process, the University will offer support services for Complainants (through the CARE Advocate) and Respondents (through the Respondent Services Coordinator).
- D. The University will consider and implement interim measures throughout the process as appropriate to ensure the safety, well-being, and equal access to University programs and activities of its students. Interim measures include, but are not limited to: no contact orders; housing assistance; academic support and accommodations; and counseling. The University may place the Respondent on

an Interim Suspension as appropriate and consistent with the *Policies Applying to Campus Activities, Organizations, and Students (PACAOS)* – 105.08 of the *Policy on Student Conduct and Discipline*.

- E. At all stages of this process, the Complainant and Respondent (also known as the parties) have the right to an advisor and/or a support person of their choosing. The advisor and/or the support person may be any person (including an advocate, attorney, friend, or parent) who is not otherwise a party or a witness. The advisor's primary role is to provide guidance through the process. The support person's primary role is to provide emotional support. The advisor and/or the support person may not speak on behalf of a student or otherwise disrupt any meetings or proceedings in any manner. The University reserves the right to exclude an advisor and/or support person who does not abide by these procedures.
- F. Neither the Complainant nor the Respondent is required to participate in the resolution process outlined in these procedures. The University will not draw any adverse inferences from a Complainant or Respondent's decision not to participate or to remain silent during the process. An investigator or hearing officer will reach findings and conclusions based on the information available. However, when a party selectively participates in the process – such as choosing to answer some but not all questions posed, or choosing to provide a statement only after reviewing the other evidence gathered in the investigation – an investigator or hearing officer may consider the selective participation in evaluating the party's credibility. In doing so, they should try to discern reasonable non-adverse explanations for the selective participation, including from the parties' own explanations, and determine whether the information available supports those explanations.
- G. In all cases, including where the Complainant chooses not to participate or where there is no Complainant as provided for in the *SVSH Policy* (II.C.1.) and this policy (III.A.), the University's role is neutral, and it will conduct any factfinding and sanctioning without taking the position of either party.
- H. The campus Case Management Team (CMT) will track all stages of the resolution process under these procedures.
- I. All University officials involved in this resolution process will be trained to carry out their roles in an impartial manner in keeping with trauma-informed practices.
- J. The standard of proof for factfinding and determining whether a policy violation(s) occurred is Preponderance of Evidence, as defined by the *SVSH Policy*. A Respondent will not be found responsible for a violation of the *SVSH Policy* and/or other student conduct policies unless the evidence establishes it is more likely than not that they violated the *SVSH Policy* and/or other student conduct policies.
- K. The Title IX Officer may extend any deadlines contained herein consistent with the *SVSH Policy* as applicable, and for good cause shown and documented. The Complainant and Respondent will be notified in writing of any extension, the reasons for it, and projected new timelines.

- L. The Title IX Office will consider requests from parties and witnesses for disability-related accommodations.
- M. The Title IX Office will consider requests from parties and witnesses for language interpretation.

#### IV. FORMAL INVESTIGATION OF REPORT OF PROHIBITED CONDUCT (STAGE TWO)

- A. Commencing a Formal Investigation.** Upon receipt of information about alleged Prohibited Conduct, the Title IX Officer will determine, consistent with the University's *SVSH Policy*, whether to initiate a Formal Investigation (see *SVSH Policy*, Sections V.A.4 and 5 for the alternate paths that the Title IX Officer may instead determine to be appropriate).
- B. Notice of Charges.** If a Formal Investigation will be conducted, the Title IX Officer, after consulting with Student Conduct, will send written notice of the charges to the Complainant and Respondent. The written notice will include:
  - 1. A summary of the reported conduct that potentially violated the *SVSH Policy* and, where applicable, other student conduct policy;
  - 2. the identities of the parties involved;
  - 3. the date, time, and location of the reported incident(s) (to the extent known);
  - 4. the specific provisions of the *SVSH Policy* and/or any other student conduct policy potentially violated;
  - 5. a statement that the investigative report, when issued, will make factual findings and a preliminary determination regarding whether there has been a violation of the *SVSH Policy* and/or other student conduct policy;
  - 6. a statement that the parties will each have an opportunity during the investigation to propose questions for the investigator to ask of the other party and witnesses;
  - 7. a statement that the factual findings and preliminary determination will be based on a Preponderance of Evidence standard;
  - 8. a summary of the resolution process, including the possible hearing, and the expected timeline;
  - 9. an admonition against Retaliation; and
  - 10. a summary of rights and resources available to the Complainant and Respondent.

At any point during the investigation, the Title IX Officer may amend the notice to add additional charges identified during the investigation. Any amended notice should include all the information described above. If the additional charges identified during the investigation include DOE-Covered Conduct, as defined in the *SVSH Policy*, then the Title IX Officer will notify the parties that the case will now proceed per the University's procedures (*Appendix F*) for resolving DOE Formal Complaints of DOE-Covered Conduct, as defined in the *SVSH Policy*.



### C. Investigation Process.

The Title IX Officer will oversee the investigation and will designate an investigator to conduct a fair, thorough, and impartial investigation. Absent an extension for good cause, the Title IX Office will typically complete its investigation within 60 to 90 business days from the date of the notice of charges.

1. During the investigation, the Complainant and Respondent will be provided an equal opportunity to meet with the investigator, submit evidence, identify witnesses who may have relevant information, and propose questions for the investigator to ask the other party and witnesses. Any evidence available to but not disclosed by a party during the investigation might not be considered at a subsequent hearing. The investigator has discretion to determine which witnesses to interview and what questions to ask, and must decline to ask questions that are, repetitive, irrelevant, or harassing.
2. The investigator will meet separately with the Complainant, Respondent, and witnesses, and will gather other available and relevant evidence. The investigator may follow up with the Complainant, the Respondent, and witnesses as needed to clarify any inconsistencies or evidence gathered during the course of the investigation.
3. The investigator will generally consider all evidence they determine to be relevant and reliable. The investigator may determine and weigh the relevance of any witness or other evidence to the findings and may exclude evidence that is irrelevant or immaterial.
  - a. The investigator will generally consider direct observations and reasonable inferences from the facts.
  - b. The investigator will generally not consider statements of personal opinion as to anyone's general reputation or any character trait.
  - c. The investigator may consider prior or subsequent conduct of the Respondent in determining pattern, knowledge, intent, motive, or absence of mistake. For example, evidence of a pattern of Prohibited Conduct or other conduct prohibited by student conduct policies by the Respondent, either before or after the incident in question, regardless of whether there has been a prior finding of an *SVSH Policy* or other policy violation, may be deemed relevant to the determination of responsibility for the Prohibited Conduct or related student conduct policy violation under investigation.
  - d. The investigator will not, as a general rule, consider the sexual history of a Complainant or Respondent. However, in limited circumstances, sexual history may be directly relevant to the investigation.
    - i. For example, while the investigator will never assume that a past sexual relationship between the parties means the Complainant consented to the specific conduct under investigation, evidence of how the parties communicated consent in past consensual encounters may help the investigator understand whether the Respondent reasonably believed consent was given during the encounter under investigation. Sexual history might also be relevant to explain an injury, show a

pattern of behavior by Respondent in accordance with Section IV.C.3.c, or resolve another issue of importance in the investigation.

- ii. Sexual history evidence that is offered to show a party's reputation or character will never be considered for that purpose.
- iii. The investigator will consider proffered evidence of sexual history, and provide it to the parties for review under Section IV.E. below, only if the investigator determines it is directly relevant. The investigator will inform the parties of this determination. If the investigator does allow sexual history evidence to be presented, they will provide a written explanation to the parties as to why consideration of the evidence is consistent with the principles in this section.

**D. Coordination with Law Enforcement.** When a law enforcement agency is conducting its own investigation, the investigator should coordinate their factfinding efforts with the law enforcement investigation in accordance with the *SVSH Policy* (See *SVSH Policy* Section V.A.5.b.i and *SVSH Policy* FAQs 7 and 8). A reasonable delay resulting from such coordination may be good cause for extending the timelines to complete the investigation. If so, the delay will be communicated and documented in accordance with the *SVSH Policy*.

**E. Opportunity to Review and Respond.** Before the investigator concludes the investigation and finalizes a written report, both Complainant and Respondent will have an equal opportunity to review and respond to the evidence that the investigator has deemed relevant, including relevant evidence that weighs against finding a policy violation(s). This is true regardless of whether a party has participated in the investigation. This review will also include a summary of relevant statements made by the parties and any witnesses. The Title IX Officer will ensure that this review occurs in a manner designed to protect the privacy of both parties. The Title IX Officer will designate a reasonable time for this review and response by the parties that, absent good cause found by the Title IX Officer, will not exceed 5 business days.

**F. Investigation Report.** The investigator will prepare a written report that includes the factual allegations and alleged policy violations, statements of the parties and witnesses, a summary of the evidence the investigator considered, findings of fact, credibility determinations when appropriate, an analysis of whether a policy violation has occurred, and a preliminary determination regarding whether there are any policy violations. The investigator may consult with Student Conduct on the preliminary determinations regarding violations of student conduct policies other than the *SVSH Policy*. If credibility determinations were not necessary to reach the findings and preliminary policy determinations, the report will so note and explain why. If the Complainant or Respondent offered witnesses or other evidence that was not considered by the investigator, the investigation report will include an explanation of why it was not considered. The investigation report should also indicate when and how the parties were given an opportunity to review the evidence (see Section E above). If the findings of fact indicate that DOE-Covered Conduct occurred, but was not charged as such in the notice of investigation, then the investigator will reach preliminary determinations regarding whether a policy violation occurred and the Title IX Officer will notify

the parties that the case will now proceed per the University's procedures (*Appendix F*) for resolving DOE Formal Complaints of DOE-Covered Conduct, as defined in the *SVSH Policy*.

### **G. Issuance of Notice and Report.**

1. Upon completion of the Title IX Investigation, the Title IX Officer will provide to the Complainant and the Respondent (a) written notice of the factual findings and preliminary determinations, and (b) the investigation report. The investigation report may be redacted to protect privacy. The Title IX Officer will provide Student Conduct with the written notice and an unredacted copy of the investigation report.
2. The notice of the factual findings and preliminary determinations will include the following:
  - a. A summary statement of the factual findings and preliminary determinations regarding whether the *SVSH Policy* or other student conduct policies have been violated;
  - b. In cases where the investigator preliminarily determines a policy violation(s) occurred, an explanation of how the proposed sanction will be determined, including that each party will have an opportunity to provide input on sanctions through a meeting with Student Conduct and/or written statement (see Section V);
  - c. A statement that if either party contests the investigator's preliminary determinations as to policy violation(s), or is presumed to contest, there will be a factfinding hearing to determine whether the *SVSH Policy* or other student conduct policies have been violated, after which Student Conduct will determine any sanctions;
  - d. An explanation of the procedures and timeline for contesting the preliminary determination (see Section VI);
  - e. A statement that if neither party contests the preliminary determination, they still will have the right to appeal the sanction, if any;
  - f. An admonition against Retaliation; and
  - g. An explanation of any interim measures that will remain in place.

**H. Access to Certain Investigation Records.** After issuance of the investigator's written report, the investigation file, consisting of the investigation report and any evidence deemed relevant by the investigator (as documented in the investigation report), must be retained by the Title IX Officer and made available to the parties for inspection upon request. It may be redacted to protect privacy.

## **V. PROPOSED SANCTION (STAGE TWO)** In cases where the investigator preliminarily determines a policy violation occurred:

**A. Party Input.** Either party may schedule a meeting with or submit a written statement to Student Conduct to provide input on sanctions. A party intending to do so will, within three days of receiving the notice of preliminary determination, either contact Student Conduct to schedule the meeting or submit the written statement to that office.

- B. Student Conduct Proposal.** Student Conduct will review the report, the evidence deemed relevant by the investigator as documented in the report, the preliminary determinations, respondent's prior conduct record, any comment on sanctions from the parties (received either in person or in writing), and any other information relevant to the factors described in Section IX, and will determine a proposed sanction. Student Conduct will propose a sanction in all cases where there is a preliminary determination that the policy was violated, regardless of whether the preliminary determination is contested.
- C. Notification.** Student Conduct will notify the parties of the proposed sanction and supporting rationale within 15 business days of the notice of investigative findings and preliminary determination.
- D. Student Conduct Meeting.** When possible, a party's meeting with Student Conduct to provide input on sanctions will be combined with the meeting contemplated in Section VI.A.

## **VI. OPPORTUNITY TO CONTEST THE PRELIMINARY DETERMINATION (STAGE THREE)**

If either party contests the investigator's preliminary determinations as to whether or not the policy was violated, there will be a factfinding hearing to determine whether the *SVSH Policy* or other student conduct policies have been violated, after which Student Conduct will determine any sanctions.

### **A. Opportunity to Discuss Options.**

If either party wishes to discuss the possibility of contesting and the implications of contesting or not contesting the preliminary determination, including the hearing that will result if either party contests, they may discuss their options with Student Conduct (even if the investigator's preliminary determination was that no policy violation occurred). If either party wishes to meet with Student Conduct, they will contact Student Conduct within 3 business days of receiving the notice of preliminary determination to schedule the meeting.

### **B. Preliminary Determination That Policy Violation Occurred and Presumption That Respondent Contests in Certain Cases.** When the investigator preliminarily determines that a policy violation(s) occurred:

1. Either party may contest the preliminary determination within 20 business days of the notice of investigative findings and preliminary determination. If either party contests within this time period, then the matter will proceed to a hearing to determine if a policy violation occurred.
2. In cases where Student Conduct proposes suspension or dismissal:
  - a. Respondent is presumed to contest the preliminary determination unless Respondent provides Student Conduct with a written acknowledgment stating that Respondent does not contest, accepts the preliminary determination, and waives their right to a hearing.
  - b. If Respondent does not provide Student Conduct the written acknowledgment during the 20 business days, then the matter will proceed to a hearing to determine if a policy violation occurred.

- c. If Respondent does provide the written acknowledgment, and Complainant does not contest during the 20 business days, then the preliminary determination regarding policy violation(s) becomes final, and Student Conduct will impose the proposed sanction, and the parties will have the right to appeal the sanction.
  - d. If Respondent does provide the written acknowledgment, and Complainant contests during the 20 business days, then the matter will proceed to a hearing to determine if a policy violation occurred.
3. In cases where Student Conduct does not propose suspension or dismissal:
  - a. If either party informs Student Conduct that they contest during the 20 business days, the matter will proceed to a hearing to determine if a policy violation occurred.
  - b. If neither party informs Student Conduct that they contest during the 20 business days, then the preliminary determination regarding policy violation(s) becomes final, and Student Conduct will impose the proposed sanction, and the parties have the right to appeal the sanction.
4. A party wishing to affirmatively contest the preliminary determination must notify Student Conduct of their decision within the 20 business days, even if the other party has already contested or is presumed to contest.

**C. Preliminary Determination That No Policy Violation Occurred.**

When the investigator does not preliminarily determine that there was a policy violation(s):

1. Either party may contest the preliminary determination within 20 business days of the notice of investigative findings and preliminary determination. If either party informs Student Conduct that they contest during this time period, then the matter will proceed to a hearing to determine if a policy violation(s) occurred.
2. A party wishing to contest the preliminary determination must notify Student Conduct of their decision within the 20 business days, even if the other party has already contested.
3. If neither party informs Student Conduct that they contest during the 20 business days period, then the preliminary determination that no policy violation occurred becomes final.

**D. Consideration of Consolidation of Related Cases**

Where a case arises out of substantially the same set of factual allegations as another case in the student resolution process (for example, where multiple Complainants or Respondents are involved in the same incident), or where it involves the same Complainant and Respondent, the Title IX officer has discretion to coordinate or combine the investigation and/or adjudication of those cases.

**E. Notice of Hearing or No Hearing**

1. If any party contests the preliminary determination, Student Conduct will notify



both parties within 5 business days that there will be a hearing. The other party will still have the remainder of the allotted 20 business days to also contest the determination (or, in a case where the presumption of a hearing applies, to indicate that they do not want a hearing). After the allotted 20 business days for contesting has elapsed, or each party has indicated their position on contesting, whichever comes first, Student Conduct will notify the parties that there will be a hearing. The notice of hearing will indicate each party's position on contesting and include a summary of the hearing procedures described in Section VII.

2. Alternatively, if no party contests or is presumed to contest the preliminary determination, Student Conduct will notify the parties that there will be no hearing. This notice will indicate that the Title IX office's preliminary determination as to policy violation(s) is final, and that Student Conduct is imposing the proposed sanction (if any); and that the parties have the right to appeal the sanction.

## **VII. HEARING TO DETERMINE POLICY VIOLATIONS (STAGE FOUR)**

**A. Factfinding Hearing.** If either party contests, or is presumed to contest, the investigator's preliminary determinations, there will be a factfinding hearing before a single hearing officer. The hearing is to determine whether a violation of the *SVSH Policy* (and any non-*SVSH Policy* violations charged in conjunction with them) occurred. The University's role in the hearing is neutral. The University will consider the relevant evidence available, including relevant evidence presented by the parties, in order to make factual findings and determine whether a policy violation occurred.

### **B. Hearing Officer.**

1. The hearing officer may be a University employee or outside contractor. Regardless, they will be appropriately trained, with such training coordinated by the Title IX Officer.
2. The hearing coordinator will inform the parties of the hearing officer's identity. Within 5 business days after the notification, the parties may request the hearing officer's disqualification on the basis of bias or conflict of interest.
  - a. For example, involvement in the case or knowledge of the allegations at issue prior to being selected as the hearing officer, or a close personal relationship with a party or expected witness in the proceeding could, depending on the circumstances, warrant disqualification of the hearing officer.
  - b. Employment by the University, or prior work for the University as a contractor, on its own, does not warrant disqualification.
  - c. The hearing officer's gender, gender identity, race, ethnicity, religion, sexual orientation or similar identifying characteristic, or the fact that they differ from those of any party, do not, on their own, warrant disqualification.

3. Student Conduct will decide any request for disqualification of the hearing officer and inform both parties of their decision and, if they determine to change hearing officers, the name of the new hearing officer.

**C. Hearing Coordinator.** Each hearing will have a hearing coordinator, distinct from the hearing officer, who will manage the administrative and procedural aspects of the hearing.

**D. Pre-Hearing Procedures.**

1. When a hearing is required under these procedures, the hearing officer and hearing coordinator will hold a separate meeting with each party, to explain the hearing process, address questions, begin to define the scope of the hearing, and address other issues to promote an orderly, productive and fair hearing.
  - a. No later than 5 business days before the pre-hearing meeting, each party will submit to the hearing officer a preliminary statement of what issues, if any, each considers to be disputed and relevant to the determination of whether a policy violation occurred, and the evidence they intend to present on each issue, including all documents to be presented, the names of all requested witnesses, and a brief summary of such witnesses' expected testimony. The parties will later have an additional opportunity to submit proposed evidence, see Section VII.D.3 below.
  - b. At the pre-hearing meeting, the hearing officer and party will discuss the evidence the party has provided, to help identify and refine the issues to be decided at the hearing, which will inform the hearing officer's determination of the scope of the hearing.
  - c. Each party should also come to the pre-hearing meeting prepared to schedule dates for the hearing.
  - d. The hearing officer and/or coordinator will explain what to expect at the hearing, see Section VII.E. below.
  - e. The hearing officer and/or coordinator will also discuss measures available to protect the well-being of parties and witnesses at the hearing, as appropriate.
  - f. Any party contesting (or presumed to contest) the investigator's preliminary determination regarding policy violation(s) is required to participate in the pre-hearing meeting.
  - g. If a contesting (or presumed to be contesting) party does not participate in the pre-hearing meeting (or does not let the hearing coordinator know they need to reschedule in advance), the hearing coordinator will notify the party that they have 2 business days to contact the hearing coordinator to reschedule. Absent extenuating circumstances, if the party does not contact the hearing coordinator within the 2 business days, they will be presumed to no longer contest the investigator's preliminary determination. If the other party has not contested, there will be no hearing, and Student Conduct will notify the parties that the investigator's preliminary determination is final, and impose the proposed sanction (see

Section V). If the other party has contested, the hearing will proceed but the non-appearing party will be presumed to agree with the definition of the scope of the hearing.

- h. The party who is not contesting is encouraged, but not required, to participate in the pre-hearing meeting.
2. Within 5 business days after concluding meetings with both parties (or determining that a non-contesting party has decided not to participate in the pre-hearing process), the hearing officer will determine what issues are disputed and relevant to the determination of whether a policy violation(s) occurred, and will notify the parties of the scope of the issues to be addressed at the hearing and the expected witnesses. The hearing officer has discretion to grant or deny, in whole or part, the parties' requests for witnesses. The hearing officer's determination of scope may include issues, evidence, and witnesses that the parties themselves have not provided.

Throughout the pre-hearing process, including in the notice of scope of hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and implement the evidentiary principles and procedural requirements in Section IV.C.3;
  - b. Decide any procedural issues for the hearing; and/or
  - c. Make any other determinations necessary to promote an orderly, productive, and fair hearing.
3. Within 5 business days after receiving the hearing officer's definition of scope, the parties may then submit additional information about the evidence, including witness testimony, that they would like to present.
  4. Not less than 10 business days before the hearing, the hearing coordinator will send a written notice to the parties informing them of the hearing date, time, location, and procedures.
  5. The hearing coordinator will ensure that the Title IX investigator (or if not available, a representative from that office) will be available to testify during the hearing. Based on the hearing officer's determination, the hearing coordinator will request the attendance of all witnesses whose testimony is determined to be within the scope of the hearing. The University cannot compel parties or witnesses to testify in the hearing and their decision not to testify will not be a reason to cancel or postpone a hearing.
  6. At least 2 business days prior to the hearing, the parties will receive the hearing officer's confirmation of scope and evidence; copies of all the evidence that will be considered at the hearing that the hearing officer has received, including the investigation file and any other documents that will be considered; the names of expected witnesses and a summary of their expected testimony. If the hearing officer has excluded evidence (including witness testimony) that a party has requested to present, they will explain why. The hearing officer will also notify the parties of any procedural

determinations they have made regarding the hearing. This material will also be provided to the Title IX Officer.

7. The parties are encouraged to submit any questions for the other party and any expected witnesses to the hearing coordinator before the hearing, but will not be limited to those questions at the hearing. These questions will not be shared with the other party or witnesses.

## **E. Hearing Procedures**

1. The hearing will be conducted in a respectful manner that promotes fairness and accurate factfinding. The parties and witnesses will address only the hearing officer, and not each other. Only the hearing officer may question witnesses and parties.
2. Courtroom rules of evidence and procedure will not apply. The hearing officer will generally consider all evidence they determine to be relevant and reliable. The hearing officer may determine and weigh the relevance of any witness testimony or other evidence to the findings. The hearing officer will also follow the evidentiary principles in Section IV.C.3. Throughout the hearing, the hearing officer will:
  - a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and implement the evidentiary principles and procedural requirements in Section IV.C.3,
  - b. Decide any procedural issues for the hearing, and/or
  - c. Make any other determinations necessary to promote an orderly, productive, and fair hearing.
3. All witnesses other than the parties will attend the hearing only for their own testimony.
4. The investigation file will be entered as evidence at the hearing. The hearing officer generally will rely on any finding in the report that is not disputed.
5. In cases where the credibility of a witness is not central to the determination of a particular disputed issue and the witness does not appear at the hearing, the hearing officer may determine what weight to give to their statements from the investigation report.
6. The Hearing Officer will not draw adverse inferences from a party's decision to not participate in the hearing, or to remain silent during the hearing. However, they may consider a party's selective participation -- such as choosing to answer some but not all questions posed, or choosing to provide a statement only after reviewing the other evidence gathered in the investigation -- when assessing credibility. See Section III.F.
7. The hearing officer will implement measures they deem appropriate to protect the well-being of parties and witnesses. For example, the hearing officer will allow separation of the parties, breaks, and the participation of support persons in accordance with these procedures.

8. The hearing officer will allow the parties and/or witnesses to be visually or physically separated during the hearing. This may include, but is not limited to, the use of a physical partition, a separate physical location, videoconference and/or any other appropriate technology. To assess credibility, the hearing officer must have sufficient access to the Complainant, Respondent, and any witnesses presenting information; if the hearing officer is sighted, then the hearing officer must be able to see them.
9. The parties will have the opportunity to present the evidence they submitted, subject to any exclusions determined by the hearing officer. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the hearing officer has discretion to accept or exclude additional evidence presented at the hearing.
10. The parties have the right to hear (or, if deaf or hard of hearing, to access through auxiliary aids for services) testimony of all individuals who testify at the hearing and to propose questions to be asked of all individuals who testify at the hearing. The parties may propose questions at the hearing by submitting them to the hearing officer.
11. The parties are expected not to spend time on undisputed facts or evidence that would be duplicative.
12. The hearing officer will determine the order of questioning. Unless they determine re-phrasing is necessary, the hearing officer will ask the questions as they are submitted by the parties and will not change them. The hearing officer may find it necessary to rephrase questions to, for example, prevent them from being harassing or for clarity. The hearing officer must exclude questions that are repetitive, irrelevant, or harassing. They may also exclude questions that are unduly time consuming. Whenever practical, the hearing officer will briefly state their reasons for excluding or rephrasing questions submitted by the parties.
13. Parties are allowed to note, in writing only, any objections to questions posed at the hearing: they will do so by keeping a running written record of any objections during the hearing, and they may not object to questions by speaking. Only at the conclusion of the hearing will parties provide the record of their objections, if any, to the hearing officer, for inclusion in the record.
14. The University will audio record the hearing.
15. The parties may have their advisors and support persons present throughout the hearing. See Section III.E.

#### **F. Determination of Policy Violation**

1. *Standards for Deliberation.* The hearing officer will decide whether a violation of the *SVSH Policy* (or related non-*SVSH Policy* violation) occurred based on a Preponderance of Evidence standard.
2. *Information Considered.* The hearing officer will take into account the investigative file and the evidence presented and accepted at the hearing. See also the principles in Section IV.C.3. On any disputed and material issue,



the hearing officer should make their own findings and credibility determinations based on all of the evidence before them.

- G. Sanction.** If the hearing officer decides that any policy violation has occurred, they will send their determination and findings to Student Conduct within 10 business days of the hearing. Based on the hearing officer's findings and determinations, and other information relevant to sanctioning (see Section IX.D.), Student Conduct will determine an appropriate sanction.
- H. Notice of Determination and Sanction.** Within 15 business days of the hearing, the hearing coordinator will send written notice to the Complainant and Respondent (with a copy to the Title IX Officer and Student Conduct) setting forth the hearing officer's determination on whether the *SVSH Policy* and/or other student conduct policies have been violated, and, if so, Student Conduct's determination of any sanctions to be imposed. The written notice will include the following:
1. The determinations of whether the *SVSH Policy* and/or other student conduct policies have been violated,
  2. If so, a description of the sanctions;
  3. The findings on each disputed, material fact and an analysis of the evidence supporting the findings;
  4. A summary of the facts found by the investigator that the parties did not dispute.
  5. The rationale for the determination of each charge;
  6. The rationale for any sanctions;
  7. A statement of the right to appeal, grounds and timeframe for the appeal, the office to which the appeal must be submitted, and the procedure that the University will follow in deciding the appeal; and
  8. An explanation that both the parties will receive a copy of any appeal submitted in accordance with these procedures.
- I. Documentation of Hearing.** Throughout the pre-hearing and hearing process, the hearing coordinator will document the process's compliance with the procedures (including timeframes) in this section. After the notice of policy violation determination and any sanction has been finalized, the hearing coordinator will provide this documentation, along with all documents relating to the hearing, and the recording of the hearing, to the Title IX Officer.

## **VIII. APPEAL PROCESS (STAGE FIVE)**

- A. Equal Opportunity to Appeal.** The Complainant and Respondent have an equal opportunity to appeal the policy violation determination(s) and any sanction(s). The University administers the appeal process, but is not a party and does not advocate for or against any appeal.
- B. Grounds for Appeal.** A party may appeal only on the grounds described in this section. The appeal should identify the reason(s) why the party is challenging the outcome under one or more of the available grounds.

1. In cases where there was a hearing, the following grounds for appeal apply:
  - a. There was procedural error in the hearing process that materially affected the outcome;
  - b. The determination regarding policy violation was unreasonable based on the evidence before the hearing officer; this ground is available only to a party who participated in the hearing; and
  - c. The sanctions were disproportionate to the hearing officer's findings.
2. In cases where there was no hearing, the parties may appeal on only one ground: that the sanctions were disproportionate to the investigator's preliminary determination regarding policy violations.

### **C. Commencing an Appeal.**

1. In cases where there was a hearing, an appeal must be submitted to the hearing coordinator within 10 business days following issuance of the notice of the hearing officer's determination and, if imposed, the disciplinary sanctions (see Section VII.H.). The appeal must identify the ground(s) for appeal and contain specific arguments supporting each ground for appeal. Student Conduct will notify the other party of the appeal and, if the appeal includes the ground that the sanction is disproportionate, that they have an opportunity to meet with the appeal officer to discuss the proportionality of the sanction.
2. In cases where there was no hearing, an appeal must be submitted in writing to Student Conduct within 10 business days following Student Conduct's notice to the parties that the preliminary determination was final and that Student Conduct would impose the proposed sanction (see Section VI.E.2). Student Conduct will notify the other party of the appeal and, if the appeal is on the ground that the sanction is disproportionate, that they have an opportunity to meet with the appeal officer to discuss the proportionality of the sanction.

### **D. Appeal Decision**

1. *Standards for Deliberation.* The appeal officer will decide whether the appealing party has proven the asserted ground(s) for appeal. They will only consider the evidence presented at the hearing, the investigation file, and the appeal statements of the parties. In disproportionate sanction appeals, they may also consider any input parties provide in a meeting per Section VIII.D.2, below. They will not make their own factual findings, nor any witness credibility determinations.
2. *Disproportionate Sanction Appeals – Opportunity for Meeting.* In cases where a ground of appeal is disproportionate sanction, the parties may meet separately with the appeal officer for the limited purpose of providing input on their desired outcomes as to sanctions only.
3. *Decision by Appeal Officer.* The appeal officer may:
  - a. Uphold the findings and sanctions;
  - b. Overturn the findings or sanctions;

- c. Modify the findings or sanctions; or
  - d. In appeals alleging material procedural error (ground (a) above), send the case back to the hearing officer for further factfinding if needed.
4. *Written Report.* The appeal officer will summarize their decision in a written report that includes the following:
- a. A statement of the grounds identified on appeal;
  - b. A summary of the information considered by the appeal officer; and
  - c. The decision of the appeal officer and the rationale for the decision including, where the findings or sanctions are overturned or modified, an explanation of why the findings were not reasonable or the sanctions were disproportionate, or how the procedural error materially affected the outcome.
5. *Distribution of Written Decision.* Within 10 business days of receiving the appeal, the appeal officer will send their written decision to Complainant and Respondent (with copies sent to the Title IX Officer and Student Conduct).
- a. Unless the appeal officer remands the matter, they will inform the Respondent and the Complainant that the matter is closed with no further right to appeal.
  - b. If the appeal officer remands the matter, they will specify what further factfinding should occur or what additional information should be considered and request that the hearing officer report back to the appeal officer on their additional factfinding. After receiving the hearing officer's additional factual findings, the appeal officer will issue their decision within 10 business days. This decision will be final.

## **IX. PRINCIPLES, OPTIONS, AND FACTORS IN STUDENT SANCTIONS**

### **A. Introduction**

These standards are intended to promote the consistent and proportionate application of disciplinary sanctions by the University in responding to conduct that violates the University's *Policy on Sexual Violence and Sexual Harassment* and the applicable portions of the University's *Policies Applying to Campus Activities, Organizations, and Students* (PACAOS) – Section 100.00 (*Policy on Student Conduct and Discipline*).<sup>1</sup> The following describes the University's principles, options, and factors to consider in assigning sanctions when the Respondent is a student.

### **B. Principles**

1. The administration of student discipline will be consistent with the *Policy on Student Conduct and Discipline*.

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<sup>1</sup> This supplements the Policies Applying to Campus Activities, Organizations, and Students (PACAOS, 5/10/2012). In the event of any conflict this document takes precedence.

2. When a student is found responsible for violating the University's *SVSH Policy* or other student conduct policies, the University will assign sanctions that are proportionate and appropriate to the violation, taking into consideration the context and seriousness of the violation. The University is also committed to providing appropriate remedial measures to Complainant, as described in the *SVSH Policy*.
3. When a student is found not responsible for violating the University's *SVSH Policy* and other student conduct policies, the University is committed to taking reasonable efforts to assist any student who has been disadvantaged with respect to employment or academic status as a result of the unsubstantiated allegations.
4. Sanctions are designed to hold a student accountable for violating University standards of conduct and to promote personal growth and development. Sanctions also serve the purpose of stopping Prohibited Conduct under the *SVSH Policy*, and preventing its recurrence.
5. The University recognizes that acts of Sexual Violence, Sexual Harassment and other forms of Prohibited Conduct are contrary to its goals of providing an educational environment that is safe and equal for all students.
6. University of California campuses are encouraged to inform other UC campuses of a student's disciplinary record for violating the University's *SVSH Policy* and other student conduct policies.

### **C. Sanctioning Options**

1. University sanctions include, but are not limited to:
  - a. Dismissal from the University of California;
  - b. Suspension from the University of California;
  - c. Exclusion from areas of the campus and/or from official University functions;
  - d. Loss of privileges and/or exclusion from activities;
  - e. Restitution;
  - f. Probation;
  - g. Censure/Warning; and/or
  - h. Other actions as set forth in University policy and campus regulations.
2. The definitions of sanctions are found in *PACAOS* Section 105.00 (Types of Student Disciplinary Action) of the *Policy on Student Conduct and Discipline* and local campus regulations.
3. The posting of sanctions on academic transcripts will follow University policy as defined in *PACAOS*, Section 106.00 of the *Policy on Student Conduct and Discipline*.

### **D. Factors Considered In Determining Sanctions**

1. In all cases, when determining the appropriate and proportionate sanction, the following factors will be taken into account when applicable:

- a. Seriousness of violation: location and extent of touching; duration of conduct; single or repeated acts; multiple policy violations in connection with the incident; verbal or physical intimidation; use of authority to abuse trust or confidence; presence of weapons; use of force or violence; physical injury; menace; duress; deliberately causing or taking advantage of a person's incapacitation; and recording, photographing, transmitting, viewing, or distributing intimate or sexual images without consent.
- b. Intent or motivation behind violation: no intent to cause harm; passive role in violation; pressured or induced by others to participate in the violation; planned or predatory conduct; hate or bias based on the Complainant's membership or perceived membership in a protected group as defined in *PACAOS* Section 104.90 of the *Policy on Student Conduct and Discipline*.
- c. Whether the conduct is aggravated, as defined in the *SVSH Policy*.
- d. Response following violation: voluntarily acknowledged wrongdoing at early stage of the process; failure to follow no contact order; attempt to influence witnesses; obstructed or disrupted the process.
- e. Disciplinary history: unrelated prior violations; related prior violations.
- f. Impact on others: input from the Complainant; protection or safety of the Complainant or the community.

#### **E. Sanctions for Certain Conduct**

1. Sanctions will be assigned as follows:
  - a. Sexual Assault – Penetration or Sexual Assault – Contact that is aggravated as defined in the *SVSH Policy* will result in a minimum sanction of suspension for two calendar years.
  - b. Sexual Assault – Penetration, Domestic or Dating Violence, or Stalking will result in a minimum sanction of suspension for two calendar years unless there are exceptional circumstances.
  - c. Sexual Assault – Contact will result in a minimum sanction of suspension for one calendar year, unless there are exceptional circumstances.
  - d. Sexual Harassment and Other Prohibited Behavior, as defined by the *SVSH Policy*, will not result in any minimum sanction but will be sanctioned in accordance with the factors identified in Section D above.
2. Assigned sanctions for each case will be documented and reported to the Systemwide Title IX Director on a regular basis. The report is to ensure a reasonable level of consistency from campus to campus.

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#### **IV. COMPLIANCE/RESPONSIBILITIES**

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Chancellors will adopt campus implementing regulations consistent with these Policies. The University will publish these Policies and make them widely available, and Chancellors will do the same with respect to the implementing regulations for their campuses. This requirement may be satisfied through the online publication of these



Policies and their respective campus implementing regulations. (See also Section 13.20 of these Policies.)

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## V. PROCEDURES

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The President will consult as appropriate with Chancellors, Vice Presidents, the Office of the General Counsel, and University wide advisory committees prior to amending these Policies. Chancellors will consult with faculty, students, and staff prior to submitting to the President any campus recommendations related to proposed amendments to these Policies. Amendments that are specifically mandated by law, however, do not require consultation with campus representatives or University wide advisory committees to the extent that legal requirements do not permit such consultation. (See also Section 13.10 of these Policies.)

Chancellors will consult with students (including student governments), faculty, and staff in the development or revision of campus implementing regulations except when the development or revision of such regulations results from changes to these Policies that have been specifically mandated by law. Campuses will specify procedures, including consultation processes, by which campus implementing regulations may be developed or revised. (See also Section 13.30 of these Policies.)

Prior to their adoption, all proposed campus implementing regulations, including all substantive modifications to existing such regulations, will be submitted to the Office of the President for review, in consultation with the Office of the General Counsel, for consistency with these Policies and the law. (See also Section 13.40 of these Policies.)

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## VI. RELATED INFORMATION

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[Sexual Harassment and Sexual Violence](#)

[Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\)](#)

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## VII. FREQUENTLY ASKED QUESTIONS

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Not Applicable

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## VIII. REVISION HISTORY

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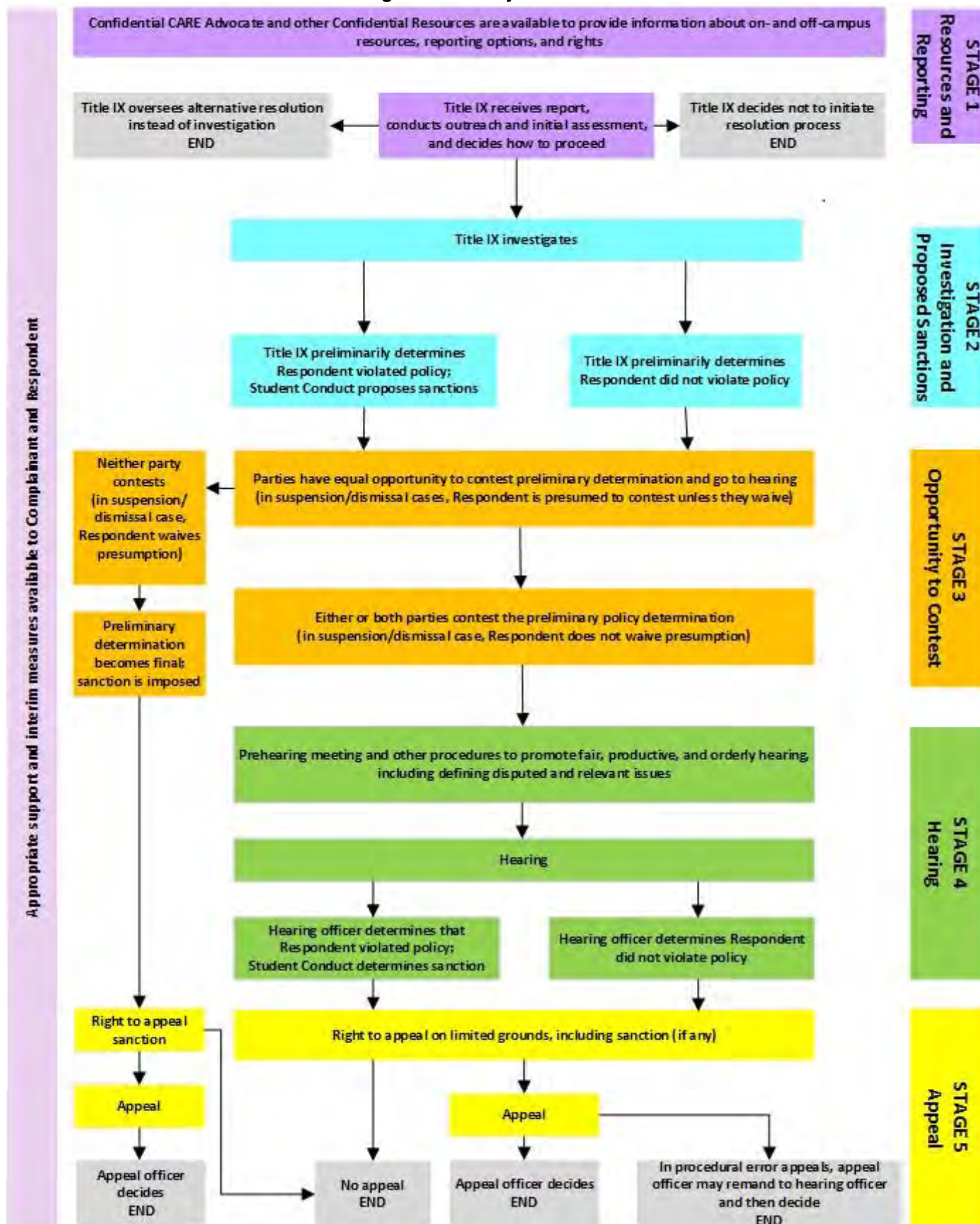
**January 1, 2022:** Revised to comply with California Senate Bill (SB) 493.

**August 14, 2020:** Updated to reflect the issuance of PACAOS Appendix F: Sexual Violence and Sexual Harassment Student Adjudication for DOE-Covered Conduct in response to the U.S. Department of Education Title IX regulations issued on May 6, 2020.

**July 31, 2019:** Revised version incorporating a hearing into adjudication issued. This Policy was remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

**March 1, 2019:** Interim revisions issued

**January 1, 2016:** Initial issuance

**IX. APPENDIX****Student Investigation and Adjudication Process Flowchart**

\*Please see the PACAOS Appendix E for full procedural details

## **Appendix F**

**Interim PACAOS-Appendix-F:  
Sexual Violence and Sexual Harassment Student Investigation and  
Adjudication Framework for DOE-Covered Conduct**



# Interim PACAOS-Appendix-F: Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework for DOE-Covered Conduct

[Provisional PACAOS-Anexo-F: Marco de investigación y resolución para el Estudiante sobre Violencia Sexual y Acoso Sexual por una Conducta Cubierta por el DOE](#)

[臨時PACAOS-附錄-F：針對教育部規定行為的性暴力和性騷擾學生調查和裁決框架](#)

[Pansamantalang PACAOS-Apendiks-F: Imbestigasyon sa Seksuwal na Karahasan at Seksuwal na Panliligalig ng Estudyante at Balangkas ng Paghatol para sa Asal na Saklaw ng DOE](#)

<b>Responsible Officer:</b>	VP - Student Affairs
<b>Responsible Office:</b>	SA - Student Affairs
<b>Issuance Date:</b>	12/17/2021
<b>Effective Date:</b>	1/01/2022
<b>Last Review Date:</b>	12/08/2021
<b>Scope:</b>	Consistent with PACAOS 12.00, these Policies and the campus regulations implementing them apply to all campuses and properties of the University and to functions administered by the University, unless in special circumstances the President directs otherwise.

Contact:	Eric Heng
Title:	Director, Student Policies & Governance
Email:	<a href="mailto:Eric.Heng@ucop.edu">Eric.Heng@ucop.edu</a>
Phone:	(510) 987-0239

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## I. POLICY SUMMARY

Consistent with the University *Policy on Sexual Violence and Sexual Harassment (SVSH Policy)* (see Section V.A.5. (“Overview of Resolution Processes”) and V.A.6. (“The Investigation Report and Outcome”)), the following describes the University’s procedures for resolving DOE Formal Complaints of DOE-Covered Conduct, as defined in the *SVSH Policy*, where the responding parties are students, including the sanctioning of students who are found responsible for DOE-Covered Conduct in violation of the *SVSH Policy*. *Appendix E* describes the University’s procedures for resolving reports of other conduct prohibited by the *SVSH Policy*, where the responding parties are students.

Campuses will also apply these procedures to resolve reports of other violations of University policies that apply to students (herein, “student conduct policies”) that occur in connection with alleged DOE-Covered Conduct in violation of the *SVSH Policy* (see Appendix IV).

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## II. DEFINITIONS

Applicable definitions for the *SVSH Policy* can be found at <https://policy.ucop.edu/doc/4000385/SVSH>.

Applicable definitions for the [Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\)](#), and the campus implementing regulations adopted pursuant to them, are provided in Section 14.00.

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## III. POLICY TEXT

### I. PREFACE

The University of California is committed to creating and maintaining a community where all individuals who participate in University programs and activities can work and learn together in an atmosphere free of Sexual Violence, Sexual Harassment, and other conduct prohibited under the *SVSH Policy* (collectively, “Prohibited Conduct”). Consistent with its legal obligations, including those under Title IX of the Education Amendments of 1972, the Violence Against Women Reauthorization Act of 2013, and California Education Code section 67386, the University responds promptly and effectively to reports of Prohibited Conduct under the *SVSH Policy*, and takes appropriate action to stop, prevent, remedy, and when necessary, to discipline behavior that violates the *SVSH Policy*. The University’s student disciplinary procedures emphasize education, personal growth, accountability, and ethical behavior – upholding standards of responsible conduct to protect the welfare of the University community. The procedures are designed to provide a prompt, fair, and impartial resolution of the matter.



The following describes the University's investigation and adjudication (together, "resolution") procedures for resolving Formal Complaints of DOE-Covered Conduct under the *SVSH Policy* or related student conduct policy violations where the responding parties ("Respondents" as defined in the *SVSH Policy*) are students, including the sanctioning of students where such policy violations are determined to have occurred. These procedures also apply to applicants who become students, for offenses committed on campus and/or while participating in University-related events or activities that take place following a student's submittal of the application through their official enrollment.

## **II. RESOURCES RELATING TO SEXUAL VIOLENCE AND SEXUAL HARASSMENT (STAGE ONE)**

The University has a Title IX office at each campus that is responsible for receiving and responding to reports of Prohibited Conduct under the *SVSH Policy*. Confidential Resources, as defined by the *SVSH Policy*, also are available at each campus both before and after a person communicates with the Title IX office about potential violations of the *SVSH Policy*. Confidential Resources are also available to a person who chooses not to communicate with the Title IX office. These Confidential Resources are not required to report Prohibited Conduct to the Title IX office.

