



# **UCI Task Force to Review NASEM Recommendations**

**Report to Chancellor Howard Gillman**

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December 2020

**Report to Chancellor Howard Gillman by the UCI Task Force to Review National Academies of Sciences, Engineering and Medicine (NASEM) Recommendations for Preventing and Responding to Sexual Harassment**

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## Members

### UCI Task Force to Review National Academies of Sciences, Engineering and Medicine (NASEM) Recommendations for Preventing and Responding to Sexual Harassment

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## Submission Letter from the Task Force

December 8, 2020

Dear Chancellor Gillman:

The members of this task force reviewed the 15 recommendations by the National Academies of Sciences, Engineering and Medicine (NASEM) on systemwide changes to culture and climate to prevent and effectively address sexual harassment relevant to academic institutions.

The task force conducted a thorough inventory of UCI's policies, practices, and resources related to sexual harassment. UCI is actively engaged in preventative and responsive work in all recommendation categories. However, this task force has identified three key areas in which to focus and expand the University's response to sexual harassment, including efforts to move beyond compliance, strengthen support mechanisms for Complainants, and measure progress. The inventory on UCI's current practices, task force discussion, and ideas are provided in the accompanying report.

We look forward to answering any questions related to these recommendations and would value time to share additional insights, your schedule permitting, about possible changes and suggestions for strengthening best practices.

Thank you for the opportunity to share these insights on behalf of our members.

Sincerely,



Tierney Anderson  
Co-Chair, NASEM Review



Marguerite Bonous-Hammarth  
Co-Chair, NASEM Review

## Background

Preventing and responding to sexual harassment continues to be of the utmost importance for our UCI community. Annual report data from the [Office of Equal Opportunity and Diversity](#) (OEOD) shows that since 2003, the most frequent concern reported annually from students, staff, and faculty, is sexual harassment.

In winter quarter 2020, Associate Chancellor Kirsten Quanbeck and Vice Chancellor Douglas Haynes directed Tierney Anderson and Marguerite Bonous-Hammarth to assemble and co-chair a small task force of diverse leaders from the UCI academic community. The purpose of this group was to review the NASEM recommendations on preventing and responding to sexual harassment (<https://www.nationalacademies.org/our-work/sexual-harassment-in-academia>). Task force members also were encouraged to make suggestions for areas of expansion and improvement at UCI, including leading-edge practices that would positively impact graduate students and junior faculty, with potential application across the campus and medical center. The full charge of the task force is included in Appendix 1.

During four meetings between April 2020 and September 2020, members focused on detailed discussions of seven of the original recommendations from NASEM that included:

- Creating diverse, inclusive, and respectful environments (Recommendation 1).
- Moving beyond legal compliance to address culture and climate (Recommendation 3).
- Improving transparency and accountability (Recommendation 4).
- Diffusing the hierarchical and dependent relationships between trainees and faculty (Recommendation 5).
- Providing support for the target (Complainant/individual experiencing harassment) (Recommendation 6).
- Measuring progress (Recommendation 8).

## NASEM Recommended Practices at UCI

The seven recommendations were selected based on their potential to have broad impacts at UCI. The task force focused on 10 NASEM recommendations from a final inventory that had direct application to institutions of higher education. A preliminary inventory, also shared with the group, reviewed all 15 NASEM recommendations.

Members reviewed a preliminary inventory of current institutional policies, practices, and resources, and heard specialized presentations from OEOD (OEOD), [Campus Assault Resources and Education Office](#) (CARE), and the [Office of Academic Personnel](#) (Academic Personnel). Appendix 2 includes an inventory of all the NASEM recommendations discussed with members. From these meetings, task force members identified recommendations that centered around three themes (Appendix 3). The themes included: **(1) moving beyond legal compliance by diversifying leadership and broadening bystander training, (2) strengthening support resources including diffusing dependent relationships, and (3) measuring progress.**

## **Moving Beyond Compliance**

*In addition to the current ways that UCI moves beyond legal compliance, task force members recommend:*

- (1) Developing a standing work group to examine the current state and progress made regarding the composition of UCI's leadership*
- (2) Diversifying academic leadership through such opportunities as the Provost's Leadership Academy*
- (3) Advancing student leadership to promote important legislation for preventing sexual violence and sexual harassment*
- (4) Expanding training resources and report the impact of expansion efforts.*

### **Current UCI Moves Beyond Legal Compliance**

NASEM recommends that institutions move beyond legal compliance to address culture and climate. This includes moving beyond interventions or policies that represent basic legal compliance or rely solely on formal reports made by targets (Complainants). NASEM recommends that institutional leaders engage with and listen to students and other campus community members.

UCI currently has robust policies and procedures for responding to reports of sexual harassment and violence, including avenues for Responsible Employees to report and obtain resources for Complainants and options for resolving concerns and complaints informally and through alternative resolution. There are multiple reporting avenues for individuals, including: a system for reporting incidents of bias, an anonymous discrimination/harassment hotline; OEO, which responds to all reports of discrimination, sexual harassment and violence; an anonymous complaint reporting system for medical students and nursing students, and anonymous student evaluations.

UCI also has proactive practices to address climate and culture including an [Advisory Council on Campus, Climate, Culture, and Inclusion](#) comprised of diverse campus partners, [equity advisors](#), equity councils, and [DECADE mentors](#), a Coordinated Community Review Team (CCR), a Campus Case Management Team (CMT), and a medical center Incident Response Team (IRT). Some academic units and OIE undertake unit equity reviews. Further, UCI launched a climate survey in January 2020. The CARE office has special programming for international students, men's groups, and Greek Life, in addition to violence prevention coordinators who provide unique training programs on bystander intervention and raise awareness on sexual violence. UCI also utilizes widespread bystander intervention trainings to proactively address how to respond to sexual harassment.

