

UCR Compliance & Civil Rights

ANNUAL REPORT 2022-2023

UNIVERSITY OF CALIFORNIA, RIVERSIDE
CHIEF COMPLIANCE OFFICE

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Message from UCR's Chief Compliance Officer

One of the many strengths of the University of California is its commitment to compliance and ethics. The Board of Regents formally [adopted](#) a systemwide ethics and compliance program and provides oversight through the Compliance and Audit Committee. Under this program, primary management responsibility for campus ethics and compliance activities are delegated by the Chancellor to the campus chief compliance officer.

An effective ethics and compliance program is the foundational framework for a culture of integrity, in which the [University's ethical values and standards](#) are interwoven with all that we do.

At UCR, the Chief Compliance Office coordinates ethics and compliance activities for the campus and has direct responsibility for the campus policy and privacy programs, compliance risk assessments, auditing and monitoring, Clery Act oversight, whistleblower complaints, civil rights compliance (such as Title IX, Title VI, Title VII, ADA), and other programs and activities described in this report.

This second annual report highlights the activities of UCR's Chief Compliance Office, including data regarding investigations and other complaint resolution activities. This report also highlights significant compliance-related changes and events during the 2022-23 academic year.

UC Riverside is a unique, diverse campus community united by a shared interest in learning. We also share a commitment to integrity and ethical conduct—a commitment to doing the right thing. This commitment makes my job of promoting ethics and compliance both easier and more rewarding. I am thankful to be part of the UCR community.



Kiersten Boyce, CCEP, CHRC
Chief Compliance Officer and Locally Designated Official

We are committed to:

Integrity

We will conduct ourselves with integrity in our dealings with and on behalf of the University.

Excellence

We will conscientiously strive for excellence in our work.

Accountability

We will be accountable as individuals and as members of this community for our ethical conduct and for compliance with applicable laws and University policies and directives.

Respect

We will respect the rights and dignity of others.

I. INTRODUCTION

UC Riverside's Chief Compliance Office (CCO) includes four dedicated teams of professional staff:



By sharing information about the work of these four teams, we seek to:

- ✓ Demystify complex systems
- ✓ Demonstrate transparency and accountability
- ✓ Continue to identify opportunities for improvement
- ✓ Create greater understanding of shared values and the role of all members of the community in creating a healthy, “speak-up” culture in which ethical conduct is encouraged.

New Name!

Shortly before this report was published, in Spring 2024, the University announced the creation of a new systemwide Office of Civil Rights and a new Anti-Discrimination Policy. UCR responded by changing the name of the Office of Title IX, Equal Opportunity & Affirmative Action to the *Office of Civil Rights*. This report uses this new name.

Notes about Data in this Report:

1. Fiscal Year: The University operates on a July 1-June 30th fiscal year, often abbreviated as “FY”. FY23 would be the twelve-month period beginning July 1, 2022 and ending June 30, 2023.
2. COVID and FY21: To help understand trends and changes, CCO practice is to present three years of data. This would be for FY21, FY22, and FY23. FY21 was a unique year with campus largely closed due to COVID (from March 2020-September 2021), which skewed the data. We have included the previous year (FY20) where available to present a clearer picture.

II. REPORTS AND INVESTIGATIONS

Overview

An important CCO function is receiving and responding to reports and complaints. The following figures provide high-level information about these reports and our response to them, including investigations. Later sections of this report provide a deeper dive into our Title IX and other civil rights work—preventing and responding to sexual violence, sexual harassment, and other forms of discrimination and harassment.

We receive many types of reports, inquiries, and complaints (“reports”), including:

- Whistleblower reports: reports of improper governmental activities (under the [UC Whistleblower Policy](#)) and complaints of retaliation under the [UC Whistleblower Protection Policy](#).
- Civil rights reports: complaints of discrimination or harassment based on a protected category, discriminatory retaliation, or Prohibited Conduct under the [UC Policy on Sexual Violence and Sexual Harassment \(SVSH Policy\)](#).
- Bias reports: reports of acts of hate, bias or intolerance. These reports are reviewed together with civil rights reports.
- Abusive Conduct complaints: report under UCR’s Anti-Bullying Policy or, beginning January 2023, the University’s Abusive Conduct Policy.