## **III. REPORT OF AND RESPONSE TO PROHIBITED CONDUCT (STAGE ONE)**

- A.** Consistent with the *SVSH Policy*, the University may consider any person who reportedly experienced Prohibited Conduct a "Complainant," whether or not they make a report or participate in the resolution process.
- B.** The University will strive to honor the stated wishes of the Complainant concerning whether to move forward with an investigation. In accordance with the *SVSH Policy*, if the Complainant requests that no investigation occur, the Title IX Officer will determine whether the allegations, nonetheless, require an investigation to mitigate a potential risk to the campus community. See *SVSH Policy* Section V.A.5.b. If the Title IX Office begins an investigation despite the Complainant's request, it will provide Complainant with all information required by this and the *SVSH Policy* unless Complainant states in writing that they do not want it.
- C. University-Provided Support Services.** Throughout this resolution process, the University will offer support services for Complainants (through the CARE Advocate) and Respondents (through the Respondent Services Coordinator).
- D. Supportive Measures.** The University will consider and implement Supportive Measures, including Interim Measures, throughout the process as appropriate to protect the safety of the Complainant, the Respondent, or the University community; to restore or preserve a party's access to a University program or activity; or to deter Prohibited Conduct. See *SVSH Policy* II.C.3. and Appendix III. The Title IX Officer will ensure that Supportive Measures are non-disciplinary and non-punitive, and that they do not unreasonably burden a party.
- E. Interim Suspension.** The University may place the Respondent on an Interim

Suspension consistent with the *Policies Applying to Campus Activities, Organizations, and Students (PACAOS)* – 105.08 of the *Policy on Student Conduct and Discipline*, except its second sentence, which describes the standards for determining whether an interim suspension is appropriate. For cases involving DOE-Covered Conduct, this standard shall apply instead: A student shall be restricted only to the minimum extent necessary when, based on an individualized safety and risk analysis, there is reasonable cause to believe that the Respondent's participation in University activities or presence at specified areas of the campus will lead to physical abuse, threats of violence, or conduct that threatens the physical health or safety of any person on University property or at official University functions.

- F. Advisors and Support Persons.** At all stages of this process, the Complainant and Respondent (also known as the parties) have the right to an advisor of their choosing, as well as the right to a support person of their choosing. The advisor and/or the support person may be any person (including an advocate, attorney, friend, or parent) who is not otherwise a party or a witness.
1. The advisor's primary role is to provide guidance through the process and, during the hearing, an advisor is required to ask a party's questions of the other party and witnesses in accordance with Section VII.E.5 below. The only instance in which an advisor may speak on behalf of a party is to ask the party's questions of the other party or witnesses during the hearing.
  2. If a party does not have an advisor available at any point during the hearing, the University will assign a person, without cost to the party, to fulfill the role of asking the party's questions for them. See Section VII.D.9.
  3. The support person's primary role is to provide emotional support. Generally, the support person may not speak on behalf of a party.
  4. Advisors and support persons may not disrupt any meetings or proceedings in any manner. At all stages of the process, advisors and support persons must comply with the University's rules of conduct for participants in this process ("rules of conduct"). The University reserves the right to exclude an advisor and/or support person who does not abide by all these procedures.
- G. Party Participation.** Neither the Complainant nor the Respondent is required to participate in the resolution process outlined in these procedures. The University will not draw any adverse inferences from a Complainant or Respondent's decision not to participate or to remain silent during the process. An investigator or hearing officer, in the investigation or the hearing respectively, will reach findings and conclusions based on the information available.
- H. Selective Participation.** When a party selectively participates in the process – such as choosing to answer some but not all questions posed, or choosing to provide a statement only after reviewing the other evidence gathered in the investigation – an investigator or hearing officer may consider the selective participation in evaluating the party's credibility. In doing so, they should try to

discern reasonable non-adverse explanations for the selective participation, including from the parties' own explanations, and determine whether the information available supports those explanations.

- I. University's Neutral Role.** In all cases, including where the Complainant chooses not to participate or where there is no Complainant as provided for in the *SVSH Policy* (II.C.1.) and this policy (III.A.), the University's role is neutral, and it will conduct any factfinding and sanctioning without taking the position of either party.
- J. Case Management Team.** The campus Case Management Team (CMT) will track all stages of the resolution process under these procedures.
- K. Training.** All University officials involved in this resolution process will be trained to carry out their roles in an impartial manner in keeping with trauma-informed practices.
- L. Standard of Proof.** The standard of proof for factfinding and determining whether a policy violation(s) occurred is Preponderance of Evidence, as defined by the *SVSH Policy*. A Respondent will not be found responsible for a violation of the *SVSH Policy* and/or other student conduct policies unless the evidence establishes it is more likely than not that they violated the *SVSH Policy* and/or other student conduct policies.
- M. Extension of Deadlines.** The Title IX Officer may extend any deadlines contained herein consistent with the *SVSH Policy* as applicable, and for good cause shown and documented. The Complainant and Respondent will be notified in writing of any extension, the reasons for it, and projected new timelines.
- N. Disability-Related Accommodations.** The Title IX Office will consider requests from parties and witnesses for disability-related accommodations.
- O. Requests for Language Interpretation.** The Title IX Office will consider requests from parties and witnesses for language interpretation.
- P. Dismissal of DOE-Covered Conduct Charges.** If at any time during the investigation the Title IX Officer determines that the alleged conduct did not occur in the University's program or activity or that the Complainant was not in the United States at the time of the alleged conduct, the Title IX Officer must dismiss the DOE-Covered Conduct charges regarding that conduct from the DOE Grievance Process and proceed as set forth in the *SVSH Policy* Appendix IV.

#### IV. INVESTIGATION OF FORMAL COMPLAINT OF DOE-COVERED CONDUCT (STAGE TWO)

- A. Commencing a DOE Grievance Process.** Upon receipt of information about alleged Prohibited Conduct, the Title IX Officer will determine, consistent with the University's *SVSH Policy*, whether to initiate a DOE Grievance Process (see *SVSH Policy*, Sections V.A.4 and 5 for the alternate paths that the Title IX Officer may instead determine to be appropriate). When the University opens an

investigation of allegations of DOE-Covered Conduct and other Prohibited Conduct that arise out of the same facts or circumstances, it will address all allegations together through the DOE Grievance Process procedures.

**B. Notice of Charges.** If a DOE Grievance Process will be conducted, the Title IX Officer, after consulting with Student Conduct, will send written notice of the charges to the Complainant and Respondent. The written notice will be sent at least three business days before a party's requested interview date, to allow sufficient time for the party to prepare for the interview. The notice will include:

1. A summary of the reported conduct that potentially violated the *SVSH Policy* and, where applicable, other student conduct policy;
2. the identities of the parties involved;
3. the date, time, and location of the reported incident(s) (to the extent known);
4. the specific provisions of the *SVSH Policy*, including the DOE- Covered Conduct and any other Prohibited Conduct, and/or any other student conduct policy potentially violated;
5. a statement that each party may have an advisor and a support person of their choice throughout the process, as described in Section III.F above.
6. a statement that the investigative report, when issued, will make factual findings and a preliminary determination regarding whether there has been a violation of the *SVSH Policy* and/or other student conduct policy;
7. a statement that the parties will each have an opportunity during the investigation to propose questions for the investigator to ask of the other party and witnesses;
8. a statement that it is a violation of University policy to furnish false information to the University, but that an investigative preliminary determination or a hearing officer's determination regarding responsibility that is inconsistent with the information that a party furnished does not, in and of itself, indicate that that information was false;
9. a statement that the parties will each have an opportunity, before the completion of the investigation, to review all the evidence submitted that is directly related to whether a policy violation occurred;
10. a statement that the factual findings and preliminary determination will be based on a Preponderance of Evidence standard;
11. a statement that a determination of whether a policy violation has occurred will be made only after the process is complete and therefore there is, at the outset, no presumption that the Respondent is responsible for a policy violation;
12. when applicable, a statement that if it is preliminarily determined that a DOE-

Covered Conduct violation did not occur, the investigator will still make a preliminary determination in the investigative report of whether other violations of the *SVSH Policy* occurred;

13. a summary of the resolution process, including the possible hearing, and the expected timeline;
14. an admonition against Retaliation; and
15. a summary of rights and resources available to the Complainant and Respondent.

At any point during the investigation, the Title IX Officer may amend the notice to add additional charges identified during the investigation. Any amended notice should include all the information described above.

**C. Investigation Process.** The Title IX Officer will oversee the investigation and will designate an investigator to conduct a fair, thorough, and impartial investigation. The burden of gathering evidence sufficient to reach a preliminary determination regarding whether violation(s) of the SVSH Policy occurred rests with the investigator. Absent an extension for good cause, the Title IX Office will typically complete its investigation within 60 to 90 business days from the date of the notice of charges

1. During the investigation, the Complainant and Respondent will be provided an equal opportunity to meet with the investigator, submit evidence, identify witnesses who may have relevant information, and propose questions for the investigator to ask the other party and witnesses. Any evidence available to but not disclosed by a party during the investigation might not be considered at a subsequent hearing. The investigator has discretion to determine which witnesses to interview based on the relevance of the evidence they allegedly would offer, and to determine what questions to ask, and will decline to ask questions that are not relevant or unduly repetitive, or that would violate the SVSH rules of conduct.
2. The investigator will meet separately with the Complainant, Respondent, and witnesses, and will gather other available and relevant evidence. The investigator may follow up with the Complainant, the Respondent, and witnesses as needed to clarify any inconsistencies or evidence gathered during the course of the investigation.
3. The investigator will generally consider, that is rely on, all evidence they determine to be relevant and reliable, including evidence that weighs in favor of and against a determination that a policy violation occurred. The investigator may determine the relevance and weigh the value of any witness or other evidence to the findings and may exclude evidence that is irrelevant or immaterial.
  - a. The investigator will generally consider direct observations and reasonable inferences from the facts.



- b. The investigator will generally not consider statements of personal opinion as to anyone's general reputation or any character trait.
- c. The investigator may consider prior or subsequent conduct of the Respondent in determining pattern, knowledge, intent, motive, or absence of mistake. For example, evidence of a pattern of Prohibited Conduct or other conduct prohibited by student conduct policies by the Respondent, either before or after the incident in question, regardless of whether there has been a prior finding of an *SVSH Policy* or other policy violation, may be deemed relevant to the determination of responsibility for the Prohibited Conduct or related student conduct policy violation under investigation.
- d. **Sexual history.** The investigator will not, as a general rule, consider the sexual history of a Complainant or Respondent. However, in limited circumstances, sexual history may be directly relevant to the investigation.
  - i. As to Complainants: While the investigator will never assume that a past sexual relationship between the parties means the Complainant consented to the specific conduct under investigation, evidence of how the parties communicated consent in past consensual encounters may help the investigator understand whether the Respondent reasonably believed consent was given during the encounter under investigation. Further, evidence of specific past sexual encounters may be relevant to whether someone other than respondent was the source of relevant physical evidence.
  - ii. As to Respondents: Sexual history of a Respondent might be relevant to show a pattern of behavior by Respondent in accordance with Section IV.C.3.c, or resolve another issue of importance in the investigation.
  - iii. Sexual history evidence that shows a party's reputation or character will never be considered relevant on its own.
  - iv. The investigator will consider proffered evidence of sexual history, and provide it to the parties for review under Section IV.E. below, only if the investigator determines it is directly relevant. The investigator will inform the parties of this determination. If the investigator does allow sexual history evidence to be presented, they will provide a written explanation to the parties as to why consideration of the evidence is consistent with the principles in this section.
- e. **Clinical records.** During the investigation, the investigator will not access, review, consider, disclose, or otherwise use a complainant's or respondent's medical or behavioral health records that are made in connection with treatment without the party's voluntary written consent.
- f. **Privileged records.** During the investigation, the investigator will not access, review, consider, disclose, or otherwise use evidence that

constitutes, or seeks disclosure of, information protected under a legally recognized privilege without the party's voluntary written consent.

- g. **Expert evidence.** The parties may present evidence from expert witnesses if it would be relevant to the determination of whether a policy violation occurred.
- i. If a party wishes for such evidence to be considered, they will make a written request to the Title IX officer, indicating the person(s) they wish to present as, and who has agreed to be, their expert witness; the issue(s) on which the person(s) would provide expert evidence; why they believe that the issue(s) require an expert opinion for resolution; and any prior relationship, including personal and business relationships, between the party and the person(s).
  - ii. The Title IX officer will grant the request for the proposed expert to provide evidence if the proposed evidence is relevant, and will deny the request if the proposed evidence is not relevant. Proposed expert evidence is not relevant if it is not pertinent to proving whether the facts material to the allegations under investigation are more or less likely to be true. For example, proposed expert evidence is not relevant if it offers opinions about the Title IX regulations or the DOE Grievance Process; if it offers opinions that do not require expertise to form; or if the proposed expert has a bias or conflict of interest so strong that their opinion would not assist the factfinder in determining whether the facts material to the allegations under investigation are more or less likely to be true.
  - iii. If the Title IX officer grants a request for proposed expert evidence, they will notify both parties. The other party may then request to present a proposed expert on the same issue (as well as to present their own expert evidence on other relevant issues). The Title IX office may also retain its own expert on any issue on which one or both parties will be presenting expert evidence; the Title IX office will ensure that any such expert does not have bias or conflict of interest and will notify the parties of any expert it intends to retain.
  - iv. As part of the evidence they present, any expert witness will provide the investigator information about their qualifications; the factual bases for their assertions; and their principles and methods and the reliability thereof. These factors will contribute to the assessment of the weight and credibility of the expert witness's evidence.
  - v. In general, parties may not later request proposed expert witnesses to testify at the hearing unless those witnesses have provided evidence during the investigation.

**D. Coordination with Law Enforcement.** When a law enforcement agency is conducting its own investigation, the investigator should coordinate their factfinding efforts with the law enforcement investigation in accordance with the

*SVSH Policy* (See *SVSH Policy* Section V.A.5.b.i and *SVSH Policy* FAQs 7 and 8). A reasonable delay resulting from such coordination may be good cause for extending the timelines to complete the investigation. If so, the delay will be communicated and documented in accordance with the *SVSH Policy*.

- E. Opportunity to Review and Respond.** Before the investigator concludes the investigation and finalizes a written report, both Complainant and Respondent will have an equal opportunity to review and respond in writing to the evidence that the investigator has deemed directly related – a standard broader than relevance – including evidence that weighs against finding a policy violation(s) and evidence on which the investigator does not intend to rely, whether obtained from a party or another source. This is true regardless of whether a party has participated in the investigation. This review will also include a summary of directly related statements made by the parties and any witnesses. The Title IX Officer will ensure that this review occurs in a manner designed to protect the privacy of both parties. The Title IX Officer will designate a reasonable time for this review and response by the parties that, absent good cause found by the Title IX Officer, of at least 10 business days.
- F. Investigation Report.** The investigator will prepare a written report that includes the factual allegations and alleged policy violations, statements of the parties and witnesses, a summary of the evidence the investigator considered, findings of fact, credibility determinations when appropriate, an analysis of whether a policy violation has occurred, and a preliminary determination regarding whether there are any policy violations. The investigator may consult with Student Conduct on the preliminary determinations regarding violations of student conduct policies other than the *SVSH Policy*. If credibility determinations were not necessary to reach the findings and preliminary policy determinations, the report will so note and explain why. If the Complainant or Respondent offered witnesses or other evidence that was not considered by the investigator, the investigation report will include an explanation of why it was not considered. The investigation report should also indicate when and how the parties were given an opportunity to review the evidence (see Section E above). The investigation report will include an analysis and preliminary determination of each charge included in the notice of charges.
- G. Issuance of Notice and Report.**
1. Upon completion of the Title IX Investigation, the Title IX Officer will provide to the Complainant and the Respondent (a) written notice of the factual findings and preliminary determinations, and (b) the investigation report. The investigation report may be redacted to protect privacy. The Title IX Officer will provide Student Conduct with the written notice and an unredacted copy of the investigation report.
  2. The notice of the factual findings and preliminary determinations will include the following:
    - a. A summary statement of the factual findings and preliminary determinations regarding whether the *SVSH Policy* or other student

conduct policies have been violated;

- b. In cases where the investigator preliminarily determines a policy violation(s) occurred, an explanation of how the proposed sanction will be determined, including that each party will have an opportunity to provide input on sanctions through a meeting with Student Conduct and/or written statement (see Section V);
- c. A statement that each party may provide a written response to the investigation report indicating whether they accept or do not accept the preliminary determination, see Section VI;
- d. A statement that, unless both parties accept the preliminary determination as to policy violation(s), there will be a factfinding hearing to determine whether the *SVSH Policy* or other student conduct policies have been violated, after which Student Conduct will determine any sanctions;
- e. An explanation of the procedures and timeline for accepting the preliminary determination (see Section VI);
- f. A statement that if both parties accept the preliminary determination, they still will have the right to appeal the sanction, if any;
- g. An admonition against Retaliation; and
- h. An explanation of any Supportive Measures that will remain in place.

**H. Access to Certain Investigation Records.** After issuance of the investigator's written report, the investigation file, consisting of the investigation report and any evidence deemed directly related by the investigator (as documented in the investigation report), must be retained by the Title IX Officer and made available to the parties for inspection upon request. It may be redacted to protect privacy.

**V. PROPOSED SANCTION (STAGE TWO)** In cases where the investigator preliminarily determines a policy violation occurred:

- A. Party Input.** Either party may schedule a meeting with or submit a written statement to Student Conduct to provide input on sanctions. A party intending to do so will, within three days of receiving the notice of preliminary determination, either contact Student Conduct to schedule the meeting or submit the written statement to that office.
- B. Student Conduct Proposal.** Student Conduct will review the report, the evidence deemed relevant by the investigator as documented in the report, the preliminary determinations, respondent's prior conduct record, any comment on sanctions from the parties (received either in person or in writing), and any other information relevant to the factors described in Section IX, and will determine a proposed sanction. Student Conduct will propose a sanction in all cases where there is a preliminary determination that the policy was violated.
- C. Notification.** Student Conduct will notify the parties of the proposed sanction and supporting rationale within 15 business days of the notice of investigative

findings and preliminary determination.

- D. Student Conduct Meeting.** When possible, a party's meeting with Student Conduct to provide input on sanctions will be combined with the meeting contemplated in Section VI.A.

## **VI. OPPORTUNITY TO ACCEPT THE PRELIMINARY DETERMINATION (STAGE THREE)**

Unless both parties accept the investigator's preliminary determinations as to whether or not the policy was violated, there will be a factfinding hearing to determine whether the *SVSH Policy* or other student conduct policies have been violated, after which Student Conduct will determine any sanctions.

- A. Opportunity to Discuss Options.** If either party wishes to discuss the possibility of accepting and the implications of accepting or not accepting the preliminary determination, including the hearing that will result if either party does not accept the preliminary determination, they may discuss their options with Student Conduct (even if the investigator's preliminary determination was that no policy violation occurred). If either party wishes to meet with Student Conduct, they will contact Student Conduct within 3 business days of receiving the notice of preliminary determination to schedule the meeting.

### **B. Accepting the Preliminary Determination**

1. Either party may accept the preliminary determination within 20 business days of the notice of investigative findings and preliminary determination. Unless both parties accept the preliminary determination within this time period, then the matter will proceed to a hearing to determine if a policy violation occurred.
2. A party may accept the preliminary determination by providing Student Conduct with a written response stating that the party accepts the preliminary determination, and wishes not to proceed with a hearing. A party may also provide Student Conduct with a written response stating that the party does not accept the preliminary determination.
3. If both parties provide a written response that they do not wish to proceed with a hearing during the 20 business days, then the preliminary determination regarding policy violation(s) becomes final, and Student Conduct will impose the proposed sanction, and the parties will have the right to appeal the sanction.

### **C. Consideration of Consolidation of Related Cases**

Where a case arises out of substantially the same set of factual allegations as another case in the student resolution process (for example, where multiple Complainants or Respondents are involved in the same incident), or where it involves the same Complainant and Respondent, the Title IX officer has discretion to coordinate or combine the investigation and/or adjudication of



those cases.

#### **D. Notice of Hearing or No Hearing**

1. Unless both parties accept the preliminary determination by the end of the 20 business days, Student Conduct will notify the parties that there will be a hearing. The notice of hearing will include a summary of the hearing procedures described in Section VII.
2. Alternatively, if both parties accept the preliminary determination, Student Conduct will notify the parties that there will be no hearing. This notice will indicate that the preliminary determination as to policy violation(s) that the parties chose to accept is final, and that Student Conduct is imposing the proposed sanction (if any); and that the parties have the right to appeal the sanction

### **VII. HEARING TO DETERMINE POLICY VIOLATIONS (STAGE FOUR)**

**A. Factfinding Hearing.** Unless both parties accept the investigator's preliminary determinations, there will be a factfinding hearing before a single hearing officer. The hearing is to determine whether a violation of the *SVSH Policy* (and any non-*SVSH Policy* violations charged in conjunction with them) occurred. The University's role in the hearing is neutral. The University will consider the relevant evidence available, including relevant evidence presented by the parties, in order to make factual findings and determine whether a policy violation occurred.

#### **B. Hearing Officer.**

1. The hearing officer may be a University employee or outside contractor, and may not be the same person as the Title IX Officer or the investigator. Regardless, they will be appropriately trained, with such training coordinated by the Title IX Officer.
2. The hearing coordinator will inform the parties of the hearing officer's identity. Within 5 business days after the notification, the parties may request the hearing officer's disqualification on the basis of bias or conflict of interest.
  - a. For example, involvement in the case or knowledge of the allegations at issue prior to being selected as the hearing officer, or a close personal relationship with a party or expected witness in the proceeding could, depending on the circumstances, warrant disqualification of the hearing officer.
  - b. Employment by the University, or prior work for the University as a contractor, on its own, does not warrant disqualification.
  - c. The hearing officer's gender, gender identity, race, ethnicity, religion, sexual orientation or similar identifying characteristic, or the fact that they differ from those of any party, do not, on their own, warrant disqualification.

3. Student Conduct will decide any request for disqualification of the hearing officer and inform both parties of their decision and, if they determine to change hearing officers, the name of the new hearing officer.

**C. Hearing Coordinator.** Each hearing will have a hearing coordinator, distinct from the hearing officer, who will manage the administrative and procedural aspects of the hearing.

**D. Pre-Hearing Procedures.**

1. When a hearing is required under these procedures, the hearing officer and hearing coordinator will hold a separate meeting (in person or remotely) with each party, to explain the hearing process, address questions, begin to define the scope of the hearing, and address other issues to promote an orderly, productive and fair hearing.
  - a. The hearing coordinator will provide written notice to each party of their prehearing meeting, including time, location (or if remote, call instructions), and purpose of the meeting, at least 10 business days before the pre-hearing meeting.
  - b. No later than 5 business days before the pre-hearing meeting, each party will submit to the hearing officer a preliminary statement of what issues, if any, each considers to be disputed and relevant to the determination of whether a policy violation occurred, and the evidence they intend to present on each issue, including all documents to be presented, the names of all requested witnesses, and a brief summary of such witnesses' expected testimony. The parties will later have an additional opportunity to submit proposed evidence, see Section VII.D.3 below.
  - c. At the pre-hearing meeting, the hearing officer and party will discuss the evidence the party has provided, to help identify and refine the issues to be decided at the hearing, which will inform the hearing officer's determination of the scope of the hearing.
  - d. Each party should also come to the pre-hearing meeting prepared to schedule dates for the hearing.
  - e. The hearing officer and/or coordinator will explain what to expect at the hearing, see Section VII.E. below.
  - f. The hearing officer and/or coordinator will also discuss measures available to protect the well-being of parties and witnesses at the hearing, as appropriate. These may include, for example, use of lived names and pronouns during the hearing, including in screen names; a party's right to have their support person available to them at all times during the hearing; a hearing participant's ability to request a break during the hearing, except when a question is pending.
  - g. The hearing officer and/or coordinator will inform the parties that the hearing will be conducted remotely. If a party believes that they need a

University-provided physical space or technological equipment or assistance to participate remotely – for example because of safety or privacy concerns, or a disability – they may request such resources of the hearing coordinator during the prehearing meeting. The hearing coordinator will respond to any such request in writing within five business days of the prehearing meeting.

- h. The parties and their advisors, if they have one at this stage of the process, are expected to participate in the pre-hearing meeting.
  - i. If a party does not participate in the pre-hearing meeting (or does not let the hearing coordinator know they need to reschedule in advance), the hearing coordinator will notify the party that they have 2 business days to contact the hearing coordinator to reschedule. Absent extenuating circumstances, if the party does not contact the hearing coordinator within the 2 business days, the hearing will proceed but the non-participating party will be presumed to agree with the hearing officer's definition of the scope of the hearing.
2. Within 5 business days after concluding meetings with both parties (or determining that a party has decided not to participate in the pre-hearing process), the hearing officer will determine what issues are disputed and relevant to the determination of whether a policy violation(s) occurred, and will notify the parties of the scope of the issues to be addressed at the hearing and the expected witnesses. The hearing officer has discretion to grant or deny, in whole or part, the parties' requests for witnesses on the basis of relevance. The hearing officer's determination of scope may include issues, evidence, and witnesses that the parties themselves have not provided.

Throughout the pre-hearing process, including in the notice of scope of hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and implement the evidentiary principles and procedural requirements in Section IV.C.3;
  - b. Decide any procedural issues for the hearing; and/or
  - c. Make any other determinations necessary to promote an orderly, productive, and fair hearing that complies with the rules of conduct.
3. Within 5 business days after receiving the hearing officer's definition of scope, the parties may then submit additional information about the evidence, including witness testimony, that they would like to present.
4. Not less than 10 business days before the hearing, the hearing coordinator will send a written notice to the parties informing them of the hearing date, time, location, and procedures.

5. The hearing coordinator will ensure that the Title IX investigator (or if not available, a representative from that office) will be available to testify during the hearing. Testimony by the Title IX investigator may be appropriate to help resolve disputes about the authenticity of evidence summarized in the investigation report and at issue at the hearing, or whether the investigator accurately memorialized a party's or witness's statement in the investigation. The Title IX investigator should not be questioned about their assessment of party or witness credibility, nor the investigative process generally, nor their preliminary determination of whether policy violations occurred, because the hearing officer will make their own credibility determinations and determination of policy violation(s) so this information would not be relevant.
6. Based on the hearing officer's determination, the hearing coordinator will request the attendance of all witnesses whose testimony is determined to be within the scope of the hearing. The University cannot compel parties or witnesses to testify in the hearing and their decision not to testify will not be a reason to cancel or postpone a hearing.
7. At least 2 business days prior to the hearing, the parties will receive the hearing officer's confirmation of scope and evidence; copies of all the evidence that will be considered at the hearing that the hearing officer has received, including the investigation file and any other documents that will be considered; the names of expected witnesses and a summary of their expected testimony. If the hearing officer has excluded evidence (including witness testimony) that a party has requested to present, they will explain why that evidence was not relevant. The hearing officer will also notify the parties of any procedural determinations they have made regarding the hearing. This material will also be provided to the Title IX Officer.
8. The parties are encouraged to submit any questions for the other party and any expected witnesses to the hearing coordinator and hearing officer before the hearing, but will not be limited to those questions at the hearing. These questions will not be shared with the other party or witnesses.
9. At any point before the hearing, if a party anticipates that they will not have an advisor available at the hearing to ask their questions for them, they should let the hearing coordinator know, to allow the University to plan for assigning the party a person to ask the party's questions at the hearing ("Reader"). Even without notice or during a hearing in progress, however, the University will provide such a resource if a party does not have one. If any party does not have an advisor available at the hearing for the purpose of asking their questions for them, the hearing coordinator will assign a person to fulfill the sole and specific function of asking the party's questions (and not of serving as their advisor more generally), without cost to the party

#### **E. Hearing Procedures**

1. The hearing will be conducted in a respectful manner that promotes fairness and accurate factfinding and that complies with the rules of conduct. The

parties and witnesses will address only the hearing officer, and not each other. Only the hearing officer and the parties' advisors (or Readers if they do not have advisors), consistent with paragraph 5 below, may question witnesses and parties.

2. The hearing will be conducted remotely, with any modifications the hearing coordinator has made in response to a party's request for assistance, see Section VII.D.1.g above.
3. Courtroom rules of evidence and procedure will not apply. The hearing officer will generally consider, that is rely on, all evidence they determine to be relevant and reliable. The hearing officer may determine the relevance and weigh the value of any witness testimony or other evidence to the findings, subject to paragraph 7 below. The hearing officer will also follow the evidentiary principles in Section IV.C.3. Throughout the hearing, the hearing officer will:
  - a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and require rephrasing of questions that violate the rules of conduct, and implement the evidentiary principles and procedural requirements in Section IV.C.3,
  - b. Decide any procedural issues for the hearing, and/or
  - c. Make any other determinations necessary to promote an orderly, productive, and fair hearing that complies with the rules of conduct.
4. Parties will be able to see and hear (or, if deaf or hard of hearing, to access through auxiliary aids for services) all questioning and testimony at the hearing, if they choose to. Witnesses (other than the parties) will attend the hearing only for their own testimony.
5. *Questioning at the Hearing.* The hearing officer may ask questions of all parties and witnesses that are relevant, including those that are relevant to assessing credibility. Each party's advisor may ask questions of the other party (not their party) and witnesses that are relevant, including those that are relevant to assessing credibility. As noted in Section VII.D.9. above, the University will assign a person to ask a party's questions whenever a party does not have an advisor at the hearing. The evidentiary principles in Section IV.C.3 will apply throughout.
  - a. The hearing officer will determine the order of questioning of the parties and witnesses. For each party or witness, the hearing officer will ask their own questions first.
  - b. Each party will prepare their questions, including any follow up questions, for the other party and witnesses, and will provide them to their advisor. The advisor will ask the questions as the party has provided them, and may not ask questions that the advisor themselves have developed



without their party.

- c. If a party does not attend the hearing, the hearing will still proceed, and they may still have their advisor - or if they do not have one, a University-assigned Reader – ask the questions that they have prepared.
  - d. When a party's advisor is asking questions of the other party or a witness, the hearing officer will determine whether each question is relevant before the party or witness answers it and will exclude any that are not relevant or unduly repetitive, and will require rephrasing of any questions that violate the rules of conduct. If the hearing officer determines that a question should be excluded as not relevant, they will explain their reasoning.
  - e. At any time, the hearing officer may ask follow up questions of the parties and witnesses.
  - f. Parties are allowed to note, in writing only, any objections to questions posed at the hearing: they will do so by keeping a running written record of any objections during the hearing, and they may not object to questions by speaking. Only at the conclusion of the hearing will parties provide the record of their objections, if any, to the hearing officer, for inclusion in the record
  - g. Any expert witnesses identified during the investigation, see Section IVC.3.f, will be subject to these same questioning procedures.
- 6. The investigation file will be entered as evidence at the hearing. The hearing officer generally will rely on any finding in the report that is not disputed.
  - 7. In cases where the credibility of a witness is not central to the determination of a particular disputed issue and the witness does not appear at the hearing, the hearing officer may determine what weight to give to their statements from the investigation report.
  - 8. The principles in Sections III.G and H shall apply.
  - 9. The hearing officer will implement measures they deem appropriate to protect the well-being of parties and witnesses. For example, the hearing officer will allow separation of the parties, breaks, and the participation of support persons in accordance with these procedures.
  - 10. The hearing officer will allow the parties and/or witnesses to be visually separated during the hearing except as noted in paragraph 4 above. This may include, but is not limited to, videoconference and/or any other appropriate technology. To assess credibility, the hearing officer must have sufficient access to the Complainant, Respondent, and any witnesses presenting information; if the hearing officer is sighted, then the hearing officer must be able to see them.
  - 11. The parties will have the opportunity to present the evidence they submitted,

subject to any exclusions determined by the hearing officer. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the hearing officer has discretion to accept or exclude additional evidence presented at the hearing.

12. The parties are expected not to spend time on undisputed facts or evidence that would be duplicative.
13. The University will audio record the hearing and make the recording available for the parties' review at their request.
14. The parties may have their advisors and support persons present throughout the hearing. See Section III.E

#### **F. Determination of Policy Violation**

1. *Standards for Deliberation.* The hearing officer will decide whether a violation of the *SVSH Policy* (or related non-*SVSH Policy* violation) occurred based on a Preponderance of Evidence standard.
2. *Information Considered.* The hearing officer will take into account the investigative file and the evidence presented and accepted at the hearing. The evidentiary principles in Section IV.C.3 shall also apply. On any disputed and material issue, the hearing officer should make their own findings and credibility determinations based on all of the evidence before them.

**G. Sanction.** If the hearing officer decides that any policy violation has occurred, they will send their determination and findings to Student Conduct within 10 business days of the hearing. Based on the hearing officer's findings and determinations, and other information relevant to sanctioning (see Section IX.D.), Student Conduct will determine an appropriate sanction.

**H. Notice of Determination and Sanction.** Within 15 business days of the hearing, the hearing coordinator will send simultaneous written notice to the Complainant and Respondent (with a copy to the Title IX Officer and Student Conduct) setting forth the hearing officer's determination on whether the *SVSH Policy* and/or other student conduct policies have been violated, and, if so, Student Conduct's determination of any sanctions to be imposed. The written notice will include the following:

1. A summary of the allegations that would constitute DOE-Covered Conduct and other Prohibited Conduct under the *SVSH Policy*, and any other related student conduct violations.
2. The determinations of whether the *SVSH Policy* and/or other student conduct policies have been violated,
3. If so, a description of the sanctions;
4. That the Title IX Officer will determine whether Complainant will be provided

additional remedies, and will inform Complainant of that determination;

5. A description of the procedural history of the complaint;
6. The findings on each disputed, material fact and an analysis of the evidence supporting the findings;
7. A summary of the facts found by the investigator that the parties did not dispute.
8. The rationale for the determination of each charge;
9. If the hearing officer determines that DOE-Covered Conduct did not occur, an analysis of whether other charged conduct, including other *SVSH Policy* violations, occurred;
10. The rationale for any sanctions;
11. A statement of the right to appeal, grounds and timeframe for the appeal, the office to which the appeal must be submitted, and the procedure that the University will follow in deciding the appeal; and
12. An explanation that both the parties will receive a copy of any appeal submitted in accordance with these procedures.

- I. **Documentation of Hearing.** Throughout the pre-hearing and hearing process, the hearing coordinator will document the process's compliance with the procedures (including timeframes) in this section. After the notice of policy violation determination and any sanction has been finalized, the hearing coordinator will provide this documentation, along with all documents relating to the hearing, and the recording of the hearing, to the Title IX Officer

## VIII. APPEAL PROCESS (STAGE FIVE)

- A. **Equal Opportunity to Appeal.** The Complainant and Respondent have an equal opportunity to appeal the policy violation determination(s) and any sanction(s). The University administers the appeal process, but is not a party and does not advocate for or against any appeal.
- B. **Grounds for Appeal.** A party may appeal only on the grounds described in this section. The appeal should identify the reason(s) why the party is challenging the outcome under one or more of the available grounds.
  1. In cases where there was a hearing, the following grounds for appeal apply:
    - a. There was procedural error in the hearing process that materially affected the outcome; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;
    - b. There is new evidence that was not reasonably available at the time of the hearing and that could have materially affected the outcome;

- c. The hearing officer had a conflict of interest or bias that affected the outcome;
  - d. The determination regarding policy violation was unreasonable based on the evidence before the hearing officer; this ground is available only to a party who participated in the hearing; and
  - e. The sanctions were disproportionate to the hearing officer's findings.
2. In cases where there was no hearing because the parties both decided to accept the preliminary determination (see Section VI), the parties may appeal on only one ground: that the sanctions were disproportionate to the preliminary determination regarding policy violations that was accepted.

### **C. Commencing an Appeal.**

1. In cases where there was a hearing, an appeal must be submitted to the hearing coordinator within 10 business days following issuance of the notice of the hearing officer's determination and, if imposed, the disciplinary sanctions (see Section VII.H.). The appeal must identify the ground(s) for appeal and contain specific arguments supporting each ground for appeal. Student Conduct will notify the other party of the appeal and that the other party will have an opportunity to submit a written statement in response to the appeal, within three business days. If the appeal includes the ground that the sanction is disproportionate, Student Conduct will also inform that parties that they have an opportunity to meet with the appeal officer to discuss the proportionality of the sanction.
2. In cases where the parties accepted the preliminary determination, an appeal must be submitted in writing to Student Conduct within 10 business days following Student Conduct's notice to the parties that the preliminary determination was final and that Student Conduct would impose the proposed sanction (see Section VI.E.2). Student Conduct will notify the other party of the appeal and that the other party will have an opportunity to submit a written statement in response to the appeal, within five business days. Student Conduct will also inform the parties that they have an opportunity to meet with the appeal officer to discuss the proportionality of the sanction.

### **D. Appeal Decision**

1. *Standards for Deliberation.* The appeal officer, who will not be the same person as the Title IX Officer or investigator, or hearing officer or hearing coordinator, will decide whether the appealing party has proven the asserted ground(s) for appeal. They will only consider the evidence presented at the hearing, the investigation file, and the appeal statements of the parties. In disproportionate sanction appeals, they may also consider any input parties provide in a meeting per Section VIII.D.2, below. They will not make their own factual findings, nor any witness credibility determinations.
2. *Disproportionate Sanction Appeals – Opportunity for Meeting.* In cases where

a ground of appeal is disproportionate sanction, the parties may meet separately with the appeal officer for the limited purpose of providing input on their desired outcomes as to sanctions only.

3. Decision by Appeal Officer. The appeal officer may:
  - a. Uphold the findings and sanctions;
  - b. Overturn the findings or sanctions;
  - c. Modify the findings or sanctions; or
  - d. In appeals alleging material procedural error or new evidence (Section VII.D.1(a) or (b) above), send the case back to the hearing officer for further factfinding if needed, for example on the issue of whether the alleged error or new evidence would have materially affected the outcome.
4. *Written Report*. The appeal officer will summarize their decision in a written report that includes the following:
  - a. A statement of the grounds identified on appeal;
  - b. A summary of the information considered by the appeal officer; and
  - c. The decision of the appeal officer and the rationale for the decision including, where the findings or sanctions are overturned or modified, an explanation of why the ground(s) for appeal were proven.
5. *Distribution of Written Decision*. Within 10 business days of receiving the appeal, the appeal officer will send their written decision to Complainant and Respondent (with copies sent to the Title IX Officer and Student Conduct).
  - a. Unless the appeal officer remands the matter, they will inform the Respondent and the Complainant that the matter is closed with no further right to appeal.
  - b. If the appeal officer remands the matter, they will specify what further factfinding should occur or what additional information should be considered and request that the hearing officer report back to the appeal officer on their additional factfinding. After receiving the hearing officer's additional factual findings, the appeal officer will issue their decision within 10 business days. This decision will be final.

## IX. PRINCIPLES, OPTIONS, AND FACTORS IN STUDENT SANCTIONS

### A. Introduction

These standards are intended to promote the consistent and proportionate application of disciplinary sanctions by the University in responding to conduct that violates the University's *Policy on Sexual Violence and Sexual Harassment* and the applicable portions of the University's *Policies Applying to Campus Activities, Organizations, and Students* (PACAOS) – Section 100.00 (*Policy on*



*Student Conduct and Discipline*).<sup>1</sup> The following describes the University's principles, options, and factors to consider in assigning sanctions when the Respondent is a student.

## **B. Principles**

1. The administration of student discipline will be consistent with the *Policy on Student Conduct and Discipline*.
2. When a student is found responsible for violating the University's *SVSH Policy* or other student conduct policies, the University will assign sanctions that are proportionate and appropriate to the violation, taking into consideration the context and seriousness of the violation. The University is also committed to providing appropriate remedial measures to Complainant, as described in the *SVSH Policy*.
3. When a student is found not responsible for violating the University's *SVSH Policy* and other student conduct policies, the University is committed to taking reasonable efforts to assist any student who has been disadvantaged with respect to employment or academic status as a result of the unsubstantiated allegations.
4. Sanctions are designed to hold a student accountable for violating University standards of conduct and to promote personal growth and development. Sanctions also serve the purpose of stopping Prohibited Conduct under the *SVSH Policy*, and preventing its recurrence.
5. The University recognizes that acts of Sexual Violence, Sexual Harassment and other forms of Prohibited Conduct are contrary to its goals of providing an educational environment that is safe and equal for all students.
6. University of California campuses are encouraged to inform other UC campuses of a student's disciplinary record for violating the University's *SVSH Policy* and other student conduct policies.

## **C. Sanctioning Options**

1. University sanctions include, but are not limited to:
  - a. Dismissal from the University of California;
  - b. Suspension from the University of California;
  - c. Exclusion from areas of the campus and/or from official University functions;
  - d. Loss of privileges and/or exclusion from activities;

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<sup>1</sup> This supplements the Policies Applying to Campus Activities, Organizations, and Students (PACAOS, 5/10/2012). In the event of any conflict this document takes precedence.

- e. Restitution;
- f. Probation;
- g. Censure/Warning; and/or
- h. Other actions as set forth in University policy and campus regulations.

In contrast to Supportive Measures, which may not be disciplinary or punitive and may not unreasonably burden a party, sanctions may impose greater burdens on a Respondent found responsible for SVSH Policy violations.

- 2. The definitions of sanctions are found in *PACAOS* Section 105.00 (Types of Student Disciplinary Action) of the *Policy on Student Conduct and Discipline* and local campus regulations.
- 3. The posting of sanctions on academic transcripts will follow University policy as defined in *PACAOS*, Section 106.00 of the *Policy on Student Conduct and Discipline*.

#### **D. Factors Considered In Determining Sanctions**

- 1. In all cases, when determining the appropriate and proportionate sanction, the following factors will be taken into account when applicable:
  - a. Seriousness of violation: location and extent of touching; duration of conduct; single or repeated acts; multiple policy violations in connection with the incident; verbal or physical intimidation; use of authority to abuse trust or confidence; presence of weapons; use of force or violence; physical injury; menace; duress; deliberately causing or taking advantage of a person's incapacitation; and recording, photographing, transmitting, viewing, or distributing intimate or sexual images without consent.
  - b. Intent or motivation behind violation: no intent to cause harm; passive role in violation; pressured or induced by others to participate in the violation; planned or predatory conduct; hate or bias based on the Complainant's membership or perceived membership in a protected group as defined in *PACAOS* Section 104.90 of the *Policy on Student Conduct and Discipline*.
  - c. Whether the conduct is aggravated, as defined in the SVSH Policy.
  - d. Response following violation: voluntarily acknowledged wrongdoing at early stage of the process; failure to follow no contact order; attempt to influence witnesses; obstructed or disrupted the process.
  - e. Disciplinary history: unrelated prior violations; related prior violations.
  - f. Impact on others: input from the Complainant; protection or safety of the Complainant or the community.

#### **E. Sanctions for Certain Conduct**

- 1. Sanctions will be assigned as follows:

- a. Sexual Assault – Penetration or Sexual Assault – Contact that is aggravated as defined in the *SVSH Policy* will result in a minimum sanction of suspension for two calendar years.
  - b. Sexual Assault – Penetration, Domestic or Dating Violence, or Stalking will result in a minimum sanction of suspension for two calendar years unless there are exceptional circumstances.
  - c. Sexual Assault – Contact will result in a minimum sanction of suspension for one calendar year, unless there are exceptional circumstances.
  - d. Sexual Harassment and Other Prohibited Behavior, as defined by the *SVSH Policy*, will not result in any minimum sanction but will be sanctioned in accordance with the factors identified in Section D above.
2. Assigned sanctions for each case will be documented and reported to the Systemwide Title IX Director on a regular basis. The report is to ensure a reasonable level of consistency from campus to campus.

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#### **IV. COMPLIANCE / RESPONSIBILITIES**

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Chancellors will adopt campus implementing regulations consistent with these Policies. The University will publish these Policies and make them widely available, and Chancellors will do the same with respect to the implementing regulations for their campuses. This requirement may be satisfied through the online publication of these Policies and their respective campus implementing regulations. (See also Section 13.20 of these Policies.)

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#### **V. PROCEDURES**

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The President will consult as appropriate with Chancellors, Vice Presidents, the Office of the General Counsel, and University wide advisory committees prior to amending these Policies. Chancellors will consult with faculty, students, and staff prior to submitting to the President any campus recommendations related to proposed amendments to these Policies. Amendments that are specifically mandated by law, however, do not require consultation with campus representatives or University wide advisory committees to the extent that legal requirements do not permit such consultation. (See also Section 13.10 of these Policies.)

Chancellors will consult with students (including student governments), faculty, and staff in the development or revision of campus implementing regulations except when the development or revision of such regulations results from changes to these Policies that have been specifically mandated by law. Campuses will specify procedures, including consultation processes, by which campus implementing regulations may be developed or revised. (See also Section 13.30 of these Policies.)

Prior to their adoption, all proposed campus implementing regulations, including all substantive modifications to existing such regulations, will be submitted to the Office of the President for review, in consultation with the Office of the General Counsel, for consistency with these Policies and the law. (See also Section 13.40 of these Policies.)