### **Expand Leadership Opportunities**

Diverse leadership promotes visible institutional accountability and leaders who are willing to engage with and listen to students from diverse communities. The NASEM research found that having critical masses of women in leadership and across traditionally male-dominated fields reduced power structures and weakened opportunities for sexual harassment. Task force members recommend ensuring that there is adequate gender representation at senior

management levels, as the literature and NASEM recommendations highlight the importance of gender representation among school leaders. One priority for UCI should be to examine the composition of current leadership, leadership opportunities for faculty rising in leadership, and hiring practices for senior leadership positions. Task force members recommended soliciting data from the [Office of Institutional Research](#) on the gender and ethnicity of senior leadership – deans, associate deans, and chair levels – in addition to staff leadership in departments and compensation breakdowns. This scrutiny will help to examine any discrepancies across group members, particularly among faculty.

Leadership development among faculty and senior managers also needs attention at earlier stages, particularly to improve the use of tools and techniques for broadening outreach, advertisement, and other recruitment strategies which attract future leaders to UCI. Opportunities offered by such programs as the [Provost Leadership Academy](#) was strongly endorsed by task force members as an approach to identify and advance the representation of women faculty in academic leadership (department chairs, research center directors, associate deans, deans, and vice provosts).

At the student level, task force members suggested enhancing leadership opportunities for students to join UCI lobbying efforts related to sexual harassment issues and state legislation. These suggestions included underwriting voluntary opportunities for interested students to accompany [Community and Government Relations](#) staff to share perspectives about important legislation. Potential funding could be organized through Community & Government Relations with partners from [Lesbian Gay Bisexual Transgender Resource Center](#), [UCI Womxn's Center](#), among other groups.

### **Enhance Training and Department Level Actions**

The task force identified a need to increase bystander intervention training, such as [Green Dot](#), particularly among faculty given their frequent interactions with students who may seek information about support services. The members also recommended increased support for violence prevention programs and services and peer education programs addressing the root causes of violence and intersections of oppressions.

Additionally, group members recommended broadening the reach of these training programs in fields of science, technology, engineering, mathematics, and medicine (STEMM) where gender harassment is most prevalent. Suggestions included to integrate content into the existing Collaborative Institutional Training Initiative (CITI) Human Resources Protection training modules or by adding abbreviated but robust bystander briefings at major programs offered by UCI partners. These intervention programs exist but lack sufficient institutional funding to expand their reach and impact. Expanded efforts should be examined for efficacy and impacts as model programming for broader transfer.

Task force members also highlighted the importance and use of DECADE mentors and equity advisors coordinated through the [Office of Inclusive Excellence](#) and respective academic units to provide information about campus sexual violence and sexual harassment resources. Prevention briefings and resources are shared on an ongoing basis with DECADE mentors and

equity advisors to broaden their general knowledge about key contacts for referrals to OEOD and counseling.

OEOD has committed to revise and expand its Sexual Harassment Advisor (SHA) program to train department level advisors that students can go to in order to understand their rights, their options, both formal and informal, for resolving concerns about sexual harassment and sexual violence, and resources. Most importantly, the program helps establish experts in each department that will inform students about how to access their rights to resources, such as academic and workplace accommodations, and confidential support. Task force members suggested that these advisors would be “champions” to ensure that students were knowledgeable about their rights, options, and resources concerning sexual violence and harassment issues.

### **Strengthening Support Resources**

*To enhance UCI accountability and support for those recovering from incidents of sexual violence and sexual harassment, task force members recommend:*

- (1) Increasing the number of confidential advocates available to serve students, staff, and faculty*
- (2) Diffusing hierarchical advising relationships*
- (3) Creating practices to support complainants that are trauma-informed and avoid disrupting studies or work opportunities, or biasing professional relationships for complainants*
- (4) Identifying additional central funding and funding dissemination models to avoid ‘boxing advisees in’ unhealthy advising relationships*
- (5) Implementing additional communication strategies to enhance the transparency and communication of adjudication outcomes*
- (6) Archiving through Special Collections the policy changes over time on sexual violence and sexual harassment.*

#### **Provide Support for Targets (Complainants)**

NASEM recommends that regardless of whether there is a formal report, institutions should provide means for accessing support services, provide alternative and less formal means of reporting information, and develop approaches to prevent the target from experiencing or fearing retaliation in academic settings.

UCI currently provides academic, housing, and workplace supportive measures regardless of whether an individual files a formal complaint of sexual harassment or sexual violence. When meeting with OEOD, the office responsible for administrative procedures for addressing sexual harassment and violence, Complainants are provided a variety of options for resolving their concerns, including informal resolution options or documented alternative resolution, which does not involve formal investigation or adjudication. UCI has a strong anti-retaliation policy and there have been recent changes in UC policy to further define retaliation and explicitly categorize retaliation as prohibited conduct.



In addition, UCI provides legally confidential support to survivors of sexual harassment and sexual violence through the CARE office. CARE Advocates are the primary confidential support in these areas at UCI and serve all students, staff, and faculty complainants on campus and at the medical center, regardless if individuals make formal reports to the University. CARE Advocates can also accompany Complainants through an informal or alternative resolution process or formal investigation at OEOD and adjudication, or through forensic examinations and a criminal complaint reporting process with police.