Figure 1: Reports Received in Last Four Years

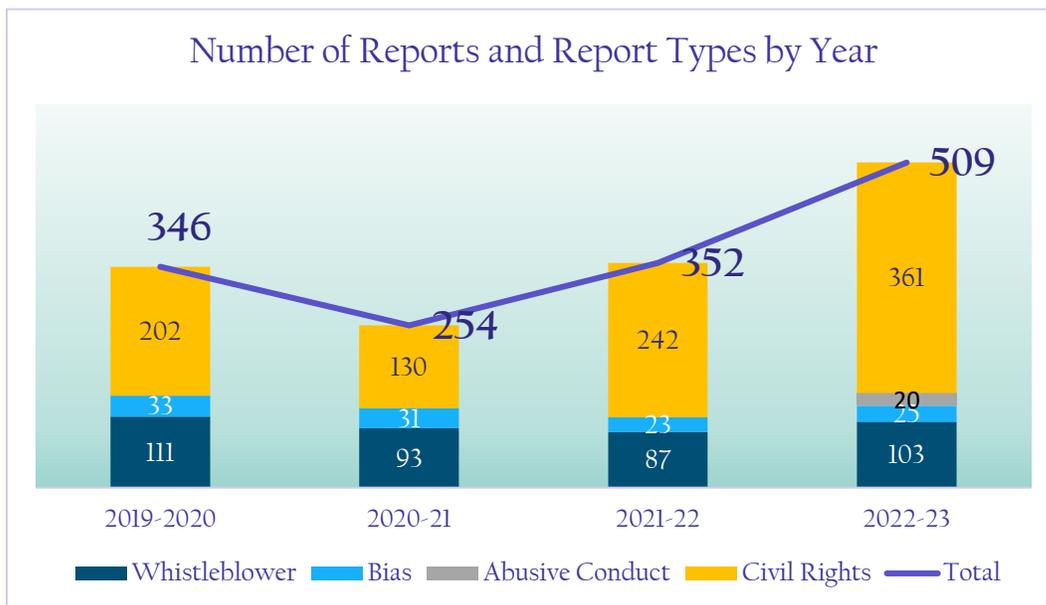


Figure 1 shows a significant (50%) increase in the volume of reports in the most recent year. This increase was driven by civil rights reports. Section B of this report provides more information about civil rights reports.

How are reports received?

Most reports are received through our two web-based reporting portals:

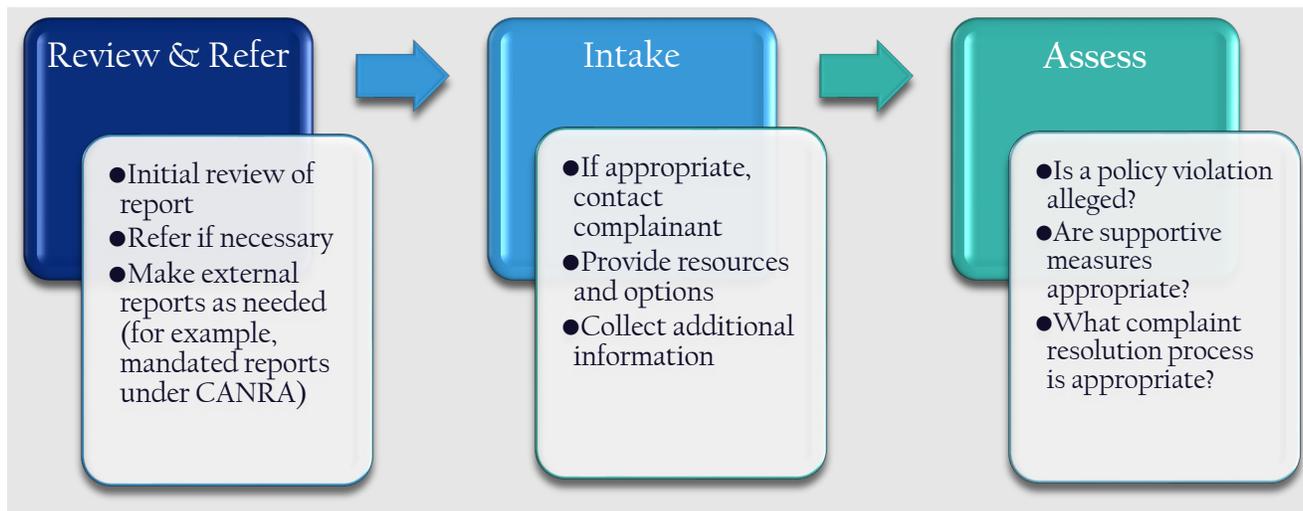
- ❖ [EthicsPoint](#) is a third-party managed hotline used throughout the entire University of California system that accepts all types of reports and complaints, particularly whistleblower. There is also an [EthicsPoint reporting portal for reports of intolerance or bias](#). Reports may be made anonymously, online, or by phone.
- ❖ Beginning in 2021, UCR's Office of Civil Rights (formerly, [Title IX & Equal Opportunity and Affirmative Action Office](#)) uses an online report and case management system, CaseIQ. CaseIQ also accepts all types of reports but is used primarily for Title IX (SVSH) and other civil rights reports.