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## **VI. RELATED INFORMATION**

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[Sexual Harassment and Sexual Violence](#)

[Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\)](#)

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## **VII. FREQUENTLY ASKED QUESTIONS**

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Not Applicable

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## **VIII. REVISION HISTORY**

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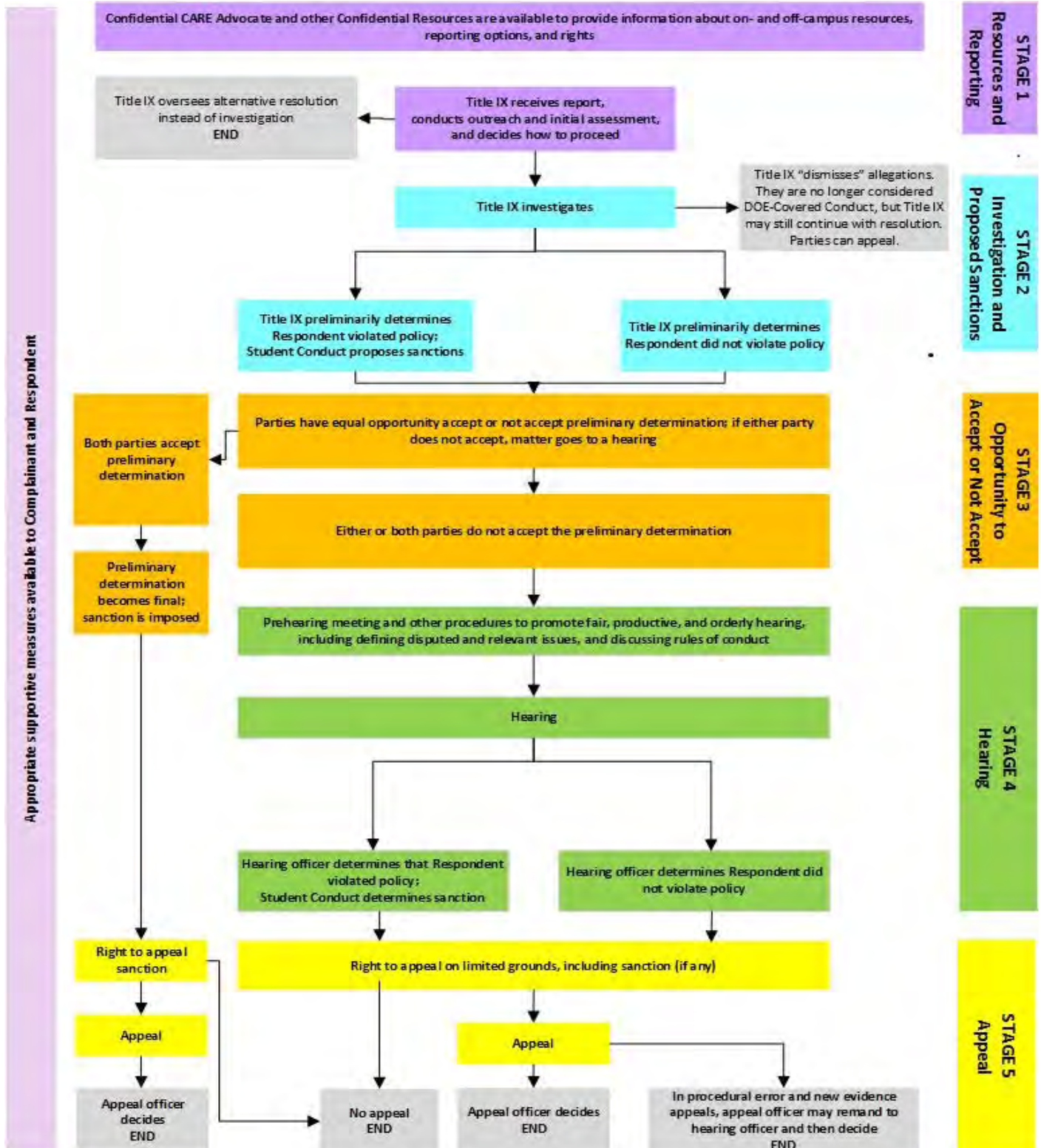
**January 1, 2022:** Revised to comply with California Senate Bill (SB) 493. Revised pursuant to the Department of Education's August 24, 2021 communication that the Title IX regulatory provision barring the hearing officer from considering a party or witness's prior statements if they don't testify at the hearing is ineffective

**August 14, 2020:** Initial issuance

This Policy is also reformatted to meet Web Content Accessibility Guidelines (WCAG) 2.0

## IX. APPENDIX

Student Investigation and Adjudication Process Flowchart for DOE-Covered Conduct



\*Please see the PACAOS Appendix F for full procedural details



## **Appendix G**

### **Investigation and Adjudication Framework for Staff and Non-Faculty Academic Personnel**

## INTRODUCTION

Consistent with the UC Policy on Sexual Violence and Sexual Harassment (“SVSH Policy”), the following describes the University’s process for investigating and adjudicating alleged violations of the SVSH Policy in instances where the respondent is either a University employee whose conduct is governed by Personnel Policies for Staff Members (“PPSMs”), and who is subject to disciplinary and termination procedures set forth in [PPSM 62](#) (Corrective Action – Professional and Support Staff) and [PPSM 64](#) (Termination and Job Abandonment) or a non-faculty academic appointee who is subject to disciplinary procedures under the Academic Personnel Manual (“APM”), [APM-150](#) (Non-Senate Academic Appointees/Corrective Action and Dismissal).<sup>1</sup>

The Title IX regulations issued by the US Department of Education (“DOE”) that went into effect August 14, 2020 require the University to follow a specific grievance process (“DOE Grievance Process”) in response to conduct covered by the regulations (“DOE-Covered Conduct”). The University advocated strongly for DOE to change some components of the DOE Grievance Process before issuing the regulations; DOE did not. Because compliance with the regulations is a condition of federal funding, the University has revised its policies to fully implement them. The Title IX Officer will determine during their initial assessment of a report whether it alleges DOE-Covered Conduct and, if so, whether to open a DOE Grievance Process. Alleged conduct is DOE-Covered Conduct if it is a type of misconduct covered by the regulations (“DOE Sex-Based Misconduct”) that occurred in a University program or activity while the complainant was in the United States. This assessment is described in detail in Appendix IV of the SVSH Policy. The following, read with the attached [DOE Addendum](#), describes the process for investigating and adjudicating alleged violations of the SVSH Policy that include DOE-Covered Conduct.

A flow chart illustrating the processes for complaints against PPSM covered employees can be found in Attachments 1 and 1.A. A flow chart illustrating the process for complaints against non-faculty academic appointees can be found in Attachments 2 and 2.A.

This document should be read in conjunction with the SVSH Policy, as well as applicable PPSMs, including PPSM 62, [PPSM 63](#) (Investigatory Leave) and PPSM 64, and applicable provisions of the APM, including APM-150. The documents also incorporate recommendations issued by the President’s Committee on Sexual Violence Sexual Harassment Disciplinary Process for UC Personnel other than Faculty.

Applicable definitions from the SVSH Policy are incorporated herein. Other definitions are found in the applicable PPSMs and applicable APMs and are incorporated herein.

The SVSH Policy is available at <http://policy.ucop.edu/doc/4000385/SVSH>. The PPSM manual is available at <http://policy.ucop.edu/manuals/personnel-policies-for-staff-members.html>. The

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<sup>1</sup> For all represented staff and academic personnel who are covered by a Memorandum of Understanding with an exclusive bargaining agent, where there is a conflict with their collective bargaining agreement and this Investigation and Adjudication Framework, the collective bargaining agreement provision will apply, except as required by Federal law and regulations. When the respondent is represented, please refer to the relevant complaint resolution, investigation, grievance, and disciplinary procedures contained in the represented respondent’s collective bargaining agreement in conjunction with this Framework.

APM is accessible at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/general-university-policy-regarding-academic-appointees/index.html>.

## **I. REPORTING OPTIONS AND RESOURCES (Stage 0)**

These reporting options and resources are available for any conduct prohibited by the SVSH Policy (“Prohibited Conduct”), including DOE-Covered Conduct.

### **A. Reporting Options**

Any person may make a report, including anonymously, of Prohibited Conduct to the Title IX Office. The Title IX Office is responsible for receiving and responding to reports of Prohibited Conduct.

A person may also make a report to a Responsible Employee as defined by the SVSH Policy. The SVSH Policy requires a Responsible Employee who becomes aware of an incident of Prohibited Conduct to report it to the University by contacting their location’s Title IX Officer or designee.

While there is no time limit for reporting, reports of Prohibited Conduct should be brought forward as soon as possible.

A complainant may choose to make a report to the University and may also choose to make a report to law enforcement. A complainant may pursue either or both of these options at the same time. Anyone who wishes to report to law enforcement can contact the UC Police Department at their location.

### **B. Confidential Resources**

The University offers access to confidential resources for individuals who have experienced Prohibited Conduct and are seeking counseling, emotional support, or confidential information about how to make a report to the University. University Confidential Resources are defined pursuant to the SVSH Policy and include individuals who receive reports in their confidential capacity such as advocates in the CARE Office, as well as licensed counselors (e.g., Employee Assistance Program (EAP) and Counseling and Psychological Services (CAPS)), and Ombuds.

These individuals can provide confidential advice and counseling without that information being disclosed to the Title IX Office or law enforcement, unless there is a threat of serious harm to the individual or others or a legal obligation that requires disclosures (such as suspected abuse of a minor).

## **II. INITIAL ASSESSMENT (Stage 1)**

Upon receipt of a report of or information about alleged Prohibited Conduct, the Title IX Officer will make an initial assessment in accordance with the SVSH Policy, which will include making an immediate assessment concerning the health and safety of the complainant and the campus community.

The Title IX Officer will also determine:

- whether the alleged conduct is DOE-Covered Conduct, other Prohibited Conduct, or a combination, and
- if the alleged conduct is DOE-Covered Conduct, whether it arose outside the University's postsecondary program, meaning in the context of: (i) the Respondent providing patient care to the Complainant or a person in the Complainant's charge, (ii) a program or activity provided for the benefit of minors, including elementary and secondary schools, and the Complainant is a beneficiary, (iii) a program or activity provided for the benefit of people with intellectual disabilities (such as the UC Davis SEED Scholar program), and the Complainant is a beneficiary, (iv) a program or activity of Agricultural and Natural Resources or Lawrence Berkeley National Laboratory, or (v) a service or function of the UC Police Department ("No-Title IX Hearing" DOE-Covered Conduct).

These determinations affect the steps in the adjudication process that precedes decisions on corrective action, if there is one. The process for Prohibited Conduct that is not DOE-Covered Conduct does not include a hearing or appeal, the process for No-Title IX Hearing DOE-Covered Conduct does not include a hearing but may include an appeal, and the process for all other DOE-Covered Conduct may include both a hearing and an appeal.

The initial assessment process described below is for all reports of Prohibited Conduct, including DOE-Covered Conduct. A special dismissal provision that applies specifically to complaints of DOE-Covered Conduct is in the DOE Addendum.

#### **A. Supportive Measures**

The University will also consider and implement Supportive Measures, including Interim Measures, as appropriate to protect the safety of the parties or the University community; to restore or preserve a party's access to a University program or activity; or to deter Prohibited Conduct per the SVSH Policy.

Investigatory leave of a PPSM-covered respondent may be imposed in accordance with PPSM 63. Investigatory leave of a non-faculty academic respondent may be imposed in accordance with APM-150.

#### **B. Written Rights & Options**

The Title IX Officer will ensure that the complainant, if their identity is known, is provided a written explanation of rights and available options as outlined in the SVSH Policy, including:

1. How and to whom to report alleged violations;
2. Options for reporting to and/or notifying law enforcement and campus authorities;
3. Information regarding confidential resources;

4. The rights of complainants regarding orders of protection, no contact orders, restraining orders, or similar lawful orders issued by criminal or civil courts;
5. The importance of preserving evidence that may assist in proving that a criminal offense occurred or in obtaining a protection order;
6. Counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, and other services available both within the institution and the community;
7. Options for a change to academic, living, transportation, and working situations if the complainant requests and if such options are reasonably available—regardless of whether the complainant chooses to report the crime to law enforcement; and
8. The range of possible outcomes for the report, including supportive and remedial measures and disciplinary actions, the procedures leading to such outcomes, and their right to make a DOE Formal Complaint.

### **III. INVESTIGATING AND RESOLVING REPORTS OF PROHIBITED CONDUCT (Stage 1)**

The below provisions for investigation and resolution of reports cover investigations of DOE-Covered Conduct and other Prohibited Conduct. Provided the University has sufficient information to respond, and in accordance with the SVSH Policy, the University may resolve reports of alleged Prohibited Conduct by respondents covered by this Framework through Alternative Resolution, Formal Investigation, or a DOE Grievance Process. Throughout the resolution process, the complainant and the respondent may be accompanied by an advisor. In addition, the University will offer to provide support services for complainants and for respondents. The Title IX Office will consider requests from parties and witnesses for language interpretation and, in consultation with the campus disability management office when appropriate, for disability-related accommodations.

#### **A. Alternative Resolution**

After a preliminary inquiry into the facts, if the complainant and respondent agree in writing, the Title IX Officer may initiate an Alternative Resolution in accordance with the [SVSH Policy](#). Alternative Resolution is not available when the complainant is a student or patient and the respondent is an employee.

#### **B. Investigation**

In cases where Alternative Resolution is inappropriate or unsuccessful, the Title IX Officer may conduct an investigation per the Formal Investigation or DOE Grievance Process provisions in the SVSH Policy.

When the University opens an investigation of allegations of DOE-Covered Conduct and other Prohibited Conduct that arise out of the same facts or circumstances, it will address all allegations together through the DOE Grievance Process procedures. When the investigation includes allegations of both No-Title IX Hearing DOE-Covered Conduct and other DOE-Covered Conduct that arise out of the same facts or



circumstances, the University will address all allegations together through the full DOE Grievance Process, including reaching preliminary determinations and providing parties the right to a hearing.

1. Notification

The Title IX Officer will notify the Chancellor's designee and the respondent's supervisor or other appropriate administrative appointee when a Formal Investigation or DOE Grievance Process is commenced against a respondent. The Title IX Officer will be sensitive in their communication to protect the neutrality of the Chancellor's designee and the neutrality of the supervisor or other appropriate administrative appointee, as well as the privacy of the complainant and respondent.

Thereafter, the Title IX Officer will ensure that the Chancellor's designee and/or supervisor or other appropriate administrative appointee are regularly updated regarding the status of the Formal Investigation or DOE Grievance Process.

2. Notice of Investigation

When a Formal Investigation or DOE Grievance Process will be conducted, the Title IX Office will send written notice of the charges to the complainant and the respondent.

The written notice will be sent at least three business days before a party's requested interview date, to allow sufficient time for the party to prepare for the interview. The written notice will include:

- a. A summary of the allegations and potential violations of the SVSH Policy;
- b. The identities of the parties involved;
- c. The date, time, and location of the reported incident(s) (to the extent known);
- d. The specific provisions of the SVSH Policy potentially violated;
- e. A statement that the investigative report, when issued, will make factual findings and a determination (in a Formal Investigation or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct) or preliminary determination (in any other DOE Grievance Process) whether there has been a violation of the SVSH Policy;
- f. A statement that the parties will each have an opportunity during the investigation to propose questions for the investigator to ask of the other party and witnesses;
- g. A statement that the parties will each have an opportunity, before the completion of the investigation, to review all the evidence submitted that is directly related – a standard broader than relevance - to whether a policy violation occurred;
- h. A statement that the findings under the SVSH Policy will be based on the preponderance of the evidence standard;
- i. A statement that a determination of whether a policy violation has occurred will only be made after an investigation or hearing (if required) and therefore

there is, at the outset, no presumption that the respondent is responsible for a policy violation;

- j. Where applicable, a statement that if it is determined or preliminarily determined that a DOE-Covered Conduct violation did not occur, the investigator will still in the investigative report make a determination or preliminary determination of whether other violations of the SVSH Policy occurred;
- k. A summary of the investigation and discipline processes, including the expected timeline;
- l. A summary of the rights of the complainant and respondent, including the right to an advisor of their choosing, who may be any person, including an attorney, who is not otherwise a party or a witness;
- m. A description of the resources available to complainant and respondent; and
- n. An admonition against intimidation or retaliation.

### 3. Investigative Process

The Title IX Officer will designate an investigator to conduct a fair, thorough, and impartial investigation.

#### a. Overview:

During the investigation, the complainant and respondent will be provided an equal opportunity to meet with the investigator, submit information, identify witnesses who may have relevant information, and propose questions for the investigator to ask the other party and witnesses. Any evidence available to but not disclosed by a party during the investigation might not be considered at a subsequent hearing.

The investigator will meet separately with the complainant, the respondent, and the third party witnesses who may have relevant information, and will gather other available and relevant information. The investigator may follow up with the complainant or the respondent as needed to clarify any inconsistencies or new information gathered during the course of the investigation. The investigator will generally consider, that is rely on, all evidence they determine to be relevant and reliable, including evidence that weighs in favor of and against a determination that a policy violation occurred. The investigator may determine the relevance and weigh the value of any witness or other evidence to the findings and may exclude evidence that is irrelevant or immaterial.

Disclosure of facts to persons interviewed will be limited to what is reasonably necessary to conduct a fair and thorough investigation. Participants in an investigation may be counseled about keeping information private to protect the integrity of the investigation.

The complainant or the respondent may have an advisor present when personally interviewed and at any related meeting. Other witnesses may have

a representative present at the discretion of the investigator or as required by University policy or collective bargaining agreement.

b. Coordination with Law Enforcement:

When a law enforcement agency is conducting its own investigation into the alleged conduct, the Title IX investigator will make every effort to coordinate their fact-finding efforts with the law enforcement investigation. At the request of law enforcement, the investigation may be delayed temporarily to meet specific needs of the criminal investigation.

c. Specific Types of Evidence:

*Sexual history of complainant.*

The investigator will not, as a general rule, consider the complainant's sexual history. However, in limited circumstances, the complainant's sexual history may be directly relevant to the investigation. While the investigator will never assume that a past sexual relationship between the parties means the complainant consented to the specific conduct under investigation, evidence of how the parties communicated consent in past consensual encounters may help the investigator understand whether the respondent reasonably believed consent was given during the encounter under investigation. Further, evidence of specific past sexual encounters may be relevant to whether someone other than respondent was the source of relevant physical evidence. Sexual history evidence that shows a party's reputation or character will never be considered relevant on its own. The investigator will consider proffered evidence of sexual history, and provide it to the parties for review under Section III.B.4. below, only if the investigator determines it is directly relevant. The investigator will inform the parties of this determination. If the investigator does allow sexual history evidence to be presented, they will provide a written explanation to the parties as to why consideration of the evidence is consistent with the principles in this section.

*Expert witnesses.*

The parties may present evidence from expert witnesses if it would be relevant to the determination of whether a policy violation occurred. If a party wishes for such evidence to be considered, they will make a written request to the Title IX officer, indicating the person(s) they wish to present as, and who has agreed to be, their expert witness; the issue(s) on which the person(s) would provide expert evidence; why they believe that the issue(s) require an expert opinion for resolution; and any prior relationship, including personal and business relationships, between the party and the person(s).

The Title IX officer will grant the request for the proposed expert to provide evidence if the alleged evidence is relevant, and will deny the request if the proposed evidence is not relevant. Proposed expert evidence is not relevant if

it is not pertinent to proving whether the facts material to the allegations under investigation are more or less likely to be true. For example, proposed expert evidence is not relevant if it offers opinions about the Title IX regulations or the DOE Grievance Process; if it offers opinions that do not require expertise to form; or if the proposed expert has a bias or conflict of interest so strong that their opinion would not assist the factfinder in determining whether the facts material to the allegations under investigation are more or less likely to be true.

If the Title IX officer grants a request for proposed expert evidence, they will notify both parties. The other party may then request to present a proposed expert on the same issue (as well as to present their own expert evidence on other relevant issues). The Title IX office may also retain its own expert on any issue on which one or both parties will be presenting expert evidence; the Title IX office will ensure that any such expert does not have bias or conflict of interest and will notify the parties of any expert it intends to retain.

As part of the evidence they present, any expert witness will provide the investigator information about their qualifications; the factual bases for their assertions; and their principles and methods and the reliability thereof. These factors will contribute to the assessment of the weight and credibility of the expert witness's evidence.

In general, parties may not later request proposed expert witnesses to testify at the hearing unless those witnesses have provided evidence during the investigation.

*Clinical records.*

The investigator will not during the investigation access, review, consider, disclose, or otherwise use a complainant's or respondent's medical or other behavioral health records that are made in connection with treatment without the party's voluntary written consent.

*Privileged Records.*

During the investigation, the investigator will not access, review, consider, disclose, or otherwise use evidence that constitutes, or seeks disclosure of, information protected under a legally recognized privilege without the party's voluntary written consent.

d. Evidence Review:

Before the investigator concludes the investigation and finalizes a written report, both complainant and respondent will have an equal opportunity to review and respond in writing to the evidence that the investigator has deemed directly related, including evidence that weighs against finding a policy violation(s) and evidence on which the investigator does not intend to rely,

whether obtained from a party or another source. This is true regardless of whether a party has participated in the investigation. This review will also include a summary of directly related statements made by the parties and any witnesses. The Title IX Officer will ensure that this review occurs in a manner designed to protect the privacy of both parties. The Title IX Officer will designate a reasonable time for this review and response by the parties that, absent good cause found by the Title IX Officer, of at least 10 business days.

In investigations of No-Title IX Hearing DOE-Covered Conduct, because there will not be a Title IX hearing, the investigator will more specifically: provide parties the opportunity to submit written questions they propose the investigator ask the other party and witnesses, share the responses to their submitted questions, and allow them to propose limited follow-up questions. The investigator will decline to ask questions that are not relevant or unduly repetitive, and will rephrase any questions that violate the rules of conduct. If the investigator declines to ask a question, they will explain their reasoning.

4. Investigation Report and Determination or Preliminary Determination

Following conclusion of the investigation, the Title IX investigator will prepare a written report. The written investigation report will include a statement of the allegations and issues, statements of the parties and witnesses, and a summary of the evidence the investigator considered. The investigation report will include findings of fact and a determination (in a Formal Investigation or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct) and a preliminary determination (in any other DOE Grievance Process) regarding whether, applying the preponderance of the evidence standard, there is sufficient evidence to conclude that respondent violated the SVSH Policy.

If the complainant or respondent offered witnesses or other evidence that was not relied upon by the investigator, the investigation report will explain why it was not relied upon. The investigation report will also indicate when and how the parties were given an opportunity to review and respond to the evidence (see Section 2.c above).

In investigations of No-Title IX Hearing DOE-Covered Conduct, the investigator will provide both Complainant and Respondent an opportunity to review and respond in writing to the investigation report before it becomes final. The investigator has discretion to revise the written report to reflect the parties' responses. The investigation report will become final no sooner than 10 business days from the date it is shared with parties for their review and response.

If the findings of fact indicate that DOE-Covered Conduct occurred, but was not charged as such in the notice of investigation, then the investigator will reach determinations (for No-Title IX Hearing DOE-Covered Conduct) or preliminary determinations (for all other DOE-Covered Conduct) regarding whether a policy

violation occurred and the Title IX Officer will notify the parties that the case will now proceed per the DOE Grievance Process.

If instead, the investigator preliminarily determines that conduct charged as DOE-Covered Conduct does not meet that definition, the report will include (if indicated in the Notice of Investigation) analysis and a preliminary determination both of whether respondent engaged in DOE-Covered Conduct and the other Prohibited Conduct.

5. Notice of Investigation Outcome

Upon finalization of the investigation report, the Title IX Officer or designee will send to the complainant and the respondent a written notice of investigation outcome regarding the investigator's preliminary determination or determination (whichever applies) of whether there was a violation of the SVSH Policy. The notice of investigation outcome will generally be accompanied by a copy of the investigation report, which may be redacted as necessary to protect privacy rights.

The Title IX Officer or designee will also send the notice of investigation outcome and accompanying investigation report to the Chancellor's designee and the supervisor or other appropriate administrative authority.

- a. In all cases, the notice of investigation outcome will include:
  - A summary statement of the factual findings and determinations or preliminary determination (whichever applies) regarding whether respondent violated the SVSH Policy;
  - An admonition against intimidation or retaliation;
  - An explanation of any Supportive Measures that will remain in place;
  - A statement that the complainant and respondent have an opportunity to respond in writing and/or in person to the Chancellor's designee and supervisor or other appropriate administrative authority;
  - A statement indicating whether it appears that further investigation by another appropriate body may be necessary to determine whether violations of other policies occurred, separate from any allegations of Prohibited Conduct that were investigated under the SVSH Policy.
- b. If in a Formal Investigation process or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct the investigator determined that respondent violated the SVSH Policy, the notice of investigation outcome will also include:
  - For matters involving PPSM-covered respondents, a description of the process for deciding whether and what discipline to impose, including a statement that the supervisor will propose a resolution, which may include corrective action as defined by PPSM-62 or termination in accordance with PPSM-64, and that the proposal will be subject to review and approval by the Chancellor's designee;



- For matters involving non-faculty academic respondents, a description of the process for deciding whether and what discipline to impose, including a statement that the supervisor or other appropriate administrative authority will propose a resolution, which may include corrective action or dismissal as described in APM-150, and that the proposal will be subject to review and approval by the Chancellor's designee;
  - A statement that the complainant and the respondent will be informed of the final resolution of the matter, including any discipline imposed, and a statement of the anticipated timeline.
- c. In a DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct, the notice of investigation will also include a statement that both parties have the right to appeal the investigator's determination per Section IV.C of the [DOE Addendum](#).
- d. In any other DOE Grievance Process, the notice of investigation outcome will also include:
- If the investigator preliminarily determined that the respondent violated the SVSH Policy, a statement that the supervisor or other appropriate administrative authority will provide the parties an opportunity to respond to the findings, and will propose a resolution to be reviewed and approved by the Chancellor's designee.
  - A statement that, unless both parties accept the preliminary determination and any proposed resolution, there will be a fact-finding hearing to determine whether the SVSH Policy has been violated, after which the supervisor or other appropriate administrative authority will propose a resolution and submit to the Chancellor's designee for review and approval; and
  - An explanation of the procedures and timeline for accepting the preliminary determination (see the DOE Addendum).

6. Timeframe for Completion of Investigation; Extension for Good Cause

The notice of investigation outcome and accompanying investigation report will be issued promptly, typically within sixty (60) to ninety (90) business days of initiation of the Formal Investigation or DOE Grievance Process, unless extended by the Title IX Officer for good cause, with written notice to the complainant and the respondent of the reason for the extension and the projected new timeline.

The Title IX Officer or designee will keep the complainant and respondent regularly informed concerning the status of the investigation.

**IV. ASSESSMENT AND CONSULTATION (Stage 2)**

The steps outlined below for assessment and consultation apply to investigations of DOE-Covered Conduct and other Prohibited Conduct. An additional notice requirement that

applies specifically to investigations of DOE-Covered Conduct is in the DOE Addendum. After this assessment and consultation, matters investigated through Formal Investigation will go through Stage 3 (Corrective Actions) below. Matters investigated under the DOE Grievance Process that alleged No-Title IX Hearing DOE-Covered Conduct will go Stage 2.C. (Appeal of the Determination) in the [DOE Addendum](#). All other matters investigated under the DOE Grievance Process will go to Stage 2.A (Opportunity to Accept the Preliminary Determination) in the DOE Addendum.

At the conclusion of a Formal Investigation, the respondent's supervisor or other appropriate administrative authority has the responsibility to propose and implement action in response to the findings of the investigation report. The proposed decision by the supervisor or other appropriate administrative authority will be reviewed and approved by the Chancellor's designee. The supervisor or other appropriate administrative authority may determine that additional investigation is required to determine whether violations of other policies occurred, but will not reinvestigate allegations of Prohibited Conduct investigated by the Title IX Office.

At the conclusion of a DOE Grievance Process investigation of No-Title IX Hearing DOE-Covered Conduct, the parties have the opportunity to appeal. Once any appeal is final or the period for submitting an appeal has lapsed, the supervisor or other appropriate administrative authority has the responsibility to propose and implement action in response to the findings. See Stages 2.C (Appeal of Determination) and 2.D (Additional Assessment and Consultation) of the [DOE Addendum](#).

At the conclusion of any other DOE Grievance Process investigation, the parties have the opportunity to accept or not accept the preliminary determination. When the preliminary determination is that the respondent engaged in DOE-Covered Conduct, or both DOE-Covered Conduct and other Prohibited Conduct, the supervisor or other appropriate administrative authority will propose a resolution that will be reviewed and approved by the Chancellor's designee, and the parties will have the opportunity to review the proposed resolution before deciding whether to accept the preliminary determination and proposed resolution.

The Chancellor's designee, as well as the supervisor or other appropriate administrative authority, may consult with the Title IX Office, Staff Human Resources, or the Academic Personnel Office, or any other appropriate entities at any time during the decision-making process.

#### **A. Opportunity to Respond**

The complainant and the respondent will have an opportunity to respond to the notice of investigation outcome and accompanying investigation report through a written statement and/or in-person meeting that will be submitted to the respondent's supervisor or other appropriate administrative authority and the Chancellor's designee. The parties will have five business days after the Title IX Officer sends the investigation report to respond.

The purpose of this response is not to challenge the factual findings in the Title IX investigation report or present new evidence, but to provide the complainant and the respondent with an opportunity to express their perspectives and address what outcome they wish to see.

## **B. Decision Proposal and Submission for Approval**

In the event that the investigation determines or preliminarily determines that a respondent is responsible for violating the SVSH Policy, the respondent's supervisor or other appropriate administrative authority will propose a decision regarding how to resolve the matter. The proposal must be submitted to the Chancellor's designee for review and approval.

In the event the Chancellor's designee does not approve the proposed decision, they will send it back to the supervisor or other appropriate administrative authority for reconsideration and submission of a revised proposed decision.

In the event the Chancellor's designee approves the proposed decision, they will inform the supervisor or other appropriate administrative authority who will take steps to implement (in a Formal Investigation), or inform the Title IX Office and either Staff Human Resources or the Academic Personnel Office of (in a DOE Grievance Process), the approved decision.

This proposal and approval process will occur in all cases where the investigation has determined or preliminarily determined the respondent violated the SVSH Policy pursuant to these procedures. Staff Human Resources or the Academic Personnel Office will be consulted throughout the process. Additionally, the Chancellor's designee will consult with the campus Title IX Officer on the appropriateness of the proposed decision before approving or disapproving it.

## **V. CORRECTIVE OR OTHER ACTIONS (Stage 3)**

The below provisions apply when a respondent is found in violation of the SVSH Policy following a Formal Investigation, following an investigation and any appeal (per Section IV.C of the DOE Addendum) in a DOE Grievance Process addressing No-Title IX Hearing DOE-Covered Conduct, or following a hearing and any appeal (per Section IV.C of the DOE Addendum) in any other DOE Grievance Process.

### **A. PPSM Covered Staff: Decision Approval and Implementation**

Following approval by the Chancellor's designee, the respondent's supervisor will implement the approved decision in accordance with applicable PPSMs, including PPSM-62 and PPSM-64.

#### **1. No Further Action**

The supervisor may propose to resolve the matter without taking any further action. This proposal will be reviewed by the Chancellor's designee for approval. In the event it is approved, this decision and its rationale will be promptly communicated to both the complainant and the respondent.

2. Action Not Requiring Notice of Intent

The supervisor may propose corrective or remedial actions that do not amount to corrective action as defined by PPSM 62 or termination under PPSM 64. The proposed actions will be reviewed by the Chancellor's designee for approval.

In the event it is approved, the decision will be implemented by the supervisor and the decision and its terms and rationale will be promptly communicated to both the complainant and the respondent.

3. Notice of Intent

The supervisor may propose to issue a notice of intent to institute corrective action in accordance with PPSM-62 or notice of intent to terminate in accordance with PPSM-64. The proposed terms of the notice of intent will be reviewed by the Chancellor's designee for approval. In the event it is approved, the decision will be implemented by the supervisor and the notice of intent will issue.

Following the provision of a notice of intent, corrective action will be taken in accordance with PPSM-62 and/or actions to terminate will be taken in accordance with PPSM-64. The terms of the implemented action and its rationale will be promptly communicated to both the complainant and the respondent.

**B. Non-Faculty Academic Personnel: Decision Approval and Implementation**

Following approval by the Chancellor's designee, the respondent's supervisor or other appropriate administrative authority will implement the approved action in accordance with APM-150.

1. No Further Action

The supervisor or appropriate administrative authority may propose to resolve the matter without taking any further action. This proposal will be reviewed by the Chancellor's designee for approval. In the event it is approved, this decision and its rationale will be promptly communicated to both the complainant and the respondent.

2. Informal Resolution

The supervisor or appropriate administrative authority may propose an informal resolution in accordance with APM-150, which may include discipline and/or other corrective or remedial measures. The proposed informal resolution and its terms will be reviewed by the Chancellor's designee for approval. Informal resolution can be achieved at any time prior to the final imposition of dismissal or corrective action.

In the event the informal resolution is approved and agreed to by the respondent, the complainant will be promptly informed of its terms and the rationale.

3. Notice of Intent

The supervisor or other appropriate administrative authority may propose to issue a notice of intent instituting dismissal or other corrective action in accordance

with APM-150. The proposed terms of the notice of intent shall be reviewed by the Chancellor's designee for approval.

Following the provision of a notice of intent, corrective action or termination will be implemented in accordance with APM-150. The terms of the implemented action and its rationale will be promptly communicated to both the complainant and the respondent.

**C. Timeframe for Implementation of Decision; Extension for Good Cause**

The supervisor or other appropriate administrative authority should implement their approved decision promptly, typically within forty (40) business days of receipt of the notice of investigation outcome and accompanying investigation report. If the matter has not been otherwise resolved within forty (40) business days, a notice of intent will be issued.

Extensions to this timeline may be granted by the Chancellor's designee for good cause with written notice to the complainant and the respondent stating the reason for the extension and the projected new timeline.

**VI. PROCESS FOLLOWING ACTION TAKEN**

The below provisions apply when a respondent is found in violation of the SVSH Policy following a Formal Investigation, or following a hearing and/or any appeal (per Section IV.B and Section IV.C of the DOE Addendum) in a DOE Grievance Process.

In the event that a PPSM-covered respondent submits a complaint under [PPSM-70](#), or a non-faculty academic appointee respondent submits a grievance under [APM-140](#), the Chancellor's designee will ensure that both the complainant and the respondent receive regular updates regarding the status of the complaint or grievance.

The complainant may follow processes appropriate to their own personnel or student policies.

Subsequent to any final decision, the Chancellor's designee will promptly inform the complainant and the respondent of the decision, including any final decision on discipline, and its rationale.

**DOE ADDENDUM  
TO INVESTIGATION AND ADJUDICATION FRAMEWORK  
FOR STAFF AND NON-FACULTY ACADEMIC PERSONNEL**

**INTRODUCTION**

In general, the Staff and Non-Faculty Academic Personnel Framework (“Framework”) applies to both DOE-Covered Conduct and other Prohibited Conduct. Special provisions that apply to specifically to DOE-Covered Conduct are described below.

**I. REPORTING AND RESOURCES (Stage 0)**

Reporting options and resources are as described in corresponding numbered section in the Framework.

**II. INITIAL ASSESSMENT (Stage 1)**

The initial assessment, including Supportive Measures and written rights and options are as described in the corresponding numbered section of the Framework. The additional provision below on Dismissal of Formal Complaints is specific to DOE-Covered Conduct.

**A. Supportive Measures**

Supportive measures are as described in the corresponding numbered section of the Framework.

**B. Written Rights and Options**

Written rights and options are as described in the corresponding numbered section of the Framework.

**C. Required Dismissal**

The Title IX Officer must “dismiss” allegations in a DOE Formal Complaint if:

- they determine during the Initial Assessment that the alleged conduct, even if true, is not DOE-Covered Conduct, as defined in the SVSH Policy, or
- they determine during the investigation that the alleged conduct, even if true, did not occur in a University program or activity or that the Complainant was not in the United States at the time.

The Title IX Officer will then proceed as described in the *SVSH Policy* Appendix IV, Section C. Dismissal means the Title IX Officer will no longer consider the allegations DOE-Covered Conduct; it does not necessarily mean the Title IX Officer will close the matter. Rather, the Title IX Officer will decide whether and how to continue resolution of the dismissed allegations. See *SVSH Policy*, Appendix IV, Section C.



### **III. INVESTIGATING AND RESOLVING REPORTS OF PROHIBITED CONDUCT (Stage 1)**

The investigation and resolution of reports, including Alternative Resolution and Investigation, are described in the corresponding numbered section of the Framework

If the Title IX Officer determines during the investigation that they must dismiss any allegations in a DOE Formal Complaint per Section II.C., above, they will proceed as described in the *SVSH Policy* Appendix, Section C.

### **IV. ASSESSMENT AND CONSULTATION (Stage 2)**

The assessment and consultation is as described in the corresponding numbered section of the Framework.

In DOE-Covered Conduct cases, after the assessment and consultation described in Stage 2 of the Framework, the Chancellor or Chancellor's designee will inform Staff Human Resources or the Academic Personnel Office, and Title IX Officer, of the proposed decision and its rationale, and the Staff Human Resources or Academic Personnel Office or Title IX Officer (whichever the campus designates) will notify the parties. The parties will receive this notice within 15 business days of the notice of investigative findings and determination or preliminary determination.

Sections IV.A. (Opportunity to Accept the Preliminary Determination) and IV.B (Prehearing and Hearing), below, apply to all DOE Grievance Process cases except those alleging No-Title IX Hearing DOE-Covered Conduct. Section IV.C (Appeal of Determination) applies to all DOE Grievance Process cases, including those alleging No-Title IX Hearing DOE-Covered Conduct.

#### **IV.A. OPPORTUNITY TO ACCEPT THE PRELIMINARY DETERMINATION (Stage 2.A)**

Unless both parties accept the preliminary determination and proposed resolution, there will be a fact-finding hearing to determine whether the SVSH Policy was violated.

##### **A. Accepting the Preliminary Determination**

##### **1. Timeline**

Either party may accept the preliminary determination and proposed resolution within 20 business days of the notice of investigative findings and preliminary determination. Unless both parties accept the preliminary determination and proposed resolution within this time period, then the matter will proceed to a hearing to determine if a policy violation occurred.

##### **2. Written Acceptance**

A party may accept the preliminary determination by providing Staff Human Resources or the Academic Personnel Office, or the Title IX Officer (whichever the campus designates) with a written acknowledgment stating that the party

accepts the preliminary determination and any proposed resolution, and wishes not to proceed with a hearing.

3. Final Decision Following Acceptance

If both parties provide the written acknowledgment during the 20 business days, then the preliminary determination regarding policy violation(s) becomes final, and the respondent's supervisor or appropriate administrative authority will impose the proposed resolution, including any discipline or corrective measures. The parties do not have the opportunity to appeal the final decision following their acceptance of the preliminary determination, nor complain under PPSM-70 (for a PPSM-covered respondent), submit a grievance under APM-140 (for a non-faculty academic appointee respondent), or submit a grievance under a collective bargaining agreement (for represented employee respondents).

**B. Notice of Hearing or No Hearing**

1. Notice of Hearing

Unless both parties accept the preliminary determination by the end of the 20 business days, Staff Human Resources or the Academic Personnel Office, or the Title IX Officer (whichever the campus selects), will notify the parties that there will be a hearing. The notice of hearing will include a summary of the hearing procedures described in Section IV.C.

2. Notice of No Hearing

If both parties accept the preliminary determination, Staff Human Resources or the Academic Personnel Office, or the Title IX Officer (whichever the campus selects), will notify the parties that there will be no hearing. This notice will indicate that the Title IX investigator's preliminary determination as to policy violation(s) is final, and that the respondent's supervisor or other appropriate administrator is imposing the proposed resolution (if any).

If the resolution includes corrective action, the University will issue any applicable Notice of Intent as described in Section V.A.3 and Section V.B.3 of the Framework.

**IV.B PREHEARING AND HEARING (Stage 2.B)**

**A. Fact-finding Hearing**

Unless both parties accept the investigator's preliminary determinations, there will be a fact-finding hearing before a single hearing officer. The hearing is to determine whether a violation of the SVSH Policy occurred. The University's role in the hearing is neutral. The University will consider the relevant evidence available, including relevant evidence presented by the parties, in order to make factual findings and determine whether a policy violation occurred.

**B. Hearing Officer**

1. Overview

The hearing officer may be a University employee or outside contractor, and may not be the same person as the Title IX Officer or the investigator. Regardless, they will be appropriately trained, with such training coordinated by the Title IX Officer.

2. Bias and Conflict of Interest

The hearing coordinator will inform the parties of the hearing officer's identity. Within 5 business days after the notification, the parties may request the hearing officer's disqualification on the basis of bias or conflict of interest.

- a. For example, involvement in the case or knowledge of the allegations at issue prior to being selected as the hearing officer, or a close personal relationship with a party or expected witness in the proceeding could, depending on the circumstances, warrant disqualification of the hearing officer.
- b. Employment by the University, or prior work for the University as a contractor, on its own, does not warrant disqualification.
- c. The hearing officer's gender, gender identity, race, ethnicity, religion, sexual orientation or similar identifying characteristic, or the fact that they differ from those of any party, do not, on their own, warrant disqualification.

3. Disqualification Decision

Staff Human Resources or the Academic Personnel Office will decide any request for disqualification of the hearing officer and inform both parties of their decision and, if they determine to change hearing officers, the name of the new hearing officer.

**C. Hearing Coordinator**

Each hearing will have a hearing coordinator, distinct from the hearing officer, who will manage the administrative and procedural aspects of the hearing.

**D. Pre-Hearing Procedures**

1. Meeting with Parties

The hearing officer and hearing coordinator will hold a separate meeting (in person or remotely) with each party, to explain the hearing process, address questions, begin to define the scope of the hearing, and address other issues to promote an orderly, productive and fair hearing.

- a. The hearing coordinator will provide written notice to each party of their prehearing meeting, including time, location (or if remote, call instructions), and purpose of the meeting, at least 10 business days before the pre-hearing meeting.
- b. No later than 5 business days before the pre-hearing meeting, each party will submit to the hearing officer a preliminary statement of what issues, if any,

each considers to be disputed and relevant to the determination of whether a policy violation occurred, and the evidence they intend to present on each issue, including all documents to be presented, the names of all requested witnesses, and a brief summary of such witnesses' expected testimony. The parties will later have an additional opportunity to submit proposed evidence, see Section 5 below.

- c. At the pre-hearing meeting, the hearing officer and party will discuss the evidence the party has provided, to help identify and refine the issues to be decided at the hearing, which will inform the hearing officer's determination of the scope of the hearing.
- d. Each party should also come to the pre-hearing meeting prepared to schedule dates for the hearing.
- e. The hearing officer and/or coordinator will explain what to expect at the hearing, see Section E below.
- f. The hearing officer and/or coordinator will discuss measures available to protect the well-being of parties and witnesses at the hearing, as appropriate. These may include, for example, use of lived names and pronouns during the hearing, including in screen names; a party's right to have their support person available to them use at all times during the hearing; a hearing participant's ability to request a break during the hearing, except when a question is pending.
- g. The hearing officer and/or coordinator will inform the parties that the hearing will be conducted remotely. If a party believes that they need a University-provided physical space or technological equipment or assistance to participate remotely – for example, because of safety or privacy concerns, or a disability - they may request such resources of the hearing coordinator during the prehearing meeting. The hearing coordinator will respond to any such request in writing within five business days of the hearing meeting.
- h. The parties and their advisors, if they have one, are required to participate in the pre-hearing meeting.
- i. If a party does not participate in the pre-hearing meeting (or does not let the hearing coordinator know they need to reschedule in advance), the hearing coordinator will notify the party that they have 2 business days to contact the hearing coordinator to reschedule. Absent extenuating circumstances, if the party does not contact the hearing coordinator within the 2 business days, the hearing will proceed but the non-participating party will be presumed to agree with the hearing officer's definition of the scope of the hearing.

2. Scope of Hearing

Within 5 business days after concluding meetings with both parties (or determining that a party has decided not to participate in the pre-hearing process), the hearing officer will determine what issues are disputed and relevant to the determination of whether a policy violation(s) occurred, and will notify the parties of the scope of the issues to be addressed at the hearing and the expected witnesses. The hearing officer has discretion to grant or deny, in whole or part, the parties' requests for witnesses on the basis of relevance. The hearing officer's determination of scope may include issues, evidence, and witnesses that the parties themselves have not provided.

Throughout the pre-hearing process, including in the notice of scope of hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and implement the evidentiary principles and procedural requirements in Section III.B.3;
- b. Decide any procedural issues for the hearing; and/or
- c. Make any other determinations necessary to promote an orderly, productive, and fair hearing that complies with the rules of conduct.

3. Submission of Additional Information

Within 5 business days after receiving the hearing officer's definition of scope, the parties may then submit additional information about the evidence, including witness testimony, that they would like to present.

4. Notice of Hearing

Not less than 10 business days before the hearing, the hearing coordinator will send a written notice to the parties informing them of the hearing date, time, location, and procedures.

5. Witness Participation

The hearing coordinator will ensure that the Title IX investigator (or if not available, a representative from that office) will be available to testify during the hearing. Testimony by the Title IX investigator may be appropriate to help resolve disputes about the authenticity of evidence summarized in the investigation report and at issue at the hearing, or whether the investigator accurately memorialized a party's or witness's statement in the investigation. The Title IX investigator should not be questioned about their assessment of party or witness credibility, nor the investigative process generally, nor their preliminary determination of whether policy violations occurred, because the hearing officer will make their own credibility determinations and determination of policy violation(s) so this information would not be relevant. Based on the hearing

officer's determination, the hearing coordinator will request the attendance of all witnesses whose testimony is determined to be within the scope of the hearing.

6. Confirmation of Scope, Evidence, and Witnesses

At least 2 business days prior to the hearing, the parties will receive the hearing officer's confirmation of scope and evidence; copies of all the evidence that will be considered at the hearing that the hearing officer has received, including the investigation file (consisting of the investigation report and any evidence deemed directly related by the investigator, as documented in the investigation report) and any other documents that will be considered; the names of expected witnesses and a summary of their expected testimony. If the hearing officer has excluded evidence (including witness testimony) that a party has requested to present, they will explain why that evidence was not relevant. The hearing officer will also notify the parties of any procedural determinations they have made regarding the hearing. This material will also be provided to the Title IX Officer.

7. Submission of Questions

The parties are encouraged to submit any questions for the other party and any expected witnesses to the hearing coordinator before the hearing, but will not be limited to those questions at the hearing. These questions will not be shared with the other party or witnesses.

8. Advisor Participation and Provision by University

At any point before the hearing, if a party anticipates that they will not have an advisor available at the hearing to ask their questions for them, they should let the hearing coordinator know, to allow the University to plan for assigning the party a person ask the party's questions at the hearing ("Reader"). Even without notice or during a hearing in progress, however, the University will provide such a resource if a party does not have one. If any party does not have an advisor available at the hearing for the purpose of asking their questions for them, the hearing coordinator will assign a person to fulfill the sole and specific function of asking the party's questions (and not of serving as their advisor more generally), without cost to the party.

**E. Hearing Procedures**

1. Advisors and Support Persons

The parties may have their advisors present throughout the hearing. They may also have a support person present throughout the hearing.

2. Rules of Conduct

The hearing will be conducted in a respectful manner that promotes fairness and accurate fact-finding and that complies with the rules of conduct. The parties and witnesses will address only the hearing officer, and not each other. Only the hearing officer and the parties' advisors may question witnesses and parties.



3. Virtual Hearing

The hearing will be conducted remotely with any modification the hearing coordinator has made in response to a party's request for assistance, see Section D.1.f above.

4. Hearing Evidence and Procedures

Courtroom rules of evidence and procedure will not apply. The hearing officer will generally consider, that is rely on, all evidence they determine to be relevant and reliable. The hearing officer may determine and weigh the relevance and weigh the value of any witness testimony or other evidence to the findings, subject to Section F.1 below. The hearing officer will also follow the evidentiary principles and procedural requirements in Section III.B.3 of the Framework. Throughout the hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and require rephrasing of questions that violate the rules of conduct,
- b. Decide any procedural issues for the hearing, and/or
- c. Make any other determinations necessary to promote an orderly, productive, and fair hearing.

5. Access to Witnesses

Parties will be able to see and hear (or, if deaf or hard of hearing, to access through auxiliary aids and services) all questioning and testimony at the hearing, if they choose to. Witnesses (other than the parties) will attend the hearing only for their own testimony.

6. Questioning at the Hearing

The hearing officer may ask questions of all parties and witnesses that are relevant, including those that are relevant to assessing credibility. Each party's advisor may ask questions of the other party and witnesses that are relevant, including those that are relevant to assessing credibility. As noted in Section D.8 above, the University will assign a person for the purpose of asking a party's questions whenever a party does not have an advisor at the hearing.

The hearing officer will determine the order of questioning of the parties and witnesses. For each party or witness, the hearing officer will ask their own questions first.

Each party will prepare their questions, including any followup questions, for the other party and witnesses, and will provide them to their advisor. The advisor will ask the questions as the party has provided them, and may not ask questions that the advisor themselves have developed without their party.

If a party does not attend the hearing, the hearing will still proceed, and they may still have their advisor - or if they do not have one, a University-assigned Reader – ask the questions that they have prepared.