In fall 2019, Academic Personnel created the [Office of Complainant Support Services](#) which provides support for all faculty and staff who wish to bring a formal complaint of sexual harassment or sexual violence and go through a formal process. Complainant Support Services assists both staff and faculty in navigating the personal and professional impacts of experiencing alleged misconduct as well as help them understand their rights and resources.

UCI additionally offers confidential support for students through the [UCI Counseling Center](#), for employees through an [Employee Assistance Program](#) and the [Faculty & Staff Support Services Office](#), which provides consultative services and support to employees. The Graduate Division has counselors accessible to all graduate students and the School of Medicine also provides this resource.

Although the current practices ensure multiple paths to reporting and accessing care when incidents occur, task force members recommended that UCI increase capacity of the CARE office to provide for additional confidential advocates who can provide trauma-informed care to complainants and who can educate the broader campus about best practices.

### **Diffuse the Hierarchical Relationships between Trainees and Faculty**

UCI, like many institutions of higher education, faces challenges in combating situations of power disparity in academia, where graduate students or non-tenured faculty may be particularly vulnerable to incidents of sexual harassment.

NASEM recommends that academic institutions consider power-diffusion mechanisms (i.e. mentoring networks or committee-based advising and departmental funding rather than funding only from individual principal investigators) to reduce the risk of sexual harassment. To this end, task force members discussed how current graduate student advising practices may complicate or unintentionally create risks for situations of sexual violence or sexual harassment.

Task force members recognized the great difficulty for graduate students to come forward to report a faculty member, particularly one involved in advising them, funding them, or participating on their committees, due to the nature of their relationships and dependency on sponsors and mentees for financial support, academic support, and future job opportunities. There was acknowledgment about and recommendations for increased trauma-informed responses at the department level to avoid disrupting studies and professional opportunities for students experiencing or reporting sexual harassment. While it would be ideal for more programs to pilot a triad-mentorship structure for graduate students, there also needs to be awareness about balancing any advisor-student difficulties and faculty advising workloads. As

an example of success, the task force highlighted the work of the [Department of Ecology and Evolutionary Biology](#) to create spaces for graduate students to have two advisors in their areas of specialty but not both on their committees, and to provide special departmental funding for advisees. Having a co-advisor or triad mentorship increases the support for a student and diffuses the power structure. The task force members suggested examining the current state of prevention training among graduate student mentees to keep them informed about resources. The group also recommended reviewing peer institution practices for diffusing power relationships between trainees and their advisors.

Other suggestions included to increase central fellowship funding, particularly for international students who are not eligible for many fellowships and are particularly at risk if they encounter a toxic advisor. Also, a suggestion was made to eliminate requirements for PhD students that may create untenable or biased study conditions for harassed students, such as examining greater flexibility for dissertation committee composition and greater flexibility for elective class requirements outside of home departments.

### **Enhance Transparency and Communication about Processes**

Members also discussed a need to enhance transparency and communication around processes, particularly related to findings about sexual harassment and sexual violence in the academy. The task force heard a presentation from Academic Personnel about the [Peer Review Committee](#) (PRC), which is utilized in the adjudication of faculty sexual harassment and sexual violence cases. Task force members noted that most university colleagues are unaware about the faculty framework process and the use of the PRC in adjudication. There is a concern that Respondent faculty members who are found in violation of sexual harassment and sexual violence policies can remain in the community and no one will know. It was important to learn more about this troubling perception. OEOD and Academic Personnel had a follow up discussion on how to increase communication about the faculty adjudication process and transparency around decisions if faculty are dismissed because of a policy violation finding. The process emphasizes keeping the community safe while balancing any privacy-related issues. OEOD and Academic Personnel have committed to erring on the side of safety for the larger community, rather than the privacy of one individual, and will continue to look for ways to share information about the process and decisions, including communicating this information in annual reports.

Further, in an effort to study the University's policies on sexual harassment over time, the task force recommended creating an archive of the versions of UC and UCI policies and guidelines on sexual harassment and adjudication procedures through the [UCI Special Collections and Archives](#) for research and educational purposes. In addition, members suggested supplementing the policies with legal documents that may have caused changes in policy, such as publicly available federal guidance, state law, and prominent court decisions.

## **Measuring Progress**

*Taskforce members identified a need to expand opportunities to measure and the metrics*

*used to examine institutional progress the areas recommended by NASEM. They recommend:*

- (1) Administering more refined climate studies that measure the nuances of UCI climate and experiences related to sexual harassment*
- (2) Reporting publicly about year-by-year incidents, prevention efforts, climate issues, and actions informed by these results.*

In measuring progress, NASEM made many recommendations, including that institutions should work with researchers to evaluate and assess efforts to create a more diverse, inclusive, and respectful environment, and to create effective policies, procedures, and training programs. NASEM also stated that when studying sexual harassment, institutions should follow valid methodologies and consult subject-matter experts. Further, academic institutions should conduct more wide-ranging assessments in addition to campus climate surveys, for example, ethnography, focus groups, and exit interviews. Institutions should consider the particular experiences of people of color and sexual- and gender-minority people, and use methods that disaggregate data by race, ethnicity, sexual orientation, and gender identity to reveal different experiences across populations. Finally, NASEM recommended that results of climate surveys should be shared publicly to encourage transparency and accountability and demonstrate that the institution takes the issue seriously.