We also receive reports by email (ldo@ucr.edu or titleix@ucr.edu), by phone, from walk-ins, and from referrals from campus partners such as Human Resources, Academic Personnel, UCPD, Residential Life, and Student Conduct and Academic Integrity Programs.

How do we respond to reports?

CCO reviews and assesses every report received. Most reports are assessed with campus partners, in a case management team or group as described on the following page.

Figure 2: Basic Intake and Assessment Process. While there are specific procedural requirements for certain types of reports, generally, the following steps are taken for each report:



Case Management at UCR

Case management teams bring together professional staff from across campus to review and assess reports and complaints. These groups facilitate information-sharing and collaboration, with the goal of better case outcomes.

The Investigations Group. The University of California’s whistleblower policies require that each campus have an investigations workgroup “to ensure coordination and proper reporting.” This group is advisory to the Locally Designated Official (LDO)—a position mandated by the Whistleblower Policy. At UCR and most other campuses, the CCO is the LDO. The group meets monthly, with additional meetings of sub-groups focused on particular types of cases.

- ❖ ***Who are they?*** The group includes representatives of units with “routine responsibility for certain types of investigations” such as UCPD, Risk Management, HR, APO, SOM Compliance, Student Affairs, the VPAR, and campus counsel. For a full list of members, visit [Investigations & Complaint Resolution | Compliance \(ucr.edu\)](#).
- ❖ ***What do they do?*** The group assists and advises the LDO by:
 - Reviewing new reports including to assess whether an investigation is warranted and whether any upward or external reports, particularly to UCOP, are required.
 - Monitoring formal investigations including for timeliness.
 - Reviewing metrics to assess the effectiveness of complaint resolution.

Case Management Teams. Case Management Teams help coordinate supportive services and advise on civil rights complaints. The teams monitor complaint resolution processes, including tracking deadlines for investigations and adjudications.

Incident Response Team. Created in FY22, this team is a vital part of the University’s efforts to prevent and respond to sexual misconduct occurring in the patient care context, such as at UCR Health or Student Health Services.

Case management groups help the Compliance Office decide the best method to resolve a report or concern. The complaint resolution methods available depend on (1) whether the conduct reported is, as alleged, a serious violation of policy (or an IGA), and (2) the identity of the parties, particularly the respondent. Investigations are the most formal form of resolution.

Figure 3: Number and Type of Formal Investigations Initiated

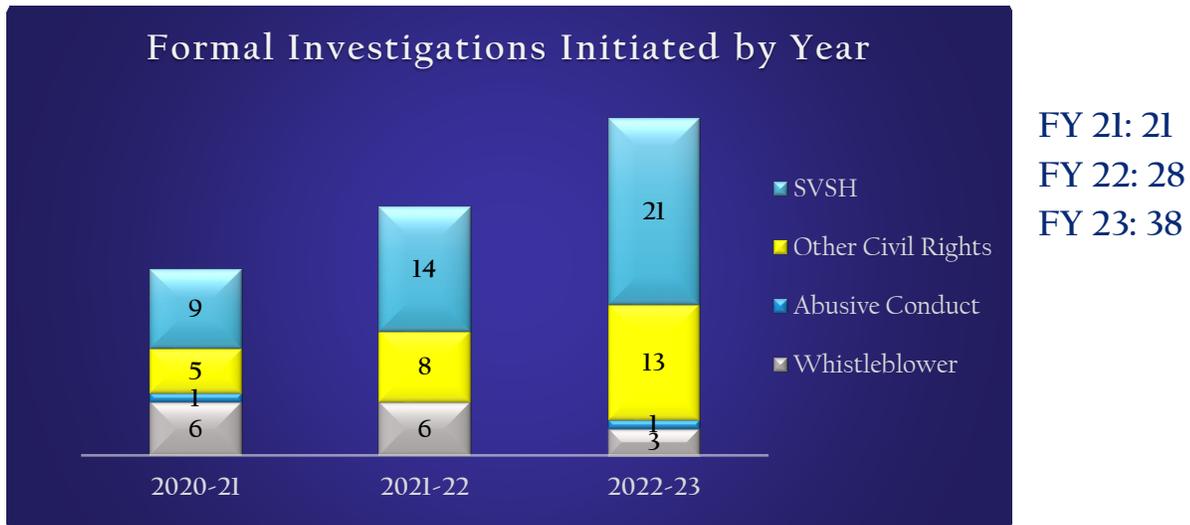


Figure 3 shows the number of investigations begun each year, with each year increasing by over 30% from the previous year. Investigations are categorized by the policy primarily at issue. Some investigations address multiple potential policy violations (for example, there may be whistleblower and discrimination concerns); for purposes of this figure, they are sorted by the policy issues most central to the investigation. Most investigations are initiated by UCR in response to reports received from members of the campus community.