When a party's advisor is asking questions of the other party or a witness, the hearing officer will determine whether each question is relevant before the party or witness answers it and will exclude any that are not relevant or unduly repetitive, and will require rephrasing of any questions that violate the rules of conduct. If the hearing officer determines that a question should be excluded as not relevant, they will explain their reasoning.

At any time, the hearing officer may ask follow-up questions of the parties.

Parties are allowed to note, in writing only, any objections to questions posed at the hearing: they will do so by keeping a running written record of any objections during the hearing, and they may not object to questions by speaking. Only at the conclusion of the hearing will parties provide the record of their objections, if any, to the hearing officer, for inclusion in the record.

Any expert witnesses identified during the investigation, see Section III.B.3.c of the Framework, will be subject to these same questioning procedures.

7. Investigation File

The investigation file will be entered as evidence at the hearing. The hearing officer generally will rely on any finding in the report that is not disputed.

8. Impact of Selective and Non-Participation

The Hearing Officer will not draw adverse inferences from a party's decision to not participate in the hearing, or to remain silent during the hearing. However, they may consider a party's selective participation - such as choosing to answer some but not all questions posed, or choosing to provide a statement only after reviewing the other evidence gathered in the investigation – when assessing credibility.

9. Well-Being Measures

The hearing officer will implement measures they deem appropriate to protect the well-being of parties and witnesses. For example, the hearing officer will allow separation of the parties, breaks, and the attendance of support persons in accordance with these procedures.

10. Visual Separation

The hearing officer will allow the parties and/or witnesses to be visually separated during the hearing except as noted in paragraph 5 above. This may include, but is not limited to, videoconference and/or any other appropriate technology. To assess credibility, the hearing officer must have sufficient access to the

Complainant, Respondent, and any witnesses presenting information; if the hearing officer is sighted, then the hearing officer must be able to see them.

11. Presentation of Evidence

The parties will have the opportunity to present the evidence they submitted, subject to any exclusions determined by the hearing officer. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the hearing officer has discretion to accept or exclude additional evidence presented at the hearing. The parties are expected not to spend time on undisputed facts or evidence that would be duplicative.

12. Recording

The University will audio record the hearing and make the recording available for the parties' review at their request.

**F. Determination of Policy Violation**

1. Standards for Deliberation

The hearing officer will decide whether a violation of the SVSH Policy occurred based on a Preponderance of Evidence standard.

2. Information Considered

The hearing officer will take into account the investigative file and the evidence presented and accepted at the hearing. The evidentiary principles in Section III.B.3.c also apply. On any disputed and material issue, the hearing officer should make their own findings and credibility determinations based on all of the evidence before them.

**G. Notice of Determination**

Within 15 business days of the hearing, the hearing coordinator will send written notice to the complainant and respondent (with a copy to the Title IX Officer) setting forth the hearing officer's determination on whether the SVSH Policy has been violated. The written notice will include the following:

1. A summary of the allegations that would constitute a violation of the SVSH Policy;
2. The determinations of whether the SVSH Policy has been violated;
3. A statement that the Title IX Officer will determine whether complainant will be provided additional remedies, and will inform the complainant of that determination;
4. A description of the procedural history of the complaint;

5. The findings on each disputed, material fact and an analysis of the evidence supporting the findings;
6. A summary of the facts found by the investigator that the parties did not dispute;
7. The rationale for the determination of each charge;
8. If the hearing officer determines that DOE-Covered Conduct did not occur, an analysis of whether other charged conduct, including other SVSH Policy violations, occurred;
9. An admonition against retaliation;
10. A statement of the right to appeal, grounds and timeframe for the appeal, the office to which the appeal must be submitted, and the procedure that the University will follow in deciding the appeal;
11. An explanation that both the parties will receive a copy of any appeal submitted in accordance with these procedures;
12. A description of the process for deciding whether and what discipline to impose if the final determination (following any appeal) is that the respondent violated the SVSH Policy, and a statement that both parties will be informed of the final resolution of the matter; and
13. A statement indicating the supervisor or other appropriate administrative authority will determine whether further investigation by another body is necessary to determine whether violations of other policies occurred, separate from any allegations of Prohibited Conduct that were investigated under the SVSH Policy.

#### **H. Documentation of Hearing**

Throughout the pre-hearing and hearing process, the hearing coordinator will document the process's compliance with the procedures (including timeframes) in this section. After the notice of policy violation determination has been finalized, the hearing coordinator will provide this documentation, along with all documents relating to the hearing, and the recording of the hearing, to the Title IX Officer.

#### **IV.C APPEAL OF DETERMINATION (Stage 2.C)**

The Complainant and Respondent have an equal opportunity to appeal the policy violation determination(s). The University administers the appeal process, but is not a party and does not advocate for or against any appeal.

##### **A. Grounds for Appeal**

A party may only appeal on the grounds described in this section.

1. In cases of No-Title IX Hearing DOE-Covered Conduct:
  - a. There was procedural error in the investigation process that materially affected the outcome; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;

- b. There is new evidence that was not reasonably available at the time of the investigation that could have materially affected the outcome; and/or
  - c. The investigator or Title IX Officer had a conflict of interest or bias that affected the outcome. The principles in Section IV.B.(B)(2) related to hearing officers apply here to investigators and Title IX Officers.
2. In all other cases:
- a. There was procedural error in the hearing process that materially affected the outcome; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;
  - b. There is new evidence that was not reasonably available at the time of the hearing that could affect the outcome; and/or
  - c. The hearing officer had a conflict of interest or bias that affected the outcome. See the principles in Section IV.B.B.2.

The appeal should identify the reason(s) why the party is challenging the outcome on one or more of the available grounds.

#### **B. Commencing an Appeal**

An appeal must be submitted to the hearing coordinator within 20 business days following issuance of the investigation outcome (in cases of No-Title IX Hearing DOE-Covered Conduct) or of the notice of the hearing officer's determination (in all other cases). The appeal must identify the ground(s) for appeal and contain specific arguments supporting each ground for appeal. The Title IX Officer will notify the other party of the basis for the appeal and that the other party can submit a written statement in response to the appeal within 3 business days, and supporting documentation from the other party as appropriate.

#### **C. Standards for Deliberation**

The appeal officer will decide whether the appealing party has proven the asserted ground(s) for appeal. They will only consider the evidence presented during the investigation (in No-Title IX Hearing DOE-Covered Conduct cases) or at the hearing (in all other cases), the investigation file, and the appeal statements of the parties. They will not make their own factual findings, nor any witness credibility determinations.

#### **D. Decision by Appeal Officer**

The appeal officer, who will be an unbiased person without prior involvement in the case or personal relationship with the parties, may:

- 1. Uphold the findings;
- 2. Overturn the findings;
- 3. Modify the findings; or

4. In appeals alleging material procedural error or new evidence, send the case back to the investigator (in No-Title IX Hearing DOE-Covered Conduct cases) or hearing officer (in all other cases) for further fact-finding if needed, for example on the issue of whether the alleged error, new evidence, would have materially affected the outcome.

#### **E. Written Report**

The appeal officer will summarize their decision in a written report that includes the following:

1. A statement of the grounds identified on appeal;
2. A summary of the information considered by the appeal officer; and
3. The decision of the appeal officer and the rationale for the decision including, where the findings are overturned or modified, an explanation of how the procedural error materially affected the outcome.

#### **F. Distribution of Written Decision**

Within 10 business days of receiving the appeal, the appeal officer will send their written decision to complainant and respondent, with a copy to the Title IX Officer.

1. Unless the appeal officer remands the matter, they will inform the respondent and the complainant that the matter is closed with no further right to appeal.
2. If the appeal officer remands the matter, they will specify what further fact-finding should occur or what additional information should be considered and request that the investigator or hearing officer report back to the appeal officer on their additional fact-finding. After receiving the investigator or hearing officer's (whichever applies) additional factual findings, the appeal officer will issue their decision within 10 business days. This decision will be final.

### **IV.D ADDITIONAL ASSESSMENT AND CONSULTATION (Stage 2.D)**

Once any appeal is final or the period for submitting an appeal has lapsed, the Title IX Officer will send the final finding and determination to the respondent's supervisor or appropriate administrative authority, with a summary explanation of any difference between the investigator's determination or preliminary determination (whichever applies) and the final determination and findings.

The respondent's supervisor or appropriate administrative authority has the authority and responsibility to propose and implement any responsive action. The supervisor or other appropriate administrative authority may determine that additional investigation is required to determine whether violations of other policies occurred, but will not reconsider the findings and determinations regarding SVSH Policy violations made through the hearings and any appeal.



If the final finding is that a respondent is responsible for violating the SVSH Policy, then the respondent's supervisor or other appropriate administrative authority will, if they did not already do so, consult with the Title IX Officer as described in *Assessment and Consultation (Stage 2)* of the Framework. If the Respondent's supervisor or appropriate administrative authority already took this step (because the investigator determined or preliminarily determined the respondent violated the SVSH Policy), then they may but are not required to repeat it before proposing a resolution (for example, when the finding following any hearing or appeal is different from the investigator's determination or preliminary determination). The Respondent's supervisor or other appropriate administrative authority will propose a decision regarding how to resolve the matter. The proposal must be submitted to the Chancellor's designee for review and approval.

In the event the Chancellor's designee does not approve the proposed decision, they will send it back to the supervisor or other appropriate administrative authority for reconsideration and submission of a revised proposed decision.

In the event the Chancellor's designee approves the proposed decision, they will inform the supervisor or other appropriate administrative authority who will take steps to implement the approved decision.

This proposal and approval process will occur in all cases where the final outcome is a finding that the Respondent violated the SVSH Policy. Staff Human Resources or the Academic Personnel Office will be consulted throughout the process. Additionally, the Chancellor's designee will consult with the campus Title IX Officer on the appropriateness of the proposed decision before approving or disapproving it.

## **V. CORRECTIVE ACTION (Stage 3)**

### **A. PPSM Covered Staff**

Following final adjudication in the hearing and appeal processes described above, the Respondent's supervisor will implement the approved decision in accordance with applicable PPSMs, including PPSM-62 and PPSM-64. The options for resolving the matter and implementation processes are described in Section VI.A ("PPSM-Covered Staff: Decision Approval and Implementation") of the Framework.

### **B. Non-Faculty Academic Personnel: Decision Approval and Implementation**

Following final adjudication in the hearing and appeal processes described above, the Respondent's supervisor or other appropriate administrative authority will implement the approved decision in accordance with APM-150. The options for resolving the matter and implementation processes are described in Section VI.B ("Non-Faculty Academic Personnel: Decision Approval and Implementation") of the Framework.

### **C. Timeframe for Implementation of Decision; Extension for Good Cause**

The supervisor or other appropriate administrative authority should implement their approved decision promptly, typically within forty (40) business days of receipt of the notice of investigation outcome and accompanying investigation report. If the matter

has not been otherwise resolved within forty (40) business days, a notice of intent will be issued.

Extensions to this timeline may be granted by the Chancellor's designee for good cause with written notice to the complainant and the respondent stating the reason for the extension and the projected new timeline.

## **VI. PROCESS FOLLOWING ACTION TAKEN**

In the event that a PPSM-covered respondent submits a complaint under [PPSM-70](#), or a non-faculty academic appointee respondent submits a grievance under [APM-140](#), the Chancellor's designee will ensure that both the complainant and the respondent receive regular updates regarding the status of the complaint or grievance.

The complainant may follow processes appropriate to their own personnel or student policies.

Subsequent to any final decision, the Chancellor's designee will promptly inform the complainant and the respondent of the decision, including any final decision on discipline, and its rationale.

Such complaints and grievances are not available in cases in which the parties accept the investigator's preliminary determination.

## **Appendix H**

**Investigation and Adjudication Framework for  
Senate and Non-Senate Faculty Senate or  
Non-Senate Faculty Respondents**

## INTRODUCTION

Consistent with the UC Policy on Sexual Violence and Sexual Harassment (“SVSH Policy”), the following describes the University’s process for investigating and adjudicating alleged violations of the SVSH Policy in instances where the respondent is a University faculty member whose conduct is governed by Section 015 of the Academic Personnel Manual ([APM-015](#)), The Faculty Code of Conduct (“Code of Conduct”).

The Title IX regulations issued by the US Department of Education (“DOE”) that went into effect August 14, 2020 require the University to follow a specific grievance process (“DOE Grievance Process”) in response to conduct covered by the regulations (“DOE-Covered Conduct”). The University advocated strongly for DOE to change some components of the DOE Grievance Process before issuing the regulations; DOE did not. Because compliance with the regulations is a condition of federal funding, the University has revised its policies to fully implement them. The Title IX Officer will determine during their initial assessment of a report whether it alleges DOE-Covered Conduct and, if so, whether to open a DOE Grievance Process. Alleged conduct is DOE-Covered Conduct if it is a type of misconduct covered by the regulations (“DOE Sex-Based Misconduct”) that occurred in a University program or activity while the complainant was in the United States. This assessment is described in detail in Appendix IV of the SVSH Policy. The following, read with the attached [DOE Addendum](#), describes the process for investigating and adjudicating alleged violations of the SVSH Policy that include DOE-Covered Conduct.

A flow chart illustrating the processes for complaints against Academic Senate faculty can be found in Attachments 1 and 1.A. A flow chart illustrating the processes for complaints against non-Senate faculty can be found in Attachments 2 and 2.A.

These documents should be read in conjunction with the SVSH Policy, as well as applicable [APM provisions](#), including [APM-015](#), [APM-016](#) (University Policy on Faculty Conduct and the Administration of Discipline), and [APM-150](#) (Non-Senate Appointees/Corrective Action and Dismissal), and applicable [Senate Bylaws](#), including Senate Bylaw 336 (procedures for disciplinary hearings) and Senate Bylaw 335 (procedures for considering grievances). The documents also incorporate recommendations issued by the Joint Committee of the Administration and the Senate.

Applicable definitions can be found in the SVSH Policy and are incorporated herein. Other definitions can be found in applicable APMs and Senate Bylaws and are incorporated herein.

The SVSH Policy is available at <http://policy.ucop.edu/doc/4000385/SVSH>. The Faculty Code of Conduct (APM-015) is available at [http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-015.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-015.pdf). APM-016 is available at [http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-016.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-016.pdf). APM-150 is available at [http://ucop.edu/academic-personnel-programs/\\_files/apm/apm-150.pdf](http://ucop.edu/academic-personnel-programs/_files/apm/apm-150.pdf). All provisions of the APM are accessible at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/general-university-policy-regarding-academic-appointees/index.html>.

## **I. REPORTING OPTIONS AND RESOURCES (Stage 0)**

These reporting options and resources are available for any conduct prohibited by the SVSH Policy (“Prohibited Conduct”), including DOE-Covered Conduct.

### **A. Reporting Options**

Any person may make a report, including anonymously, of Prohibited Conduct to the Title IX Office. The Title IX Office is responsible for receiving and responding to reports of Prohibited Conduct.

A person may also make a report to a Responsible Employee as defined by the SVSH Policy. The SVSH Policy requires a Responsible Employee who becomes aware of an incident of Prohibited Conduct to report it to the University by contacting their location’s Title IX Officer or designee.

While there is no time limit for reporting, reports of Prohibited Conduct should be brought forward as soon as possible.

A complainant may choose to make a report to the University and may also choose to make a report to law enforcement. A complainant may pursue either or both of these options at the same time. Anyone who wishes to report to law enforcement can contact the UC Police Department.

### **B. Confidential Resources**

The University offers access to confidential resources for individuals who have experienced Prohibited Conduct and are seeking counseling, emotional support or confidential information about how to make a report to the University. Confidential Resources are defined pursuant to the SVSH Policy and include individuals who receive reports in their confidential capacity such as advocates in the [CARE Office](#), as well as licensed counselors (e.g., Employee Assistance Program (EAP) and Counseling and Psychological Services (CAPS)), and Ombuds.

These employees can provide confidential advice and counseling without that information being disclosed to the Title IX Office or law enforcement, unless there is a threat of serious harm to the individual or others or a legal obligation that requires disclosure (such as suspected abuse of a minor).

## **II. INITIAL ASSESSMENT (Stage 1)**

Upon receipt of a report of or information about alleged Prohibited Conduct, the Title IX Officer will make an initial assessment in accordance with the SVSH Policy, which shall include making an immediate assessment concerning the health and safety of the complainant and the campus community.

The Title IX Officer will also determine:

- whether the alleged conduct is DOE-Covered Conduct, other Prohibited Conduct, or a combination, and

- if the alleged conduct is DOE-Covered Conduct, whether it arose outside the University's postsecondary program, meaning in the context of: (i) the Respondent providing patient care to the Complainant or a person in the Complainant's charge, (ii) a program or activity provided for the benefit of minors, including elementary and secondary schools, and the Complainant is a beneficiary, (iii) a program or activity provided for the benefit of people with intellectual disabilities (such as the UC Davis SEED Scholar program), and the Complainant is a beneficiary, or (iv) a program or activity of Agricultural and Natural Resources or Lawrence Berkeley National Laboratory ("No-Title IX Hearing" DOE-Covered Conduct).

These determinations affect the steps in the adjudication process that precedes decisions on sanctions, if there is one. The process for Prohibited Conduct that is not DOE-Covered Conduct does not include a hearing or appeal, the process for No-Title IX Hearing DOE-Covered Conduct does not include a hearing but may include an appeal, and the process for all other DOE-Covered Conduct may include both a hearing and an appeal.

The initial assessment process described below is for all reports of Prohibited Conduct, including DOE-Covered Conduct. A special dismissal provision that applies specifically to complaints of DOE-Covered Conduct is in the [DOE Addendum](#).

#### **A. Supportive Measures**

The University will also consider and implement Supportive Measures, including Interim Measures, as appropriate to protect the safety of the parties or the University community; to restore or preserve a party's access to a University program or activity; or to deter Prohibited Conduct per the SVSH Policy.

Involuntary leave of a Senate faculty respondent may be imposed in accordance with APM-016. Investigatory leave of a non-Senate faculty respondent may be imposed in accordance with APM-150.

#### **B. Written Rights & Options**

The Title IX Officer will ensure that the complainant, if their identity is known, is provided a written explanation of rights and available options as outlined in the SVSH Policy, including:

1. How and to whom to report alleged violations;
2. Options for reporting to and/or notifying law enforcement and campus authorities;
3. Information regarding confidential resources;
4. The rights of complainants regarding orders of protection, no contact orders, restraining orders, or similar lawful orders issued by criminal or civil courts;
5. The importance of preserving evidence that may assist in proving that a criminal offense occurred or in obtaining a protection order;



6. Counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, and other services available both within the institution and the community;
7. Options for, and available assistance to, a change to academic, living, transportation, and working situations, if the complainant requests and if such options are reasonably available—regardless of whether the complainant chooses to report alleged conduct to law enforcement; and
8. The range of possible outcomes of the report, including Supportive and Remedial Measures and disciplinary actions, the procedures leading to such outcomes, and their right to make a DOE Formal Complaint.

### **III. INVESTIGATING AND RESOLVING REPORTS OF PROHIBITED CONDUCT (Stage 1)**

The below provisions for investigation and resolution of reports cover investigations of DOE-Covered Conduct and other Prohibited Conduct. Provided the University has sufficient information to respond, and in accordance with the SVSH Policy, the University may resolve reports of alleged Prohibited Conduct by respondents covered by this Framework through Alternative Resolution, Formal Investigation, or a DOE Grievance Process. Throughout the resolution process, the complainant and the respondent may be accompanied by an advisor. In addition, the University will offer to provide support services for the complainants and for the respondents. The Title IX Office will consider requests from parties and witnesses for language interpretation and, in consultation with the campus disability management office when appropriate, for disability-related accommodations.

#### **A. Alternative Resolution**

After a preliminary inquiry into the facts, if the complainant and respondent agree in writing, the Title IX Officer may initiate an Alternative Resolution in accordance with the [SVSH Policy](#). Alternative Resolution is not available when the complainant is a student or patient and the respondent is an employee.

#### **B. Investigation**

In cases where Alternative Resolution is inappropriate or unsuccessful, the Title IX Officer may conduct an investigation per the Formal Investigation or DOE Grievance Process provisions in the SVSH Policy.

When the University opens an investigation of allegations of DOE-Covered Conduct and other Prohibited Conduct that arise out of the same facts or circumstances, it will address all allegations together through the DOE Grievance Process procedures. When the investigation includes allegations of both No-Title IX Hearing DOE-Covered Conduct and other DOE-Covered Conduct that arise out of the same facts or circumstances, the University will address all allegations together through the full DOE Grievance Process, including reaching preliminary determinations and providing parties the right to a hearing.

## **1. Notification to Chancellor**

The Title IX Officer will notify the Chancellor and the Chancellor's designee when a Formal Investigation or DOE Grievance Process is commenced against a faculty respondent. The Title IX Officer will be sensitive in their communication to protect the neutrality of the Chancellor and the Chancellor's designee, as well as the privacy of the complainant and the respondent.

Thereafter, the Title IX Officer will regularly communicate with the Chancellor and the Chancellor's designee regarding the status of the Formal Investigation or DOE Grievance Process.

## **2. Notice of Investigation**

When a Formal Investigation or DOE Grievance Process will be conducted, the Title IX Office will send written notice of the charges to the complainant and respondent.

The written notice will be sent at least three business days before a party's requested interview date, to allow sufficient time for the party to prepare for the interview. The notice will include:

- a. A summary of the allegations and potential violations of the SVSH Policy;
- b. The identities of the parties involved;
- c. The date, time, and location of the reported incident(s) (to the extent known);
- d. The specific provisions of the SVSH Policy potentially violated;
- e. A statement that the investigative report, when issued, will make factual findings and a determination (in a Formal Investigation or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct) or preliminary determination (in any other DOE Grievance Process) whether there has been a violation of the SVSH Policy;
- f. A statement that the parties will each have an opportunity during the investigation to propose questions for the investigator to ask of the other party and witnesses;
- g. A statement that the parties will each have an opportunity, before the completion of the investigation, to review all the evidence submitted that is directly related – a standard broader than relevance - to whether a policy violation occurred;
- h. A statement that the findings under the SVSH Policy will be based on the preponderance of the evidence standard and that a finding of a violation of the SVSH Policy will establish probable cause under APM-015;
- i. A statement that a determination of whether a policy violation has occurred will only be made after an investigation or hearing (if required) and therefore there is, at the outset, no presumption that the respondent is responsible for a policy violation;
- j. When applicable, a statement that if it is determined or preliminarily determined that a DOE-Covered Conduct violation did not occur, the investigator will still make a determination or preliminary determination of whether other violations of the SVSH Policy occurred;

- k. A summary of the Title IX and faculty discipline process, including the expected timeline;
- l. A summary of the rights of the complainant and respondent, including the right to an advisor of their choosing, who may be any person, including an attorney, who is not otherwise a party or a witness;
- m. A description of the resources available to complainant and respondent; and
- n. An admonition against intimidation or retaliation.

At any point during the investigation, the Title IX Officer may amend the notice to add additional charges identified during the investigation. Any amended notice should include all the information described above.

### **3. Investigative Process**

The Title IX Officer will designate an investigator to conduct a fair, thorough, and impartial investigation.

#### **a. Overview:**

During the investigation, the complainant and the respondent will be provided an equal opportunity to meet with the investigator, submit information, identify witnesses who may have relevant information, and propose questions for the investigator to ask the other party and witnesses. Any evidence available to but not disclosed by a party during the investigation might not be considered at a subsequent hearing.

The investigator will meet separately with the complainant, the respondent, and the third party witnesses who may have relevant information, and will gather other available and relevant information. The investigator may follow up with the complainant or the respondent as needed to clarify any inconsistencies or new information gathered during the course of the investigation. The investigator will generally consider, that is rely on, all evidence they determine to be relevant and reliable, including evidence that weighs in favor of and against a determination that a policy violation occurred. The investigator may determine the relevance and weigh the value of any witness or other evidence to the findings and may exclude evidence that is irrelevant or immaterial.

Disclosure of facts to persons interviewed will be limited to what is reasonably necessary to conduct a fair and thorough investigation. Participants in an investigation may be counseled about keeping information private to protect the integrity of the investigation.

The complainant or the respondent may have an advisor present when personally interviewed and at any related meeting. Other witnesses may have a representative present at the discretion of the investigator or as required by University policy or collective bargaining agreement.

#### **b. Coordination with Law Enforcement:**

When a law enforcement agency is conducting its own investigation into the alleged conduct, the Title IX investigator will make every effort to coordinate their fact-finding efforts with the law enforcement investigation. At the request of law enforcement, the investigation may be delayed temporarily to meet specific needs of the criminal investigation.

c. Specific Types of Evidence:

*Sexual history of complainant.* The investigator will not, as a general rule, consider the complainant's sexual history. However, in limited circumstances, the complainant's sexual history may be directly relevant to the investigation. While the investigator will never assume that a past sexual relationship between the parties means the complainant consented to the specific conduct under investigation, evidence of how the parties communicated consent in past consensual encounters may help the investigator understand whether the respondent reasonably believed consent was given during the encounter under investigation. Further, evidence of specific past sexual encounters may be relevant to whether someone other than respondent was the source of relevant physical evidence. Sexual history evidence that shows a party's reputation or character will never be considered relevant on its own. The investigator will consider proffered evidence of sexual history, and provide it to the parties for review under Section 4.d. below, only if the investigator determines it is directly relevant. The investigator will inform the parties of this determination. If the investigator does allow sexual history evidence to be presented, they will provide a written explanation to the parties as to why consideration of the evidence is consistent with the principles in this section.

*Expert Evidence.* The parties may present evidence from expert witnesses if it would be relevant to the determination of whether a policy violation occurred. If a party wishes for such evidence to be considered, they will make a written request to the Title IX officer, indicating the person(s) they wish to present as, and who has agreed to be, their expert witness; the issue(s) on which the person(s) would provide expert evidence; why they believe that the issue(s) require an expert opinion for resolution; and any prior relationship, including personal and business relationships, between the party and the person(s).

The Title IX officer will grant the request for the proposed expert to provide evidence if the alleged evidence is relevant, and will deny the request if the proposed evidence is not relevant. Proposed expert evidence is not relevant if it is not pertinent to proving whether the facts material to the allegations under investigation are more or less likely to be true. For example, proposed expert evidence is not relevant if it offers opinions about the Title IX regulations or the DOE Grievance Process; if it offers opinions that do not require expertise to form; or if the proposed expert has a bias or conflict of interest so strong that their opinion would not assist the factfinder in determining whether the facts material to the allegations under investigation are more or less likely to be true.

If the Title IX officer grants a request for proposed expert evidence, they will notify both parties. The other party may then request to present a proposed expert on the same issue (as well as to present their own expert evidence on other relevant issues). The Title IX office may also retain its own expert on any issue on which one or both parties will be presenting expert evidence; the Title IX office will ensure that any such expert does not have bias or conflict of interest and will notify the parties of any expert it intends to retain.

As part of the evidence they present, any expert witness will provide the investigator information about their qualifications; the factual bases for their assertions; and their principles and methods and the reliability thereof. These factors will contribute to the assessment of the weight and credibility of the expert witness's evidence.

In general, parties may not later request proposed expert witnesses to testify at the hearing unless those witnesses have provided evidence during the investigation.

*Clinical records.* The investigator will not during the investigation access, review, consider, disclose, or otherwise use a complainant's or respondent's medical or behavioral health records that are made in connection with treatment without the party's voluntary written consent.

*Privileged Records.* During the investigation, the investigator will not access, review, consider, disclose, or otherwise use evidence that constitutes, or seeks disclosure of, information protected under a legally recognized privilege without the party's voluntary written consent.

d. Evidence Review:

Before the investigator concludes the investigation and finalizes a written report, both complainant and respondent will have an equal opportunity to review and respond in writing to the evidence that the investigator has deemed directly related, including evidence that weighs against finding a policy violation(s) and evidence on which the investigator does not intend to rely, whether obtained from a party or another source. This is true regardless of whether a party has participated in the investigation. This review will also include a summary of directly related statements made by the parties and any witnesses. The Title IX Officer will ensure that this review occurs in a manner designed to protect the privacy of both parties. The Title IX Officer will designate a reasonable time for this review and response by the parties of, absent good cause found by the Title IX Officer, at least 10 business days.

In investigations of No-Title IX Hearing DOE-Covered Conduct, because there will not be a Title IX hearing, the investigator will more specifically: provide parties the opportunity to submit written questions they propose the investigator ask the other party and witnesses, share the responses to their submitted questions, and allow them to propose limited follow-up questions. The investigator will decline to ask questions that are not relevant or unduly repetitive, and will

rephrase any questions that violate the rules of conduct. If the investigator declines to ask a question, they will explain their reasoning.

#### **4. Investigation Report and Determination or Preliminary Determination**

Following conclusion of the investigation, the Title IX investigator will prepare a written report. The written investigation report will include a statement of the allegations and issues, statements of the parties and witnesses, and a summary of the evidence the investigator considered. The investigation report will include findings of fact and a determination (in a Formal Investigation or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct) and a preliminary determination (in any other DOE Grievance Process) regarding whether, applying the preponderance of the evidence standard, there is sufficient evidence to conclude that the respondent violated the SVSH Policy.

If the complainant or the respondent offered witnesses or other evidence that was not relied upon by the investigator, the investigation report will explain why it was not relied upon. The investigation report will also indicate when and how the parties were given an opportunity to review and respond to the evidence (see Section 3.d above).

In investigations of No-Title IX Hearing DOE-Covered Conduct, the investigator will provide both Complainant and Respondent an opportunity to review and respond in writing to the investigation report before it becomes final. The investigator has discretion to revise the written report to reflect the parties' responses. The investigation report will become final no sooner than 10 business days from the date it is shared with parties for their review and response.

If the findings of fact indicate that DOE-Covered Conduct occurred, but was not charged as such in the notice of investigation, then the investigator will reach determinations (for No-Title IX Hearing DOE-Covered Conduct) or preliminary determinations (for all other DOE-Covered Conduct) regarding whether a policy violation occurred and the Title IX Officer will notify the parties that the case will now proceed per the DOE Grievance Process.

If, instead, the investigator preliminarily determines that conduct charged as DOE-Covered Conduct does not meet that definition, the report will include (if indicated in the Notice of Investigation) analyses and preliminary determinations of both whether respondent engaged in DOE-Covered Conduct and other Prohibited Conduct.

A determination following a Formal Investigation or DOE Grievance Process (including any appeal) for No-Title IX Hearing DOE-Covered Conduct that the respondent violated the SVSH Policy will establish probable cause as defined in the Code of Conduct. ([APM-015](#) at III.A.4.)



## **5. Notice of Investigation Outcome**

Upon finalization of the investigation report, the Title IX Officer or designee will send to the complainant and the respondent a written notice of investigation outcome regarding the investigator's preliminary determination or determination (whichever applies) of whether there was a violation of the SVSH Policy. The notice of investigation outcome will generally be accompanied by a copy of the investigation report, which may be redacted as necessary to protect privacy rights. The Title IX Officer or designee will also send the notice of investigation outcome and accompanying investigation report to the Chancellor or Chancellor's designee.

- a. In all cases, the notice of investigation outcome will include:
  - A summary statement of the factual findings and determinations or preliminary determination (whichever applies) regarding whether respondent violated the SVSH Policy;
  - An admonition against intimidation or retaliation;
  - An explanation of any Supportive Measures that will remain in place;
  - A statement that the complainant and respondent have an opportunity to respond in writing and/or in person to the Chancellor or Chancellor's designee;
  - A statement of the anticipated timeline and a statement that both complainant and respondent will be informed of the final resolution of the matter; and
  - A statement of whether it appears that further investigation by the Chancellor or Chancellor's designee or other appropriate body may be necessary to determine whether other violations of the Code of Conduct occurred, separate from any allegations of Prohibited Conduct that were investigated under the SVSH Policy.
- b. If in a Formal Investigation process or DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct the investigator determined that the faculty respondent violated the SVSH Policy, the notice of investigation outcome will also include:
  - A statement that the finding that respondent violated the SVSH Policy (which is final after the investigation in a Formal Investigation and after exhaustion of appeal rights in a DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct) constitutes a finding of probable cause as defined in APM-015;
  - For matters involving Senate faculty respondents, a description of the process for deciding whether and what discipline to impose, including a statement that the Chancellor or Chancellor's designee will engage the Peer Review Committee to advise on appropriate resolution, which may include pursuing discipline in accordance with APM-016;
  - For matters involving non-Senate faculty respondents, a description of the process for deciding whether and what discipline to impose, including a

- statement that the Chancellor or Chancellor's designee will engage the Peer Review Committee or consult with the Academic Personnel Office to advise on appropriate resolution, which may include corrective action or termination in accordance APM-150; and
  - A statement of the anticipated timeline and a statement that both complainant and respondent will be informed of the final resolution of the matter.
- c. In a DOE Grievance Process for No-Title IX Hearing DOE-Covered Conduct, the notice of investigation will also include a statement that both parties have the right to appeal the investigator's determination per Section IV.C of the [DOE Addendum](#), and the determination will not be considered final or constitute a finding of probable cause as defined in APM-015 until any appeal is final or the period for submitting an appeal has lapsed.
- d. In any other DOE Grievance Process, the notice of investigation outcome will also include:
- If the investigator preliminarily determined that the respondent violated the SVSH Policy, a statement that the Chancellor or Chancellor's designee will propose a resolution after engaging the Peer Review Committee or consulting with the Academic Personnel Office (depending on whether the respondent is a Senate or Non-Senate faculty member, and the process the campus has chosen);
  - A statement that, unless both parties accept the preliminary determination and any proposed resolution, there will be a fact-finding hearing to determine whether the SVSH Policy has been violated, after which the Chancellor or Chancellor's designee will determine the resolution; and
  - An explanation of the procedures and timeline for accepting the preliminary determination (see the [DOE Addendum](#)).

#### **6. Timeframe for Completion of Investigation; Extension for Good Cause**

The notice of investigation outcome and accompanying investigation report will be issued promptly, typically within sixty (60) to ninety (90) business days of initiation of the Formal Investigation or DOE Grievance Process, unless extended by the Title IX Officer for good cause, with written notice to the complainant and the respondent of the reason for the extension and the projected new timeline.

The Title IX Officer or designee will keep the complainant and the respondent regularly informed concerning the status of the investigation.

#### **IV. ASSESSMENT AND CONSULTATION (Stage 2)**

The steps outlined below for assessment and consultation apply to investigations of DOE-Covered Conduct and other Prohibited Conduct. An additional notice requirement that applies specifically to investigations of DOE-Covered Conduct is in the [DOE Addendum](#). After this assessment and consultation, matters investigated through Formal Investigation

will go to Stage 3 (Decision on Sanctions), below. Matters investigated under the DOE Grievance Process that alleged No-Title IX Hearing DOE-Covered Conduct will go to Stage 2.C. (Appeal of the Determination) in the [DOE Addendum](#). All other matters investigated under the DOE Grievance Process will go to Stage 2.a (Opportunity to Accept the Preliminary Determination) in the [DOE Addendum](#).

At the conclusion of a Formal Investigation, the Chancellor or Chancellor's designee has the authority and responsibility to decide what action to take in response to the findings of the investigation report. The Chancellor or Chancellor's designee may determine that additional investigation is required to determine whether other Code of Conduct violations occurred, but will not reinvestigate the allegations of Prohibited Conduct investigated by the Title IX Office.

At the conclusion of a DOE Grievance Process investigation of No-Title IX Hearing DOE-Covered Conduct, the parties have the opportunity to appeal. Once any appeal is final or the period for submitting an appeal has lapsed, the Chancellor or Chancellor's designee has the authority and responsibility to decide what action to take. See Stages 2.C (Appeal of Determination) and 2.D (Additional Assessment and Consultation) of the [DOE Addendum](#).

At the conclusion of any other DOE Grievance Process investigation, the parties have the opportunity to accept or not accept the preliminary determination. When the preliminary determination is that the respondent engaged in DOE-Covered Conduct, or both DOE-Covered Conduct and other Prohibited Conduct, the Chancellor or Chancellor's designee will propose a resolution after engaging the Peer Review Committee or consulting with the Academic Personnel Office (depending on whether the respondent is a Senate or non-Senate faculty member, and the process the campus has chosen), as described below, and the parties will decide whether to accept the preliminary determination and the proposed resolution.

The Chancellor or Chancellor's designee may consult with the Title IX Office, the Academic Personnel Office, or other appropriate entities at any time during the decision-making process.

#### **A. Opportunity to Respond**

The Chancellor or Chancellor's designee will offer the complainant and the respondent an opportunity to respond to the notice of investigation outcome and accompanying investigation report, either through an in-person meeting with the Chancellor or Chancellor's designee, a written statement to the Chancellor or Chancellor's designee, or both. The parties will have five business days after the Title IX Officer sends the investigation report to respond.

The purpose of this response is not to challenge the factual findings in the investigation report or present new evidence, but to provide the complainant and the respondent with an opportunity to express their perspectives and address what outcome they wish to see.

#### **B. Peer Review Committee for Senate Faculty**

In the event that the investigation determines or preliminarily determines that a Senate faculty respondent is responsible for violating the SVSH Policy, the Chancellor or

Chancellor's designee will engage the campus Peer Review Committee to advise on appropriate resolution.

The Peer Review Committee, composed on each campus at the direction of the President, will advise the Chancellor or Chancellor's designee regarding how to resolve the matter. At the conclusion of a Formal Investigation or DOE Grievance Process investigation of No-Title IX Hearing DOE-Covered Conduct, this will include advising on whether the Chancellor or Chancellor's designee should pursue a formal charge for violation of the Code of Conduct or pursue an early resolution. In all cases, the Peer Review Committee should provide advice on the appropriate discipline or other corrective or remedial measures.

The Peer Review Committee will be engaged in all cases where the Title IX investigator has determined or preliminarily determined a Senate faculty respondent has violated the SVSH Policy.

**C. Peer Review Committee or Consultation with Academic Personnel for Non-Senate Faculty**

In the event that the investigation determines or preliminarily determines that a non-Senate faculty respondent is responsible for violating the SVSH Policy, the Chancellor or Chancellor's designee will engage the Peer Review Committee or consult with the Academic Personnel Office, depending on what form of consultation the campus decided to employ. Such consultation, as decided by the campus, will occur in all cases where the investigation has determined or preliminarily determined the non-Senate faculty respondent has violated the SVSH Policy. The advisory role of the Peer Review Committee is described in Section IV.B above.

**D. Title IX Officer Consultation for Senate and Non-Senate Faculty**

In all cases where the investigation determines or preliminarily determines a Senate or non-Senate faculty respondent is responsible for violating the SVSH Policy, the Chancellor or Chancellor's designee will consult with the campus Title IX Officer on how to resolve the matter, including the appropriate discipline or other corrective measures.

**V. DECISION ON SANCTIONS FOR SENATE FACULTY (Stage 3)**

The steps outlined below apply when a Senate faculty respondent is found in violation of the SVSH Policy following a Formal Investigation, following an investigation and any appeal (per Section IV.C of the [DOE Addendum](#)) in a DOE Grievance Process addressing No-Title IX Hearing DOE-Covered Conduct, or following a hearing and any appeal (per Sections IV.B and IV.C of the [DOE Addendum](#)) in any other DOE Grievance Process.

**A. Decision by Chancellor or Chancellor's Designee**

Following consultation with the Peer Review Committee and Title IX Officer, in accordance with APM-016, the Chancellor or Chancellor's designee will decide what action to take to resolve the matter.

As stated in APM-015, “The Chancellor must initiate related disciplinary action by delivering notice of proposed action to the respondent no later than three years after the Chancellor is deemed to have known about the alleged violation.” As further stated in APM-015, “[f]or an allegation of sexual violence or sexual harassment, the Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when the allegation is first reported to any academic administrator at the level of department chair or above or the campus Title IX Officer.” (APM-015, Part III, A.3.)

### **1. No Formal Discipline**

In the event the Chancellor or Chancellor’s designee determines to resolve the matter without taking any formal disciplinary action, the Chancellor or Chancellor’s designee will promptly communicate this decision and its rationale to both the complainant and the respondent.

### **2. Early Resolution**

The Chancellor or Chancellor’s designee can enter into an early resolution with the respondent in accordance with APM 016. An early resolution can be achieved at any time prior to the final imposition of discipline.

Subsequent to the respondent agreeing to the terms of the early resolution, the Chancellor or Chancellor’s designee will promptly inform complainant of those terms, including any discipline or other corrective or remedial measures, and the rationale for these terms.

### **3. Charge Filed with Academic Senate Committee on Privilege & Tenure**

The Chancellor or Chancellor’s designee can take steps to propose discipline and file a charge with the Academic Senate’s Committee on Privilege & Tenure without first pursuing early resolution, or if respondent does not agree to early resolution.

The Chancellor or Chancellor’s designee will promptly inform complainant that the charge has been filed.

## **B. Timeframe for Decision; Extension for Good Cause**

The Chancellor or Chancellor’s designee should implement their decision promptly, typically within 40 business days of receipt of the notice of investigation outcome and accompanying investigation report. If the matter has not been otherwise resolved within forty (40) business days, a charge will be filed with the Academic Senate’s Committee on Privilege & Tenure. A charge will not be held in abeyance or suspended while an early resolution is being pursued or finalized.

Extensions to this timeline may be granted by the Chancellor or Chancellor’s designee for good cause with written notice to the complainant and respondent stating the reason for the extension and the projected new timeline.

### **C. Process Following the Filing of a Senate Charge**

The procedures following the filing of a charge with the Academic Senate's Committee on Privilege & Tenure are set forth in the APM-015 and APM-016, Senate Bylaw 336 and other applicable Senate bylaws, as well as divisional bylaws on each campus.

The investigation report and hearing officer's notice of determination (if any) will be accepted as evidence in the Privilege & Tenure hearing. The Chancellor or Chancellor's designee will ensure that complainant and respondent receive regular updates regarding the status of the proceedings.

Within 14 calendar days of receiving the recommendation from the Academic Senate's Committee on Privilege & Tenure, in accordance with APM-016 and other applicable procedures, the Chancellor will make a final decision regarding discipline, unless the decision involves dismissal for a faculty who has tenure or security of employment. As stated in [APM-016](#), "Authority for dismissal of a faculty member who has tenure or security of employment rests with The Regents, on recommendation of the President, following consultation with the Chancellor." (APM-016, Section II.6.) Extensions to this timeline may be granted for good cause with written notice to the complainant and respondent stating the reason for the extension and the projected new timeline.

The complainant and the respondent will be promptly informed of the decision regarding discipline and its rationale.

## **VI. DECISION ON SANCTIONS FOR NON-SENATE FACULTY (Stage 3)**

The below provisions apply when a non-Senate faculty respondent is found in violation of the SVSH Policy following a Formal Investigation, following an investigation and any appeal (per Section IV.C of the [DOE Addendum](#)) in a DOE Grievance Process addressing No-Title IX Hearing DOE-Covered Conduct, or following a hearing and any appeal (per Sections IV.B and IV.C of the DOE Addendum) in any other DOE Grievance Process.

### **A. Decision by Chancellor or Chancellor's Designee**

Following consultation with the Title IX Officer and Peer Review Committee or Academic Personnel Office, and in accordance with APM-150, the Chancellor or Chancellor's designee shall decide what action to take to resolve the matter.

As stated in APM-015, "The Chancellor must initiate related disciplinary action by delivering notice of proposed action to the respondent no later than three years after the Chancellor is deemed to have known about the alleged violation." As further stated in APM-015, "[f]or an allegation of sexual violence or sexual harassment, the Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when the allegation is first reported to any academic administrator at the level of department chair or above or the campus Title IX Officer." (APM-015, Part III, A.3.)

#### **1. No Disciplinary Action**



In the event the Chancellor or Chancellor's designee determines to resolve the matter without taking any disciplinary or corrective action, the Chancellor or Chancellor's designee will promptly communicate this decision and its rationale to both the complainant and respondent.

## **2. Informal Resolution**

The Chancellor or Chancellor's designee can pursue an informal resolution in accordance with APM-150, which may include discipline and/or other corrective or remedial measures. Informal resolution can be achieved at any time prior to the final imposition of dismissal or corrective action.

Subsequent to respondent agreeing to the terms of an informal resolution, the Chancellor or Chancellor's designee will promptly inform complainant of those terms, including any discipline or other corrective or remedial measures, and the rationale for these terms.

## **3. Notice of Intent**

The Chancellor or Chancellor's designee can issue a notice of intent instituting dismissal or other corrective action in accordance with APM-150.

## **B. Timeframe for Decision; Extension for Good Cause**

The Chancellor or Chancellor's designee should implement their decision promptly, typically within forty (40) business days of receipt of the notice of investigation outcome and accompanying investigation report. If the matter has not been otherwise resolved within forty (40) business days, a notice of intent shall be issued.

Extensions to this timeline may be granted by the Chancellor for good cause with written notice to the complainant and respondent stating the reason for the extension and the projected new timeline.

## **C. Process Following the Provision of a Written Notice of Intent.**

The procedures following the provision of a notice of intent are set forth in APM-150.

Should the respondent submit a grievance under [APM-140](#) alleging a violation of APM-150 or otherwise challenging an administrative decision described in this process, the Chancellor's designee will ensure that both the complainant and respondent receive regular updates regarding the status of the grievance.

As stated in APM-140, "When a non-Senate faculty member receives notice of termination before the expiration of his or her appointment, he or she may select as a grievance mechanism either APM-140, as described in this policy, or Section 103.9 of the Standing Orders of the Regents (S.O. 103.9), the procedures of which are described in Academic Senate Bylaw 337. In selecting either APM-140 or S.O. 103.9, the non-Senate faculty member waives the right to invoke the other mechanism to review the same grievance." (APM-140-14e.)

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Subsequent to any final decision, the Chancellor or Chancellor's designee will promptly inform the complainant and the respondent of the decision, including any final decision on discipline and its rationale.

**DOE ADDENDUM  
TO INVESTIGATION AND ADJUDICATION FRAMEWORK  
FOR SENATE AND NON-SENATE FACULTY**

**INTRODUCTION**

In general, the Senate and Non-Senate Faculty Framework (“Framework”) applies to both DOE-Covered Conduct and other Prohibited Conduct. Special provisions that apply specifically to DOE-Covered Conduct are described below.

**I. REPORTING AND RESOURCES (Stage 0)**

Reporting options and resources are as described in the corresponding numbered section in the Framework.

**II. INITIAL ASSESSMENT (Stage 1)**

The initial assessment, including Supportive Measures and written rights and options are as described in the corresponding numbered section of the Framework. The additional provision below on Dismissal of Formal Complaints is specific to DOE-Covered Conduct.

**A. Supportive Measures**

Supportive Measures are as described in the corresponding section of the Framework.

**B. Written Rights and Options**

Written rights and options are as described in the corresponding section of the Framework.

**C. Required Dismissal**

The Title IX Officer must “dismiss” allegations in a DOE Formal Complaint if:

- they determine during the Initial Assessment that the alleged conduct, even if true, is not DOE-Covered Conduct, as defined in the SVSH Policy, or
- they determine during the investigation that the alleged conduct, even if true, did not occur in a University program or activity or that the Complainant was not in the United States at the time.