OEOD's annual reports showed year-by-year summary about sexual harassment and sexual violence reports, how many are resolved informally versus formally, and the final resolution. UC climate surveys show a breakdown of some climate data by location. Further, OIE conducted a [2020 UCI Climate Survey](#), with aggregated responses shared through public and leadership dashboards. Departments and schools also utilize anonymous evaluations of faculty and any comments found in such evaluations are forwarded to OEOD for evaluation and response.

Task force members recommended that UCI use regular campus climate surveys, focus groups, and exit interviews to better understand potential harassment threats and the experiences of UCI members. Results of surveys should be publicized. Task force members recommended the creation of a group of diverse and knowledgeable campus partners to develop questions for the climate survey that would be more likely to help detect climate concerns. Some members believed that current climate surveys do not ask the right questions, but they await reviewing results from future administrations. There also was a suggestion to include minutes or agendas from campus climate meetings and subcommittee sessions on public websites to increase transparency about various aspects of campus climate.

## **Conclusions**

The task force recommendations position UCI proactively (1) to move beyond legal compliance, (2) to strengthen support resources and diffuse dependent advising relationships that increase the risk for incidents, and (3) to examine progress on prevention efforts through more robust measurement. Task force members believe that actions stemming from these recommendations will develop a culture of trauma-informed practice that benefits all members of the UCI community and prevents and responds appropriately to sexual violence and sexual harassment.

## **Appendix 1 – Task Force Charge**

*The UCI NASEM Recommendations Task Force is convened to review the NASEM recommendations related to preventing and responding to gender harassment and sexual harassment in academic institutions and enhance the existing efforts at UCI. Members should focus attention on key areas identified by Co-chairs, Tierney Anderson and Marguerite Bonous-Hammarth, with the goal of developing leading-edge practices that positively impact graduate students and junior faculty. The final report of this task force will include an inventory of UCI's current efforts and commentary and recommendations on areas of growth with the potential for application across the entire enterprise of UCI. This report will be delivered to Chancellor Howard Gillman by fall 2020.*

## Appendix 2 – Inventory of NASEM Recommendations to Prevent Sexual Harassment and Sexual Violence at UCI



### UCI PRELIMINARY INVENTORY

Below are the ten NASEM recommendations that are relevant to academic institutions. Each recommendation is followed by comments from a preliminary inventory conducted by representatives from the Office of Equal Opportunity & Diversity (OEOD) and the Office of Inclusive Excellence (OIE).

#### *NASEM RECOMMENDATION 1: Create diverse, inclusive, and respectful environments.*

*NASEM Sub-recommendation: Academic institutions and their leaders should take explicit steps to achieve greater gender and racial equity in hiring and promotions, and thus improve the representation of women at every level.*

- OEOD provides support and assistance to departments in adhering to diversity, nondiscrimination, and affirmative action guidelines during the faculty and staff recruitment process. OEOD also tracks retention of employees and conducts organizational analysis for departments
- Establishment of central Office of Inclusive Excellence to advance inclusive excellence through accountability, education and training, responsive research, and strategic partnerships

*NASEM Sub-recommendation: Academic institutions and their leaders should take steps to foster greater cooperation, respectful work behavior, and professionalism at the faculty, staff, and student / trainee levels, and should evaluate faculty and staff on these criteria in hiring and promotion.*

- OIE's ADVANCE program for equity & diversity promotes positive climate through evidence-based practices and accountability
- Academic Personnel's clause for consideration of non-collegiality in the review process of merit and promotion
- Academic Personnel's development of background checks for incoming faculty at all levels (modeled off of UC Davis, but expanded to include all faculty hires)

*NASEM Sub-recommendation: Academic institutions should combine anti-harassment efforts with civic-promotion programs.*

*NASEM Sub-recommendation: Academic institutions should cater their training to specific populations (in academia this should include students / trainees, staff, faculty, and those in leadership) and follow best practices in designing training programs. Training should be viewed as the means of providing the skills needed by all members of the academic community, each of whom has a role to play in building a positive organizational climate focused on safety and respect, and not simply as a method of ensuring compliance with laws.*

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- OIE’s Confronting Extremism public forms
- The OIE Institute for Equity, Diversity, and Inclusion; Academy for Inclusive Excellence, and Inclusive Excellence Forums provide informative speakers and trainings related to preventing implicit bias, and action planning for inclusive excellence
- OEOD’s trainings on anti-discrimination, sexual harassment prevention, and subject area specific trainings, such as responding to microaggressions, for students, staff, and faculty
- OEOD and CARE joint trainings on sexual violence awareness, prevention, response, including bystander intervention

*NASEM Sub-recommendation: Academic institutions should use training approaches that develop skills among participants to interrupt and intervene when inappropriate behavior occurs. These training programs should be evaluated to determine whether they are effective and what aspects of the training are most important to changing culture.*

- OEOD and CARE joint trainings on sexual harassment and sexual violence awareness, prevention, and response, including bystander intervention
- OEOD’s trainings on anti-discrimination, sexual harassment prevention, and subject area specific trainings, such as responding to microaggressions, for students, staff, and faculty
- CARE’s Green Dot program on bystander intervention

*NASEM Sub-recommendation: Anti-sexual harassment training programs should focus on changing behavior, not on changing beliefs. Programs should focus on clearly communicating behavioral expectations, specify consequences for failing to meet these expectations, and identify the mechanisms to be utilized when these expectations are not met. Training programs should not be based on the avoidance of legal liability.*