Figure 4: How Many Investigations Substantiate Misconduct?

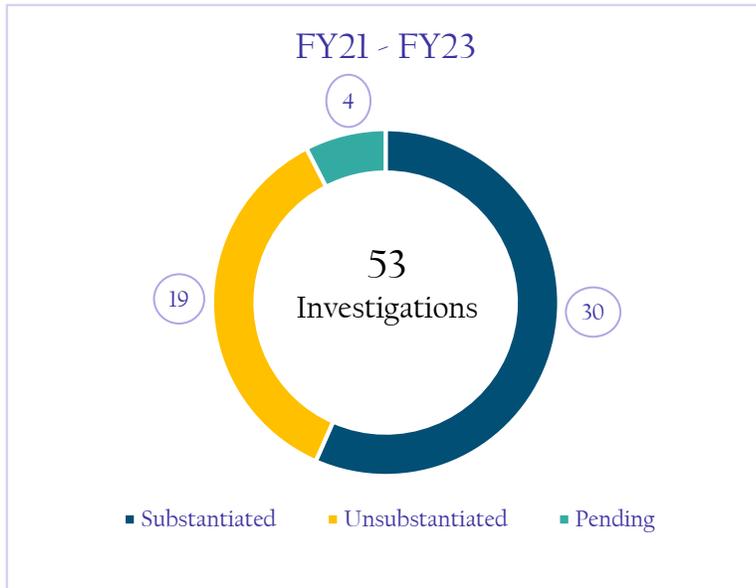


Figure 4 shows the number and percentage of formal investigations that made a finding of misconduct. A finding of misconduct is made when the preponderance of the evidence supports that a policy violation occurred. Some investigations look into multiple potential policy violations; if the investigation finds misconduct for one of the alleged policy violations, it will be reflected in this figure as “substantiated,” even if other allegations are not.

A. Whistleblower Reports and Investigations

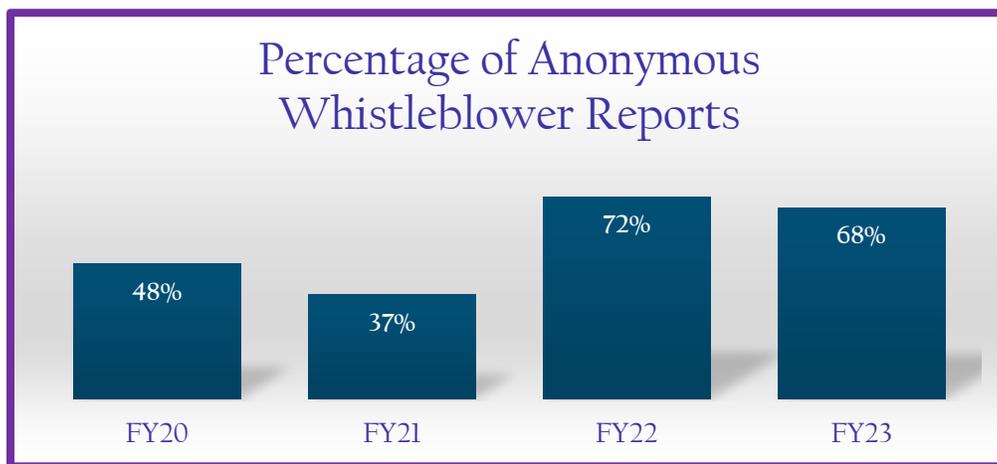
A required element of a compliance and ethics program is a mechanism for employees (and others) to report misconduct. As explained in UCR's [local implementing procedures for whistleblower reports](#):

The University of California, Riverside (UCR) is committed to operating in good faith, with integrity and accountability. When people report concerns (“blow the whistle”) it helps UCR fulfill this commitment, by alerting the campus to potential illegal or unethical acts so that they may be addressed.

The CCO serves as the campus LDO, or Locally Designated Official, a position with responsibilities under the UC whistleblower and whistleblower protection policies.