The Title IX Officer will then proceed as described in the *SVSH Policy* Appendix IV, Section C. Dismissal means the Title IX Officer will no longer consider the allegations DOE-Covered Conduct; it does not necessarily mean the Title IX Officer will close the matter. Rather, the Title IX Officer will decide whether and how to continue resolution of the dismissed allegations. See *SVSH Policy*, Appendix IV, Section C.

**III. INVESTIGATING AND RESOLVING REPORTS OF PROHIBITED CONDUCT (Stage 1)**

The investigation and resolution of reports, including Alternative Resolution and Investigation, are as described in the corresponding numbered section of the Framework.

If the Title IX Officer determines during the investigation that they must dismiss any allegations in a DOE Formal Complaint per Section II.C., above, they will proceed as described in the *SVSH Policy* Appendix IV, Section C.

#### **IV. ASSESSMENT AND CONSULTATION (Stage 2)**

The assessment and consultation is as described in the corresponding numbered section of the Framework.

In DOE-Covered Conduct cases, after the assessment and consultation described in Stage 2 of the Framework, the Chancellor or Chancellor's designee will inform the Academic Personnel Office and Title IX Officer of any proposed resolution and its rationale, and the Academic Personnel Office or Title IX Officer (whichever the campus designates) will notify the parties. The parties will receive this notice within 15 business days of the notice of investigative findings and determination or preliminary determination.

Sections IV.A. (Opportunity to Accept the Preliminary Determination) and IV.B (Prehearing and Hearing), below, apply to all DOE Grievance Process cases except those alleging No-Title IX Hearing DOE-Covered Conduct. Section IV.C (Appeal of Determination) applies to all DOE Grievance Process cases, including those alleging No-Title IX Hearing DOE-Covered Conduct.

#### **IV.A. OPPORTUNITY TO ACCEPT THE PRELIMINARY DETERMINATION (Stage 2.A)**

Unless both parties accept the preliminary determination and any proposed resolution, there will be a fact-finding hearing to determine whether the SVSH Policy was violated.

##### **A. Accepting the Preliminary Determination and Proposed Resolution**

###### **1. Timeline**

Either party may accept the preliminary determination and any proposed resolution within 20 business days of the notice of investigative findings and preliminary determination. Unless both parties accept the preliminary determination and any proposed resolution within this time period, then the matter will proceed to a hearing to determine if a policy violation occurred.

###### **2. Written Acceptance**

A party may accept the preliminary determination and any proposed resolution by providing the Academic Personnel Office or Title IX Officer (whichever the campus designates) with a written acknowledgment stating that the party accepts the preliminary determination and any proposed resolution, and wishes not to proceed with a hearing.

###### **3. Final Decision Following Acceptance**

If both parties provide the written acceptance during the 20 business days, then the preliminary determination regarding policy violation(s) becomes final and the Chancellor or Chancellor's designee will impose the proposed resolution, including any discipline or other corrective measures.

## **B. Notice of Hearing or No Hearing**

### **1. Notice of Hearing**

Unless both parties accept the preliminary determination and any proposed resolution by the end of the 20 business days, the Academic Personnel Office or Title IX Officer (whichever the campus designates) will notify the parties that there will be a hearing. The notice of hearing will include a summary of the hearing procedures described in Section IV.C.

### **2. Notice of No Hearing**

If both parties accept the preliminary determination and any proposed resolution, the Academic Personnel Office or Title IX Officer (whichever the campus designates) will notify the parties that there will be no hearing. This notice will indicate that the investigator's preliminary determination as to policy violation(s) is final, and that the Chancellor or Chancellor's designee is imposing the proposed resolution (if any).

## **IV.B. PREHEARING AND HEARING (Stage 2.B)**

### **A. Fact-finding Hearing**

Unless both parties accept the investigator's preliminary determinations, there will be a fact-finding hearing before a single hearing officer. The hearing is to determine whether a violation of the SVSH Policy occurred. The University's role in the hearing is neutral. The University will consider the relevant evidence available, including relevant evidence presented by the parties, in order to make factual findings and determine whether a policy violation occurred.

### **B. Hearing Officer**

#### **1. Overview**

The hearing officer may be a University employee or outside contractor, and may not be the same person as the Title IX Officer or the investigator. Regardless, they will be appropriately trained, with such training coordinated by the Title IX Officer.

#### **2. Bias and Conflict of Interest**

The hearing coordinator will inform the parties of the hearing officer's identity. Within 5 business days after the notification, the parties may request the hearing officer's disqualification on the basis of bias or conflict of interest.

- a. For example, involvement in the case or knowledge of the allegations at issue prior to being selected as the hearing officer, or a close personal relationship with a party or expected witness in the proceeding could, depending on the circumstances, warrant disqualification of the hearing officer.
- b. Employment by the University, or prior work for the University as a contractor, on its own, does not warrant disqualification.

- c. The hearing officer's gender, gender identity, race, ethnicity, religion, sexual orientation or similar identifying characteristic, or the fact that they differ from those of any party, do not, on their own, warrant disqualification.

### **3. Disqualification Decision**

The Academic Personnel Office will decide any request for disqualification of the hearing officer and inform both parties of their decision and, if they determine to change hearing officers, the name of the new hearing officer.

## **C. Hearing Coordinator**

Each hearing will have a hearing coordinator, distinct from the hearing officer, who will manage the administrative and procedural aspects of the hearing.

## **D. Pre-Hearing Procedures**

### **1. Meeting with Parties**

The hearing officer and hearing coordinator will hold a separate meeting (in person or remotely) with each party to explain the hearing process, address questions, begin to define the scope of the hearing, and address other issues to promote an orderly, productive and fair hearing.

- a. The hearing coordinator will provide written notice to each party of their prehearing meeting, including time, location (or if remote, call instructions), and purpose of the meeting, at least 10 business days before the pre-hearing meeting.
- b. No later than five business days before the pre-hearing meeting, each party will submit to the hearing officer a preliminary statement of what issues, if any, each considers to be disputed and relevant to the determination of whether a policy violation occurred, and the evidence they intend to present on each issue, including all documents to be presented, the names of all requested witnesses, and a brief summary of such witnesses' expected testimony. The parties will later have an additional opportunity to submit proposed evidence, see Section 5 below.
- c. At the pre-hearing meeting, the hearing officer and party will discuss the evidence the party has provided, to help identify and refine the issues to be decided at the hearing, which will inform the hearing officer's determination of the scope of the hearing.
- d. Each party should also come to the pre-hearing meeting prepared to schedule dates for the hearing.
- e. The hearing officer and/or coordinator will explain what to expect at the hearing, see Section E below.
- f. The hearing officer and/or coordinator will also discuss measures available to protect the well-being of parties and witnesses at the hearing, as appropriate. These may include, for example, use of lived names and pronouns during the hearing, including in screen names; a party's right to have their support person



available to them at all times during the hearing; a hearing participant's ability to request a break during the hearing, except when a question is pending.

- g. The hearing officer and/or coordinator will inform the parties that the hearing will be conducted remotely. If a party believes that they need a University-provided physical space or technological equipment or assistance to participate remotely – for example because of safety or privacy concerns, or a disability - they may request such resources of the hearing coordinator during the prehearing meeting. The hearing coordinator will respond to any such request in writing within five business days of the prehearing meeting.
- h. The parties and their advisors, if they have one at this stage of the process, are expected to participate in the pre-hearing meeting.
- i. If a party does not participate in the pre-hearing meeting (or does not let the hearing coordinator know they need to reschedule in advance), the hearing coordinator will notify the party that they have 2 business days to contact the hearing coordinator to reschedule. Absent extenuating circumstances, if the party does not contact the hearing coordinator within the 2 business days, the hearing will proceed but the non-participating party will be presumed to agree with the hearing officer's definition of the scope of the hearing.

## **2. Scope of Hearing**

Within 5 business days after concluding meetings with both parties (or determining that a party has decided not to participate in the pre-hearing process), the hearing officer will determine what issues are disputed and relevant to the determination of whether a policy violation(s) occurred, and will notify the parties of the scope of the issues to be addressed at the hearing and the expected witnesses. The hearing officer has discretion to grant or deny, in whole or part, the parties' requests for witnesses on the basis of relevance. The hearing officer's determination of scope may include issues, evidence, and witnesses that the parties themselves have not provided.

Throughout the pre-hearing process, including in the notice of scope of hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and implement the evidentiary principles and procedural requirements in Section III.B.3;
- b. Decide any procedural issues for the hearing; and/or
- c. Make any other determinations necessary to promote an orderly, productive, and fair hearing that complies with the rules of conduct.

## **3. Submission of Additional Information**

Within 5 business days after receiving the hearing officer's definition of scope, the parties may then submit additional information about the evidence, including witness testimony, that they would like to present.

#### **4. Notice of Hearing**

Not less than 10 business days before the hearing, the hearing coordinator will send a written notice to the parties informing them of the hearing date, time, location, and procedures.

#### **5. Witness Participation**

The hearing coordinator will ensure that the Title IX investigator (or if not available, a representative from that office) will be available to testify during the hearing. Testimony by the Title IX investigator may be appropriate to help resolve disputes about the authenticity of evidence summarized in the investigation report and at issue at the hearing, or whether the investigator accurately memorialized a party's or witness's statement in the investigation. The Title IX investigator should not be questioned about their assessment of party or witness credibility, nor the investigative process generally, nor their preliminary determination of whether policy violations occurred, because the hearing officer will make their own credibility determinations and determination of policy violation(s) so this information would not be relevant. Based on the hearing officer's determination, the hearing coordinator will request the attendance of all witnesses whose testimony is determined to be within the scope of the hearing.

#### **6. Confirmation of Scope, Evidence, and Witnesses**

At least 2 business days prior to the hearing, the parties will receive the hearing officer's confirmation of scope and evidence; copies of all the evidence that will be considered at the hearing that the hearing officer has received, including the investigation file (consisting of the investigation report and any evidence deemed directly related by the investigator, as documented in the investigation report) and any other documents that will be considered; the names of expected witnesses and a summary of their expected testimony. If the hearing officer has excluded evidence (including witness testimony) that a party has requested to present, they will explain why that evidence was not relevant. The hearing officer will also notify the parties of any procedural determinations they have made regarding the hearing. This material will also be provided to the Title IX Officer.

#### **7. Submission of Questions**

The parties are encouraged to submit any questions for the other party and any expected witnesses to the hearing coordinator and hearing officer before the hearing, but will not be limited to those questions at the hearing. These questions will not be shared with the other party or witnesses.

## **8. Advisor Participation and Provision by University**

At any point before the hearing, if a party anticipates that they will not have an advisor available at the hearing to ask their questions for them, they should let the hearing coordinator know, to allow the University to plan for assigning the party a person to ask the party's questions at the hearing ("Reader"). Even without notice or during a hearing in progress, however, the University will provide such a resource if a party does not have one. If any party does not have an advisor available at the hearing for the purpose of asking their questions for them, the hearing coordinator will assign a person to fulfill the sole and specific function of asking the party's questions (and not of serving as their advisor more generally), without cost to the party.

## **E. Hearing Procedures**

### **1. Advisors and Support Persons**

The parties may have their advisors present throughout the hearing. They may also have a support person present throughout the hearing.

### **2. Rules of Conduct**

The hearing will be conducted in a respectful manner that promotes fairness and accurate fact-finding and that complies with the rules of conduct. The parties and witnesses will address only the hearing officer, and not each other. Only the hearing officer and the parties' advisors (or Readers if they do not have advisors), consistent with paragraph 6 below, may question witnesses and parties.

### **3. Virtual Hearing**

The hearing will be conducted remotely, with any modifications the hearing coordinator has made in response to a party's request for assistance, see Section D.1.f above.

### **4. Hearing Evidence and Procedures**

Courtroom rules of evidence and procedure will not apply. The hearing officer will generally consider, that is rely on, all evidence they determine to be relevant and reliable. The hearing officer may determine the relevance and weigh the value of any witness testimony or other evidence to the findings, subject to Section F.1 below. The hearing officer will also follow the evidentiary principles and procedural requirements in Section III.B.3 of the Framework. Throughout the hearing, the hearing officer will:

- a. Exclude evidence including witness testimony that is, for example, irrelevant in light of the policy violation(s) charged, or relevant only to issues not in dispute, or unduly repetitive, and require rephrasing of questions that violate the rules of conduct,
- b. Decide any procedural issues for the hearing, and/or
- c. Make any other determinations necessary to promote an orderly, productive, and fair hearing that complies with the rules of conduct.

## **5. Access to Witnesses**

Parties will be able to see and hear (or, if deaf or hard of hearing, to access through auxiliary aids for services) all questioning and testimony at the hearing, if they choose to. Witnesses (other than the parties) will attend the hearing only for their own testimony.

## **6. Questioning at the Hearing**

The hearing officer may ask questions of all parties and witnesses that are relevant, including those that are relevant to assessing credibility. Each party's advisor may ask questions of the other party (not their party) and witnesses that are relevant, including those that are relevant to assessing credibility. As noted in Section D.8 above, the University will assign a person to ask a party's questions whenever a party does not have an advisor at the hearing.

The hearing officer will determine the order of questioning of the parties and witnesses. For each party or witness, the hearing officer will ask their own questions first.

Each party will prepare their questions, including any follow-up questions, for the other party and witnesses, and will provide them to their advisor. The advisor will ask the questions as the party has provided them, and may not ask questions that the advisor themselves have developed without their party.

If a party does not attend the hearing, the hearing will still proceed, and they may still have their advisor - or if they do not have one, a University-assigned Reader – ask the questions that they have prepared.

When a party's advisor is asking questions of the other party or a witness, the hearing officer will determine whether each question is relevant before the party or witness answers it and will exclude any that are not relevant or unduly repetitive, and will require rephrasing of any questions that violate the rules of conduct. If the hearing officer determines that a question should be excluded as not relevant, they will explain their reasoning.

At any time, the hearing officer may ask follow-up questions of the parties and witnesses.

Parties are allowed to note, in writing only, any objections to questions posed at the hearing: they will do so by keeping a running written record of any objections during the hearing, and they may not object to questions by speaking. Only at the conclusion of the hearing will parties provide the record of their objections, if any, to the hearing officer, for inclusion in the record.

Any expert witnesses identified during the investigation, see Section III.B.3.c of the Framework, will be subject to these same questioning procedures.

**7. Investigation File**

The investigation file will be entered as evidence at the hearing. The hearing officer generally will rely on any finding in the report that is not disputed.

**8. Impact of Selective and Non-Participation**

The Hearing Officer will not draw adverse inferences from a party's decision to not participate in the hearing, or to remain silent during the hearing. However, they may consider a party's selective participation – such as choosing to answer some but not all questions posed, or choosing to provide a statement only after reviewing the other evidence gathered in the investigation – when assessing credibility.

**9. Well-Being Measures**

The hearing officer will implement measures they deem appropriate to protect the well-being of parties and witnesses. For example, the hearing officer will allow separation of the parties, breaks, and the attendance of support persons in accordance with these procedures.

**10. Visual Separation**

The hearing officer will allow the parties and/or witnesses to be visually separated during the hearing except as noted in paragraph 5 above. This may include, but is not limited to videoconference and/or any other appropriate technology. To assess credibility, the hearing officer must have sufficient access to the Complainant, Respondent, and any witnesses presenting information; if the hearing officer is sighted, then the hearing officer must be able to see them.

**11. Presentation of Evidence**

The parties will have the opportunity to present the evidence they submitted, subject to any exclusions determined by the hearing officer. Generally, the parties may not introduce evidence, including witness testimony, at the hearing that they did not identify during the pre-hearing process. However, the hearing officer has discretion to accept or exclude additional evidence presented at the hearing. The parties are expected not to spend time on undisputed facts or evidence that would be duplicative.

**12. Recording**

The University will audio record the hearing and make the recording available for the parties' review at their request.

**13. Advisors and Support Persons**

The parties may have their advisors and support persons available throughout the hearing.

## **F. Determination of Policy Violation**

### **1. Standards for Deliberation**

The hearing officer will decide whether a violation of the SVSH Policy occurred based on a Preponderance of Evidence standard.

### **2. Information Considered**

The hearing officer will take into account the investigative file and the evidence presented and accepted at the hearing. The evidentiary principles in Section III.B.3.c also apply. On any disputed and material issue, the hearing officer should make their own findings and credibility determinations based on all of the evidence before them.

## **G. Notice of Determination**

Within 15 business days of the hearing, the hearing coordinator will send simultaneous written notice to the complainant and respondent (with a copy to the Title IX Officer) setting forth the hearing officer's determination on whether the SVSH Policy has been violated. The written notice will include the following:

1. A summary of the allegations that would constitute a violation of the SVSH Policy;
2. The determinations of whether the SVSH Policy has been violated;
3. A statement that the Title IX Officer will determine whether the complainant will be provided additional remedies, and will inform the complainant of that determination;
4. A description of the procedural history of the complaint;
5. The findings on each disputed, material fact and an analysis of the evidence supporting the findings;
6. A summary of the facts found by the investigator that the parties did not dispute;
7. The rationale for the determination of each charge;
8. If the hearing officer determines that DOE-Covered Conduct did not occur, an analysis of whether other charged conduct, including other SVSH Policy violations, occurred;
9. An admonition against retaliation;
10. A statement of the right to appeal, grounds and timeframe for the appeal, the office to which the appeal must be submitted, and the procedure that the University will follow in deciding the appeal;
11. An explanation that both the parties will receive a copy of any appeal submitted in accordance with these procedures;
12. A description of the process for deciding whether and what discipline to impose if the final determination (following any appeal) is that the respondent violated the SVSH Policy, and a statement that both parties will be informed of the final resolution of the matter;
13. A statement indicating the Chancellor or Chancellor's designee will determine whether further investigation by another body is necessary to determine whether violations of other policies occurred, separate from any allegations of Prohibited Conduct that were investigated under the SVSH Policy; and



14. A statement that a final determination (including exhaustion of any appeal rights) that the respondent violated the SVSH Policy will establish probable cause as defined in the Code of Conduct. ([APM-015](#) at III.A.4).

#### **H. Documentation of Hearing**

Throughout the pre-hearing and hearing process, the hearing coordinator will document the process's compliance with the procedures (including timeframes) in this section. After the notice of policy violation determination has been finalized, the hearing coordinator will provide this documentation, along with all documents relating to the hearing, and the recording of the hearing, to the Title IX Officer.

### **IV.C. APPEAL OF DETERMINATION (Stage 2.C)**

The Complainant and Respondent have an equal opportunity to appeal the policy violation determination(s). The University administers the appeal process, but is not a party and does not advocate for or against any appeal.

#### **A. Grounds for Appeal**

A party may appeal only on the grounds described in this section.

1. In cases of No-Title IX Hearing DOE-Covered Conduct:
  - a. There was procedural error in the investigation process that materially affected the outcome; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;
  - b. There is new evidence that was not reasonably available at the time of the investigation that could have materially affected the outcome; and/or
  - c. The investigator or Title IX Officer had a conflict of interest or bias that affected the outcome. The principles in Section IV.B.(B)(2) related to hearing officers apply here to investigators and Title IX Officers.
2. In all other cases:
  - a. There was procedural error in the hearing process that materially affected the outcome; procedural error refers to alleged deviations from University policy, and not challenges to policies or procedures themselves;
  - b. There is new evidence that was not reasonably available at the time of the hearing that could have materially affected the outcome; and/or
  - c. The hearing officer had a conflict of interest or bias that affected the outcome. See also the principles in Section IV.B.(B)(2)

The appeal should identify the reason(s) why the party is challenging the outcome on one or more of the available grounds.

#### **B. Commencing an Appeal**

An appeal must be submitted to the hearing coordinator within 20 business days following issuance of the notice of the investigation outcome (in cases of No-Title IX Hearing DOE-Covered Conduct) or of the hearing officer's determination (in all other cases). The appeal must identify the ground(s) for appeal and contain specific arguments supporting each ground for appeal. The Title IX Officer will notify the other party of the

basis for the appeal and that the other party can submit a written statement in response to the appeal within three business days, and supporting documentation from the other party as appropriate.

### **C. Standards for Deliberation**

The appeal officer will decide whether the appealing party has proven the asserted ground(s) for appeal. They will only consider the evidence presented during the investigation (in No-Title IX Hearing DOE-Covered Conduct cases) or at the hearing (in all other cases), the investigation file, and the appeal statements of the parties. They will not make their own factual findings, nor any witness credibility determinations.

### **D. Decision by Appeal Officer**

The appeal officer, who will be an unbiased person without prior involvement in the case or personal relationship with the parties, may:

1. Uphold the findings;
2. Overturn the findings;
3. Modify the findings; or
4. In appeals alleging material procedural error or new evidence, send the case back to the investigator (in No-Title IX Hearing cases) or hearing officer (in all other cases) for further fact-finding if needed, for example on the issue of whether the alleged error, new evidence, would have materially affected the outcome.

### **E. Written Report**

The appeal officer will summarize their decision in a written report that includes the following:

1. A statement of the grounds identified on appeal;
2. A summary of the information considered by the appeal officer;
3. The decision of the appeal officer and the rationale for the decision including, where the findings are overturned or modified, an explanation of why the ground(s) for appeal were proven; and
4. If the final decision is that the respondent violated the SVSH Policy, a statement that the decision constitutes a finding of probable cause as defined in APM-015.

### **F. Distribution of Written Decision**

Within 10 business days of receiving the appeal, the appeal officer will send their written decision to complainant and respondent, with a copy to the Title IX Officer.

1. Unless the appeal officer remands the matter, they will inform the respondent and the complainant that the matter is closed with no further right to appeal.
2. If the appeal officer remands the matter, they will specify what further fact-finding should occur or what additional information should be considered and request that the investigator or hearing officer report back to the appeal officer on their additional fact-finding. After receiving the investigator or hearing officer's (whichever applies)

additional factual findings, the appeal officer will issue their decision within 10 business days. This decision will be final.

#### **IV.D. ADDITIONAL ASSESSMENT AND CONSULTATION (Stage 2.D)**

Once any appeal is final or the period for submitting an appeal has lapsed, the Title IX Officer will send the final findings and determination to the Chancellor or Chancellor's designee, with a summary explanation of any difference between the investigator's determination or preliminary determination (whichever applies) and the final determination and findings.

The Chancellor or Chancellor's designee has the authority and responsibility to decide what action to take in response to the final determination and findings. The Chancellor or Chancellor's designee may determine that additional investigation is required to determine whether other Code of Conduct violations occurred, but will not reconsider the findings and determinations regarding SVSH Policy violations made through the hearing and any appeal.

If the final finding is that a faculty respondent violated the SVSH Policy, then the Chancellor or Chancellor's designee will, if they did not already do so, consult with the Title IX Officer and either engage the Peer Review Committee or consult with the Academic Personnel Office as described in *Assessment and Consultation (Stage 2)* of the Framework. If the Chancellor or Chancellor's designee already took these steps (because the investigator determined or preliminarily determined the respondent violated the SVSH Policy), then they may choose to repeat them before proposing a resolution (for example, when the finding following any hearing or appeal is different from the investigator's determination or preliminary determination). The Chancellor or Chancellor's designee will decide what action to take to resolve the matter.

For Senate Faculty, matters will then proceed as described in [\*Decision on Sanctions for Senate Faculty \(Stage 3\)\*](#) of the Framework.

For Non-Senate Faculty, the matter will then proceed as described in [\*Decision on Sanctions for Non-Senate Faculty \(Stage 3\)\*](#) of the Framework.

# **Appendix I**

**University of California Policy on  
Student Conduct and Discipline (PACAOS 100)**



# Policies Applying to Campus Activities, Organizations and Students (PACAOS)

## 100.00 Policy On Student Conduct And Discipline

<b>Responsible Officer:</b>	VP - Student Affairs
<b>Responsible Office:</b>	SA - Student Affairs
<b>Issuance Date:</b>	8/14/2020
<b>Effective Date:</b>	8/14/2020
<b>Last Review Date:</b>	8/14/2020
<b>Scope:</b>	Consistent with PACAOS 12.00, these Policies and the campus regulations implementing them apply to all campuses and properties of the University and to functions administered by the University, unless in special circumstances the President directs otherwise.

<b>Contact:</b>	Eric Heng
<b>Title:</b>	Acting Director, Student Policies & Governance
<b>Email:</b>	Eric.Heng@ucop.edu
<b>Phone:</b>	(510) 987- 0239

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## I. POLICY SUMMARY

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The *Policies Applying to Campus Activities, Organizations and Students* are a compendium of Universitywide policies relating to student life. Section 100.00 describes the University's policy on student conduct and discipline.

When a formal investigation is deemed appropriate for cases involving reports of Sexual Violence, Sexual Harassment or other prohibited conduct by the UC Policy on Sexual Violence and Sexual Harassment, campuses shall implement the procedures set forth in PACAOS Appendix E: Sexual Violence and Sexual Harassment Student Adjudication Framework for Non-DOE-Covered Conduct or PACAOS Appendix F: Sexual Violence and Sexual Harassment Student Adjudication for DOE-Covered Conduct. Campuses may also apply PACAOS Appendix E or PACAOS Appendix F to adjudicate student conduct violations that occur in connection with violations of sexual violence and sexual harassment.

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## II. DEFINITIONS

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Definitions for the *Policies Applying to Campus Activities, Organizations and Students*, and the campus implementing regulations adopted pursuant to them, are provided in Section 14.00.

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## III. POLICY TEXT

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### ***100.00 Policy On Student Conduct And Discipline***

#### **101.00 STUDENT CONDUCT**

Students are members of both society and the University community, with attendant rights and responsibilities. Students are expected to comply with all laws and with University policies and campus regulations.

The standards of conduct apply to students as the term 'student' is defined in Section 14.40 of these *Policies*. They also apply to:

- a. applicants who become students, for offenses committed as part of the application process;
- b. applicants who become students, for offenses committed on campus and/or while participating in University-related events or activities that take place following a student's submittal of the application through his or her official enrollment; and
- c. former students for offenses committed while a student.

If specified in implementing campus regulations, these standards of conduct may apply to conduct that occurs off campus and that would violate student conduct and discipline policies or regulations if the conduct occurred on campus.



## **102.00 GROUNDS FOR DISCIPLINE**

Chancellors may impose discipline for the commission or attempted commission (including aiding or abetting in the commission or attempted commission) of the following types of violations by students, as well as such other violations as may be specified in campus regulations:

### **102.01**

All forms of academic misconduct including but not limited to cheating, fabrication, plagiarism, or facilitating academic dishonesty.

### **102.02**

Other forms of dishonesty including but not limited to fabricating information, furnishing false information, or reporting a false emergency to the University.

### **102.03**

Forgery, alteration, or misuse of any University document, record, key, electronic device, or identification.

### **102.04**

Theft of, conversion of, destruction of, or damage to any property of the University, or any property of others while on University premises, or possession of any property when the student had knowledge or reasonably should have had knowledge that it was stolen.

### **102.05**

Theft or abuse of University computers and other University electronic resources such as computer and electronic communications facilities, systems, and services. Abuses include (but are not limited to) unauthorized entry, use, transfer, or tampering with the communications of others; interference with the work of others and with the operation of computer and electronic communications facilities, systems, and services; or copyright infringement (for example, the illegal file-sharing of copyrighted materials).

Use of University computer and electronic communications facilities, systems, or services that violates other University policies or campus regulations.

Please refer to the [UC Electronic Communications Policy](http://www.ucop.edu/ucophome/policies/ec/) (<http://www.ucop.edu/ucophome/policies/ec/>) and [Digital Copyright Protection](http://www.ucop.edu/irc/policy/copyright.html) at UC (<http://www.ucop.edu/irc/policy/copyright.html>) for the University's position on digital copyright.

### **102.06**

Unauthorized entry to, possession of, receipt of, or use of any University services; equipment; resources; or properties, including the University's name, insignia, or seal.

**102.07**

Violation of policies, regulations, or rules governing University-owned, -operated, or -leased housing facilities or other housing facilities located on University property.

**102.08**

Physical abuse including but not limited to physical assault; threats of violence; or other conduct that threatens the health or safety of any person.

Sexual Violence (including Sexual Assault – Penetration, Sexual Assault – Contact and Relationship Violence) is defined by the University of California [Policy on Sexual Violence and Sexual Harassment](#). Please refer to 102.26.

**102.09**

Harassment, defined as conduct that is so severe and/or pervasive, and objectively offensive, and that so substantially impairs a person's access to University programs or activities that the person is effectively denied equal access to the University's resources and opportunities.

Harassment includes, but is not limited to, conduct that is motivated on the basis of a person's race, color, national or ethnic origin, citizenship, sex, religion, age, sexual orientation, gender identify, pregnancy, marital status, ancestry, service in the uniformed services, physical or mental disability, medical condition, or perceived membership in any of these classifications. Pursuant to section 104.90, sanctions may be enhanced for conduct motivated on the basis of the above classifications.

Sexual Harassment is defined by the University of California [Policy on Sexual Violence and Sexual Harassment](#). Please refer to 102.26.

**102.10**

Stalking behavior in which a student repeatedly engages in a course of conduct directed at another person and makes a credible threat with the intent to place that person in reasonable fear for his or her safety, or the safety of his or her family; where the threat is reasonably determined by the University to seriously alarm, torment, or terrorize the person; and where the threat is additionally determined by the University to serve no legitimate purpose.

Stalking of a sex-based nature is defined by the University of California [Policy on Sexual Violence and Sexual Harassment](#). Please refer to 102.26.

**102.11**

(deleted on October 9, 2009: see

<http://www.ucop.edu/ucophome/coordrev/policy/pacaos10209.pdf>)

**102.12**

Participation in hazing or any method of initiation or pre-initiation into a campus organization or other activity engaged in by the organization or members of the organization at any time that causes, or is likely to cause, physical injury or

personal degradation or disgrace resulting in psychological harm to any student or other person.

**102.13**

Obstruction or disruption of teaching, research, administration, disciplinary procedures, or other University activities.

**102.14**

Disorderly or lewd conduct.

**102.15**

Participation in a disturbance of the peace or unlawful assembly.

**102.16**

Failure to identify oneself to, or comply with the directions of, a University official or other public official acting in the performance of his or her duties while on University property or at official University functions; or resisting or obstructing such University or other public officials in the performance of or the attempt to perform their duties.

**102.17**

Unlawful manufacture, distribution, dispensing, possession, use, or sale of, or the attempted manufacture, distribution, dispensing, or sale of controlled substances, identified in federal and state law or regulations.

**102.18**

Manufacture, distribution, dispensing, possession, use, or sale of, or the attempted manufacture, distribution, dispensing, or sale of alcohol that is unlawful or otherwise prohibited by, or not in compliance with, University policy or campus regulations.

**102.19**

Possession, use, storage, or manufacture of explosives, firebombs, or other destructive devices.

**102.20**

Possession, use, or manufacture of a firearm or other weapon as prohibited by campus regulations.

**102.21**

Violation of the conditions contained in the terms of a disciplinary action imposed under these *Policies* or campus regulations.

**102.22**

Violation of the conditions contained in a written Notice of Emergency Suspension issued pursuant to Section 53.00 of these *Policies* or violation of orders issued pursuant to Section 52.00 of these *Policies*, during a declared state of emergency.

### **102.23**

Selling, preparing, or distributing for any commercial purpose course lecture notes or video or audio recordings of any course unless authorized by the University in advance and explicitly permitted by the course instructor in writing. The unauthorized sale or commercial distribution of course notes or recordings by a student is a violation of these *Policies* whether or not it was the student or someone else who prepared the notes or recordings.

Copying for any commercial purpose handouts, readers or other course materials provided by an instructor as part of a University of California course unless authorized by the University in advance and explicitly permitted by the course instructor or the copyright holder in writing (if the instructor is not the copyright holder).

### **102.24**

Conduct, where the actor means to communicate a serious expression of intent to terrorize, or acts in reckless disregard of the risk of terrorizing, one or more University students, faculty, or staff. 'Terrorize' means to cause a reasonable person to fear bodily harm or death, perpetrated by the actor or those acting under his/her control. 'Reckless disregard' means consciously disregarding a substantial risk. This section applies without regard to whether the conduct is motivated by race, ethnicity, personal animosity, or other reasons. This section does not apply to conduct that constitutes the lawful defense of oneself, of another, or of property.

### **102.25**

Making a video recording, audio recording, taking photographs, or streaming audio/video of any person in a location where the person has a reasonable expectation of privacy, without that person's knowledge and express consent.

Looking through a hole or opening, into, or otherwise viewing, by means of any instrumentality, the interior of a private location without the subject's knowledge and express consent.

Making a video recording, audio recording, or streaming audio/video of private, non- public conversations and/or meetings, without the knowledge and express consent of all recorded parties.

These provisions do not extend to public events or discussions, nor to lawful official law or policy enforcement activities. These provisions may not be utilized to impinge upon the lawful exercise of constitutionally protected rights of freedom of speech or assembly.

#### **Definitions**

"Express consent" is clear, unmistakable and voluntary consent that may be in written, oral or nonverbal form.

“Private locations” are settings where the person reasonably expected privacy. For example, in most cases the following are considered private locations: residential living quarters, bathrooms, locker rooms, and personal offices.

“Private, non-public conversations and/or meetings” include any communication carried on in circumstances that reasonably indicate that any party wants the communication to be confined to the parties, but excludes a communication made in a public gathering, or in any other circumstance in which the parties to the communication may reasonably expect that the communication may be overheard or recorded.

Invasions of Sexual Privacy are defined by the University of California [Policy on Sexual Violence and Sexual Harassment](#). Please refer to 102.26.

#### **102.26**

Violation of the University of California Policy on Sexual Violence and Sexual Harassment.

### **103.00 STUDENT DISCIPLINE PROCEDURES**

#### **103.10 Procedural Due Process**

Procedural due process is basic to the proper enforcement of University policies and campus regulations. Chancellors shall establish and publish campus regulations providing for the handling of student conduct cases in accordance with basic standards of procedural due process. Consistent with this requirement, procedures specified in such regulations shall be appropriate to the nature of the case and the severity of the potential discipline.

#### **103.11**

When a formal hearing is deemed to be appropriate for fact finding, campus implementing regulations shall provide the following minimum procedural standards to assure the accused student a fair hearing:

- a) Written notice, including a brief statement of the factual basis of the charges, the University policies or campus regulations allegedly violated, and the time and place of the hearing, within a reasonable time before the hearing;
- b) The opportunity for a prompt and fair hearing where the University shall bear the burden of proof, and at which the student shall have the opportunity to present documents and witnesses and to confront and cross-examine witnesses presented by the University; no inference shall be drawn from the silence of the accused;
- c) A record of the hearing; an expeditious written decision based upon the preponderance of evidence, that shall be accompanied by a written summary of the findings of fact; and
- d) An appeals process.

### **103.12**

When a formal investigation is deemed appropriate for cases involving reports of Sexual Violence, Sexual Harassment or other prohibited conduct by the UC Policy on Sexual Violence and Sexual Harassment, campuses shall implement the procedures set forth in PACAOS Appendix E: Sexual Violence and Sexual Harassment Student Adjudication Framework for Non-DOE-Covered Conduct or PACAOS Appendix F: Sexual Violence and Sexual Harassment Student Adjudication for DOE-Covered Conduct.

## **104.00 ADMINISTRATION OF STUDENT DISCIPLINE**

### **104.10**

Chancellors may impose discipline for violations of University policies or campus regulations whether or not such violations are also violations of law, and whether or not proceedings are or have been pending in the courts involving the same acts.

### **104.20**

Each Chancellor may appoint faculty, student, or other advisory committees, or hearing officers, as specified in campus regulations, but the final authority for administration of student discipline rests with the Chancellor.

### **104.30**

A student, as defined in Section 14.40 of these *Policies*, at one campus of the University, who is accused of violation of University policies or campus regulations on another campus of the University or at an official function of that campus, shall be subject to the disciplinary procedures of either the former or the latter campus as an outcome of conferral between designees of both campuses. The imposition of any recommendations for disciplinary sanctions arising from these procedures must be reviewed and approved by both campuses before the sanctions are imposed.

### **104.31**

If an alleged violation of University policies occurs in connection with an official Universitywide function not on a campus, the student accused of the violation shall be subject to the disciplinary procedures of the campus at which the individual is a student, except in those cases in which the President directs otherwise.

### **104.40**

The loss of University employment shall not be a form of discipline under these *Policies*. However, when student status is a condition of employment, the loss of student status will result in termination of the student's employment. This section is not intended to preclude the disclosure to other appropriate University officials of information relating to any student's judicial records if that information may be reasonably construed to have bearing on the student's suitability for a specific



employment situation. This section is also not intended to preclude an employer from terminating a student's employment outside the disciplinary process.

**104.50**

In imposing discipline other than Suspension or Dismissal, access to housing and health services shall not be restricted unless the act that occasioned the discipline is appropriately related to the restriction.

**104.60**

If as a result of an official campus appeal it is determined that the student was improperly disciplined, the Chancellor shall, if requested by the student, have the record of the hearing sealed, and have any reference to the disciplinary process removed from the student's record. In such case, the record of the hearing may be used only in connection with legal proceedings. The Chancellor also may take other reasonable actions to ensure that the status of the student's relationship to the University shall not be adversely affected.

**104.70 [Rescinded – January 1, 2015]**

**104.71 [Rescinded October 13, 2005]**

**104.80**

Whether or not a hearing is conducted, campuses may provide written notice to a student that his or her alleged behavior may have violated University policy or campus regulations and that, if repeated, such behavior will be subject to the disciplinary process. Evidence of the prior alleged behavior as detailed in the written notice may be introduced in a subsequent disciplinary action in order to enhance the penalty.

**104.81**

Campuses may set forth in campus implementing regulations, policies for placing holds on requests for transcripts, diplomas, or other student records. Such holds may be placed when a student fails to respond to a campuses' written notice of charges or to prevent a student from transferring or having their degree conferred until all allegations against a student or any assigned sanctions and student disciplinary conditions have been fully resolved. Such campus implementing regulations will include processes for notifying the student of the hold, the conditions in which a hold will be removed, and the process for allowing the student to request the removal of the hold.

**104.90**

Sanctions [for any violations of Section 102.00, Grounds for Discipline] may be enhanced where an individual was selected because of the individual's race, color, national or ethnic origin, citizenship, sex, religion, age, sexual orientation, gender identity, pregnancy, marital status, ancestry, service in the uniformed services, physical or mental disability, medical condition, or perceived membership in any of these classifications.

## **105.00 TYPES OF STUDENT DISCIPLINARY ACTION**

When a student is found in violation of University policies or campus regulations, any of the following types of student disciplinary action may be imposed. Any sanction imposed should be appropriate to the violation, taking into consideration the context and seriousness of the violation.

### **105.01 Warning/Censure:**

Written notice or reprimand to the student that a violation of specified University policies or campus regulations has occurred and that continued or repeated violations of University policies or campus regulations may be cause for further disciplinary action, normally in the form of Disciplinary Probation, and/or Loss of Privileges and Exclusion from Activities, Suspension, or Dismissal.

### **105.02 [Rescinded May 17, 2002]**

### **105.03 Disciplinary Probation:**

A status imposed for a specified period of time during which a student must demonstrate conduct that conforms to University standards of conduct.

Conditions restricting the student's privileges or eligibility for activities may be imposed. Misconduct during the probationary period or violation of any conditions of the probation may result in further disciplinary action, normally in the form of Suspension or Dismissal.

### **105.04 Loss of Privileges and Exclusion from Activities:**

Exclusion from participation in designated privileges and activities for a specified period of time. Violation of any conditions in the written Notice of Loss of Privileges and Exclusion from Activities, or violation of University policies or campus regulations during the period of the sanction may be cause for further disciplinary action, normally in the form of Probation, Suspension or Dismissal.

### **105.05 Suspension:**

Termination of student status for a specified period of time with reinstatement thereafter certain, provided that the student has complied with all conditions imposed as part of the suspension and provided that the student is otherwise qualified for reinstatement. Violation of the conditions of Suspension or of University policies or campus regulations during the period of Suspension may be cause for further disciplinary action, normally in the form of Dismissal.

A student may not transfer or register for courses at another campus or location of the University of California during the period of Suspension.

### **105.06 Dismissal:**

Termination of student status for an indefinite period. Readmission to the University shall require the specific approval of the Chancellor of the campus to which a dismissed student has applied. Readmission after dismissal may be granted only under exceptional circumstances.

**105.07 Exclusion from Areas of the Campus or from Official University Functions:**

Exclusion of a student as part of a disciplinary sanction from specified areas of the campus or other University-owned, -operated, or -leased facilities, or other facilities located on University property, or from official University functions, when there is reasonable cause for the University to believe that the student's presence there will lead to physical abuse, threats of violence, or conduct that threatens the health or safety of any person on University property or at official University functions, or other disruptive activity incompatible with the orderly operation of the campus.

**105.08 Interim Suspension:**

Exclusion from classes, or from other specified activities or areas of the campus, as set forth in the Notice of Interim Suspension, before final determination of an alleged violation. A student shall be restricted only to the minimum extent necessary when there is reasonable cause to believe that the student's participation in University activities or presence at specified areas of the campus will lead to physical abuse, threats of violence, or conduct that threatens the health or safety of any person on University property or at official University functions, or other disruptive activity incompatible with the orderly operation of the campus. A student placed on Interim Suspension shall be given prompt notice of the charges, the duration of the Interim Suspension, and the opportunity for a prompt hearing on the Interim Suspension. Interim Suspension shall be reviewed by the Chancellor within twenty-four hours. If a student is found to have been unjustifiably placed on Interim Suspension, the University is committed to a policy whereby reasonable efforts are taken to assist an individual who has been disadvantaged with respect to employment or academic status.

**105.09 Restitution:**

A requirement for restitution in the form of reimbursement may be imposed for expenses incurred by the University or other parties resulting from a violation of these policies. Such reimbursement may take the form of monetary payment or appropriate service to repair or otherwise compensate for damages. Restitution may be imposed on any student who alone, or through group or concerted activities, participates in causing the damages or costs.

**105.10 Revocation of Awarding of Degree:**

Subject to the concurrence of the Academic Senate, revocation of a degree obtained by fraud. Such revocation is subject to review on appeal by the Chancellor.

**105.11 Other:**

Other disciplinary actions, such as monetary fines, community service, or holds on requests for transcripts, diplomas, or other student records to be sent to third parties, as set forth in campus regulations.

## **106.00 POSTING SUSPENSION OR DISMISSAL ON ACADEMIC TRANSCRIPTS**

When, as a result of violations of the Policy on Student Conduct and Discipline, a student is suspended or dismissed, a notation that the discipline was imposed must be posted on the academic transcript for the duration of the suspension or dismissal. Thereafter, notations of Suspension or Dismissal reflected on a student's transcript may be removed as set forth in campus regulations.

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### **IV. COMPLIANCE/RESPONSIBILITIES**

Chancellors shall adopt campus implementing regulations consistent with these *Policies*. The University shall publish these *Policies* and make them widely available, and Chancellors shall do the same with respect to the implementing regulations for their campuses. This requirement may be satisfied through the on-line publication of these *Policies* and their respective campus implementing regulations. (See also Section 13.20 of these *Policies*.)

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### **V. PROCEDURES**

The President shall consult as appropriate with Chancellors, Vice Presidents, the Office of the General Counsel, and Universitywide advisory committees prior to amending these *Policies*. Chancellors shall consult with faculty, students, and staff prior to submitting to the President any campus recommendations related to proposed amendments to these *Policies*. Amendments that are specifically mandated by law, however, do not require consultation with campus representatives or Universitywide advisory committees to the extent that legal requirements do not permit such consultation. (See also Section 13.10 of these *Policies*.)

Chancellors shall consult with students (including student governments), faculty, and staff in the development or revision of campus implementing regulations except when the development or revision of such regulations results from changes to these *Policies* that have been specifically mandated by law. Campuses shall specify procedures, including consultation processes, by which campus implementing regulations may be developed or revised. (See also Section 13.30 of these *Policies*.)

Prior to their adoption, all proposed campus implementing regulations, including all substantive modifications to existing such regulations, shall be submitted to the Office of the President for review, in consultation with the Office of the General Counsel, for consistency with these *Policies* and the law. (See also Section 13.40 of these *Policies*.)

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### **VI. RELATED INFORMATION**

See also Policies Applying to Campus Activities, Organizations and Students sections:

10.00 Preamble and General Provisions

11.00 Authority

- 12.00      Applicability
- 13.00      Development and Review of Universitywide Policies and Campus  
Implementing Regulations
- 14.00      Definitions

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## VII. FREQUENTLY ASKED QUESTIONS

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Not applicable

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## VIII. REVISION HISTORY

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**August 14, 2020:** Updated to reflect the issuance of PACAOS Appendix F: Sexual Violence and Sexual Harassment Student Adjudication for DOE-Covered Conduct in response to the U.S. Department of Education Title IX regulations issued on May 6, 2020.

**March 1, 2019:** This Policy was also remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0.

PACAOS 100.00 Revisions include:

- Clarification that campuses shall implement the procedures set forth in Appendix E, when a formal investigation is deemed appropriate for cases involving reports of Sexual Violence, Sexual Harassment or other conduct prohibited by the UC Policy on Sexual Violence and Sexual Harassment;
- Addition of direct references of defined prohibited conduct under UC Policy on Sexual Violence and Sexual Harassment;
- Addition of 102.26 (violations of the *SVSH Policy*) as prohibited conduct under the Policy on Student Conduct and Discipline;
- Addition of 104.81, allowing campuses to set forth campus regulations for placing holds on requests for transcripts, diplomas and other student records; and
- Modification to 105.05 Suspension, to prohibit a student from transferring or registering for courses at another UC campus or location during the period of Suspension.

**December 23, 2015:** Revised December 23, 2015 to come into line with revised UC Policy on Sexual Harassment and Sexual Violence

**June 1, 2012:** Reformatted into the standard University of California policy template

**May 10, 2012:** Revised (Replaced interim 102.09 and added 102.25)

**February 23, 2011:** Revised (Added Section 102.24 and Section 104.90)

**October 9, 2009:** Revised (102.09 and 102.11 replaced with a single interim 102.09)

**October 20, 2008:** Revised (102.05)

**University of California – Policy PACAOS-100**

**Policies Applying to Campus Activities, Organizations and Students (PACAOS)**

**October 13, 2005:** Revised (104.71 Rescinded)

**July 28, 2004:** Revised

**May 17, 2002:** Revised

**August 15, 1994:** Revised

**October 31, 1983:** Revised

**July 21, 1978:** Revised

**January 3, 1979:** Effective

**October 29, 1973:** Revised

**September 1, 1970:** Original issuance



## **Appendix J**

**UC Davis Policy on Student Conduct and Discipline**

UC DAVIS POLICY ON STUDENT CONDUCT AND DISCIPLINE  
Effective September 1, 2020

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## UC DAVIS POLICY ON STUDENT CONDUCT AND DISCIPLINE

### I. POLICY SUMMARY

The Policies Applying to Campus Activities, Organizations and Students are a compendium of University-wide policies relating to student life. Section 100.00 describes the University's policy on student conduct and discipline.