- OEOD offers online, in person, and live theatre trainings on sexual harassment to fulfill the mandatory requirement for all staff and faculty. Staff and faculty must take SVSH training every two years. Supervisors take an additional hour of training. OEOD also trains all student-staff and incoming graduate students.
- CARE’s Green Dot program
- OEOD and CARE joint trainings on sexual violence awareness, prevention, response, including bystander intervention

***NASEM RECOMMENDATION 2: Address the most common form of sexual harassment: gender harassment.***

*NASEM Sub-recommendation: Leaders in academic institutions and research and training sites should pay increased attention to and enact policies that cover gender harassment as a means of addressing the most common form of sexual harassment and of preventing other types of sexually harassing behavior.*

- Both UC and UCI have strong policies on nondiscrimination and sexual harassment/sexual violence and established procedures for reporting and responding to reports of gender based harassment and sexual harassment, including the following policies:

- [UCI Guidelines on Sexual Violence and Sexual Harassment](#)
  - [UCI Guidelines on Discrimination and Harassment](#)
  - [UCI Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework](#)
  - [UCI Sexual Violence and Sexual Harassment Staff and Faculty Adjudication Frameworks](#)
  - [UC Sexual Violence Sexual Harassment Policy](#)
  - [UC Policy on Discrimination, Harassment, and Affirmative Action in the Workplace](#)
  - [UC Nondiscrimination Policy Statement Regarding Student-Related Matters](#)
  - [UC Guidelines Applying to Nondiscrimination on the Basis of Disability Regarding Student Related Matters](#)
  - [UC PACAOS Appendix E: Sexual Violence and Sexual Harassment Student Adjudication Framework](#)
  - [UC Systemwide Investigation and Adjudication Model for Senate and Non-Senate Faculty](#)
  - [UC Systemwide Investigation and Adjudication Model for Staff and Non-Faculty Academic Personnel](#)
  - [Faculty Code of Conduct APM Section 015](#)
  - [General University Policy Regarding Academic Appointment, Affirmative Action and Nondiscrimination Policy](#)
- UCI also has a policy unique to our campus on conflicts of interest created by consensual relationships which addresses types of consensual relationships which may be inappropriate because of power dynamics or supervisory oversight and which may lead to issues of sexual harassment:
    - [UCI Policy on Conflicts of Interest Created by Consensual Relationships](#)

***NASEM RECOMMENDATION 3: Move beyond legal compliance to address culture and climate.***

*NASEM Sub-recommendation: Academic institutions, research and training sites, and federal agencies should move beyond interventions or policies that represent basic legal compliance and that rely solely on formal reports made by targets [Complainants]. Sexual harassment needs to be addressed as a significant culture and climate issue that requires institutional leaders to engage with and listen to students and other campus community members.*

- UCI has a climate reporting system for reporting incidents of bias
- Climate Council made up of diverse campus partners
- Information provided to pertinent UCI ADVANCE program contacts
- Culture and climate are addressed in equity advisor and DECADE mentor presentations to all search committees
- Equity councils are established in some academic units
- Unit equity reviews are undertaken by academic units and OIE
- UCI Climate Survey was launched in January 2020
- CARE’s violence prevention coordinators provide unique training programming

- CARE’s special programming (Right to KNOW, CHAMPS, VIP Program, International Dots) for various student populations
- OEOD trainings and presentations (not including the mandatory trainings; see annual report for additional presentations and trainings per year)
- Multiple Coordinated Community Review Team (CCR) meetings and programming per academic year. CCR is responsible for a campus collaborative approach to preventing and addressing sexual violence and serves in an advisory capacity to campus leadership and community members about best practices in policies, education, prevention and response to sexual violence
- Weekly meetings by 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

***NASEM RECOMMENDATION 4: Improve transparency and accountability.***

*NASEM Sub-recommendation: Academic institutions need to develop and readily share clear, accessible, and consistent policies on sexual harassment and standards of behavior. They should include a range of clearly stated, appropriate, and escalating disciplinary consequences for perpetrators found to have violated sexual harassment policy and / or law. The disciplinary actions taken should correspond to the severity and frequency of the harassment. The disciplinary actions should not be something that is often considered a benefit for faculty, such as a reduction in teaching load or time away from campus service responsibilities. Decisions regarding disciplinary actions, if indicated or required, should be made in a fair and timely way following an investigative process that is fair to all sides?*

- UC and UCI have strong policies and adjudication procedures. UC Policy requires that OEOD track complaint outcome and response, including discipline, and provide this information to Complainants (targets)
  - [UCI Guidelines on Sexual Violence and Sexual Harassment](#)
  - [UCI Guidelines on Discrimination and Harassment](#)
  - [UCI Sexual Violence and Sexual Harassment Student Investigation and Adjudication Framework](#)
  - [UCI Sexual Violence and Sexual Harassment Staff and Faculty Adjudication Frameworks](#)
  - [UC Sexual Violence Sexual Harassment Policy](#)
  - [UC PACAOS Appendix E: Sexual Violence and Sexual Harassment Student Adjudication Framework](#)
  - [UC Systemwide Investigation and Adjudication Model for Senate and Non-Senate Faculty](#)
  - [UC Systemwide Investigation and Adjudication Model for Staff and Non-Faculty Academic Personnel](#)
  -
- For faculty matters, under the above adjudication procedures, Academic Personnel utilizes the Peer Review Committee (PRC) for consistency in adjudication decisions
- UC policies are communicated via annual message form the Chancellor
- Staff and Faculty take mandatory training on the policies