Whistleblower complaints are reports of suspected illegal or unethical activities by UCR employees or agents called “Improper Governmental Activities,” or IGAs. Whistleblower protection policy complaints are grievances by employees who believe they have experienced certain types of retaliation for whistleblower activities.

Figure 5: Anonymous Reporting



It is important to have mechanisms in place for anonymous reporting, including because this promotes a “speak up” culture and can mitigate concerns reporters may have about retaliation. That being the case, we have some concern about the increase in percentage of anonymous reports because that could reflect discomfort with reporting such as due to fear of retaliation. Other data discussed below in Section IV of this report suggests UCR employees have relative confidence that they are able to report wrongdoing without retaliation.

It is also important to note that for some reports initially made anonymously, the complainant/reporter later identifies themselves. These reports would still be classified as anonymous in Figure 5.

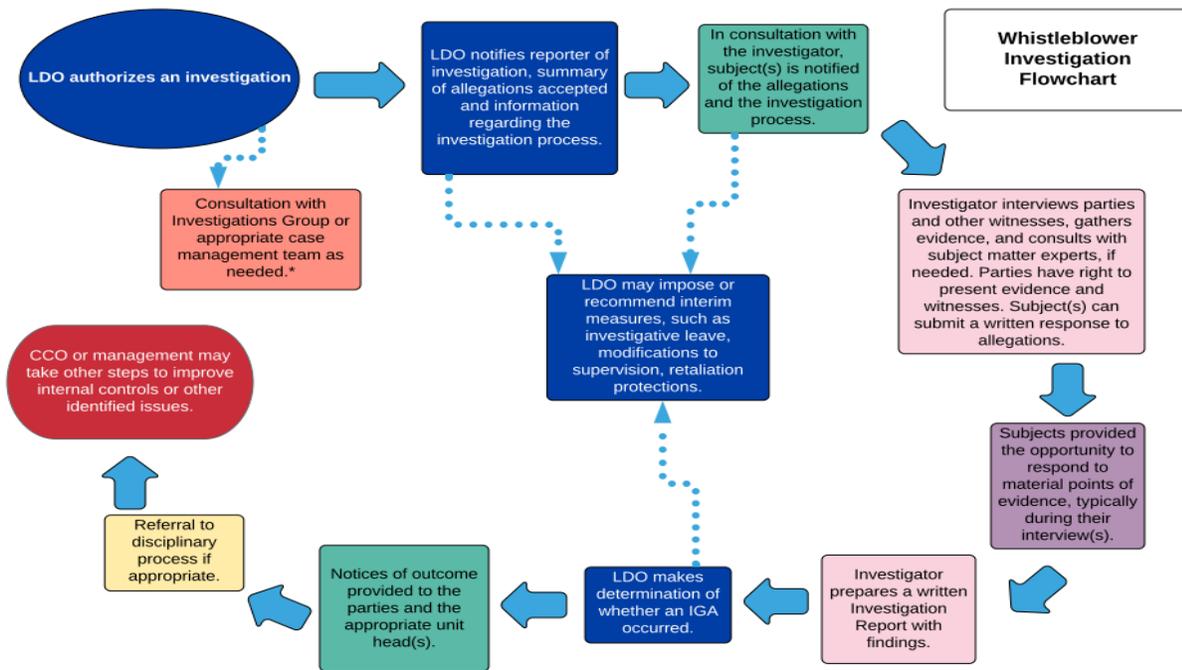
Figure 6: Types of Whistleblower Allegations Investigated in the Past Four Years



Figure 6 shows the types of allegations that were addressed through a formal investigation in the previous three academic years. A formal investigation involves notices of investigation issued to the parties, interviews and other evidence collection and review, and production of an investigation report, all following procedural steps designed to provide full due process to those involved.

Note that the retaliation category includes some complaints processed under the UC Whistleblower Protection Policy.

Figure 7: UCR Whistleblower Investigation Process



What Happens after a Whistleblower Investigation?

If misconduct has been substantiated and/or if there are findings warranting management attention, the matter is referred to the appropriate administrative office or process. This may result in disciplinary sanctions for employees found to have engaged in misconduct. Actions may also be taken to strengthen internal controls, to avoid recurrence of the misconduct, and to remedy the effects of the misconduct.