When a formal investigation is deemed appropriate for cases involving reports of Sexual Violence, Sexual Harassment, or other prohibited conduct by the UC Policy on Sexual Violence and Sexual Harassment, campus shall implement the procedures set forth in PACAOS Appendix E: Sexual Violence and Sexual Harassment Student Adjudication Framework. Campuses under local procedures may also apply PACAOS Appendix E to adjudicate student conduct violations that occur in connection with violations of sexual violence and sexual harassment.

UC Davis has designated the Office of Student Support and Judicial Affairs (OSSJA) to administer student conduct policies and procedures for academic and social misconduct, recognizing that centralized authority, responsibility, and record-keeping are essential to a balanced and impartial student conduct process.

### II. DEFINITIONS

Definitions for the Policies Applying to Campus Activities, Organizations and Students, and the campus implementing regulations adopted pursuant to them, are provided in Section 14.00.

- A. Student disciplinary records are educational records under state and federal law and UC Davis Policy and Procedure Manual, 320-21 Privacy and Disclosure of Information from Student Records.
- B. Days are counted as University business days.
- C. The terms "UC Davis" and "University" are used interchangeably.

### III. POLICY TEXT

#### 100.00 Policy on Student Conduct and Discipline



## 101.00 Student Conduct

Students are members of both society and the University community, with attendant rights and responsibilities. Students are expected to comply with all laws and with University policies and campus regulations.

The standards of conduct apply to students as the term ‘student’ is defined in Section 14.40 of these Policies [UC PACAOS].

As specified under Section 14.40 (c) of UC PACAOS, “enrolled in or registered with an academic program of the University” is not limited to taking classes at the University. It includes actions by an individual previously accepted and taking classes who engages in activity reasonably interpreted as continuing to pursue an academic program or representing completion of an academic program at the University.

They also apply to:

1. applicants who become students, for offenses committed as part of the application process;
2. applicants who become students, for offenses committed on campus and/or while participating in University-related events or activities that take place following a student's submittal of the application through their official enrollment;
3. and former students for offenses committed while a student.
4. at UC Davis, “student” includes individuals who are enrolled in or registered in any academic course at UC Davis. In addition to individuals seeking a degree at UC Davis, this includes, but is not limited to, individuals taking courses through UC Davis Continuing and Professional Education or UC Davis Study Abroad.

If specified in implementing campus regulations, these standards of conduct may apply to conduct that occurs off-campus and that would violate student conduct and discipline policies or regulations if the conduct occurred on campus.

### 101.00.1 Off Campus Jurisdiction. OSSJA has jurisdiction over academic or social misconduct by students that occurs on UC Davis property or involving campus functions, activities, equipment, facilities or locations that are operated under the University’s control. OSSJA

also has jurisdiction over conduct that occurs outside of UC Davis property or that does not involve campus functions, equipment or facilities as described below.

- A. OSSJA will consider the following factors in determining whether to exercise off-campus jurisdiction.
  - 1. The conduct involved the completion of academic work.
  - 2. The seriousness of the conduct warrants a response by the University.
  - 3. The conduct involved injury, damage, and/or risk of harm to oneself or others.
  - 4. The complainant(s) and/or witnesses are members of the campus community.
  - 5. The off-campus conduct occurred at, or involved activities of a registered student organization.
  - 6. The conduct is part of a series of actions which occurred both on- and off-campus.
  - 7. The conduct may also constitute a violation of local, state or federal laws.
  - 8. The conduct impairs the ability of another student(s) to participate and/or have equal access to University activities.
  - 9. The incident involves any form of sexual violence or sexual assault or physical assault.
- B. Off campus jurisdiction does not depend on geographic proximity to campus, but may be a factor in determining the impact of the behavior on the University educational environment.
- C. Off campus jurisdiction does not require a reporting party to be a member of the UC Davis community.
- D. The Director has final discretion whether to extend off-campus jurisdiction to alleged student misconduct.

101.00.2 False Information in the Application Process. The University Office of the Registrar has authority to determine whether an applicant's work submitted as part of the application process prior to enrollment is not the applicant's own work or that an applicant has withheld information or submitted information that is false or misleading. If determined to be false or misleading by the Office of the Registrar, the University may withdraw an admission offer, rescind admission and/or cancel registration. Such action may apply to

the UC Davis campus or other campuses of the University of California. Decisions under this section do not require adjudication through OSSJA.

101.00.3 Misconduct Prior to Class Enrollment. Other alleged misconduct that occurs prior to enrollment may be adjudicated through the Office of Student Support and Judicial Affairs and may result in withdrawal of admission and/or disciplinary sanctions including dismissal from the University of California and/or revocation of a University of California degree.

102.00 Grounds for Discipline  
Chancellors may impose discipline for the commission or attempted commission (including aiding or abetting in the commission or attempted commission) of the following types of violations by students, as well as such other violations as may be specified in campus regulations:

102.00.1 UC Davis Standards of Conduct for Students

102.01 All forms of Academic Misconduct including but not limited to cheating, fabrication, plagiarism, or facilitating academic dishonesty

102.01.1 UC Davis Code of Academic Conduct  
This Code of Academic Conduct exists to support high standards of behavior and to ensure fair evaluation of student learning. Students who violate the Code of Academic Conduct are subject to disciplinary sanctions that include Censure, Probation, Suspension, or Dismissal from the University of California. Unless specifically authorized by the instructor in writing, misconduct includes, but is not limited to, the following:

- A. Cheating on exams or other coursework
  - 1. Copying or attempting to copy from another student, allowing another student to copy, or collaborating on an exam
  - 2. Displaying or using any unauthorized material such as notes, cheat-sheets, or electronic devices
  - 3. Looking at another student's exam
  - 4. Not following an instructor's directions
  - 5. Talking, texting or communicating during an exam

6. Altering assignments or exams for re-grading purposes
  7. Bringing pre-written answers to an exam
  8. Having another person take an exam for you, or taking an exam for another student
  9. Theft of academic work
  10. Unexcused exit and re-entry during an exam period
- B. Plagiarism
1. Taking credit for any work created by another person. Work includes, but is not limited to, books, articles, experimental methodology or results, compositions, images, lectures, computer programs, internet postings
  2. Copying any work belonging to another person without indicating that the information is copied and properly citing the source of the work
  3. Using another person's presentation of ideas without putting such work in your own words or form and/or failing to provide proper citation
  4. Creating false citations that do not correspond to the information you have used
  5. Representing your previous work as if it is your original or new work
  6. Submitting the same or similar work in more than one course without permission of the instructor
- C. Unauthorized Collaboration on evaluated coursework
1. Working together on evaluated coursework without permission of the instructor
  2. Working with another student beyond the limits set by the instructor
  3. Providing or obtaining unauthorized assistance on evaluated coursework
- D. Misuse of an instructor's course materials or the materials of others
1. Posting, purchasing, obtaining, sharing, or copying any course materials of an instructor without the explicit written permission of that instructor
  2. Unauthorized use of another student's work
- E. Lying or fraud
1. Giving false excuses to obtain exceptions for deadlines, to postpone an exam or assignment, or for other reasons
  2. Forging signatures or submitting documents containing false information

- 3. Making false statements regarding attendance at class sessions, requests for late drops, incomplete grades, or other reasons
- F. Misuse of University properties or resources
  - 1. Purchasing or selling (or attempting to) one's registration in a class

102.02 Other forms of dishonesty, including, but not limited to,

- A. Fabricating information
- B. Furnishing false information
- C. Reporting a false emergency to the University
- D. Withholding material information

102.03 Forgery, alteration, or misuse of any University document, record, key, electronic device, or identification

102.04 Theft of, conversion of, destruction of, or damage to any property of the University, or any property of others while on University premises, or possession of any property when the student had knowledge or reasonably should have had knowledge that it was stolen

102.05 Theft or abuse of University computers and other University electronic resources such as computer and electronic communications facilities, systems, and services. Abuses include (but are not limited to) unauthorized entry, use, transfer, or tampering with the communications of others; interference with the work of others and with the operation of computer and electronic communications facilities, systems, and services; or copyright infringement (for example, the illegal file-sharing of copyrighted materials)

Use of University computer and electronic communications facilities, systems, or services that violates other University policies or campus regulations

Please refer to the UC Electronic Communications Policy

(<https://policy.ucop.edu/doc/7000470/ElectronicCommunications>)

Also, refer to:

UC Davis [PPM 310-23 Electronic Communications – Allowable Use](#)

UC Davis [PPM 250-05 Digital Millennium Copyright Act](#)

- 102.06 Unauthorized entry to, possession of, receipt of, or use of any University services; equipment; resources; or properties, including the University's name, insignia, or seal
- 102.07 Violation of policies, regulations, or rules governing University-owned, -operated, or -leased housing facilities or other housing facilities located on University property
- A. See [UC Davis Student Housing and Dining Services Guide to Residence Life](#)
  - B. Regulations and Rules governing other University-owned or -operated housing facilities located on or off University property
- 102.08 Physical abuse, including, but not limited to, physical assault; threats of violence; or other conduct that threatens the health or safety of any person
- A. Physical assault
  - B. Threats of Violence
  - C. Conduct that threatens the health or safety of any person; behavior in which a reasonable person would be placed in fear of bodily harm or the conduct would reasonably cause bodily harm to a person.

Sexual Violence (including Sexual Assault-Penetration, Sexual Assault-Contact and Relationship Violence) is defined by the University of California Policy on Sexual Violence and Sexual Harassment. Please refer to 102.26.

- 102.09 Harassment, defined as conduct that is so severe and/or pervasive, and objectively offensive, and that so substantially impairs a person's access to University programs or activities that the person is effectively denied equal access to the University's resources and opportunities

Harassment includes, but is not limited to, conduct that is motivated on the basis of a person's race, color, national or ethnic origin, citizenship, sex, religion, age, sexual orientation, gender identify, pregnancy, marital status, ancestry, service in the uniformed services, physical or mental disability, medical condition (cancer-related or genetic characteristics), or perceived membership in any of these classifications.

The classifications also include conduct motivated by gender, gender expression, and genetic information (including family medical history).

Pursuant to Section 104.90, sanctions may be enhanced for conduct motivated on the basis of the above classifications.

Sexual Harassment is defined by the University of California Policy on Sexual Violence and Sexual Harassment. Please refer to 102.26.

- 102.10 Stalking behavior in which a student repeatedly engages in a course of conduct directed at another person and makes a credible threat with the intent to place that person in reasonable fear for their safety, or the safety of their family; where the threat is reasonably determined by the University to seriously alarm, torment, or terrorize the person; and where the threat is additionally determined by the University to serve no legitimate purpose

Stalking of a sexual or romantic nature is defined by the University of California Policy on Sexual Violence and Sexual Harassment. Please refer to 102.26.

- 102.11 deleted on October 9, 2009:

- 102.12 Participation in hazing or any method of initiation or pre-initiation into a campus organization or other activity engaged in by the organization or members of the organization at any time that causes, or is likely to cause, physical injury or personal degradation or disgrace resulting in psychological harm to any student or other person
- A. Conducting and/or engaging in activities of initiation or pre-initiation that involve physical, verbal or emotional abuse, harassment, presence or use of alcohol, humiliation, mistreatment of animals, unreasonable or meaningless acts or services, or acts that are illegal, perverse, publicly indecent, contrary to the individual's genuine moral and/or religious beliefs, or contrary to the rules, policies, and regulations of the University.
  - B. Such activities are considered hazing regardless of an individual's willingness to participate or option not to participate.



Examples of hazing activities may be found at the Center for Student Involvement website. <https://csi.ucdavis.edu/policies/hazing/>

- 102.13 Obstruction or disruption of teaching, research, administration, disciplinary procedures, or other University activities
- A. Obstruction or disruption means that the behavior has caused interruption or interference of the teaching, research or public service missions of the University, the orderly operation of the campus and its administrative functions, campus disciplinary procedures, or other University activities.
    - 1. What is considered interruption or interference will depend on the totality of the circumstances, including, but not limited to, the nature of the event or environment in which the conduct occurs, the seriousness of the behavior, prior notice of expectations, and persistence of the behavior.
    - 2. University activities include curricular or extra-curricular events on campus that support the educational mission of the University or the free expression of speech or ideas on campus. This includes events hosted by students or student groups and applies to University-sponsored events that occur off-campus. It includes activities or operations on campus in which individuals have a lawful right to access.
  - B. An attempt to retaliate against, influence, or interfere with any witness or party in a University investigation or student conduct process
  - C. Obstruction or disruption includes, but is not limited to:
    - 1. interfering with the orderly operation of the campus involving teaching, research, administration, disciplinary procedures or other University activities.
    - 2. pressuring an instructor or teaching assistant to regrade work, change a final grade, or obtain an exception such as changing the date of an exam, extending a deadline, or granting an incomplete grade.
    - 3. refusing to leave an office when directed to do so.
    - 4. physically or verbally intimidating or threatening an instructor, teaching assistant, or staff person, including, but not limited to, invading personal space, or engaging in any form of harassment.
    - 5. repeatedly contacting or following a faculty or staff person when directed not to do so.

6. misusing a classroom electronic forum by posting material unrelated to the course.
7. interfering with an instructor's or teaching assistant's ability to teach a class, or interfering with other students' participation in a class.
8. conduct that interferes with a speaker or presenter from delivering their message or an audience from receiving the message.
9. conduct that interferes with others' lawful access to University activities or University-owned, -operated, or -controlled facilities

102.14 Disorderly or lewd conduct

102.15 Participation in a disturbance of the peace or unlawful assembly

102.16 Failure to identify or comply with directions

- A. Failure to identify oneself to, or comply with the directions of, a University official or other public official acting in the performance of their duties while on University property or at official University functions
- B. Resisting or obstructing such University or other public officials in the performance of or the attempt to perform their duties
- C. Failure to comply with a University No Contact Directive issued by a University official

102.17 Unlawful manufacture, distribution, dispensing, possession, use, or sale of, or the attempted manufacture, distribution, dispensing, or sale of controlled substances, identified in federal and state law or regulations

- A. Prohibited manufacture, distribution, dispensing or sale of controlled substances
- B. Prohibited use or possession of controlled substances

102.18 Manufacture, distribution, dispensing, possession, use, or sale of, or the attempted manufacture, distribution, dispensing, or sale of alcohol that is unlawful or otherwise prohibited by, or not in compliance with, University policy or campus regulations

- A. Prohibited manufacture, distribution, dispensing or sale of alcohol
- B. Prohibited use or possession of alcohol

- 102.19 Possession, use, storage, or manufacture of explosives, firebombs, or other destructive devices
- 102.20 Possession, use, or manufacture of a firearm or other weapon as prohibited by campus regulations
- 102.21 Violation of the conditions contained in the terms of a disciplinary action imposed under these Policies or campus regulations
- 102.22 Violation of the conditions contained in a written Notice of Emergency Suspension issued pursuant to Section 53.00 of these Policies [UC PACAOS] or violation of orders issued pursuant to Section 52.00 of these Policies [UC PACAOS], during a declared state of emergency
- 102.23 Selling, preparing, or distributing for any commercial purpose course lecture notes or video or audio recordings of any course unless authorized by the University in advance and explicitly permitted by the course instructor in writing. The unauthorized sale or commercial distribution of course notes or recordings by a student is a violation of these Policies whether it was the student or someone else who prepared the notes or recordings.
- Copying for any commercial purpose handouts, readers or other course materials provided by an instructor as part of a University of California course unless authorized by the University in advance and explicitly permitted by the course instructor or the copyright holder in writing (if the instructor is not the copyright holder)
- 102.23.1 Copying, posting or distributing materials provided by an instructor for any non-commercial purpose
- 102.24 Conduct, where the actor means to communicate a serious expression of intent to terrorize, or acts in reckless disregard of the risk of terrorizing, one or more University students, faculty, or staff. 'Terrorize' means to cause a reasonable person to fear bodily harm or death, perpetrated by the actor or those acting under their control. 'Reckless disregard' means consciously disregarding a substantial risk. This section applies without regard to whether the conduct is motivated by race, ethnicity, personal animosity, or other

reasons. This section does not apply to conduct that constitutes the lawful defense of oneself, of another, or of property

102.25 Making a video recording, audio recording, taking photographs, or streaming audio/video of any person in a location where the person has a reasonable expectation of privacy, without that person's knowledge and express consent

Looking through a hole or opening, into, or otherwise viewing, by means of any instrumentality, the interior of a private location without the subject's knowledge and express consent

Making a video recording, audio recording, or streaming audio/video of private, non-public conversations and/or meetings, without the knowledge and express consent of all recorded parties

These provisions do not extend to public events or discussions, nor to lawful official law or policy enforcement activities. These provisions may not be utilized to impinge upon the lawful exercise of constitutionally protected rights of freedom of speech or assembly.

#### Definitions

"Express consent" is clear, unmistakable and voluntary consent that may be in written, oral or nonverbal form.

"Private locations" are settings where the person reasonably expected privacy. For example, in most cases the following are considered private locations: residential living quarters, bathrooms, locker rooms, and personal offices.

"Private, non-public conversations and/or meetings" include any communication carried on in circumstances that reasonably indicate that any party wants the communication to be confined to the parties, but excludes a communication made in a public gathering, or in any other circumstance in which the parties to the communication may reasonably expect that the communication may be overheard or recorded.

Invasions of Sexual Privacy are defined by the University of California Policy on Sexual Violence and Sexual Harassment. Please refer to 102.26.

- 102.26 Violation of the University of California Policy on Sexual Violence and Sexual Harassment
- 102.27 Failure to follow [UC Davis Interim Public Health Policy, Section 290-01](#)
- 103.00 Student Discipline Procedures
- 103.10 Procedural Due Process
- Procedural due process is basic to the proper enforcement of University policies and campus regulations. Chancellors shall establish and publish campus regulations providing for the handling of student conduct cases in accordance with basic standards of procedural due process. Consistent with this requirement, procedures specified in such regulations shall be appropriate to the nature of the case and the severity of the potential discipline.
- 103.10.1 UC Davis Student Discipline Procedures
- 103.10.2 Reporting Suspected Student Misconduct to OSSJA
- A. Faculty, students, staff, or others, including parties not affiliated with the University, may submit reports of suspected misconduct to OSSJA. The person directly affected by the behavior, or someone acting on their behalf may submit a report. At a minimum, a report should include the following information:
1. Name and contact information of reporting party
  2. Approximate date of alleged violation
  3. Brief description of alleged misconduct
- The report may include the names of witnesses, if any, and copies of supporting documentation, if any.
- B. A student who has been assigned a "Y" grade or subject to other adverse action, but has not been reported to OSSJA, may bring the matter to OSSJA and elect to have their case reviewed through these discipline procedures, if appropriate.

- C. A reporting party may, but is not required to, inform or discuss a report of suspected misconduct with a student prior to submitting a report.

#### 103.10.3 Timeliness of Complaints

- A. Reports to OSSJA for suspected academic misconduct must be sent to OSSJA within 45 days after the end of the quarter in which the suspected misconduct occurred, or reasonably should have been discovered.
- B. Reports of suspected social misconduct must be sent to OSSJA within 60 days of when the suspected conduct occurred, or reasonably should have been discovered, unless OSSJA determines that a longer reporting period is warranted.
- C. Late reports may not be the subject of a formal hearing, unless the Director grants an extension for cause. The Director has final authority to decide whether to extend a reporting deadline.
- D. Exceptions to time deadlines for reporting misconduct include, but are not limited to,
  - 1. reports involving alleged physical abuse.
  - 2. reports in which the law or other policy provides for a longer reporting period.
  - 3. reports in which the complaining party provides justifiable excuse for the delay. The Director has discretion whether to grant an exception taking into consideration the impact of the delay in reporting upon the accused student including availability of witnesses or evidence.

#### 103.10.4 Preliminary Review by OSSJA

- A. Upon receiving a written report or a request for review, OSSJA will evaluate the matter. OSSJA may decline to pursue the report through the disciplinary process if:
  - 1. The report is untimely.
  - 2. The alleged conduct does not fall under OSSJA's jurisdiction.
  - 3. The submitted information does not support a reasonable suspicion that misconduct has occurred.
  - 4. The suspected behavior, if true, would not constitute a violation of University policies.

5. The suspected incident should be addressed through other policies or procedures.
- B. The Director has final discretion whether to accept a report for the disciplinary process.

#### 103.10.5 Notice to Reported Student

- A. If OSSJA determines that further inquiry is appropriate, OSSJA sends written notice, by e-mail, to the reported student.
- B. The notice will inform the student that the University has received a report about suspected misconduct in a class or other setting.
- C. The e-mail will direct the student to schedule an appointment with OSSJA.
- D. Normally, a student is required to contact OSSJA within three (3) days to schedule an appointment. OSSJA has authority to set a shorter deadline.

#### 103.10.6 Procedures for Resolving Conduct Referrals

Student conduct reports may be resolved through the following procedures: Informal Resolution, Unilateral Action, or Formal Hearing.

#### 103.10.7 Informal Resolution.

Informal Resolution means resolution of a conduct referral by agreement between the student and OSSJA.

- A. Procedures for Informal Resolution
  1. If the reported student participates in informal resolution, the process usually includes one or more meetings or other communications between the student and OSSJA to discuss the reported misconduct.
  2. The student is required to appear in person for the first meeting unless OSSJA determines that there is reason for the meeting to be conducted by phone or other electronic means.
  3. At the first meeting with the reported student, the Judicial Officer describes the student conduct process, informs the student that the University has the burden of proof and the student is considered not in violation until admitted or found in violation through the appropriate fact-finding or hearing process, and explains verbally the information supporting the report of misconduct. The first meeting is part of the



informal resolution process. The reported student is afforded an opportunity to respond, to ask questions, and to discuss possible options for resolving the case. OSSJA is not obligated to provide copies of the information supporting the report. The student, however, may request access to their educational records as provided in University PPM 320-21.

4. A student has the right to remain silent without any inference of culpability. Any information the student provides in the informal resolution process must be truthful. Providing false information in the conduct process may be considered a basis for additional charges or be considered an aggravating factor for assigning disciplinary sanctions. Information from the informal resolution process may be shared with the reporting party and may become evidence in a later formal process.
5. A reported student may consult and/or be accompanied by an advisor of their choice at any point during the informal process; however, students are expected to speak for themselves if the student chooses to do so. The advisor may, at the student's own expense, be an attorney. The advisor may not be another student who has been reported for the same incident or is a potential witness to the incident. OSSJA also reserves the right to limit the number of individuals who may accompany a student to a conduct meeting. Generally, OSSJA allows one person to accompany a reported student as an advisor.
6. OSSJA will consider requests from the reported student for disability related accommodations.
7. OSSJA will consider requests from the reported student for language interpretation.
8. OSSJA may consult with the person who submitted the report before resolving a referral. OSSJA may also inform the reporting party if the accused student has a disciplinary history.
9. If the reporting party is a student or University non-affiliate, OSSJA will not release information as limited by policy and law regarding the confidentiality of student records.
10. OSSJA may offer to resolve the case informally by agreement between the student and OSSJA. If agreement is reached, it will be stated in

writing and either be signed or accepted in writing, electronic signature or e-mail by the student, and generally contains the following terms, as appropriate:

- a. The agreement should state whether a violation is acknowledged, and if so, describe the agreed facts of the incident and the nature of the admitted violation.
  - i. OSSJA may offer a student to resolve a matter by “not contesting” the misconduct as reported.
  - ii. “Not contesting” the reported misconduct is equivalent to admitting that the information is sufficient to establish the misconduct as charged and the student chooses to accept a disciplinary sanction for the misconduct.
  - iii. Normally, OSSJA will not offer to resolve cases of academic misconduct by “no contest.”
  - iv. OSSJA has sole discretion whether to offer resolution by “no contest.”
- b. If the student and OSSJA agree on the appropriate sanction(s), the agreement will describe the terms of the sanction(s) to be imposed. A grade penalty is not a disciplinary sanction.

#### 103.10.8 Sanction Review by Director

- A. If a reported student admits to a reported violation, but does not agree with the proposed disciplinary sanction, the student may request, in writing, that the Director determine the appropriate sanction.
- B. The Director’s decision regarding the disciplinary sanction for admitted academic misconduct does not affect an instructor’s authority regarding assigning grades.
- C. A student on a deferred sanction is not eligible for the Director’s review.
- D. Process for Sanction Review by Director
  1. The Judicial Officer will provide the student with a written description that states whether a violation is acknowledged, and if so, describes the agreed facts of the incident and the nature of the admitted violation. The student may accept the written description by e-mail, electronic signature

or written signature. If the student does not accept the written description, a sanction review is not available.

2. If accepted, the student is provided the opportunity to present relevant information, in writing or in person to the Director for consideration regarding disciplinary sanction(s).
3. The purpose of the review is not to reargue the facts of the case, but to consider appropriate sanctions.
4. OSSJA will send a written notice of Sanction Review to the student containing the following information:
  - a. The subject of the Sanction Review
  - b. The statement of agreed facts
  - c. The admitted policy violation
  - d. The procedures that will be followed
5. Timeframe
  - a. Normally, the student may submit materials and/or meet with the Director no later than seven (7) days after the date of the Notice of Sanction Review.
  - b. The Director will decide the appropriate disciplinary sanction and notify the student in writing no later than 10 days after the deadline for the student to submit materials or meet with the Director.
6. A student may appeal the Director's decision under Section 103.11.7.D for Grounds 2 and 3 only.

#### 103.10.9 Unilateral Action

OSSJA may take unilateral action to address or resolve cases of suspected misconduct under the conditions listed below. Unilateral action may include assigning non-disciplinary administrative actions or assigning disciplinary sanctions. A formal disciplinary hearing is not required when a conduct referral is resolved through unilateral action; however, a student may have the opportunity to appeal a unilateral decision.

- A. Circumstances in which unilateral action may be imposed.
  1. A reported student fails to respond/participate despite reasonable efforts by OSSJA to contact the student. Reasonable efforts are defined as: OSSJA has contacted the student in writing at least twice without

response and has subsequently notified the student in writing of pending unilateral disciplinary action without response. OSSJA will provide a deadline of at least seven (7) days after sending the notice of pending disciplinary action before imposing the stated unilateral action.

2. The student withdraws or fails to re-register while a conduct referral is pending and the student fails to respond and participate in the conduct process as described in (1) above.
  3. The student fails to complete an imposed condition of any disciplinary sanction, including, but not limited to completing community service hours, submitting a monetary fine, submitting an assigned paper, attending educational workshops.
  4. A student has previously agreed to or been placed on a status of a deferred sanction and subsequently is found in violation of the deferred sanction. See 105.13 for definitions of deferred sanctions.
  5. When there is reasonable cause to believe that the student's participation in University activities or presence at specified areas of the campus will lead to physical abuse, threats of violence, or conduct that threatens the health or safety of any person, or other disruptive activity incompatible with the orderly operation of the campus.
  6. When another University official, including, but not limited to, a faculty member or other University official meets with a student regarding a violation of University policy and requests that OSSJA retain the student's name on file as a written record of the violation by the student.
  7. When there is a reasonable basis for the University to direct a student not to have further contact with identified individuals. A reasonable basis means there is concern that the health or safety of the protected person, or the ability of the protected person to access University's resources and opportunities may be impacted by contact with the student. A No Contact Directive or order is considered a direction by a University official.
- B. OSSJA has discretion to take any of the following unilateral actions:
1. Administrative actions. Administrative actions are not disciplinary sanctions, and do not constitute a conduct record.

- a. OSSJA may place administrative holds on a student's registration, graduation, diploma, and transcripts in the following circumstances:
      - i. Failure to meet deadlines to schedule appointments
      - ii. Pending disciplinary referrals
      - iii. Conditions of a disciplinary sanction have not been completed

OSSJA will provide written notice that administrative holds will be placed by a stated date for above circumstances.
    - b. OSSJA may issue administrative notices regarding University standards and policies ([UC PACAOS Section 104.80.1](#)).
    - c. OSSJA informs a student not to have further contact with another individual in any form ([UC PACAOS Section 104.80.2](#)).
  - 2. Disciplinary Sanctions
    - a. Disciplinary holds. OSSJA may impose disciplinary holds on a student's registration, graduation or transcripts as a final resolution of a student's referral.
    - b. OSSJA may impose Censure, Probation, Suspension, or Dismissal.
    - c. OSSJA may retain a student's name on file (Name on File) as a written record of a student violation reported to OSSJA by other University officials. The student is notified that their name will be kept on file by OSSJA regarding the violation.
    - d. Interim Suspension; OSSJA may impose an interim suspension from the University in keeping with Section 105.08 of these Policies.
- C. Appeal of Unilateral Action. The student who is subject to administrative action or disciplinary sanctions imposed under this section may appeal OSSJA's decision as follows:
  - 1. Appeal of Administrative Holds.
    - a. A student may request in writing to OSSJA for the removal of administrative holds.

- b. The Director has final discretion whether to release administrative holds and the conditions under which they may be released.
  - c. The Director will notify the student in writing of the decision.
  - d. There is no further appeal regarding administrative holds.
- 2. Appeals from Unilateral Discipline imposed for failure or refusal to respond must be submitted to the Director in writing within ten days of the date in which the unilateral discipline was imposed. The appeal must state reasonable grounds for the student's non-cooperation or failure to respond during the original process. The Director may sustain the original unilateral discipline, or may reopen the discipline process for informal resolution or formal hearing. If the Director sustains the original action, the student may appeal as provided in Section 103.11.7 below.
- 3. Appeals from discipline imposed under a deferred sanction must be submitted as provided in Section 103.11.7 below.
- 4. A student is provided an opportunity to meet with a OSSJA staff person to respond to a Name on File. The OSSJA staff person may dismiss the case, resolve the referral with an Administrative Notice, or reopen the disciplinary process for informal resolution or a formal hearing.
- 5. An Administrative Notice or a No Contact Directive is not a disciplinary sanction and is not subject to appeal.
- D. Unilateral action in response to campus COVID-19 regulations under Section 102.27.
  - 1. Upon receipt of a report of non-compliance by a student, OSSJA will review the report. The report should include the student's name, student ID number (if available), approximate date/time/location of the reported violation, and nature of the violation.
  - 2. This Section applies to reported violations of Section 102.27. It may also apply to violations of other UC Davis Standards of Conduct (Sections 102.01 through 102.25) that are reasonably related to the incident; herein referred collectively as, Section 102.27 &c.
  - 3. OSSJA may take one or more of the following steps after reviewing the report.

- a. Notify the student, in writing, of the reported violation and issue a non-disciplinary Administrative Notice (104.80.1) to the student.
- b. Notify the student, in writing, of the reported violation, and impose disciplinary sanctions that do not involve Suspension (105.05) or Dismissal (105.06) from the University, if OSSJA determines that a preponderance of the evidence supports that the student violated Section 102.27 &c.
- c. Within three days of receiving notice, the student may submit information to OSSJA and/or request a meeting with OSSJA to respond to the report; however, OSSJA has final authority to determine whether the student violated Section 102.27 &c. and impose disciplinary sanctions as allowed under (b) for the violation(s).
- d. If the reported violation of 102.27 &c. warrants Suspension or Dismissal from the University, OSSJA will follow standard UC Davis disciplinary procedures provided in the UC Davis Policy on Student Conduct and Discipline outside of Section 103.10.9.D.
- e. The appropriate disciplinary sanctions will depend on the seriousness of the violation and whether the student has prior violations of Section 102.27 &c.
- f. Appeals
  - i. A student may not appeal findings and/or sanctions that OSSJA issues under this Section for violating Section 102.27 &c.
  - ii. A student may appeal findings and/or sanctions that affects a student's status such as suspension or dismissal, as provided under Section 103.11.7.
- g. The University may use Interim Suspension (Section 105.08) and its implementing procedure under 105.08.1 to address incidents that involve 102.27 &c.



- h. OSSJA will not report disciplinary records of violations involving Section 102.27&c. to third parties outside the University unless the sanctions include Suspension or Dismissal.
- 4. Registered Student Organizations
  - a. The University will apply the standards of behavior under Section 102.27 &c., to Registered Student Organizations, including Greek letter organizations.
  - b. The University will address reported violations by Registered Student Organizations under Appendix B of this Policy.
- 5. Student housing management may address reported violations of Section 102.27 &c. under this Section for University disciplinary sanctions.
  - a. On campus student housing includes any University-owned, -operated, or -leased housing facilities or public private partnership (P3) properties located on University property.
  - b. Reported violations of Section 102.27 &c. may be referred for University disciplinary sanctions and/or administrative action in accordance with this Section and/or student housing regulations.
  - c. Student housing management may also establish conduct standards that apply specifically to student residences or grounds directly adjacent to student residences.
- 6. Off campus jurisdiction.
  - a. The University will apply behavioral requirements under Section 102.27 &c. to behavior that occurs off campus and creates a health or safety risk to the campus community.
  - b. The University will use the procedures outlined under this Section for reported incidents under 6.a. for off campus behavior by students.
  - c. For Registered Student Organizations, the University shall use the procedures under Appendix B for reported violations of 102.27 &c. that occur off campus.
- 7. Amnesty
  - a. The University may provide amnesty for violations of Section 102.27 &c. for individuals who comply in good faith with contact tracing for reported incidents.

- i. An offer of amnesty will depend on factors, including, but not limited to the seriousness of the incident, intent to violate Section 102.27 &c., and whether amnesty has been provided previously.
- b. An individual who participates as a complainant or witness in an investigation of sexual violence will not be subject to disciplinary sanctions for a violation of Section 102.27 at or near the time of the incident, unless the institution determines that the violation was egregious, including, but not limited to, an action that places the health or safety of any other person at risk.

- 103.10.10 A health condition does not excuse a violation of student conduct standards, and the campus may use the student disciplinary process and impose sanctions. If the student demonstrates that they lack the capacity to respond, to participate in the disciplinary process, or to comprehend their actions, OSSJA may review and determine the possible impact on the disciplinary process. The Director may decide not to pursue the disciplinary process or to proceed with the process and allow the accused student to present the information and supporting evidence in the formal hearing process.
- 103.10.11 Involuntary acts or acts committed under duress. An action is "involuntary" if it is entirely without volition, will, or power of choice (e.g., disruption, injury or property damage resulting from a seizure). Violations committed under the influence of drugs, alcohol, or other controlled substances are not involuntary and are subject to discipline. An action is taken "under duress" if the individual is compelled to act by injury or explicit threat of physical harm. A student who claims that their actions were involuntary or taken "under duress" as defined above has the burden of presenting information to support the claim. OSSJA will review and determine the possible impact on the disciplinary process. The Director may decide not to pursue the disciplinary process or proceed and allow the accused student to present the information and supporting evidence in the formal hearing process.
- 103.11 When a formal hearing is deemed to be appropriate for fact finding, campus implementing regulations shall provide the following minimum procedural standards to assure the accused student a fair hearing:

1. Written notice, including a brief statement of the factual basis of the charges, the University policies or campus regulations allegedly violated, and the time and place of the hearing, within a reasonable time before the hearing;
2. The opportunity for a prompt and fair hearing where the University shall bear the burden of proof, and at which the student shall have the opportunity to present documents and witnesses and to confront and cross-examine witnesses presented by the University; no inference shall be drawn from the silence of the accused;
3. A record of the hearing; an expeditious written decision based upon the preponderance of evidence, that shall be accompanied by a written summary of the findings of fact; and
4. An appeals process.

#### 103.11.1 Formal Hearing Procedures

103.11.2 If OSSJA is unable to resolve a matter informally after a reasonable time for review, and if attempts at informal resolution are unsuccessful because issues remain in dispute, OSSJA may refer the case to an appropriate body (hearing authority) for a formal fact-finding hearing.

- A. A formal disciplinary hearing is a process whereby members of our community (students, faculty, and/or staff), or in exceptional circumstances, a third party not affiliated with the University, receives evidence and makes recommended findings of fact. It is not a court proceeding.
  1. Third parties, not affiliated with the University, may be assigned to serve as a hearing authority for social misconduct cases. Third parties may only be assigned in exceptional circumstances and the Director has sole discretion whether to assign a third party to serve in this capacity.
  2. Third parties may be faculty or staff at other UC campuses or the Office of the President or individuals who are not affiliated with the University of California.
- B. Hearings are scheduled and concluded (a) with reasonable promptness to avoid unnecessary hardship for the student, reporting party, or witnesses and (b) to permit the parties reasonable time to prepare.
  1. Hearings may be held during summer sessions or academic break periods depending on availability of parties and a hearing authority.

2. A formal hearing will normally be charged and held within 75 days of the date of the first meeting with the student regarding the matter unless extended by the Director.
- C. At a minimum, a reported student has the following rights when OSSJA pursues a conduct referral through a formal hearing.
1. Written notice of the date, time and place of the formal hearing with a reasonable time to prepare for the hearing
  2. A brief statement of the factual basis of the charges
  3. The University policies allegedly violated
  4. The University bears the burden of proof, that is, a student is considered not in violation unless adjudicated through the conduct process
  5. The opportunity to present documents and witnesses
  6. The opportunity to question witnesses
  7. The right to remain silent without any inference of culpability, however, when a student selectively participates in the process – such as choosing to answer some but not all questions posed, the hearing authority may consider the selective participation in evaluating the party's credibility
  8. An audio record of the hearing
  9. Written findings of fact
  10. A decision in writing based on a preponderance of the evidence.
  11. An appeal process.

103.11.3 A matter may be referred for a fact-finding hearing to a hearing authority as described below.

- A. The role of a hearing authority is to conduct a formal hearing and recommend findings to OSSJA whether a preponderance of the evidence establishes a violation of conduct standards.
- B. Types of Hearing Authorities:
1. Campus Judicial Board (CJB) panel
  2. Hearing Officers
  3. Hearing Panels
  4. Graduate and Professional School Hearing Panels
- C. The term "hearing authority" applies to 1, 2, 3, or 4 above.

- D. Formal hearings involving charges of alleged academic misconduct will be heard by hearing panels composed of faculty and students, or a faculty hearing officer.
- E. Campus Judicial Board (CJB) panel
 

A CJB panel, normally comprised of students and faculty, has primary responsibility for hearing disputed cases of suspected academic misconduct. CJB panels comprised of students and faculty or staff may hear social misconduct cases at the discretion of the Director.

  - 1. The Vice Chancellor for Student Affairs ("Vice Chancellor") or designee may appoint students to the Campus Judicial Board, and may appoint a student chair or co-chairs from among the student members of the CJB. If the appointed chair is unavailable to serve at a hearing, another student member may serve as chair without special appointment. Student CJB members serve one-year terms and may be reappointed.
    - a. CJB student members will receive annual training regarding University policies for student conduct, the student disciplinary process, and procedures to be followed in formal hearings.
    - b. Under the general direction of OSSJA, additional roles for CJB student members may include but are not limited to:
      - i. Developing, implementing, and presenting outreach programs and educational materials to encourage academic integrity and responsible and ethical conduct in the campus community.
      - ii. Providing information to students about the student discipline process.
      - iii. Serving as advisors to an accused student or reporting party for a formal hearing if the CJB member is not assigned to serve on a hearing panel associated with the case.
      - iv. Meeting with accused students as part of the informal resolution process or to follow up with a student who has completed an educational task or community service.
  - 2. The Vice Chancellor, or designee, may appoint faculty members (Academic Senate and Academic Federation members) to the Campus Judicial Board as nominated by the Davis Division Committee on

Committees. Any faculty member may serve as chair or a hearing officer without special appointment. Faculty CJB members serve one or two year terms and may be reappointed.

3. The Vice Chancellor, or their designee, may appoint staff members to serve as hearing officers or as hearing panel members. Staff members serve one or two year terms and may be reappointed. Staff serve on hearing panels or as hearing officers only for social misconduct cases.
4. Normally, a CJB or hearing panel will consist of three persons. A hearing panel may be chaired by a student, staff or faculty member, as appropriate. Panels must include at least one student member.
5. By agreement between a reported student and reporting party and with approval by the Director, the composition of the hearing panel may include fewer than three persons.

F. Hearing Officer

University faculty, students, staff members or third parties appointed by the Vice Chancellor or designee to hear student disciplinary cases.

1. The Director has sole discretion to determine whether a hearing officer or hearing panel conducts a formal hearing.
2. Cases of reported social misconduct are normally heard by a hearing officer.
3. An appointed CJB student or faculty member may serve as a hearing officer in disciplinary matters without special appointment.
4. With agreement by the reported student(s), a faculty member may be assigned to serve as a hearing officer for cases of academic misconduct when it is difficult to assemble a hearing panel such as during the summer or other break periods.
5. Unless previously trained as a CJB member, hearing officers will receive training from OSSJA regarding University policies, the student disciplinary process, and the procedures to be followed in conducting a formal hearing.

G. Hearing Panels

University faculty, students, staff members may be appointed by the Vice-Chancellor or designee to hear student disciplinary cases as hearing panel members.

1. Hearing panels may be assigned when CJB panels are not available or when OSSJA determines that a hearing panel is required to ensure fairness.
2. An appointed CJB student or faculty member may serve on hearing panels in disciplinary matters without special appointment.
3. Unless previously trained as a CJB member, hearing panel members will receive training from OSSJA regarding University policies, the student disciplinary process, and the procedures to be followed in conducting a formal hearing.

H. Graduate and Professional Schools

Cases involving graduate students or professional students in the Graduate School of Management, the Law School, the School of Education, or the School of Nursing, may be heard before a graduate and professional school hearing panel.

1. A graduate and professional hearing panel will receive appropriate training in University disciplinary policies and procedures.
2. For cases involving alleged academic dishonesty, the graduate and professional hearing panel should include at least one graduate-level student and one faculty member with graduate-level teaching and research experience, preferably from the Division or School in question.
3. For cases involving alleged social misconduct, a hearing officer may be appointed consistent with E. above.

I. The UC Davis Schools of Medicine and Veterinary Medicine have established their own hearing bodies and written procedures for resolving student discipline cases involving their own students. If requested by the school, OSSJA may assist or adjudicate cases involving students in these schools. Disciplinary records for students at the Schools of Medicine or Veterinary Medicine are kept by the school in question, and OSSJA may be notified of any disciplinary action taken against such students.

103.11.4 Preparation and Presentation of Cases

- A. Reported students and reporting parties normally speak on their own behalf at the hearing.



1. In academic cases, the reporting party is generally the instructor of record (IOR) for the class, a teaching assistant, an associate instructor, or University staff person who reported the matter to Student Support and Judicial Affairs regarding the suspected misconduct.
    - a. If the reporting party is not the IOR, OSSJA will notify the IOR about the report and provide an outline of the case with the submitted evidence.
  2. In social cases, a University student, staff person or faculty member may be assigned to serve as a University representative to present information in support of the charges.
  3. An OSSJA staff person or CJB student member may serve in the role of a University representative for academic or social cases.
- B. The reported student and the reporting party may each have one advisor of their choice to help understand the hearing process and who may accompany them at the hearing.
1. Advisors may include, but are not limited to, the following:
    - a. Student or faculty members of the CJB.
    - b. OSSJA Judicial Officers.
    - c. Attorneys. The party must notify the Director within three days of the date of the Notice of Hearing letter.
  2. A student who is a party to the referral or an individual who is a potential witness may not serve as an advisor.
  3. The accused student and the reporting party generally are responsible for preparing and presenting their own evidence and witnesses at a formal hearing. Advisors may assist the parties prior to, and at a hearing, but advisors do not prepare or present the case for the parties.
  4. Generally, advisors do not take a direct part in hearings without the approval of the hearing authority.
  5. The role of the advisor may be expanded in exceptional cases at the discretion of the Director if a party will be unfairly disadvantaged in the absence of such additional assistance.
  6. The hearing authority may exclude an advisor from the hearing if the advisor fails to comply with the hearing procedures, becomes disruptive, or impedes or interferes with the hearing process.

#### 103.11.5 Hearing Procedures

- A. These procedures apply to all disciplinary hearings unless specifically waived by the accused student or reporting party.
  - 1. A hearing authority may adopt other procedures consistent with these policies to ensure a fair hearing for all parties, if reasonable notice is given before the hearing.
  - 2. An OSSJA representative attends all hearings and may provide directions and instructions to a hearing authority to ensure compliance with these policies and to facilitate the hearing process. The OSSJA representative may serve in one or more of the following capacities:
    - a. Attend the hearing to ensure that procedures are properly followed
    - b. Answer procedural questions that arise during the hearing
    - c. Lead the hearing process performing the ministerial tasks of the Chair
    - d. The OSSJA staff person will not attend, nor participate in deliberations.
- B. Once OSSJA determines that a formal hearing is necessary to resolve the matter, OSSJA sends the student written notice within a reasonable time before the hearing.
  - 1. The notice of hearing will normally be e-mailed at least ten days before the scheduled hearing date, unless the student agrees to a shorter period or the Director has determined that the student has received adequate notice from prior communications.
  - 2. The notice should include the following information:
    - a. The time, date, and place of the hearing, or notice that the hearing will be held at a time and place to be specified in a later notice
    - b. A brief description of the suspected violation that the University alleges and the University policies or campus regulations reportedly violated

- c. A statement that the University bears the burden of proof and that an accused student is considered not in violation until otherwise established
  - d. A statement that a student has the right to remain silent without any negative inference; however, when a student selectively participates in the process – such as choosing to answer some but not all questions posed, the hearing authority may consider the selective participation in evaluating the party’s credibility.
  - e. A statement of the initial information to be provided prior to the hearing such as documents and other materials and the names of any witnesses with a brief description of the purpose of their testimony
  - f. A deadline by which the University and the reported student must submit information and the names of witnesses with a brief description of the purpose of their testimony
  - g. A statement that the student is entitled to be accompanied/assisted by an advisor
  - h. An outline of the hearing process
  - i. Either in the notice of hearing, or as soon as possible afterwards, the name(s) of the hearing panel members or hearing officer so that the student may submit a challenge (Section 103.11.5.D)
- C. The accused student may request records in the possession of the University to be considered as evidence at the hearing. The Director or hearing authority may exclude material that is determined to be repetitious or otherwise not relevant. The Director or hearing authority will provide a brief explanation as to why the information will not be included.
- 1. Any information to be provided at the hearing must be submitted in advance to OSSJA, including: (1) copies of documents and other evidence and (2) the names of potential witnesses with a brief description of the purpose of each witness’s testimony.
  - 2. The University and reported student will submit information to OSSJA described in 1. above at least four (4 days) days prior to the hearing. The information will be made available to the parties three (3) days prior to the hearing.