- Policies are posted on OEOD’s website and UCI Policies and Procedures website
- OEOD complaint and response data in its annual reports
- The CMT for the campus and Incident Response Team (IRT) at UCIMC ensure consistency with response to reports

*NASEM Sub-recommendation: Academic institutions should be as transparent as possible about how they are handling reports of sexual harassment. This requires balancing issues of confidentiality with issues of transparency. Annual reports, that provide information on (1) how many and what type of policy violations have been reported (both informally and formally), (2) how many reports are currently under investigation, and (3) how many have been adjudicated, along with general descriptions of any disciplinary actions taken, should be shared with the entire academic community: students, trainees, faculty, administrators, staff, alumni, and funders. At the very least, the results of the investigation and any disciplinary action should be shared with the target (s) [Complainants] and / or the person (s) who reported the behavior.*

- OEOD publishes an annual report found on their website about types of reports and how they are handled
- OEOD also provides information in the Cleary ASR report annually which is accessible on UCIPD’s website
- The UCI guidelines for how to make a report of sexual harassment and how UCI handles such reports are published on the OEOD website, UCI policies website, and UCI sex offense information website, including information on individuals rights and options, and sent out via email annually to all students, staff, and faculty by the Chancellor
- The UC Policy designates the IRT, CMT, and CCR groups as responsible for ensuring a trauma informed campus/medical center wide consistent response to reports; UCI has well established groups.
- Per UC Policy, OEOD and the responsible adjudicator (OAISC, AP, or HR) provides timely notice to Complainants of outcomes of cases including adjudication information
- OEOD generates organizational analysis for units and departments

*NASEM Sub-recommendation: Academic institutions should be accountable for the climate within their organization. In particular, they should use climate surveys to further investigate and address systemic sexual harassment, particularly when surveys indicate specific schools or facilities have high rates of harassment or chronically fail to reduce rates of sexual harassment.*

- UCI Climate Survey instituted in January 2020
- SPOP surveys new undergraduates
- Departments and Schools utilize anonymous evaluations of faculty; any comments found in such evaluations are forwarded to OEOD for evaluation and response
- Campus climate reporting system exists
- OEOD anonymous hotline and also online reporting exists

*NASEM Sub-recommendation: Academic institutions should consider sexual harassment equally important as research misconduct in terms of its effect on the integrity of research. They should increase collaboration among offices that oversee the integrity of research (i.e., those that cover ethics, research misconduct, diversity, and harassment issues); centralize resources,*

*information, and expertise; provide more resources for handling complaints and working with targets; and implement sanctions on researchers found guilty of sexual harassment.*

- When OEOD receives a report involving a faculty member, OEOD, Office of Research, and AP conduct checks to see what outside funding/grants exist in order to ensure compliance with reporting obligations to funding and federal agencies. These three offices regularly communicate to ensure UCI is compliant related to grant funding reporting and sexual violence or sexual harassment concerns
- OEOD works with AP or HR to assess and implement appropriate and reasonable interim measures for the workplace or academic spaces when an investigation is being conducted

***NASEM RECOMMENDATION 5: Diffuse the hierarchical and dependent relationship between trainees and faculty.***

*NASEM Sub-recommendation: Academic institutions should consider power-diffusion mechanisms (i.e. mentoring networks or committee-based advising and departmental funding rather than funding only from a principal investigator) to reduce the risk of sexual harassment.*

- DECADE Mentors, Graduate Division, and deans in various discussions relevant to graduate student support

***NASEM RECOMMENDATION 6: Provide support for the target [Complainant].***

*NASEM Sub-recommendation: Academic institutions should convey that reporting sexual harassment is an honorable and courageous action. Regardless of a target filing a formal report, academic institutions should provide means of accessing support services (social services, health care, legal, career / professional). They should provide alternative and less formal means of recording information about the experience and reporting the experience if the target is not comfortable filing a formal report. Academic institutions should develop approaches to prevent the target from experiencing or fearing retaliation in academic settings.*

- OEOD has options for resolving reports through informal resolution, alternative resolution, or formal administrative investigation. Regardless of whether a Complainant (target) files a formal complaint, OEOD provides support through remedial measures such as academic, workplace, or housing accommodations. During an investigation, OEOD works with a Complainant to understand and implement reasonable interim measures for their academic or work space.
- UCI has a strong anti-retaliation policy
- CARE Advocates serve all students, staff, and faculty complainants on campus and at the medical center with issues related to sexual harassment and sexual violence, and they can accompany complainants throughout the investigation and adjudication process.
- In Fall 2019, AP created the position of the Office of Complainant Support Services which provides support for all faculty and staff who have or may desire to bring forth complaints of alleged conduct that violates the UC Policy on Sexual Violence and Sexual

Harassment. Complainant Support Services assists faculty and staff in navigating the personal and professional impacts of experiencing alleged misconduct, as well as help them understand their rights and the reporting process.

- UCI offers Faculty & Staff Support Services provides consultative services and support to resolve behavioral health issues, serves as a primary crisis intervention resource to facilitate and coordinate appropriate resources, provides time-limited case management for individual employees, and develops and implements instructional training and materials to assist in the promotion of mental well-being for all faculty and staff. Support is offered for a wide range of issues including: work related stress.
- Grad division also has counselor/social workers for graduate students.