B. SVSH and Other Civil Rights Reports and Investigations

The Office of Civil Rights (OCR—formerly, the Office of Title IX, Equal Opportunity & Affirmative Action) is dedicated to protecting the civil rights of UCR’s faculty, students, and staff through:

- training and education and awareness programs promoting UC’s values and policies
- responding to complaints and grievances of discrimination, harassment and retaliation
- implementing UC and campus non-discrimination policies including the UC Policy on Sexual Violence and Sexual Harassment (SVSH)
- overseeing compliance with laws and regulations relating to discrimination and harassment
- ensuring that UCR protects the rights of those with disabilities including under the Americans with Disabilities Act and Section 504 of the Rehabilitation Act
- coordinating campus affirmative action programs and producing affirmative action plans.

This section of the annual report presents information about OCR’s response to reports of protected category discrimination, harassment, and Prohibited Conduct under the SVSH Policy. As illustrated in *Figure 8*, below, sexual violence is a particularly severe form of sexual harassment, which is a form of discrimination.

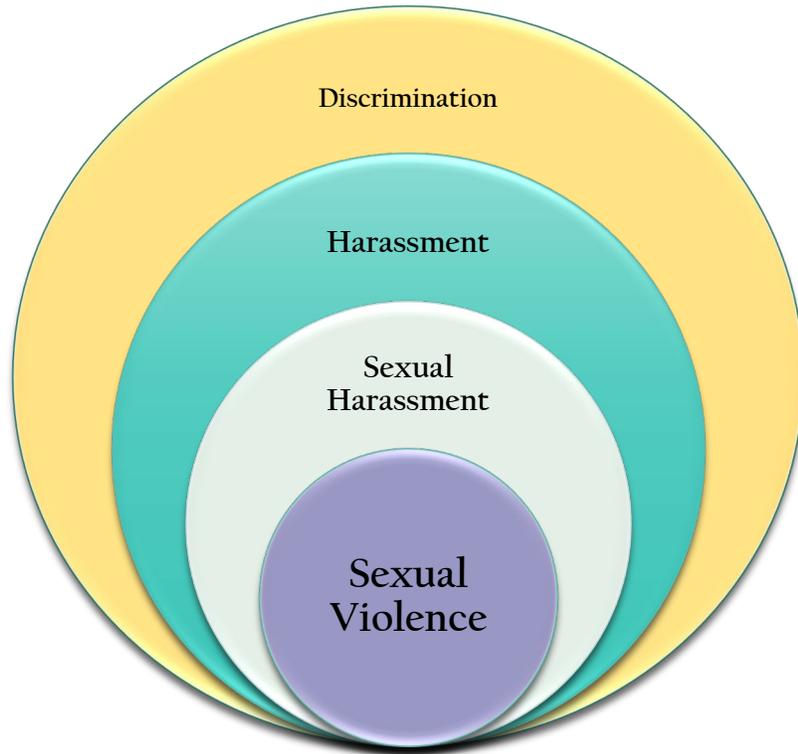
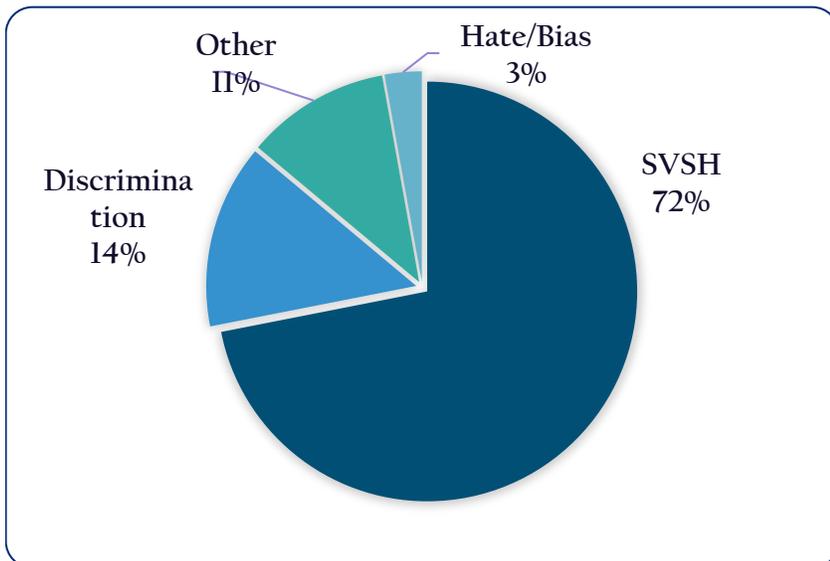