3. The University and reported student may submit additional information limited to rebuttal of the other party's submission of information no later than two (2) days prior to the hearing and be made available to the parties one (1) day prior to the hearing. Any information submitted after this deadline will be considered at the hearing by exception with the approval of the Director or the hearing authority.
- D. Hearing authorities should have no prior involvement in the case and should disqualify themselves for any conflict of interest or if they believe they cannot render a fair decision.
1. Either party may challenge a panel member or hearing officer for stated reasons. A challenge will be made to OSSJA within three (3) days after receiving notice of the names of the panel members.
  2. OSSJA or the chair may disqualify the challenged panel member upon a finding that he or she is unable to make an impartial decision, or may overrule the challenge.
  3. OSSJA or the chair may provide a brief statement of reasons if a challenge is denied.
  4. If disqualification of a panel member prevents a quorum, an alternate panel member will be assigned to the hearing.
- E. If several witnesses will be presented, the issues are complex, or if otherwise deemed useful, a pre-hearing conference may be scheduled at the discretion of the hearing panel chair, hearing officer, or OSSJA. At the pre-hearing conference, the parties will submit documents and lists of witnesses and the general facts to which they will testify. OSSJA, the hearing panel chairperson or the hearing officer may decide any procedural issues and may exclude proposed testimony that is irrelevant, unduly repetitive, or unreasonably time consuming, or may reserve such determinations until the hearing.
- F. Hearings will normally be "closed," but the accused student may request that the hearing be "open" if the request is submitted no later than three days after receiving the notice of hearing. The Director has authority to deny the request if the Director determines that an open hearing would invade the privacy rights of others; if it might reasonably be expected to result in threats to or intimidation of witnesses; or for other substantial reasons. If OSSJA grants the request for an open hearing, it should be scheduled in a room that provides reasonable space for

the public to be present. If there is interference with the orderly progress of an open hearing, the hearing authority may adjourn and reconvene as a closed hearing. If the hearing is open to the public, notice of the decision may be made public.

G. Who May Be Present at the Hearing

1. The accused student and the reporting party are both entitled to be present throughout the hearing and to hear (or, if hearing impaired, to access through auxiliary aids for services) testimony of all individuals who testify at the hearing, with their advisors, if any. The accused student's failure to appear will not be construed as evidence of culpability; however, the hearing authority will reach its findings on the evidence presented at the hearing.
2. OSSJA or the hearing authority may implement measures they deem appropriate to protect the well-being of the parties and witnesses. This may include:
  - a. visual or physical separation of the parties,
  - b. the use of a physical partition,
  - c. a separate physical location,
  - d. videoconference and/or other appropriate technology,
  - e. arrangement that questions for the parties or witnesses will be directed through the hearing authority.

To assess credibility, the hearing authority must have sufficient access to the parties or witnesses presenting information.
3. When more than one student is reported about a single incident or set of facts, OSSJA will generally schedule a joint hearing for all the accused students to conduct a full and fair consideration of the case. All the accused students may be present at the joint hearing. OSSJA may, at its discretion, schedule and conduct separate hearings.
4. Witnesses wait outside the hearing room when not testifying. Witnesses are excused upon completion of their testimony, but may be recalled, if necessary.
5. An accused student is entitled to one support person to accompany them at a hearing. The support person may not take an active part during the hearing. The support person may not testify as a witness.

6. Deliberations are conducted in closed session, with only members of the panel or hearing officer present.
7. OSSJA will consider requests from the parties and witnesses for disability-related accommodations.
8. OSSJA will consider requests from parties and witnesses for language interpretation.

H. Evidence and Testimony

1. Formal rules of evidence or court procedures are not used and do not apply in the student disciplinary process. Student discipline hearings are not court proceedings; the procedures used in civil or criminal trials, motions, or other proceedings before a court or administrative agency do not apply. For example, discovery procedures, requirements for pleadings, and the hearsay rule do not apply in student disciplinary hearings.
2. The hearing panel or hearing officer may receive and consider spoken, written, or other evidence of the kind on which reasonable persons are accustomed to rely on in serious matters, as described below.
3. The accused student and the reporting party will have the opportunity to testify and present witnesses and other evidence regarding the facts of the suspected violation and whether a violation occurred.
4. A Judicial Officer may present evidence (a) regarding an alleged violation or (b) regarding an appropriate sanction, considering the nature of the violation admitted or found to have occurred, aggravating or mitigating circumstances, and OSSJA policies and practices regarding sanctions imposed in similar cases.
5. Eyewitness testimony and circumstantial evidence in any form (e.g., documents, pictures, electronic, and/or physical evidence) may be presented to the hearing authority.
6. One person's report of another's statements (hearsay) may be received by the hearing authority. The hearing authority may discount hearsay evidence in part or in whole as appropriate. A hearing authority may not base a decision solely on hearsay evidence.

7. A criminal plea, trial, and/or conviction, including a court order, opinion, transcript of sworn testimony, or other official record may be received as evidence.
  8. The findings and report of a University investigation may be received as evidence. The person who conducted and prepared the investigation report will normally testify at the hearing about the investigation process and the findings.
  9. The panel may weigh credibility and make findings based on the testimony of one witness against another or against other evidence.
  10. The panel may exclude irrelevant or unduly repetitious evidence.
  11. The hearing authority may choose to limit the length of testimony so that the hearing can be completed in a reasonable length of time.
- I. Testimony and Questioning of Witnesses
1. Testimony must be truthful. All parties and witnesses must specifically agree before testifying that their testimony will be truthful. Individuals may be subject to appropriate disciplinary procedures and actions if they provide false information in the hearing process.
  2. No student witness may be compelled to incriminate themselves.
  3. The accused student may remain silent and their silence should not be taken as inference of culpability. If either party or witnesses decide to selectively testify, the hearing authority may consider the selective participation when evaluating credibility.
  4. Parties may ask questions of each other and witnesses in the order determined by the chair, unless hearing authority decides that questions will be posed through the hearing authority.
  5. Both the accused student and the reporting party may request that specified witnesses attend the hearing and testify. If a witness is unavailable to testify at a hearing, OSSJA may arrange for testimony to be taken at an alternate time under conditions providing an opportunity for oral or written questioning by both parties and the panel members. OSSJA does not have authority to compel the attendance or testimony of witnesses.
- J. After all evidence has been heard, the accused and the reporting party may present a brief closing summary. No new evidence may be presented during a



closing summary. The closing summary allows the parties to review and highlight evidence for the panel that was provided at the hearing.

- K. To substantiate charges of misconduct in the formal hearing process, the University bears the burden of proof based on a preponderance of the evidence.
  - 1. A preponderance of the evidence is a standard of proof that requires that a fact be found when its occurrence, based on evidence, is more likely than not.
  - 2. The standards of "beyond a reasonable doubt" and "clear and convincing evidence" do not apply to UC Davis student disciplinary proceedings.
  - 3. Findings and determinations whether a violation occurred may be based only upon evidence considered during hearings.
- L. OSSJA will audio record the hearing, but not the deliberations.
  - 1. A written log/index of the timing of each witness's testimony may be kept, but is not required.
  - 2. After the hearing, the accused student and the reporting party may request access to review the hearing recording and index.
  - 3. The audio recording is retained as part of the record for as long as the discipline record is retained.
  - 4. Other than the official record provided above, mechanical or electronic devices for recording or broadcasting are excluded from the hearing.

#### 103.11.6 Report by Hearing Authority

- A. The hearing authority will prepare a brief written report and recommend findings of fact to the Director.
- B. At the discretion of the Director, the Director may request that the hearing authority consider and submit recommendations for sanctions as part of their deliberations.
- C. The report should normally be submitted within ten days of the hearing unless extended by the Director.
- D. The report will include findings of fact as to each specified charge and recommend whether the conduct as found violates the policies or regulations as reported. If the decision is not unanimous, both a majority and a minority report may be submitted.

- E. Upon receipt of the recommended findings, the Director will review and has authority to take the following actions.
  - 1. Accept the recommended findings.
  - 2. Return the recommended findings for clarification or reconsideration. If a report is returned for reconsideration, the issues/evidence to be considered should be specified.
  - 3. Not accept the recommended findings. The Director may decide that a reasonable person would not reach the hearing authority's findings based on the evidence the hearing authority relied upon. The Director will explain the reasoning for reaching the decision.
  - 4. If the Director finds the student in violation, the Director will decide appropriate disciplinary sanction(s).
    - a. Professional schools may adopt their own standards regarding expected disciplinary sanctions for their students who violate University policy.
  
- F. OSSJA will notify the parties of the Director's decision and include a copy of the hearing authority's findings and recommendations within ten (10) days of receiving the final findings of fact from the hearing authority. The Director will also provide written notice of the decision and findings to reporting parties who are campus officials, in accordance with legitimate educational interest criteria.
  - 1. The notice of decision may be sent to the UC Davis email address of record for that individual, and should specify the due date of any appeal, and the name and address of the official to whom the appeal must be submitted.
  - 2. The decision may be made public only if the hearing was open.

#### 103.11.7 Appeals

- A. Appeals from either party must be filed within the time set in the notice of decision letter, generally ten (10) days after the notice of decision is emailed or postmarked.
- B. Appeal authority
 

Appeals from a decision regarding undergraduate students are decided by the Associate Vice Chancellor. Appeals from a decision regarding graduate and

professional students are decided by a designated official from Graduate Studies or the professional school to which the reported student belongs.

C. Who May Appeal

1. The accused student may appeal a decision of the Director on one or more of the grounds specified in 103.11.7.D below.
2. In cases involving academic misconduct, the reporting party may appeal on one or more of the grounds specified in 103.11.7.D below.

D. The appeal must be in writing, and may request that the decision and/or sanction(s) be amended or overruled on the following grounds:

1. The decision is not based on substantial evidence. The appellant has the burden of persuading the appeal authority that a reasonable person could not reach the same conclusion based upon the evidence that the hearing authority or Director relied upon in their decision.
2. There is incongruity between the findings and the sanction(s). The appellant has the burden of persuading the appeal authority that the imposed sanctions are disproportionate to the findings. The appeal authority may consider all relevant information including the record of the case, the reasons that supported the sanction decision, and any information submitted by the parties in the appeal process.
3. There has been unfairness or procedural error in the proceedings that materially affects the findings. The appealing party has the burden of persuading the appeal authority that (i) the University did not follow its procedures during the hearing or (ii) there was demonstrated bias, such that, if true, is substantial and sufficient to alter the findings and decision.
4. There is newly discovered evidence not known or available at the time of the hearing that is material to the findings. The appealing party has the burden of persuading the appeal authority that there is new information that was not known or available or would reasonably have not been known or available at the time of the hearing that is substantial and sufficient to alter the findings and decision.

E. At the discretion of the Director, a copy of the appeal may be provided to the non-appealing party who may submit a written response within three days of receiving a copy of the appeal.

- F. The appeal authority may deny the appeal; grant the appeal in whole or part; return the matter to a hearing authority for a new hearing; or direct such other relief as they deem appropriate.
- G. A Notice of Decision on Appeal will be provided in the same manner as Section 103.11.5.B. The student may prepare a statement in response to the decision to be kept on file in their disciplinary record.
- H. The Decision on Appeal will be completed within 14 days of submission of the appeal unless extended by the appeal authority.
- I. The Decision on Appeal is final. No additional appeal rights are available to either party.

#### 104.00 Administration of Student Discipline

104.10 Chancellors may impose discipline for violations of University policies or campus regulations whether or not such violations are also violations of law, and whether or not proceedings are or have been pending in the courts involving the same acts.

##### 104.10.1 Disciplinary Reports Related to Alleged Crimes

- A. The same act may be both criminally prosecuted and subject to student discipline. Discipline may be imposed for violations of University policies or campus regulations whether such violations are also violations of law, and whether proceedings are or have been pending in the courts involving the same acts.
  - 1. If a student has been convicted after trial, has entered a plea of "guilty" or "no contest" to a crime, or has entered a diversion or other program under which the entry of judgment is delayed and the case is then resolved with a lesser charge or with dismissal of the charges, the conviction, plea, or other court orders or records, as well as any evidence introduced or transcripts of court proceedings, may be used as evidence in the student disciplinary case.
  - 2. Even if criminal charges are dismissed or reduced against a student, or the defendant is acquitted or permitted to enter a diversion program, the campus may proceed with a disciplinary hearing and impose student

discipline if the student admits a violation of student conduct standards or is found in violation after a hearing.

- B. If a reported incident of misconduct results in criminal investigation and/or prosecution as well as student disciplinary action, OSSJA has discretion to take the following actions:
1. Impose an interim Suspension if the student's presence on campus poses a threat to campus security;
  2. Enter an interim agreement with stated conditions (e.g., permitting the student to remain enrolled while criminal charges are pending but limiting the student's entrance to campus or participation in campus activities);
  3. Delay the disciplinary process pending resolution of the criminal charges; and/or
  4. Proceed with the disciplinary process.

OSSJA is not required to delay the disciplinary process if there is a criminal investigation or prosecution, and has sole discretion in determining how to proceed.

104.20 Each Chancellor may appoint faculty, student, or other advisory committees, or hearing officers, as specified in campus regulations, but the final authority for administration of student discipline rests with the Chancellor.

#### 104.20.1 Delegation of Authority

Authority for student discipline at UC Davis is delegated from the Chancellor to the Vice Chancellor for Student Affairs ("Vice-Chancellor"), the Associate Vice Chancellor for Student Affairs ("Associate Vice-Chancellor"), and the Director of Student Support and Judicial Affairs ("Director").

- A. Within this policy, the term Director, and under the Director's supervision, the OSSJA staff, have authority to impose conduct sanctions. All conduct action taken by the Director, other OSSJA staff, or any hearing body or hearing officer, operates by delegation of the Chancellor's authority.
- B. The term "Director" applies to the Director, the Associate or Assistant Director or to other Judicial Officers as delegated.

C. The term “Vice Chancellor” and “Associate Vice Chancellor” applies to the Vice-Chancellor and Associate Vice Chancellor or to other University officials as delegated.

104.20.2 Registered student organizations, as recognized by the Center for Student Involvement, are responsible for following the UC Davis Standards of Conduct for Students, as well as University administrative policies. The Office of Student Support and Judicial Affairs and/or the Center for Student Involvement is responsible for addressing conduct involving registered student organizations under procedures in Appendix B of this Policy.

104.20.3 Misconduct by students in the residence halls may be resolved through the student conduct process, by using housing contract remedies, or both. The Office of Student Development staff includes Judicial Officers who have authority to resolve cases under both processes.

104.30 A student, as defined in Section 14.40 of these Policies [UC PACAOS], at one campus of the University, who is accused of violation of University policies or campus regulations on another campus of the University or at an official function of that campus, shall be subject to the disciplinary procedures of either the former or the latter campus as an outcome of conferral between designees of both campuses. The imposition of any recommendations for disciplinary sanctions arising from these procedures must be reviewed and approved by both campuses before the sanctions are imposed.

104.31 If an alleged violation of University policies occurs regarding an official University-wide function not on a campus, the student accused of the violation shall be subject to the disciplinary procedures of the campus at which the individual is a student, except in those cases in which the President directs otherwise.

104.40 The loss of University employment shall not be a form of discipline under these Policies. However, when student status is a condition of employment, the loss of student status will result in termination of the student's employment. This section is not intended to preclude the disclosure to other appropriate University officials of information relating to any student's judicial records if that information may be reasonably construed to have bearing on the student's suitability for a specific employment situation. This section is

also not intended to preclude an employer from terminating a student's employment outside the disciplinary process.

- 104.40.1      Student employees (including student academic appointees) may be disciplined for violating the UC Davis Policy on Student Conduct and Discipline, and be subject to personnel action by their employer (e.g., reprimand or release from employment) in accordance with applicable agreement or policy.
  
- 104.50        In imposing discipline other than Suspension or Dismissal, access to housing and health services shall not be restricted unless the act that occasioned the discipline is appropriately related to the restriction.
  
- 104.60        If because of an official campus appeal it is determined that the student was improperly disciplined, the Chancellor shall, if requested by the student, have the record of the hearing sealed, and have any reference to the disciplinary process removed from the student's record. In such case, the record of the hearing may be used only in connection with legal proceedings. The Chancellor also may take other reasonable actions to ensure that the status of the student's relationship to the University shall not be adversely affected.
  
- 104.70        [Rescinded – January 1, 2015]
  
- 104.71        [Rescinded October 13, 2005]
  
- 104.80        Whether or not a hearing is conducted, campuses may provide written notice to a student that their alleged behavior may have violated University policy or campus regulations and that, if repeated, such behavior will be subject to the disciplinary process. Evidence of the prior alleged behavior as detailed in the written notice may be introduced in a subsequent disciplinary action in order to enhance the penalty.
  
- 104.80.1      Administrative Notice  
                  Official written notice to a student that their alleged behavior may have violated University policy or campus regulations and that, if repeated, such behavior will be subject to the disciplinary process. Evidence of the prior alleged behavior as detailed in



the written notice may be introduced in a subsequent disciplinary action regarding the student's knowledge of University and campus policies and to determine the appropriate disciplinary sanction.

#### 104.80.2 No Contact Directive

- A. A No Contact Directive (NCD) is a direction issued by a university official notifying a student not to have any further contact with an individual through any means whether in person or through any other means, including but not limited to, electronic communication or communication through third parties.
- B. A No Contact Directive (NCD):
  - 1. Is an administrative record, not a disciplinary sanction, and does not constitute a disciplinary record.
  - 2. Is issued for reasonable cause, as determined by the Director of OSSJA.
  - 3. Identifies a student as the subject of the No Contact Directive and an individual as the protected party.
  - 4. Can only be issued to individuals who are students as defined under these Policies.
  - 5. Will take into consideration the needs and circumstances of each case and be issued to promote the safety and well-being of the campus community, to protect the involved parties, and protect the integrity of a conduct process or an investigation.
  - 6. May be considered a mutual directive when appropriate.
  - 7. May direct communication involving a campus or registered student organization to occur through third parties.
- C. Protected persons may be any members of the University community including, but not limited to students, faculty, staff, and alumni.
- D. No Contact Directives may remain in place until both parties request that it be lifted, OSSJA determines that it will no longer be considered valid, until a student's degree is awarded by the Academic Senate or the student permanently leaves the University.
- E. A No Contact Directive is not a restraining order or protective order with force of law. It does not establish a minimum distance in which the parties must remain separated.
- F. Limitations on No Contact Directives. A No Contact Directive cannot:

1. Abridge a person's legal rights. If communication is necessary because of legal action, then a No Contact Directive cannot preempt these rights.
2. Limit student employment or other employment. The University may be able to work with the employer to rearrange shifts or reduce communication.
3. Limit a student's enrollment in or participation in a class. The University may direct students regarding entrances and seating arrangements or by agreement with the parties, assist in transferring students to alternative sections of a class.
4. Limit official communication if both parties belong to an organization not affiliated with the University. Any communication must be limited in scope to the purpose that is required. Personal subject matter outside the scope may violate the No Contact Directive.
5. Limit persons from communicating with others about an incident if it does not involve third party contact directed by one party to the other or that a reasonable person would conclude would result in third party contact with the other party.

G. If there is an alleged violation of the No Contact Directive, OSSJA will review and decide whether to pursue disciplinary action. OSSJA may issue an administrative notice, pursue disciplinary action, or impose interim suspension.

104.81 Campuses may set forth in campus implementing regulations, policies for placing holds on requests for transcripts, diplomas, or other student records. Such holds may be placed when a student fails to respond to a campus written notice of charges or to prevent a student from transferring or having their degree conferred until all allegations against a student or any assigned sanctions and student disciplinary conditions have been fully resolved. Such campus implementing regulations will include processes for notifying the student of the hold, the conditions in which a hold will be removed, and the process for allowing the student to request the removal of the hold. (see 103.10.9 B. and C.)

104.90 Sanctions [for any violations of Section 102.00, Grounds for Discipline] may be enhanced where an individual was selected because of the individual's race, color, national or ethnic origin, citizenship, sex, religion, age, sexual orientation, gender identity,

pregnancy, marital status, ancestry, service in the uniformed services, physical or mental disability, medical condition, or perceived membership in any of these classifications.

The classifications also include conduct motivated by gender, gender expression, and genetic information (including family medical history).

#### 105.00 Types of Student Disciplinary Action

When a student is found in violation of University policies or campus regulations, any of the following types of student disciplinary action may be imposed. Any sanction imposed should be appropriate to the violation, taking into consideration the context and seriousness of the violation.

#### 105.01 Warning/Censure

Written notice or reprimand to the student that a violation of specified University policies or campus regulations has occurred and that continued or repeated violations of University policies or campus regulations may be cause for further disciplinary action, normally in the form of Disciplinary Probation, and/or Loss of Privileges and Exclusion from Activities, Suspension, or Dismissal.

##### 105.01.1 Name on File

A written record of a student violation reported to OSSJA by other campus officials. A Name on File is equivalent to a University Warning/Censure. The violation may be considered as a prior violation to enhance the sanction for any later similar offense. A student may appeal a Name on File as described in Section 103.10.9 C.4.

#### 105.02 [Rescinded May 17, 2002]

#### 105.03 Disciplinary Probation

A status imposed for a specified period of time during which a student must demonstrate conduct that conforms to University standards of conduct. Conditions restricting the student's privileges or eligibility for activities may be imposed. Misconduct during the probationary period or violation of any conditions of the probation may result in further disciplinary action, normally in the form of Suspension or Dismissal.

#### 105.04 Loss of Privileges and Exclusion from Activities

Exclusion from participation in designated privileges and activities for a specified period of time. Violation of any conditions in the written Notice of Loss of Privileges and Exclusion from Activities, or violation of University policies or campus regulations during the period of the sanction may be cause for further disciplinary action, normally in the form of Probation, Suspension or Dismissal.

##### 105.04.1 Restrictions on University Employment and Surrender of University Identification and Property

While loss of University employment is not a form of student discipline, the student's employer may release the student through applicable employment/job action processes. If student status is a condition of employment, a student's Suspension, Dismissal, or other loss of student status (for any reason) will result in termination of the student's employment. A student who is no longer employed or eligible for employment may be required to return all University identification (e.g., registration card), keys, or other University property at the time of the Suspension or Dismissal.

#### 105.05 Suspension

Termination of student status at the campus for a specified period of time with reinstatement thereafter certain, provided that the student has complied with all conditions imposed as part of the suspension and provided that the student is otherwise qualified for reinstatement. Violation of the conditions of Suspension or of University policies or campus regulations during the period of Suspension may be cause for further disciplinary action, normally in the form of Dismissal.

A student may not transfer or register for courses at another campus or location of the University of California during the period of Suspension.

During Suspension:

- Student status is terminated.
- Students may not register for, enroll in, or audit any classes at UC Davis or other UC campus, including summer sessions, Extension, or Open Campus.
- Students may not attend any classes or complete work to resolve an incomplete grade.

- Students may not participate in any University activities or employment for which student status is required.
- Students may not arrange for internships, study abroad, or other opportunities through any UC department or program.
- Students may use University services available to non-students at the non-student rate.
- Students may take courses at colleges or universities outside of the University of California; however, the ability to transfer coursework is determined by the student's College or other appropriate academic unit.

#### 105.06 Dismissal

Termination of student status for an indefinite period. Readmission to the University shall require the specific approval of the Chancellor of the campus to which a dismissed student has applied. Readmission after dismissal may be granted only under exceptional circumstances.

#### 105.06.1 Petitions for Readmission to UC Davis following Dismissal from the University of California.

- A. This Policy applies to former UC Davis students seeking readmission after Dismissal and former students of other UC campuses seeking admission to UC Davis after Dismissal from another UC campus.
- B. Absent exceptional circumstances, the University will not consider a petition for readmission for three years following Dismissal.
- C. Students must submit a petition, in writing, to the Office of the Chancellor and Provost or their designee. Readmission is rarely granted.
- D. The Chancellor or their designee may identify conditions that a student is required to complete prior to return or upon return.
- E. If granted, the Chancellor or their designee will specify the quarter in which a student is permitted to return.
- F. If a petition is denied, the student may not submit another petition for at least one year.
- G. Other UC campuses establish their own deadlines and criteria for considering petitions for readmission.

105.07      **Exclusion from Areas of the Campus or from Official University Functions**  
 Exclusion of a student as part of a disciplinary sanction from specified areas of the campus or other University-owned, -operated, or -leased facilities, or other facilities located on University property, or from official University functions, when there is reasonable cause for the University to believe that the student's presence there will lead to physical abuse, threats of violence, or conduct that threatens the health or safety of any person on University property or at official University functions, or other disruptive activity incompatible with the orderly operation of the campus.

105.071      In accordance with California Penal Code 626.2, a student who, after a hearing, has been suspended or dismissed from the University for disrupting the orderly operation of the campus or facility of the institution, and as a condition of the suspension or dismissal has been denied access to the campus or facility, or both, of the institution for the period of the suspension or in the case of dismissal for a period not to exceed one year; who has been served by registered or certified mail, at the last address given by that person, with a written notice of the suspension or dismissal and condition; and who willfully and knowingly enters upon the campus or facility of the institution to which they been denied access, without the express written permission of the chief administrative officer of the University, is guilty of a misdemeanor.

The chief administrative officer for the purpose of this section is the Vice Chancellor of Student Affairs, or their designee.

105.08      **Interim Suspension**  
 Exclusion from classes, or from other specified activities or areas of the campus, as set forth in the Notice of Interim Suspension, before final determination of an alleged violation. A student shall be restricted only to the minimum extent necessary when there is reasonable cause to believe that the student's participation in University activities or presence at specified areas of the campus will lead to physical abuse, threats of violence, or conduct that threatens the health or safety of any person on University property or at official University functions, or other disruptive activity incompatible with the orderly operation of the campus. A student placed on Interim Suspension shall be given prompt notice of the charges, the duration of the Interim Suspension, and the opportunity for a prompt hearing on the Interim Suspension. Interim Suspension shall be reviewed by the

Chancellor within 24 hours. If a student is found to have been unjustifiably placed on Interim Suspension, the University is committed to a policy whereby reasonable efforts are taken to assist an individual who has been disadvantaged with respect to employment or academic status.

105.08.1 Procedures for Interim Suspension

- A. The University may consider the following criteria in deciding whether to issue an interim suspension:
  - 1. Seriousness of the alleged incident, including but not limited to, aggravated assault, possession of weapons, threats of violence, and sexual misconduct.
  - 2. Level of fear for safety or well-being caused by the reported individual involving any member of the University community.
  - 3. Level of disruption to campus activities.
- B. The Vice-Chancellor of Student Affairs or other designated officials may review Notices of Interim Suspension as delegated by the Chancellor.
- C. The student is entitled to request and have a prompt hearing before the Director at which time the student has a right to respond regarding the imposition of the interim suspension or the alleged misconduct.
- D. The Director will inform the student in writing within two days of a requested hearing whether to lift the interim suspension, modify it, or keep it in place while a disciplinary matter is pending.
- E. There is no appeal process following a decision to lift, modify or keep an interim sanction in place.
- F. The student retains all rights under this policy to any disciplinary proceedings involving the charges for which the interim suspension was issued.
- G. While in place, the University will normally review interim suspensions each quarter and determine whether the interim suspension should be retained, modified, or overturned.

105.08.2 In accordance with UC Davis Policy and Procedure Manual, Section 390-20 Maintenance of Order, the Director may withdraw consent to be on campus or order a student to leave campus as described in California Penal Code 626. The Director will follow the procedures stated in PPM 390-20 for issuing this order.



105.09      Restitution

A requirement for restitution in the form of reimbursement may be imposed for expenses incurred by the University or other parties resulting from a violation of these policies. Such reimbursement may take the form of monetary payment or appropriate service to repair or otherwise compensate for damages. Restitution may be imposed on any student who alone, or through group or concerted activities, participates in causing the damages or costs.

105.10      Revocation of Awarding of Degree

Subject to the concurrence of the Academic Senate, revocation of a degree obtained by fraud. Such revocation is subject to review on appeal by the Chancellor.

105.11      Other

Other disciplinary actions, such as monetary fines, community service, or holds on requests for transcripts, diplomas, or other student records to be sent to third parties, as set forth in campus regulations.

105.11.1    Assignment of costs, labor, duties, educational projects, or other responsibilities that are appropriate considering the violation, or relevant to the student's role on campus or living area.

A.      Educational Projects

A student may be assigned to complete a specific educational task or project. The purpose of such assignments is to help the student build skills and coping strategies so the misconduct is not repeated, to help restore the community and repair the harm arising from the misconduct, and to give students the opportunity to help prevent misconduct by developing ways to reach and warn other students so they do not make similar mistakes. Educational assignments include, but are not limited to:

1.      Writing Assignment

A student may be assigned to research a topic related to ethics, read assigned books, and write a paper. Another project may require the student to write a personal code of conduct. The purpose of these writing

assignments is to help the student reflect on and learn from what has happened.

2. Workshop/Training/Meetings

A student may be assigned to complete workshops, trainings, or other meetings, including, but not limited to, improving academic or personal skills, receiving academic advising, improving decision making skills, receiving alcohol or drug education, addressing anger management. The student may be required to pay the cost, if any, for completing the workshop, training, or meeting.

3. Community Service

A student may be assigned to complete a specified number of hours of community service, usually arranged through the UC Davis Community Resource Center.

B. Monetary Fine or Sanction Payment

C. Other

105.11.2 Restorative Justice

The University may facilitate a restorative justice circle to allow the parties to express their perspective about the incident and to address the harm caused by the violation.

Unless there are exceptional circumstances, restorative justice is not used as an alternative to disciplinary sanctions for violations of University policy. All parties who participate must voluntarily agree to use the process.

105.12 Deferred Separation

Defined as a delay in imposing a Suspension or Dismissal, which means that a Suspended or Dismissed student may be permitted to remain in school on condition that they agree to waive the right to a formal fact-finding hearing, or that the right to a formal fact-finding hearing has been rescinded through adjudication following a formal hearing or sanction review. If the student whose Suspension/Dismissal has been deferred is later reported and admits or is found in violation by a Judicial Officer of having committed a subsequent violation of specified conduct standards, Suspension or Dismissal may be implemented at that time. If referred, the student has an opportunity to meet with a Judicial Officer for an informal hearing. At the informal hearing, the Judicial Officer tells the student the information supporting the report, allows the student to respond and to

submit any relevant information on their behalf. The student retains the right to remain silent and the student may bring an advisor; however, the student is expected to speak for themselves. The student does not have the right to present witnesses or confront or question any witnesses, although the Judicial Officer may contact and talk with others to help evaluate the alleged misconduct. "Deferred Separation" means that Judicial Officer may impose any appropriate sanction, including Dismissal, after determining that a violation has occurred.

#### 106.00 Posting Suspension or Dismissal on Academic Transcripts

When, because of violations of the Policy on Student Conduct and Discipline, a student is suspended or dismissed, a notation that the discipline was imposed must be posted on the academic transcript for the duration of the suspension or dismissal. Thereafter, notations of suspension or dismissal reflected on a student's transcript may be removed as set forth in campus regulations.

- A. Suspension for misconduct is annotated on student transcripts with the statement "Disciplinary Suspension from UC Davis".
- B. Dismissal is annotated on student transcripts with the statement "Disciplinary Dismissal from the University of California".
- C. Suspension, Suspension of Graduation, or Dismissal for academic misconduct will include the phrase "for Academic Misconduct" appended to the language in A. or B.
- D. Notations of Suspension are removed at the end of the Suspension; notation of Dismissal is removed if the student is readmitted to UC Davis. No other disciplinary actions appear on transcripts.

#### IV. COMPLIANCE / RESPONSIBILITIES

Chancellors shall adopt campus implementing regulations consistent with these Policies. The University shall publish these Policies and make them widely available, and Chancellors shall do the same with respect to the implementing regulations for their campuses. This requirement may be satisfied through the on-line publication of these Policies and their respective campus implementing regulations. (See also Section 13.20 of these Policies [UC PACAOS].)

#### V. PROCEDURES

The President shall consult as appropriate with Chancellors, Vice Presidents, the Office of the General Counsel, and University-wide advisory committees prior to amending these Policies. Chancellors shall consult with faculty, students, and staff prior to submitting to the President any campus recommendations related to proposed amendments to these Policies. Amendments that are specifically mandated by law, however, do not require consultation with campus representatives or University-wide advisory committees to the extent that legal requirements do not permit such consultation. (See also Section 13.10 of these Policies [UC PACAOS].)

Chancellors shall consult with students (including student governments), faculty, and staff in the development or revision of campus implementing regulations except when the development or revision of such regulations results from changes to these Policies that have been specifically mandated by law. Campuses shall specify procedures, including consultation processes, by which campus implementing regulations may be developed or revised. (See also Section 13.30 of these Policies [UC PACAOS].)

Prior to their adoption, all proposed campus implementing regulations, including all substantive modifications to existing such regulations, shall be submitted to the Office of the President for review, in consultation with the Office of the General Counsel, for consistency with these Policies and the law. (See also Section 13.40 of these Policies [UC PACAOS].)

- A. Revisions to UC Davis student conduct policies and procedures are coordinated and published by OSSJA in accordance with University and campus policies.
  - 1. Recommendations for revision or amendment to these procedures:
    - a. OSSJA periodically reviews and proposes revisions to student conduct policies and procedures.
    - b. Any hearing authority, in addition to making recommendations on a discipline case, may recommend to OSSJA that identified University policies and/or campus regulations (including these procedures) be modified for stated reasons.
  - 2. The Campus Judicial Board, ASUCD, or other constituencies, related advisory committees, or affected units may recommend revisions or amendments to student conduct policies and procedures.

3. Revision resulting from changes in UC systemwide policies, Academic Senate regulations, or law. If a substantive revision results from a change of University-wide policy that has been specifically mandated as above, no consultation is required.
- B. Review by Vice Chancellor, Chancellor, and Office of the President. Before adoption, proposed substantive revisions to UC Davis student conduct policies and procedures are submitted to the Vice Chancellor of Student Affairs, the Chancellor, and the UC Office of the President for review.
- C. Publication of Revised Policies and Procedures. After final review and revision, the revised policies and procedures are published and made available on the Internet.

## APPENDIX A            RECORD RETENTION POLICY OF STUDENT DISCIPLINARY RECORDS

- I.            OSSJA will retain disciplinary records according to the following schedule:
  - A.            Disciplinary Records involving Censure/Warning, Disciplinary Probation, and Deferred Separation will be maintained until the student receives their degree.
  - B.            Disciplinary Records involving Suspension will be maintained for three years after a student's expected date of receiving a degree or actual date of receiving a degree. A student's actual date of receiving a degree takes precedence over a student's expected date of graduation for retention purposes.
  - C.            Disciplinary Records involving Dismissal will be maintained indefinitely.
  - D.            Receipt of degree is defined as the date in which the Academic Senate formally approves the awarding of a degree following graduation.
  - E.            At its sole discretion, OSSJA may retain a disciplinary record for a longer or shorter period than provided above.
  - F.            At its sole discretion, OSSJA may re-categorize a disciplinary record as a non-disciplinary record for administrative purposes or as required by law. Such records will not be released except as required by law.

## APPENDIX B REGISTERED STUDENT ORGANIZATION CONDUCT

- A. Registered Student Organizations (RSOs), as recognized through the Center for Student Involvement (CSI), are responsible for following the UC Davis Standards of Conduct for Students (UC Davis Standards of Conduct) Sections 102.01 through 102.26, as well as University administrative policies (see Section J).
- B. Alleged individual misconduct arising from participation in an activity sponsored or engaged in by a RSO does not excuse an individual student's accountability under the provisions of UC Davis Policy on Student Conduct and Discipline. Likewise, individual student accountability for actions while participating in an organization's activity does not excuse the RSO's accountability.
- C. Student Officers of a RSO may be held accountable individually for knowingly, negligently permitting, or condoning any violation of the UC Davis Standards of Conduct by the RSO. Student Officers are expected to intervene to prevent violations of the University policy by the RSO in which they are an Officer, and at minimum, notify an appropriate staff/advisor when they become aware of a potential violation.
- D. A RSO may be affiliated with state, regional, national or international organizations. The University may report alleged violations of university regulations by a RSO to the organization's governing body or affiliated organizations.
- E. Reports of misconduct by a RSO are categorized as Tier 1 or Tier 2 policy violations.
  - 1. Tier 1 policy violations involve minor violations of University administrative policies identified in, but not limited to, Section J. CSI may address Tier 1 policy violations with a RSO according to CSI policy.
  - 2. Tier 2 policy violations include alleged violations of the UC Davis Standards of Conduct and/or repeated or serious Tier 1 violations.
- F. Under University of California policy (University of California PACAOS 70), the following summarizes the basic standards of due process provided to a RSO for reports adjudicated by the Office of Student Support and Judicial Affairs (OSSJA) as Tier 2 violations.
  - 1. Upon receipt of a report of alleged misconduct, OSSJA reviews the report to determine whether the alleged behavior, if true, violates the UC Davis Standards of Conduct.
  - 2. For alleged violations involving potential threat to the health and safety of any person, or conduct that disrupts the orderly operation of the campus, or conduct of a similar serious nature, OSSJA may direct the RSO to cease operations while the conduct matter is pending.



3. OSSJA will notify the RSO, in writing, of an alleged violation and direct the RSO to schedule a meeting, normally within three days of the notice.
  - a. The e-mail address of the primary listed officer for the RSO will be considered the official contact address for the RSO.
  - b. The RSO will designate one individual to respond to the incident (Responding Official), normally the president or primary officer of the RSO.
  - c. If the RSO fails to respond to OSSJA within three days, OSSJA may place holds on the RSO's registration privileges and proceed to adjudicate the referral based on the evidence.
4. At the scheduled meeting, OSSJA will inform the Responding Official of the nature of the referral and the policies that may have been violated.
5. The Responding Official may be accompanied by one advisor, including, at the RSO's expense, an attorney. The advisor does not take an active role in the process and is expected to be a silent observer.
6. The RSO may present evidence regarding the reported incident including the names of potential witnesses.
7. OSSJA investigates and reviews all information related to the incident. This includes, but is not limited to, witness interviews, collecting documents and other evidence. The RSO does not have right to the identity of witnesses or cross-examination of witnesses.
8. The RSO may review any written documentation supporting the report.
9. OSSJA issues a written decision to the RSO, based on a preponderance of the evidence, with findings and determination whether the organization violated the UC Davis Standards of Conduct for Students and/or administrative policies.
- G. If found in violation, OSSJA imposes the appropriate sanctions and/or outcomes. This includes:
  1. Conditional Registration (that may include stated conditions).
  2. Revocation of Registration for stated period. The standard term of Revocation of Registration is five (5) years. Future registration is not guaranteed by CSI.
  3. Loss of privileges
  4. Restitution
  5. Restorative Justice
    - a. Restorative Justice is appropriate when a RSO has accepted responsibility for its conduct.
    - b. Restorative Justice is an opportunity for the RSO and other affected parties to address the harm caused by the violation.

- c. OSSJA has sole discretion whether to offer Restorative Justice as an outcome.
- d. Restorative Justice does not replace disciplinary sanctions.
- e. All parties must agree to participate in the process in good faith.
- f. Restorative Justice may be considered a mitigating factor in determining sanctions.

H. Appeal procedures:

1. For Revocation of Registration, the RSO has the right to appeal, in writing, to the Associate Vice Chancellor (AVC) of Student Life or designee within ten days of the notice of decision from OSSJA.
2. An appeal may be based on the following grounds:
  - a. The decision is not based on substantial evidence. The appellant has the burden of persuading the appeal authority that a reasonable person could not reach the same conclusion based upon the evidence that the hearing authority or Director relied upon in their decision.
  - b. There is incongruity between the findings and the sanction(s). The appellant has the burden of persuading the appeal authority that the imposed sanctions are disproportionate to the findings. The appeal authority may consider all relevant information including the record of the case, the reasons that supported the sanction decision, and any information submitted by the parties in the appeal process.
  - c. There has been unfairness or procedural error in the proceedings that materially affects the findings. The appealing party has the burden of persuading the appeal authority that (i) the University did not follow its procedures during the hearing or (ii) there was demonstrated bias, such that, if true, is substantial and sufficient to alter the findings and decision.
  - d. There is newly discovered evidence not known or available at the time of the hearing that is material to the findings. The appealing party has the burden of persuading the appeal authority that there is new information that was not known or available or would reasonably have not been known or available at the time of the hearing that is substantial and sufficient to alter the findings and decision.
3. Upon review, the AVC may grant the appeal, deny the appeal, return the matter to OSSJA for additional information for the AVC to review, or provide other relief as appropriate.
4. The Decision on Appeal by the AVC is final. There are no further appeal rights.

- I. OSSJA maintains records of misconduct by Registered Student Organizations
  - 1. The records of RSOs are not confidential.
  - 2. OSSJA maintains records of RSOs for seven (7) years following the closing date of any conduct case.
  - 3. CSI may also retain records of misconduct by RSOs according to their retention policy.
- J. University administrative policies. These can also be found on the Center for Student Involvement Policy and Guidelines webpage.

Alcohol-PPM 270-21 Sales, Service, and Consumption of Alcoholic Beverages  
 Amplified Sound- PPM 270-20, Use and Reservation of University Properties/Event Arrangements  
 Candle Light Vigil Protocol-PPM 390-40 Fire Safety  
 Commercial Activity Policy and Guidelines- 270-25, Commercial Activities (270-25)  
 Distribution of Literature-PPM 310-25 Distribution of Information and Literature  
 Facility Attendants-PPM 270-20 Use and Reservation of University Properties/Event Arrangements  
 Facility Decorations and Alterations-PPM 270-20 Use and Reservation of University Properties/Event Arrangements  
 Film and Video Copyrights-PPM 250-01 Copyright  
 Fire Safety-PPM 390-40 Fire Safety  
 Food-PPM 290-40 Health and Safety Services  
 Fundraising-PPM 270-16 Fund Raising on University Property  
 Nondiscrimination Policy-UC PACAOS Section 70 – Policy on Registered Campus Organizations  
 Political and Religious Activities-PPM 400-01 Freedom of Expression  
 Posting Policy-PPM 310-27 Posting of Information  
 Symbolic Structures-PPM 400-01 Freedom of Expression  
 Ticket Sales- PPM 270-45 Ticket Sales

## APPENDIX C

## AGGIES ACT/RESPONSIBLE ACTION PROTOCOL

## I. Purpose

The Aggies Act has been developed with the intention of reducing the health risks associated with the overconsumption of alcohol and/or controlled substances, removing barriers to seeking medical assistance and promoting community wellbeing and safety. The goal of this Protocol is to foster a responsible and caring community.

## II. Protocol

A. Students receiving medical assistance in an alcohol and/or controlled substance medical-related emergency, to be defined as the ‘at-risk student,’ and students initiating medical assistance, to be defined as the ‘assisting student,’ will not be subject to the formal housing violation or student conduct process if all of the following apply:

1. The at-risk student, assisting student, or another person contacts university staff and/or University affiliate or emergency services for medical assistance on behalf of the at-risk student;
  - a. When notified by an assisting student, UC Davis Police will share the name of the assisting student with OSSJA and/or Student Housing only with the individual's consent.
2. With the exception of use and/or possession, no other major UC Davis Standards of Conduct violations (including, but not limited to, disorderly conduct, distribution of controlled substances, hazing, physical assault, vandalism, etc.) were committed by the assisting student or at-risk student during the same incident; and
3. Neither the at-risk student nor the assisting student has used this Protocol more than once in a 2-year period. The 2-year period begins on the day the protocol is first used.

B. A medical related emergency involves a situation in which a reasonable person would conclude that contacting emergency medical services or a someone who directly contacts emergency medical services is necessary to avoid imminent harm to the individual who has consumed alcohol and/or other controlled substances.

- C. Other students involved in seeking service on behalf of the at-risk student or assisting the at-risk individual may be able to use the protocol at the discretion of the Office of Student Support & Judicial Affairs (OSSJA) and/or the Student Housing Office. The student obtaining amnesty can call on behalf of someone regardless of whether that someone is a student.
- D. The at-risk student, as well as the assisting student, will be referred to OSSJA or Student Housing to review the incident. OSSJA and Student Housing have the authority to require the person(s) using the Protocol to complete an assigned educational program/intervention (e.g., Alcohol Education Group, Alcohol Tobacco and Other Drug Intervention Services consultation, etc.), by a deadline established by OSSJA or Student Housing.
  - a. Failure to participate in or complete an assigned educational program(s) will nullify a student's eligibility under this Protocol. The student will be subject to University disciplinary procedures for the original incident.
  - b. Participation in and completion of an assigned educational program will not be maintained as a student disciplinary record. OSSJA and the Student Housing Office will instead retain a separate non-disciplinary administrative record of the incident.
- E. Subsequent Incidents
  - a. If the assisting student calls for another student during an alcohol or controlled substance medical-related emergency within 2 years after use of this Protocol, the subsequent incident will not be eligible under this Protocol.
  - b. If the at-risk student is directly involved in an alcohol or controlled substance medical-related emergency within 2 years after participation under this Protocol, the subsequent incident will be reviewed by OSSJA for appropriate action.
- F. OSSJA will retain records of all reports addressed by this Protocol in accordance with their record retention policy.
- G. Graduate and professional students are eligible for use of this Protocol. However, they may also be subject to discipline by their respective school for violating school-specific professional conduct policies relating to the use of alcohol and/or controlled substances. If a student is enrolled in multiple schools, then each school to which the student is enrolled act at their discretion for the event.

- H. Nothing in this Protocol will prevent an individual who is obligated by local, state or federal law from reporting, charging or taking other action related to the possible criminal prosecution of any student or non-affiliate.
- I. Nothing in this Protocol will preclude an individual from their past, present, or future employment related contractual obligation(s). The Protocol only applies to a student's UC Davis conduct record as retained by OSSJA and/or Student Housing.

References:

California Assembly Bill 1999

<http://awareawakealive.org/downloads/California-amnesty-law.pdf>

UCOP Protocol Proposal

UC San Diego Tritons Act: Responsible Action Protocol

[https://students.ucsd.edu/\\_files/student-conduct/Responsible-Action-Protocol-FINAL-2-27-14.pdf](https://students.ucsd.edu/_files/student-conduct/Responsible-Action-Protocol-FINAL-2-27-14.pdf)

# **Appendix K**

**UC Davis School of Veterinary Medicine  
Policy for Student Academic and Social Misconduct**



# Policy for Student Academic and Social Misconduct

Approved July 19, 2011

Amended July 16, 2013

The policy defines the disciplinary process for students suspected of academic and/or social misconduct within the School of Veterinary Medicine (SVM) at the University of California, Davis (UCD). Examples of academic misconduct include, but are not limited, to cheating, plagiarism, and unauthorized collaboration, while examples of social misconduct include, but are not limited, to computer misuse, alcohol and drug violations, theft, and conduct that threatens health and safety.

This policy, similar to the campus policy, builds upon the *SVM Student Code of Conduct Agreement* and describes mutual expectations for students and faculty to maintain academic integrity. Students must "take group as well as individual responsibility for honorable behavior," and "make every effort to prevent and avoid academic misconduct." The policy has been established in collaboration with the campus to support the mission of the campus by upholding standards of academic excellence, promoting integrity and fairness, and confronting behaviors that impair the teaching and learning environment. The disciplinary procedures covered by this policy are intended to promote reasoned, fair, and impartial consideration of suspected student misconduct, with respect for the rights and interests of all concerned: the accused student, the reporting party, and the University. The disciplinary process itself is a meaningful educational experience: students learn from admitting their errors and accepting the consequences of their actions. In addition, honest students are protected when those who violate the rules are sanctioned. Student discipline is thus a shared responsibility that is integral to the School's and University's mission and helps to fulfill the aspirations of our academic community.