***NASEM RECOMMENDATION 7: Strive for strong and diverse leadership.***

*NASEM Sub-recommendation: College and university presidents, provosts, deans, department chairs, and program directors must make the reduction and prevention of sexual harassment an explicit goal of their tenure. They should publicly state that the reduction and prevention of sexual harassment will be among their highest priorities, and they should engage students, faculty, and staff (and, where appropriate, the local community) in their efforts.*

- Annually the Chancellor emails a statement regarding sexual violence prevention and response
- President Napolitano has taken many steps including revising policies and procedures, creating taskforces of students, staff, and faculty, and implementing guidance related to sexual violence and sexual harassment
- UCI created the sex offense information website to centralize one place for all information on rights, options, and resources
- UCI's Title IX Office and Officer are highly situated with dual reporting relationship to Chancellor and Systemwide Title IX Officer to maintain both neutrality and independence
- Sexual violence and sexual harassment reports against faculty and other high level administrators are provided to the UC Title IX Officer and discipline for high level administrators must be reviewed and approved by a systemwide committee
- Associate Chancellor Quanbeck and Vice Chancellor Haynes created this taskforce to study the NASEM report

*NASEM Sub-recommendation: Academic institutions should support and facility leaders at every level (university, school / college, department, lab) in developing skills leadership, conflict resolution, mediation, negotiation, and de-escalation, and should ensure a clear understanding of policies and procedures for handling sexual harassment issues, additionally, these skills development programs should be customized to each level of leadership.*

- UCI provides mandatory sexual harassment training for managers/supervisors/student staff leaders/ nonsupervisory staff which focuses on policies and procedures for handling sexual harassment issues and bystander intervention
- There are opportunities for staff and faculty to join specific training programs such as the OIE institute and Ombudsman's mediation program

- Counseling and Faculty and Staff support services offers de-escalation trainings
- OEOD regularly consults with academic and staff leaders, faculty staff and students regarding questions, concerns, and complaint resolution for all discrimination and sexual harassment issues

*NASEM Sub-recommendation: Leadership training programs for those in academia should include training on how to recognize and handle sexual harassment issues, and how to take explicit steps to create a culture and climate to reduce and prevent sexual harassment-and not just protect the institution against liability.*

- Workshops for Equity advisors, DECADE mentors, student staff (RAs/HAs, student leaders and groups), staff and faculty provided by OEOD and CARE on how to handle and response to reports of sexual harassment
- OEOD re-development of the Sexual Harassment Advisor program

***NASEM RECOMMENDATION 8: Measure progress.***

*NASEM Sub-recommendation: Academic institutions should work with researchers to evaluate and assess their efforts to create a more diverse, inclusive, and respectful environment, and to create effective policies, procedures, and training programs. They should not rely on formal reports by targets [Complainants] for an understanding of sexual harassment on their campuses.*

*NASEM Sub-recommendation: When organizations study sexual harassment, they should follow the valid methodologies established by social science research on sexual harassment and should consult subject-matter experts. Surveys that attempt to ascertain the prevalence and types of harassment experienced individuals should adopt the following practices: ensure confidentiality, use validated behavioral instruments such as the Sexual Experiences Questionnaire, and avoid specifically using the term "sexual harassment" in any survey or questionnaire*

- Adopted question on UCI Climate Survey from Diverse Learning Environments validated instrument and other relevant research
- UCUES survey question adapted from five dimensions of personal and social responsibility

*NASEM Sub-recommendation: Academic institutions should also conduct more wide-ranging assessments using measures in addition to campus climate surveys, for example, ethnography, focus groups, and exit interviews. These methods are especially important in smaller organizational units where surveys, which require more participants to yield meaningful data, might not be useful.*

*NASEM Sub-recommendation: Organizations studying sexual harassment in their environments should take into consideration the particular experiences of people of color and sexual- and gender-minority people, and they should use methods that allow them to disaggregate their data by race, ethnicity, sexual organization, and gender identity to reveal the different experiences across populations.*

*NASEM Sub-recommendation: The results of climate surveys should be shared publicly to encourage transparency and accountability and to demonstrate to the campus community that the institution takes the issue seriously. One option would be for academic institutions to collaborate in developing a central repository for reporting their climate data, which could also improve the ability for research to be conducted on the effectiveness of institutional approaches.*

- Findings from 2020 climate survey will be shared via web

***NASEM RECOMMENDATION 9: Incentivize change.***

*NASEM Sub-recommendation: Academic institutions should work to apply for awards from the emergency STEM Equity Achievement (SEA Change) program. Federal agencies and private foundations should encourage and support academic institutions working to achieve SEA Change awards.*

- Application in progress

*NASEM Sub-recommendation: Accreditation bodies should consider efforts to create diverse, inclusive, and respectful environments when evaluating institutions or departments.*

- WSCUC accreditation now requires consideration of inclusive learning

*NASEM Sub-recommendation: Federal agencies should incentivize efforts to reduce sexual harassment in academia by requiring evaluations of the research environment, fund research and evaluation of training for students and faculty (including bystander intervention), supporting the development and evaluation of leadership training for faculty, and funding research on effective policies and procedures.*

- OEOD, Office of Research, and AP coordinate to comply with federal agency reporting obligations

***NASEM RECOMMENDATION 15: Make the entire academic community responsible for reducing and preventing sexual harassment.***

*NASEM Sub-recommendation: All members of our nation's college campuses-students, trainees, faculty, staff, and administrators-as well as members of research and training sites should assume responsibility for promoting civil and respectful education, training, and work environments, and stepping up and confronting those whose behaviors and actions create sexually harassing environments.*

- Leadership communications from Chancellor confirm tenets that UCI members share responsibility to promote inclusive and non-harassing environments
- OEOD provides training opportunities and ensures all units are complying with mandatory training for staff and faculty and graduate students