Figure 9: Number and Types of Civil Rights Reports Received in FY23

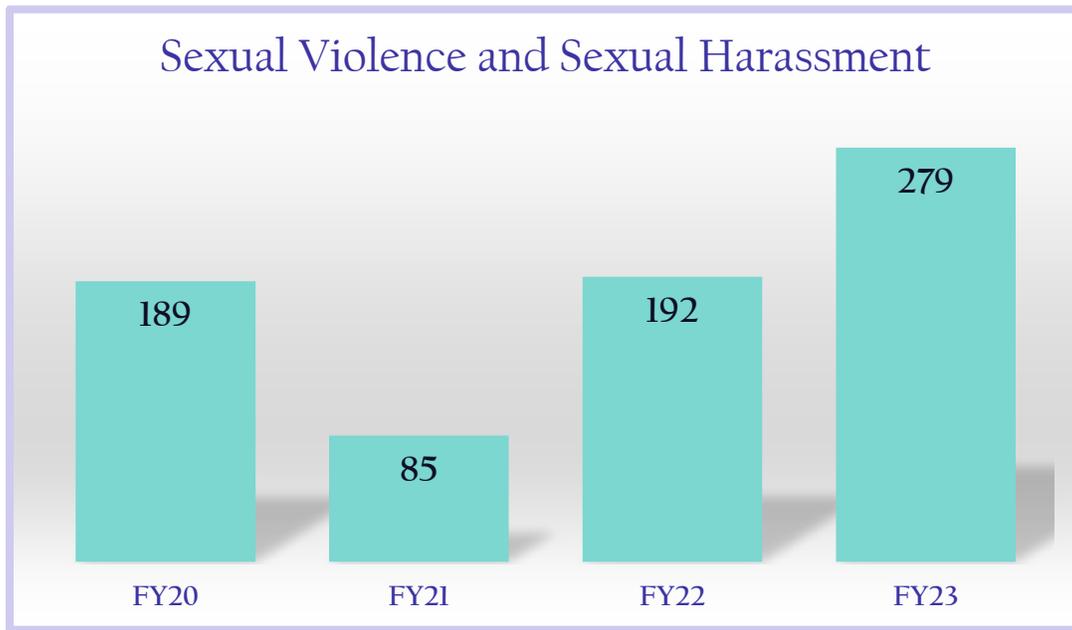


There were 387 reports received in FY23. This is a significant increase over the previous year, in which 242 civil rights reports were received.

60% increase in reports

Reports are categorized by the Office of Civil Rights based on the allegation or information provided by the reporting party in the initial report. As in previous years, the largest category of reports relates to the SVSH Policy. A report being classified as an SVSH report (for example) does not mean that the report alleges conduct that violates the policy—see further explanation on the next page.

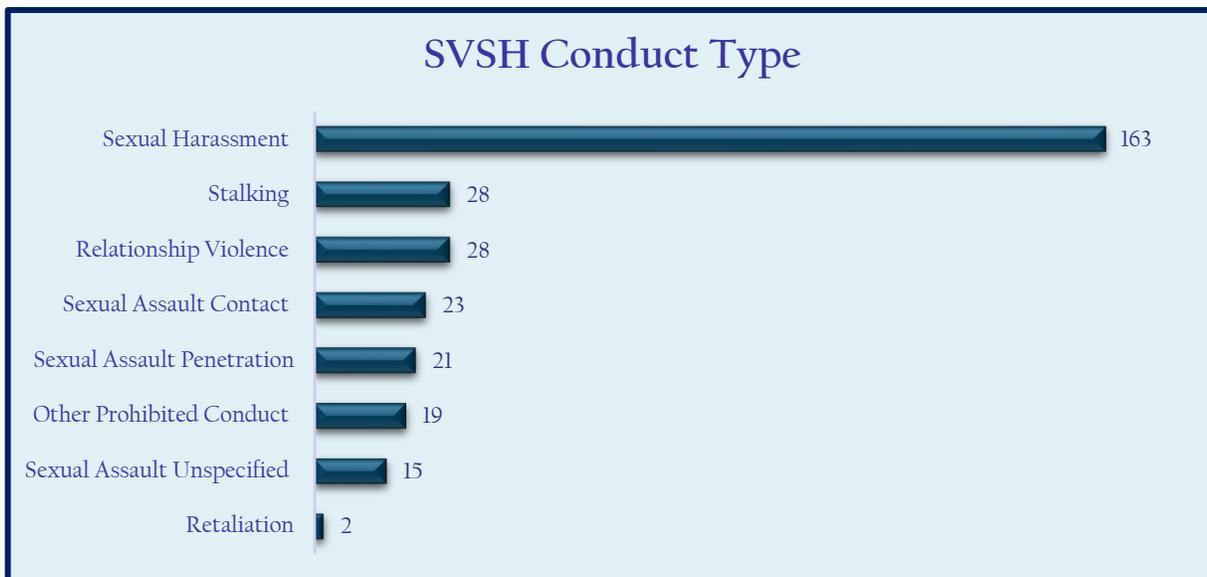
Figure 10: Number of SVSH Reports Received in Past Four Years



As expected, FY23 saw a continued increase in SVSH reporting—45% more reports as compared with the previous year. The low number of reports in 2020-21 reflect the campus closure due to COVID.