This policy covers students enrolled in the degree of Doctor of Veterinary Medicine (DVM). Cases of academic misconduct will be handled by the Office of Professional Education with input from School of Veterinary Medicine's Student Affairs Committee (SOVM-SAC) and the campus Office of Student Judicial Affairs (SJA) as detailed in this document. Cases of social misconduct will be referred to the campus Office of Judicial Affairs.

Oversight of this policy resides in the Office of Professional Education and it will determine jurisdiction, maintain confidential discipline records, and administer the informal disposition. Authority for student discipline is delegated from the Chancellor to the Dean of the School of Veterinary Medicine, and from the Dean to the Associate Dean of Professional Education. The Dean and, under the Dean's supervision, the Associate Dean of Professional Education, have authority to impose disciplinary sanctions. All disciplinary action taken by the Dean and Associate Dean of Professional Education, operates by delegation of the Chancellor's authority. The SOVM-SAC is a faculty and veterinary student committee that participates in the review and resolution of student academic misconduct with oversight by the Associate Dean of Professional Education. When the severity of the case requires a formal fact-finding hearing process, the case will be referred to the campus SJA.

## (A) Standards of Conduct

No student will attempt to dishonestly or unfairly advance his or her or another person's academic status. This includes, but is not limited to, the examples found in the *SVM Student Code of Conduct Agreement* (Appendix A) and the *University of California Standards of Conduct for Students* (Appendix B).

## (B) Process for Suspected Student Misconduct

Most cases are resolved through an informal process in which the Associate Dean of Professional Education and the Chair of SOVM-SAC consult with the reporting party and the accused student and, if appropriate, enter a written disciplinary contract specifying agreed sanctions for any admitted violations of academic conduct standards.

Students are advised of their rights (Appendix C) as provided by UC Davis disciplinary procedures, including the right to request a formal fact-finding hearing if they do not admit the conduct, and also to consult and be accompanied by an advisor during the informal and/or formal processes. Cases that cannot be resolved informally are referred to SJA, in accordance with procedures described below.

Under Academic Senate Regulation 550, a grade of "0" or "F" may be assigned to examinations or assignments on which cheating, plagiarism or any other form of academic dishonesty is admitted or determined by proper adjudication to have occurred. If the student admits to, or is determined after adjudication to have committed, a violation of the Code of Academic Conduct which does not involve dishonesty, the faculty member may assign an appropriate grade penalty for the misconduct on that examination or assignment.

All cases should be referred to the full SOVM-SAC for discussion either at a regular or emergency meeting. When the severity of the case, as judged by the Associate Dean of Professional Education and SOVM-SAC Chair (usually following consultation with the SOVM-SAC), requires a formal fact-finding hearing process, the case will be referred to the campus SJA.

#### (1) Informal Process

##### (a) Unofficial

This process is followed for minor academic misconduct such as unfair or disruptive examination conduct that does not involve cheating, plagiarism, fabrication, unauthorized collaboration or infringement of copyright.

The emphasis is education, accountability and ethical behavior. If a violation is observed by a student, the reporting student may approach the alleged offender individually, either with or without an arbitrator (classmate) or report the alleged misconduct to the Associate Dean of Professional Education. If a violation is observed by a faculty or staff member, they may approach the alleged offender individually or report the alleged misconduct to the Associate Dean of Professional Education.

Whether the alleged offender is approached by a student, faculty or staff member, or Associate Dean of Professional Education, the aim is to make the student aware that an alleged violation of the Code of Conduct has been observed and will not be tolerated. The student should be informed of the violation and given the opportunity to respond. Again, the emphasis is on education and increasing awareness. However, in all cases the Associate Dean of Professional Education should be made aware of the incident in case the misconduct has occurred previously and a more formal process needs to be initiated.

##### (b) Official

This process is followed for more serious academic misconduct such as cheating, plagiarism, fabrication, unauthorized collaboration or infringement of copyright.

The emphasis is still on education and informal resolution but, as the violation is more serious, there is a need to gather facts. Permanent records will be kept unless the Associate Dean of Professional Education and SOVM-SAC Chair determine that the case has no merit and is dismissed. An accused student may consult and/or be accompanied by an advisor of his/her choice at any point during the informal process.

If the student has failed or refused to respond within 10 work days after notification by the Office of Professional Education or has failed or refused to participate in or cooperate with the disciplinary process, despite reasonable efforts by Office of Professional Education to contact him/her, the case

may be referred to campus SJA for formal hearing.

If a violation is observed by a student or staff or faculty member, he/she should report the alleged misconduct to the Associate Dean of Professional Education. A confidential report should be completed and submitted to the Associate Dean of Professional Education. The Associate Dean of Professional Education will notify the alleged offender that a matter involving potential disciplinary action has been referred and request the student to schedule an appointment to discuss the matter. The Associate Dean of Professional Education and the Chair of SOVM-SAC will meet with the student, explain the disciplinary process, advise the student of his/her rights and inform the student of the reasons for the report and provide the student with an opportunity to respond. The student does not have to say anything during the informal process, but if he/she chooses to speak, he/she should tell the truth. While the accused student is required to meet with the Associate Dean of Professional Education and SOVM-SAC Chair, he/she may choose not to provide information in response to the allegations and, instead, request a formal hearing with SJA. At the conclusion of the meeting, the Chair of SOVM-SAC and Associate Dean of Professional Education can decide that the case:

- Has no merit and no further action is needed;
- Can be resolved informally by agreement with the student;
- Can likely be resolved informally but that more fact finding is required and referral of the case to an informal hearing with the SOVM-SAC is required;
- Involves serious academic misconduct or social misconduct, and should be referred to the campus SJA for a formal hearing.;
- Is to be referred to SJA as requested by the student.

If agreement is reached between the student and the Associate Dean of Professional Education and Chair of SOVM-SAC as to the reported violation and the terms of the sanction, then the case can be resolved informally at that meeting. The agreement should state in writing the agreed facts of the incident, the nature of the admitted violation and the terms of the sanction(s) to be imposed and should be signed by the student. These documents will become part of the student's permanent record but be destroyed upon the student permanently leaving the SVM.

If the matter is referred to an informal hearing with the SOVM-SAC, the goal will be to find the truth of what happened in a manner that respects and preserves the rights of all concerned. The members of the SOVM-SAC and the Associate Dean of Professional Education will attend the informal meeting. SOVM-SAC members (students and faculty) are neutral decision makers who must be able to render a fair decision; they may be challenged and removed if found to be biased. Prior to the hearing, the student and the reporting party will receive written email notice of specific issues and the date, time, and place of the hearing, as well as summaries of the information to be presented and the hearing procedures. A student may decline to meet with the committee and may request a formal hearing with campus SJA. In keeping with the University's educational goals, students and reporting parties will speak on their own behalf, except in unusual circumstances. They may be accompanied by an advisor. Attorneys may not represent parties before the SOVM-SAC. After each party and witness tell what he/she knows, the committee members can initiate questions. After the committee members finish questioning, the student and reporting party may question witnesses and both may present documents or other relevant information. The committee then may deliberate without any non-committee members present. At the conclusion of the meeting, the committee can decide that the case:

- Has no merit and no further action is needed;
- Can be resolved informally by agreement with the student;

- Can be resolved informally by agreement with the student, but that the likely sanction is suspension or dismissal, and the case should be referred to the campus SJA for a formal hearing or other appropriate action;
- Cannot be resolved informally and should be referred to the campus SJA for a formal hearing;
- Involves serious academic misconduct or social misconduct and should be referred to the campus SJA for a formal hearing.

At the conclusion of the hearing, a written report should be prepared containing the finding of fact and this will become part of the student's permanent record but be destroyed upon the student permanently leaving the SVM.

If agreement is reached between the student and the committee as to the reported violation and the terms of the sanction, then the case can be resolved informally within the School. The agreement should state in writing the agreed facts of the incident, the nature of the admitted violation and the terms of the sanction(s) to be imposed and should be signed by the student. These documents will become part of the student's permanent record but be destroyed upon the student permanently leaving the SVM.

If the case is referred to the campus SJA for a formal hearing or other appropriate action, the Associate Dean of Professional Education will contact and forward all written documentation to the Director of SJA.

## (2) Formal Process

The case may be referred to the campus SJA for a formal hearing or other appropriate action. If a formal hearing is conducted, then an Ad Hoc Hearing Panel will be appointed consisting of five individuals, including one faculty and one student member from the School of Veterinary Medicine's Student Affairs Committee. The process for a formal hearing will follow that documented in the campus "Administration of Student Discipline" 4.00 Formal Fact Finding Hearings <http://sja.ucdavis.edu/policies.html>.

Briefly, a formal fact-finding hearing is an educational meeting, not a trial or court proceeding. The goal is to find the truth of what happened through a fair, timely, and effective process that respects and preserves the rights of all concerned: the accused student, the University community, the reporting party, and any witnesses. Hearing panel members or hearing officers (students and faculty) are neutral decision makers who should have no prior involvement in the case, and who must be able to render a fair decision; they may be challenged and removed if found to be biased.

In keeping with the University's educational goals, the accused student and the reporting party each speak on his or her own behalf, except in unusual circumstances. They may each be accompanied by an advisor. Attorneys may not represent parties before the Campus Judicial Board.

The student and the reporting party receive prior written email notice of the specific charges at issue and the date, time, and place of the hearing. The notice also summarizes the hearing procedures, including the right to an advisor, and the parties' responsibility to submit evidence and witness lists to SJA before the hearing.

Formal rules of evidence do not apply. Hearings are closed except to the hearing panel, the accused student, the reporting party, and the witnesses (who are present only during the time they testify, unless they request and receive permission from the panel to remain in the room after their testimony). Others may attend the hearing only with the approval of the hearing panel and/or SJA. The

accused student may be present at the hearing or absent. Both the reporting party and the accused student may provide evidence and question witnesses. Panel members may also question witnesses. If they testify, parties and witnesses can be questioned and must tell the truth.

The accused student may remain silent without inference of culpability. An audio recording of the hearing is kept.

After the hearing ends, a written report is prepared containing findings of fact (what happened, and was it more likely than not that the student violated University standards as suspected). Any findings of fact must be based only upon evidence received at the hearing. If the student is found in violation, the panel may recommend appropriate sanctions. In determining a sanction, the panel may consider the student's complete disciplinary file, as well as testimony from the student, SJA, and other witnesses. The written report is submitted to the designated University official, and the student is then notified in writing of the official decision.

### (C) Appeals

A student who is found to be in violation may appeal the decision on the grounds that:

- (1) There is no substantial basis in fact to support the findings;
- (2) The sanction is inconsistent with the findings;
- (3) There was unfairness in the proceedings;
- (4) There is newly discovered important evidence that was not available at the time of the hearing.

Any appeal must be in writing and received by the Dean of the School of Veterinary Medicine within ten business days of the date of the decision. The appeal may be denied, granted in whole or part, or other relief may be directed where appropriate.

# **Appendix L**

**UC Davis School of Medicine  
Student Code of Academic & Social Conduct Policy**

**I. PURPOSE**

To outline the School of Medicine Code of Academic and Social Conduct which uphold standards of academic excellence, promote integrity and fairness, and confront behaviors that impair the teaching and learning environment.

**II. AUDIENCE**

All medical students

**III. LCME STANDARD**

Not applicable

**IV. POLICY**

- Authority for student discipline resides with the Committee on Student Promotions for lapses in academic conduct, including professional lapses, and with the Vice Dean of Medical Education in all other instances.
- All disciplinary action taken by the Vice Dean of Medical Education, operates by delegation of the Chancellor's authority.

**Code of Academic Conduct:** The UC Davis Code of Academic Conduct (UCD COAC) applies to all educational activities including, but not limited to:

- A. Quizzes and Examinations: Multiple choice question exams (e.g. NBME), written exams, standardized patient encounters (OSCE), etc.
    1. When students take an examination at an alternate time from other students, it is even more imperative that the COAC be strictly applied.
    2. A student taking an examination at other than the regular time has the obligation not to place themselves in a position where the examination is being discussed.
    3. It is inappropriate to discuss any aspect of the examination with any students who have not taken the exam. This includes comments on content and difficulty of the examination.
  - B. Assignments: Clinical notes (clerkship or standardized patient encounters), short essays, reflections, oral or written presentations, etc.
  - C. Sharing of active learning sessions materials (e.g. cases), unless otherwise specified from the Course Director/IOR.
- Students found in violation of the policy are subject to disciplinary action, including but not limited to dismissal, by the Committee on Student Promotions.
  - Please refer to the UCD COAC; a section of the UC Davis Policy on Student Conduct and Discipline, for further details.

**Code of Social Conduct:** The UC Davis Policy on Student Conduct and Discipline applies to all types of social conduct, including, but not limited to: computer misuse, drug and alcohol

STUDENT CODE OF ACADEMIC &  
SOCIAL CONDUCT POLICY

violations, theft, physical and sexual violence, sexual harassment, all types of stalking, bullying, any conduct that threatens health and safety, and other similar actions or activities.

- Students found in violation of the policy are subject to disciplinary action, including but not limited to dismissal, by the Committee on Student Promotions.
- Please refer to these four policies for further details:
  1. [UC Davis Policy on Student Conduct and Discipline](#)
  2. [University of California – Sexual Violence and Harassment \(SVSH\) Policy](#)
  3. [University of California Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\) - Appendix E](#)
  4. [University of California Policies Applying to Campus Activities, Organizations, and Students \(PACAOS\) – Appendix F](#)

**V. PROCEDURE**

- A. Suspected violations to the Code of Conduct should be reported to the Associate Dean of Students and/or the Committee on Student Promotions in writing.
- B. The Committee on Student Promotions will review the allegations in conjunction with the Associate Dean of Students and determine if disciplinary action is warranted and adjudicate on the nature of the action (as outlined in the SOM Regulations).
- C. Alleged violations that are non-academic in nature shall be reviewed by the Associate Dean of Students and using the preponderance of the evidence standard if any disciplinary action is warranted, the Vice Dean of Education shall be responsible for implementation.

**VI. RESPONSIBILITY**

Associate Dean of Students or Vice Dean of Medical Education

**VII. REFERENCES****RELATED POLICY/POLICIES**

Student Code of Conduct Policy  
Professionalism Policy  
Exam Policy  
Pre-Clerkship Classroom Policy  
MSPE Policy  
Dismissal Policy

**VIII. POLICY OWNER**

Vice Dean for Medical Education

**IX. REVIEWED BY**

Vice Dean for Medical Education\*  
Associate Dean for Students  
Associate Dean for Medical Education  
Assistant Dean for Medical Education



## STUDENT CODE OF ACADEMIC & SOCIAL CONDUCT POLICY

Committee on Student Promotions  
Committee on Educational Policy

- X. REVIEWED DATE and REVIEW CYCLE**  
August 2021; 3-year cycle

# **Appendix M**

**UC Davis Policy on Bullying and Abusive Conduct  
in the Workplace  
(PPM 390-30)**

**Chapter 390, Emergency Management and Campus Security**

**Section 30, Bullying and Abusive Conduct in the Workplace**

**Date:** 3/11/2021

**Supersedes:** 12/6/09; reissued 12/9/14

**Responsible Department:** Human Resources

**Source Document:** UC Guidance on Abusive Conduct and Bullying in the Workplace

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**I. Purpose**

- A. This section describes the resources and processes available to address and prevent bullying and abusive conduct in the workplace, including definitions and procedures for reporting and responding to reports.
- B. At UC Davis Health, see Administrative Policies and Procedures Sections [1616](#) and [1649](#).
- C. Employees found to have engaged in bullying and/or abusive conduct may be subject to discipline for misconduct or corrective action for performance deficiencies pursuant to separate policies (see VII, below). Incidents or complaints that involve allegations of sexual violence or sexual harassment or discrimination should also be reported under the applicable policy (see Section [400-15](#) or [400-20](#)).

**II. Definitions**

The below definitions are intended to assist individuals in identifying bullying and abusive conduct that should be reported so that it can be promptly and effectively addressed.

- A. Abusive conduct—aggressive behavior or conduct that may adversely affect the campus or workplace (typically violent or potentially violent in nature), may generate reasonable concern for personal safety, or may result in physical injury. Such behavior includes, but not limited to the following:
  - 1. Intimidation—behavior that a reasonable person would find frightening, coercive, or would induce duress.
  - 2. Threat—expression of intent to cause physical or mental harm, which may be direct, indirect, conditional, or veiled.
  - 3. Violent behavior—unwanted physical contact such as hitting, kicking, pushing, shoving, throwing objects, or the use of a weapon, or other object.
- B. Bullying—a pattern of repeated behavior that a reasonable person would find hostile, offensive, and unrelated to the University's legitimate business interests. Bullying often involves an abuse or misuse of power. A single physical, verbal, or written act or behavior generally will not constitute bullying unless especially severe and egregious.

Examples of bullying may include:

- 1. Persistent or egregious use of disparaging, insulting, or offensive language;
- 2. Spreading misinformation or malicious rumors;
- 3. Sabotaging or undermining a person's work performance;
- 4. Behavior or language that frightens, humiliates, belittles, or degrades, including criticism or feedback that is delivered with yelling, screaming, threats, or insults;
- 5. Making repeated inappropriate comments about a person's appearance; lifestyle, family, or culture;
- 6. Regularly teasing or making someone the brunt of pranks or practical jokes;

7. Interfering with or damaging a person's personal property or university equipment/property;
8. Circulating inappropriate or embarrassing photos or videos via e-mail or social media;
9. Unwarranted physical conduct of a non-violent nature; or
10. Purposefully excluding, isolating, or marginalizing a person from normal work activities.

### **III. Policy**

The University is committed to providing and maintaining a safe and secure environment free from all forms of bullying and abusive conduct. Bullying and abusive conduct is prohibited in all University work locations.

- A. The University responds promptly and effectively to address reported bullying and abusive conduct.
- B. The University has developed programs to prevent bullying and abusive conduct from occurring and provides resources to individuals affected by bullying and abusive conduct.

### **IV. Procedures**

#### **A. Reporting**

1. Conduct that is violent or criminal in nature that requires immediate intervention must be reported to the UC Davis Police Department by calling 911.
2. Conduct that is not urgent or an emergency is to be reported to an employee's supervisor or appropriate department head and/or the applicable university office(s) listed below:
  - a. Staff:  
Employee and Labor Relations, 530-754-8892 (Davis); 916-734-3362 (UC Davis Health).
  - b. Academics:  
Academic Affairs, 530-752-5726.
  - c. Postdoctoral Scholars, Academic Student Employees (ASEs), Teaching Assistants and Graduate Researchers (In Employment Capacity):  
[Graduate Studies](#), 530-752-0650, [gradservices@ucdavis.edu](mailto:gradservices@ucdavis.edu).
  - d. Student Employees (In Employment Capacity):  
Office of Student Support and Judicial Affairs, 530-752-1128.
3. The University keeps the identity of individuals reporting bullying and abusive conduct confidential to the extent permitted or required by law and University policy, but may need to make disclosures to complete a fair review of the matter.
4. Retaliation against any individual who reports bullying or abusive conduct in good faith, assists someone with making such a report or participates in an investigation or other university process related to such a report is prohibited. See the University's [Whistleblower Policy](#), [Whistleblower Protection Policy](#), and Section [400-05](#) for provisions regarding retaliation.

#### **B. University response**

1. Bullying
  - a. Upon receiving a report of bullying, the supervisor, department head, or other appropriate official must review the alleged bullying and take appropriate actions, if

any, based upon the findings of the review (e.g., interventions to stop instances of bullying that are substantiated, corrective action/discipline for individuals found to have engaged in bullying).

- b. If further assistance is required, the supervisor contacts the appropriate office identified in IV.A.2, above, to request advice or report the behavior.
2. Abusive Conduct
  - a. Any supervisor, department head, or other official who receives a report of abusive conduct must consult with the [Workplace Violence Response Team](#).
  - b. The team reviews the complaint to determine the appropriate response to address the behavior.
3. Individuals engaging in bullying or abusive conduct are subject to corrective action and/or discipline, may be placed on investigatory leave, or excluded from University properties as appropriate. (See [Section 390-20](#) and/or the applicable personnel policy or collective bargaining agreement). (See also VII, below).

## **V. Roles and Responsibilities**

- A. Employees
  1. Are expected to conduct themselves with respect for the rights and welfare of others in the workplace and on University properties, and not engage in bullying and/or abusive conduct in line with the Principles of Community
  2. Are strongly encouraged to report instances of bullying and/or abusive conduct that they are subjected to and/or witness occurring to someone else.
- B. Supervisors
  1. Foster a respectful, fair, safe, equitable, and secure working environment in line with the Principles of Community.
  2. Consult with the appropriate university offices (see IV.A.2, above for contact information) about allegations of bullying and/or abusive conduct.
  3. Must review allegations of bullying and take appropriate corrective or disciplinary action on substantiated allegations, after consultation with the appropriate offices has taken place.
  4. Must also consult with the [Workplace Violence Response Team](#) when receiving reports of abusive conduct and take appropriate corrective or disciplinary action on substantiated allegations.
- C. [Workplace Violence Response Team](#)
  1. Is comprised of representatives from UC Davis Police Department, Academic and Staff Assistance Program (ASAP), Campus Counsel, Employee and Labor Relations, Academic Affairs, Office of Student Support and Judicial Affairs, Occupational Health Services, and Risk Management Services.
  2. Assesses potential threats of abusive conduct.
  3. Serves as a campus resource to assist in preventing and providing an appropriate response to reports of abusive conduct.

## **VI. Further Information**

- A. For information on preventing and responding to workplace violence, contact the UC Davis Police Department, 530-752-6589 or the Academic and Staff Assistance Program (ASAP), 530-

752-2727.

- B. For off-the-record confidential, impartial, independent, informal assistance, and additional resources contact the [Office of the Ombuds](#) at 530-754-7233 (Davis) and 916-734-1600 (UC Davis Health).
- C. For information on confidential advocacy support for survivors of sexual harassment and all forms of sexual violence and prevention and professional program training contact Center for Advocacy, Resources, & Education (CARE) at 530-752-3299 (Davis) and 916-734-3799 (UC Davis Health).

## **VII. References and Related Policies**

- A. [AB 2053, Employment Discrimination or Harassment: Education and Training: Abusive Conduct.](#)
- B. [Regents' Policy 1111, Policy on Statement of Ethical Values and Standards of Ethical Conduct.](#)
- C. Office of the President:
  - 1. [Guidance on Abusive Conduct and Bullying in the Workplace.](#)
  - 2. [Policy on Sexual Violence and Sexual Harassment.](#)
  - 3. [Whistleblower Policy.](#)
  - 4. [Whistleblower Protection Policy.](#)
- D. UC Davis Policy and Procedure Manual:
  - 1. [Section 390-20, Maintenance of Order.](#)
  - 2. [Section 400-05, Fraud Risk Management.](#)
  - 3. [Section 400-15, Complaints of Discrimination and Harassment.](#)
  - 4. [Section 400-20, Sexual Violence and Sexual Harassment.](#)
- E. [Academic Personnel Manual:](#)
  - 1. Section 015, Faculty Code of Conduct and UCD-015, Procedures for Faculty Misconduct Allegations.
  - 2. Section 150, Non-Senate Academic Appointees, Corrective Action and Dismissal.
- F. Personnel Policies for Staff Members:
  - 1. Policy and UCD Procedure 62, Corrective Action.
  - 2. Policy and UCD Procedure 70, Complaint Resolution.
- G. [UC Collective Bargaining Agreements.](#)
- H. [UC Davis Policy on Administration of Student Conduct and Discipline.](#)
- I. [UC Davis Principles of Community.](#)

# **Appendix N**

**UC Faculty Code of Conduct (APM 015)**

## **General University Policy Regarding Academic Appointees: APM - 015 - The Faculty Code of Conduct**

This policy is the Faculty Code of Conduct as approved by the Assembly of the Academic Senate on June 15, 1971, and amended by the Assembly on May 30, 1974, and with amendments approved by the Assembly on March 9, 1983, May 6, 1986, May 7, 1992, October 31, 2001, May 28, 2003, June 12, 2013, and February 8, 2017 and by The Regents on July 18, 1986, May 15, 1987, June 19, 1992, November 15, 2001, July 17, 2003, July 18, 2013, and March 15, 2017. In addition, technical changes were made September 1, 1988, June 11, 2010, and September 23, 2020.

Additional policies regarding the scope and application of the Faculty Code of Conduct and the University's policies on faculty conduct and the administration of discipline are set forth in APM - 016, the University Policy on Faculty Conduct and the Administration of Discipline.

### **The Faculty Code of Conduct as Approved by the Assembly of the Academic Senate**

(Code of Professional Rights, Responsibilities,  
and Conduct of University Faculty, and  
University Disciplinary Procedures)

#### **Preamble**

The University seeks to provide and sustain an environment conducive to sharing, extending, and critically examining knowledge and values, and to furthering the search for wisdom. Effective performance of these central functions requires that faculty members be free within their respective fields of competence to pursue and teach the truth in accord with appropriate standards of scholarly inquiry.

The faculty's privileges and protections, including that of tenure, rest on the mutually supportive relationships between the faculty's special professional competence, its academic freedom, and the central functions of the University. These relationships are also the source of the professional responsibilities of faculty members.

It is the intent of the Faculty Code of Conduct to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning.

Part I of this Code sets forth the responsibility of the University to maintain conditions and rights supportive of the faculty's pursuit of the University's central functions.



Part II of this Code elaborates standards of professional conduct, derived from general professional consensus about the existence of certain precepts as basic to acceptable faculty behavior. Conduct which departs from these precepts is viewed by faculty as unacceptable because it is inconsistent with the mission of the University. The articulation of types of unacceptable faculty conduct is appropriate both to verify that a consensus about minimally acceptable standards in fact does exist and to give fair notice to all that departures from these minimal standards may give rise to disciplinary proceedings.

In Part II a clear distinction is made between statements of (1) ethical principles and (2) types of unacceptable behavior.

### 1. **Ethical Principles**

These are drawn primarily from the 1966 *Statement on Professional Ethics* and subsequent revisions of June, 1987, issued by the American Association of University Professors. They comprise ethical prescriptions affirming the highest professional ideals. They are aspirational in character, and represent objectives toward which faculty members should strive. Behavior in accordance with these principles clearly precludes the application of a disciplinary sanction. These Ethical Principles are to be distinguished from *Types of Unacceptable Faculty Conduct* referred to in the following paragraph. The *Types of Unacceptable Faculty Conduct*, unlike the Ethical Principles, are mandatory in character, and state minimum levels of conduct below which a faculty member cannot fall without being subject to University discipline.

### 2. **Types of Unacceptable Faculty Conduct**

Derived from the Ethical Principles, these statements specify examples of types of unacceptable faculty behavior which are subject to University discipline because, as stated in the introductory section to Part II, they are “not justified by the Ethical Principles” and they “significantly impair the University’s central functions as set forth in the Preamble.”

The Ethical Principles encompass major concerns traditionally and currently important to the profession. The examples of types of unacceptable faculty conduct set forth below are not exhaustive. It is expected that case adjudication, the lessons of experience and evolving standards of the profession will promote reasoned adaptation and change of this Code. Faculty may be subjected to disciplinary action under this Code for any type of conduct which, although not specifically enumerated herein, meets the standard for unacceptable faculty behavior set forth above. It should be noted, however, that no provision of the Code shall be construed as providing the basis for judging the propriety or impropriety of collective withholding of services by faculty. Rules and sanctions that presently exist to cover such actions derive from sources external to this Code.

Part III of this Code deals with the enforcement process applicable to unacceptable faculty behavior. That process must meet basic standards of fairness and must reflect significant faculty involvement. In order to guide each campus in the development of disciplinary procedures that comply with this policy and Senate Bylaws, Part III provides an outline of mandatory principles to which each Division must adhere and discretionary principles which are strongly recommended.

### **Part I – Professional Rights of Faculty**

In support of the University's central functions as an institution of higher learning, a major responsibility of the administration is to protect and encourage the faculty in its teaching, learning, research, and public service. The authority to discipline faculty members in appropriate cases derives from the shared recognition by the faculty and the administration that the purpose of discipline is to preserve conditions hospitable to these pursuits. Such conditions, as they relate to the faculty, include, for example:

1. free inquiry, and exchange of ideas;
2. the right to present controversial material relevant to a course of instruction;
3. enjoyment of constitutionally protected freedom of expression;
4. freedom to address any matter of institutional policy or action when acting as a member of the faculty whether or not as a member of an agency of institutional governance;
5. participation in the governance of the University, as provided in the Bylaws and Standing Orders of The Regents and the regulations of the University, including
  - (a) approval of course content and manner of instruction,
  - (b) establishment of requirements for matriculation and for degrees,
  - (c) appointment and promotion of faculty,
  - (d) selection of chairs of departments and certain academic administrators,
  - (e) discipline of members of the faculty, and the formulation of rules and procedures for discipline of students,
  - (f) establishment of norms for teaching responsibilities and for evaluation of both faculty and student achievement, and
  - (g) determination of the forms of departmental governance;
6. the right to be judged by one's colleagues, in accordance with fair procedures and due process, in matters of promotion, tenure, and discipline, solely on the basis of the faculty members' professional qualifications and professional conduct.

### **Part II – Professional Responsibilities, Ethical Principles, and Unacceptable Faculty Conduct**

This listing of faculty responsibilities, ethical principles, and types of unacceptable behavior is organized around the individual faculty member's relation to teaching and students, to scholarship, to the University,

to colleagues, and to the community. Since University discipline, as distinguished from other forms of reproof or administrative actions, should be reserved for faculty misconduct that is either serious in itself or is made serious through its repetition, or its consequences, the following general principle is intended to govern all instances of its application:

University discipline under this Code may be imposed on a faculty member only for conduct which is not justified by the ethical principles and which significantly impairs the University's central functions as set forth in the Preamble. To the extent that violations of University policies mentioned in the examples below are not also inconsistent with the ethical principles, these policy violations may not be independent grounds for imposing discipline as defined herein. The *Types of Unacceptable Conduct* listed below in Sections A through E are examples of types of conduct which meet the preceding standards and hence are presumptively subject to University discipline. Other types of serious misconduct, not specifically enumerated herein, may nonetheless be the basis for disciplinary action if they also meet the preceding standards.

#### A. Teaching and Students

**Ethical Principles.** "As teachers, the professors encourage the free pursuit of learning of their students. They hold before them the best scholarly standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom." (AAUP Statement, 1966; Revised, 1987)

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationship between faculty member and student must be protected from influences or activities that can interfere with learning consistent with the goals and ideals of the University. Whenever a faculty member is responsible for academic supervision of a student, a personal relationship between them of a romantic or sexual nature, even if consensual, is inappropriate. Any such relationship jeopardizes the integrity of the educational process.

In this section, the term student refers to all individuals under the academic supervision of faculty.

**Types of unacceptable conduct:**

1. Failure to meet the responsibilities of instruction, including:
  - (a) arbitrary denial of access to instruction;
  - (b) significant intrusion of material unrelated to the course;
  - (c) significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
  - (d) evaluation of student work by criteria not directly reflective of course performance;
  - (e) undue and unexcused delay in evaluating student work.
2. Discrimination, including harassment, against a student on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
3. Sexual violence and sexual harassment, as defined by University policy, of a student.
4. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against students on the basis of disability.
5. Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student for arbitrary or personal reasons.
6. Participating in or deliberately abetting disruption, interference, or intimidation in the classroom.
7. Entering into a romantic or sexual relationship with any student for whom a faculty member has, or should reasonably expect to have in the future<sup>1</sup>, academic responsibility (instructional, evaluative, or supervisory).

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<sup>1</sup> A faculty member should reasonably expect to have in the future academic responsibility (instructional, evaluative, or supervisory) for (1) students whose academic program will require them to enroll in a course taught by the faculty member, (2) students known to the faculty member to have an interest in an academic area within the faculty member's academic expertise, or (3) any student for whom a faculty member must have academic responsibility (instructional, evaluative, or supervisory) in the pursuit of a degree.

8. Exercising academic responsibility (instructional, evaluative, or supervisory) for any student with whom a faculty member has a romantic or sexual relationship.

**B. Scholarship**

**Ethical Principles.** “Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self- discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.” (AAUP Statement, 1966; Revised, 1987)

**Types of unacceptable conduct:**

Violation of canons of intellectual honesty, such as research misconduct and/or intentional misappropriation of the writings, research, and findings of others.

**C. The University**

**Ethical Principles.** “As a member of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of the work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.” (AAUP Statement, 1966; Revised, 1987)

**Types of unacceptable conduct:**

1. Intentional disruption of functions or activities sponsored or authorized by the University.
2. Incitement of others to disobey University rules when such incitement constitutes a clear and present danger that violence or abuse against persons or property will occur or that the University’s central functions will be significantly impaired.
3. Unauthorized use of University resources or facilities on a significant scale for personal, commercial, political, or religious purposes.

4. Forcible detention, threats of physical harm to, or harassment of another member of the University community, that interferes with that person's performance of University activities.
5. Discrimination, including harassment, against University employees or individuals seeking employment; providing services pursuant to a contract; or applying for or engaged in an unpaid internship, volunteer capacity, or training program leading to employment on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
6. Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.
7. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against employees on the basis of disability.
8. Serious violation of University policies governing the professional conduct of faculty, including but not limited to policies applying to research, outside professional activities, conflicts of commitment, clinical practices, violence in the workplace, and whistleblower protections.

#### D. Colleagues

**Ethical Principles.** "As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debts and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution." (AAUP Statement, 1966; Revised, 1987)

#### **Types of unacceptable conduct:**

1. Making evaluations of the professional competence of faculty members by criteria not directly reflective of professional performance.
2. Discrimination, including harassment, against faculty on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender, gender expression, gender

- identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer- related or genetic characteristics), genetic information (including family medical history), or service in the uniformed services as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA), as well as state military and naval service, or, within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
3. Sexual violence and sexual harassment, as defined by University policy, of another member of the University community.
  4. Violation of the University policy, including the pertinent guidelines, applying to nondiscrimination against faculty on the basis of disability.
  5. Breach of established rules governing confidentiality in personnel procedures.

**E. The Community**

**Ethical Principles.** “Faculty members have the same rights and obligations as all citizens. They are as free as other citizens to express their views and to participate in the political processes of the community. When they act or speak in their personal and private capacities, they should avoid deliberately creating the impression that they represent the University.” (U.C. Academic Council Statement, 1971)

**Types of unacceptable conduct:**

1. Intentional misrepresentation of personal views as a statement of position of the University or any of its agencies. (An institutional affiliation appended to a faculty member’s name in a public statement or appearance is permissible, if used solely for purposes of identification.)
2. Commission of a criminal act which has led to conviction in a court of law and which clearly demonstrates unfitness to continue as a member of the faculty.

**Part III – Enforcement and Sanctions**

The Assembly of the Academic Senate recommends that each Division, in cooperation with the campus administration, develop and periodically re-examine procedures dealing with the investigation of allegations of faculty misconduct and the conduct of disciplinary proceedings.

Procedures shall be consistent with the Bylaws of the Academic Senate. Each Division should duly notify the University Committee on Rules and Jurisdiction and the University Committee on Privilege and Tenure of the procedures it has adopted and any subsequent changes therein. These Committees in turn are directed to report periodically to the Assembly of the Academic Senate on procedures

adopted by the Divisions and to recommend to the Assembly such action as they deem appropriate for assuring compliance with the Bylaws of the Academic Senate or the promotion of uniformity among Divisions to the extent to which it appears necessary and desirable.

- A. In the development of disciplinary procedures, each Division must adhere to the following principles:
1. No disciplinary sanction for professional misconduct shall be imposed by the administration except in accordance with specified campus procedures adopted after appropriate consultation with agencies of the Academic Senate, as prescribed in the introduction to this part of the Code. Systemwide procedures for the conduct of disciplinary hearings are set forth in Academic Senate Bylaw 336.
  2. No disciplinary sanction shall be imposed until after the faculty member has had an opportunity for a hearing before the Divisional Committee on Privilege and Tenure, subsequent to a filing of a charge by the appropriate administrative officer, as described in Academic Senate Bylaw 336.
  3. The Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when it is reported to any academic administrator at the level of department chair or above. Additionally, for an allegation of sexual violence or sexual harassment, the Chancellor is deemed to know about an alleged violation of the Faculty Code of Conduct when the allegation is first reported to any academic administrator at the level of department chair or above or the campus Title IX Officer. The Chancellor must initiate related disciplinary action by delivering notice of proposed action to the respondent no later than three years after the Chancellor is deemed to have known about the alleged violation. There is no limit on the time within which a complainant may report an alleged violation.
  4. The Chancellor may not initiate notice of proposed disciplinary action unless there has been a finding of *probable cause*. The *probable cause* standard means that the facts as alleged in the complaint, if true, justify the imposition of discipline for a violation of the Faculty Code of Conduct and that the Chancellor is satisfied that the University can produce credible evidence to support the claim. In cases where the Chancellor wants a disciplinary action to proceed, the Divisional hearing committee must hold a hearing and make findings on the evidence presented unless the accused faculty member settles the matter with the Chancellor prior to the hearing or the accused faculty member explicitly waives the right to a hearing.
  5. The procedures adopted shall include designation of the following disciplinary sanctions authorized in the University Policy on Faculty Conduct and the Administration of Discipline, of which this Faculty Code of Conduct is an integral part: written censure, reduction in salary, demotion, suspension, denial or curtailment of emeritus status, and dismissal from the employ of the University. The Divisional Committee on Privilege and Tenure shall not recommend the imposition of a sanction more severe than that in the notice



of proposed disciplinary action. More than one disciplinary sanction may be imposed for a single act of misconduct, e.g. a letter of censure and a suspension.

- B. In the development of disciplinary procedures, it is recommended that each Division adhere to the following principles:
1. In order to facilitate the efficient and timely handling of disciplinary matters, it is recommended that procedures be developed that allow each Divisional Committee on Privilege and Tenure to sit in hearing panels smaller than the full committee.
  2. There should be an appropriate mechanism for consideration and investigation of allegations of misconduct received from members of the faculty, staff, students, the administration, and other members of the University community. Procedures should be developed which encourage a single formal investigation of the allegations leading to the proposed disciplinary action.
  3. Because it is desirable that the faculty meaningfully participate in its own self-discipline, and in order to provide the administration with faculty advice in the beginning stages of what may become formal disciplinary proceedings, appropriate procedures should be developed to involve the faculty in participating in the investigation of allegations of misconduct and/or in making recommendations to appropriate administrative officers whether a disciplinary charge should be filed. Divisions are encouraged to develop procedures to provide faculty investigators with training, consultation, or legal counsel to assist with the investigation of faculty disciplinary cases.
  4. There should be provision for early resolution of allegations of faculty misconduct before formal disciplinary proceedings are instituted. Procedures should be developed for mediation of cases where mediation is viewed as acceptable by the Chancellor and the faculty member accused of misconduct. Mediators should be trained in mediation, be regarded as neutral third parties and have experience in the University environment. In cases where a settlement resolving disciplinary charges is entered into after a matter has been referred to an Academic Senate committee, the Chancellor is encouraged to consult with the Chair of the Divisional Committee on Privilege and Tenure prior to finalizing the settlement.
  5. Appropriate precautions should be taken to safeguard the confidentiality of investigative and disciplinary proceedings. Procedures should be developed that allow information about an ongoing disciplinary proceeding, including information about the outcome, to be shared with complainant(s), to the extent allowable by State law and University policy.
  6. There should be provision, to the maximum feasible extent, for separating investigative and judicial functions. A faculty member who has participated in investigating an allegation of misconduct or in recommending that a charge should be filed should thereafter not participate, as a member of the Committee on Privilege and Tenure, in the hearing of that charge.

7. In the implementation of all procedures, specific provisions should be made for the time span within which certain actions may or must be taken. Every effort should be made to conform to reasonable, specified time frames. Ideally, a hearing should commence within 90 days of the date on which the accused faculty member has been notified of the intention to initiate a disciplinary proceeding. A faculty member who is entitled to a hearing should not be permitted thereafter to delay imposition of discipline by refusing to cooperate or being unavailable for a scheduled hearing. A hearing shall not be postponed because the faculty member is on leave or fails to appear.
8. There should be consideration of provision for the availability of removal or termination of a sanction, either automatically or by administrative discretion, in individual cases. The nature and circumstances of the offense should determine the severity and type of discipline.
9. Procedures should be developed for keeping records of disciplinary matters in a confidential manner and sharing such records with Senate and administrative officers with a need to know in accordance with State law and University policy.

#### **Revision History**

September 23, 2020:

- Technical revision to remove gendered language.

For details on prior revisions, please visit the [Academic Personnel and Programs website](#).

## **Appendix O**

**UC Non-Senate Academic Appointees/  
Corrective Action and Dismissal  
(APM 150)**

**General University Policy Regarding Academic Appointees: APM - 150: Non-Senate Academic Appointees/Corrective Action and Dismissal**

**150-0 Policy**

- a. This policy provides the standards and procedures for instituting corrective action or dismissal of non-Senate academic appointees. Corrective action or dismissal may be instituted for good cause, including but not limited to misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy. Corrective action is intended to give the non-Senate academic appointee an opportunity to improve and/or correct conduct or performance.
- b. Non-Senate academic appointees are expected to maintain a standard of academic responsibility that requires service consistent with the objectives of the University. Non-Senate faculty appointees are also subject to the standards set forth in the Faculty Code of Conduct ([APM - 015](#)).

**150-6 Responsibility**

- a. It is the responsibility of each Chancellor to establish and issue guidelines and procedures for instituting corrective action and dismissal of non-Senate academic appointees.
- b. Corrective action or dismissal may be instituted and implemented by the department chair, unit head, supervisor, or other appropriate administrative authority in accordance with campus procedures. Campus procedures shall outline appropriate consultation requirements for corrective action and dismissal.

**150-14 Eligibility**

- a. This policy applies to all academic appointees of the University who are not members of the Academic Senate except as provided in APM - 150-14-b and -c. For non-Senate academic appointees covered by a Memorandum of Understanding (MOU), this policy applies only to the extent provided for in the MOU.
- b. APM - 150 does not apply to Postdoctoral Students (see [APM - 390](#)).
- c. Student academic appointees not covered by an MOU are subject to this policy to the extent that corrective action or dismissal are based solely upon their employment relationship with the University.

- d. For non-Senate academic appointees who are subject to peer review for performance evaluation, demotion and dismissal for unsatisfactory work performance shall involve the regular peer review process. Such a peer review shall be advisory to the administrator authorized to institute the demotion or dismissal action.

### **150-30 Types of Corrective Action and Dismissal**

- a. Corrective action is a written warning, written censure, suspension without pay, reduction in salary, or demotion for good cause, including but not limited to misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy.
  - (1) A written warning is a communication that informs the appointee of the nature of the misconduct or deficiency, the method of correction, and the probable consequence of continued misconduct or deficiency. A written warning is to be distinguished from an informal spoken warning. An informal spoken warning or a letter outlining performance expectations is not an official corrective action.
  - (2) A written censure is a formal written expression of institutional rebuke that contains a description of the censured conduct. A written censure must be delivered to the recipient and a copy must be maintained in a designated file or files, or for the period of time specified in the writing.
  - (3) A suspension is debarment without pay from appointment responsibilities for a stated period of time. Unless otherwise noted, the terms of a suspension will include loss of normal employee privileges such as access to University property and parking and library privileges.
  - (4) A reduction in salary is a reduction to a lower salary without a change in rank or step. The amount and duration of the reduced salary shall be specified.
  - (5) A demotion is a reduction to a lower rank or step with a corresponding reduction in salary.
- b. Dismissal is the termination of an appointment for good cause initiated by the University prior to the ending date of appointment. Good cause includes but is not limited to misconduct, continued unsatisfactory work performance, dereliction of duty, or serious violation of University policy. In the case of dismissal of a non-Senate faculty member, refer to Section 103.9 of the Standing Orders of The Regents (S.O. 103.9.) and APM - 150-40.

### **150-32 Procedures for Corrective Action and Dismissal**

**a. Informal Resolution**

Prior to instituting corrective action or dismissal, efforts to resolve the issue(s) informally should be attempted where appropriate.

**b. Investigatory Leave**

An appointee may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating conduct which in the judgment of the Chancellor requires removing the appointee from University premises. While on such leave, the appointee's return to University premises without written permission may create independent grounds for dismissal. Such investigatory leave must be documented in writing after it is instituted.

**c. Written Notice of Intent**

- (1) The University shall provide a written Notice of Intent to the appointee prior to initiating the actions of written censure, suspension without pay, reduction in salary, demotion, or dismissal. The Notice shall state:
  - (a) the intended action, including reasons for the action and the proposed effective date; (b) the basis of the charges, including copies of pertinent materials supporting the charges; (c) the appointee's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent; and (d) the name of the person to whom the appointee should respond. No Notice of Intent is required for a written warning.
- (2) Prior to instituting the dismissal of a non-Senate faculty member, the appointee should be apprised of the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate pursuant to S.O. 103.9.

**d. Response to Written Notice of Intent**

The appointee who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the written Notice of Intent. The response, if any, shall be reviewed by the administration.

**e. Written Notice of Action**

If the University determines to institute the corrective action or dismissal following the review of a timely response, if any, from the appointee, and within thirty (30) calendar

days of the date of issuance of the written Notice of Intent, the University shall issue a written Notice of Action to the appointee of the corrective action or dismissal to be taken and its effective date. The Notice of Action also shall notify the appointee of the right to grieve the action under APM - 140. The Notice of Action may not include an action more severe than that described in the Notice of Intent. A copy of the Notice of Action also shall be placed in the employee's personnel file(s).

**f. Representation**

Appointees may represent themselves or may be represented by another person at any stage of the corrective action or dismissal process.

**g. Extension of Time**

Upon written request and prior to the expiration of any time limit stated in this policy, the Chancellor may grant extensions, as appropriate.

**150-40 Procedures for Dismissal of a Non-Senate Faculty Appointee**

S.O. 103.9 provides that termination of the appointment of any member of the faculty before the expiration of the faculty member's appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, except as otherwise provided in a MOU for faculty who are not members of the Academic Senate. A non-Senate faculty appointee is entitled to select only one grievance review mechanism, either [APM - 140](#) or an Academic Senate hearing as provided by S.O. 103.9. If a non-Senate faculty appointee elects an Academic Senate hearing, good cause shall be defined as set forth in APM - 150-0. For a non-Senate faculty appointee with a term appointment if the hearing has not commenced by the ending date of the appointment, the dismissal becomes a non-reappointment effective at the end of the appointment. The appointee has thirty (30) calendar days from the ending date of the appointment to grieve the non-reappointment pursuant to [APM - 137](#) and [140](#).

**Revision History**

September 23, 2020:

- Technical revision to remove gendered language and correct minor grammatical errors.

For details on prior revisions, please visit the [Academic Personnel and Programs website](#).