- All employees are designated **Responsible Employees** under the policy which ensures that whenever the University is ‘on notice’ of a report, UCI handles it promptly, reasonably, and consistently
- UCI has anonymous and online portals to encourage reporting
- UCI has multiple confidential resources including CARE, Counseling Center, Faculty and Staff Support Services, and Ombudsman, to explore reporting options and resources

### Appendix 3 – Summary of Recommendations



#### National Academies of Science, Engineering and Medicine (NASEM) Task Force Recommendations for Discussion

KEY PRIORITY	RECOMMENDATIONS	TASKED TO
<b>Recommendation 1 - create diverse and inclusive environments</b>		
	Examine the gender status of senior management group and academic leadership relative to availability at UCI.	Office of Inclusive Excellence
	Improve leadership critical mass by gender and race/ethnicity to reduce risk situations for harassment through opportunities that include the Provost’s Leadership Academy.	Office of the Provost
<b>Recommendation 3 - move beyond legal compliance to address culture and climate</b>		
	Create annual travel funding to distribute to selected centers (Lesbian Gay Bisexual Transgender Resource Center, UCI Womxn’s Hub, etc.) to facilitate lobbying associated with sexual harassment/sexual violence prevention efforts.	Community & Government Relations
	Develop standing work group to identify the state of training efforts and to review nuanced practices/impacts related to prevention efforts, particularly affecting women and trans people in science, engineering, and medicine. Monitor how recommendations of this task force impact UCI prevention efforts.	Office of Inclusive Excellence

KEY PRIORITY	RECOMMENDATIONS	TASKED TO
	Reduce program time commitment to broaden involvement in bystander training for faculty.	CARE
	Expand Green Dot programming to graduate students. Increase support to expand bystander training opportunities, particularly for undergraduates, professional/graduate student, faculty and staff in STEM. Report on the impacts of expanded efforts.	CARE
	Identify options and implement a training module for CITI participants, including basic information about how to access help, and reporting and support services options if incidents are encountered in lab and/or research settings; track % of UCI completers.	Research
	Partner with Affinity groups (i.e., UCI Staff Assembly) to offer bystander trainings and/or information sessions on harassment prevention via major programming.	UCI Staff Assembly Education Enrichment Group and OEOD
<b>Recommendation 4 - Improve transparency /accountability</b>		
	Enhance transparency regarding communications about findings/communicating resolutions to complainants; report improvements.	OEOD and Academic Personnel
	Create historical archives of sexual harassment policies to inform evolving policies and potential impacts to proposed policy changes.	OEOD



KEY PRIORITY	RECOMMENDATIONS	TASKED TO
<p><b>Recommendation 5 - Diffuse the hierarchical relationships between trainees and faculty</b></p>		
	<p>Increase fellowship funding to be administered via department, departmental group and/or unit to in STEM and non-STEM - particularly for International students</p>	<p>Graduate Division/Graduate Council</p>
	<p>Demonstrate that proactive measures are taken to support student complainants through to academic degree completion, including, engaging UCI CARE Title IX/OEOD to help secure any accommodations and supportive measures such as to make alternate arrangements for course completion and/or faculty dissertation committee appointments.</p> <p>Additionally, review home department policies to limit opportunities for harassment such as more flexibility with dissertation committees and models of mentorship. Request suggestions and action items from relevant areas (i.e., Vice Provost for the Graduate Division, Graduate Council, Vice Dean of the School of Medicine Medical Education, etc.,) re: how those units are exploring this consideration related graduate student/professional student needs.</p>	<p>OEOD/CARE</p> <p>Graduate Division/Graduate Council/relevant Medical and Health Education</p>
<p><b>Recommendation 6 - Provide support for target</b></p>		
	<p>Increase the number of advocates and support services to align with best practices for trauma care and increase student, staff, and faculty support</p>	<p>Division of Student Affairs, Human Resources, and Academic Personnel</p>

KEY PRIORITY	RECOMMENDATIONS	TASKED TO
	<p>Develop more effective advocate networks</p> <p><i>*This recommendation is ongoing work of the CARE office</i></p>	CARE
	<p>Clarify retaliation definition and what actions are taken to respond to retaliation</p> <p><i>*This recommendation was completed in the last revision to the UC Sexual Violence and Sexual Harassment Policy and updates to the UCI Guidelines on Sexual Violence and Sexual Harassment</i></p>	OEOD
	<p>Research feasibility and implement alternate avenues for sexual harassment reporting (e.g., smart phone apps)</p> <p><i>*This recommendation has been discussed and determined at a Systemwide Title IX Office (STIXO) level. OEOD and CARE will follow direction of STIXO on this topic.</i></p>	OEOD and CARE
	<p>Clarify how UCI will support complainants legally</p> <p><i>*This recommendation is included in CARE’s ongoing work</i></p>	CARE
<p><b>Recommendation 7 - Strive for strong and diverse leadership (incorporated recommendations under Recommendation 1)</b></p>		
	<p>Expand the SHA program in OEOD to increase representatives in all departments and schools who can serve as “champions” and knowledgeable resource for students, staff, and faculty; trained with skills</p>	OEOD

KEY PRIORITY	RECOMMENDATIONS	TASKED TO
<b>Recommendation 8 - Measure progress</b>		
	Create robust aggregated data sources, track year-to-year trends related to safe climate perceptions and perceived harassment issues, and identify data-informed areas for improving metrics, instruments, and public reporting about the use of results through work groups	Office of Inclusive Excellence