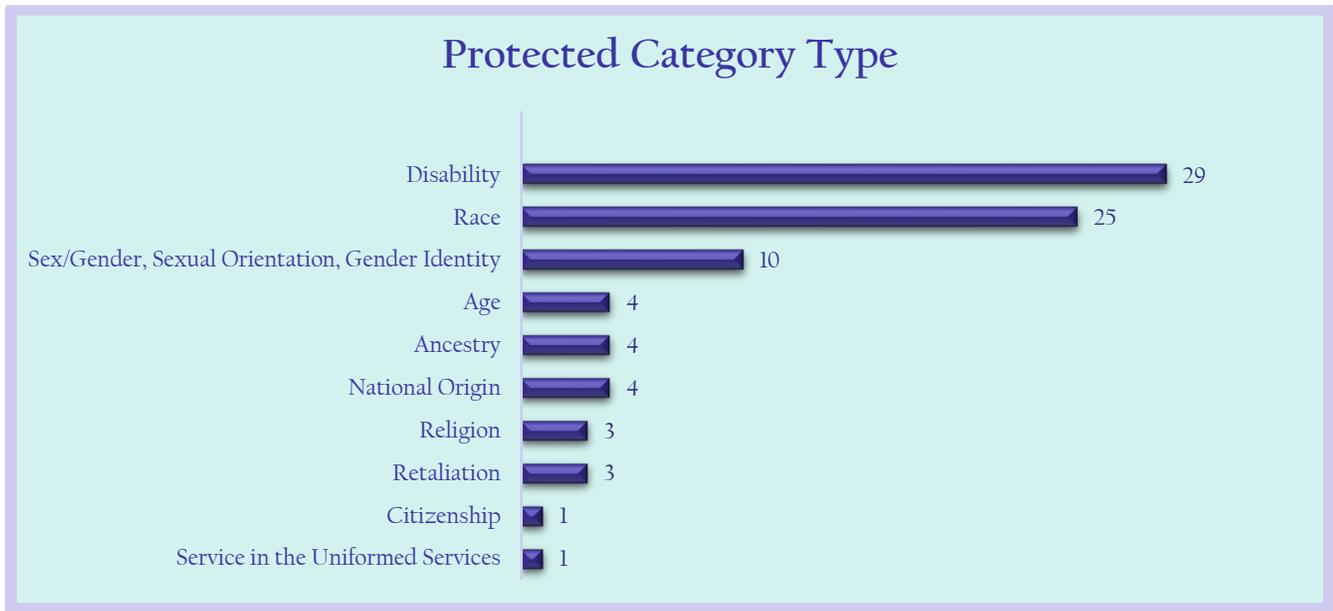
Figure 11: Types of Prohibited Conduct (SVSH Policy) Reported in FY23

The following categorizes each report by the primary type of Prohibited Conduct alleged, as defined in the [SVSH Policy](#).



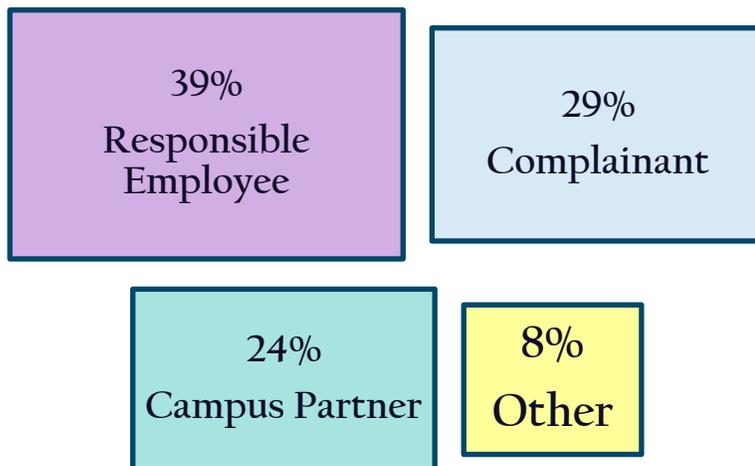
“Other Prohibited Conduct” includes invasion of sexual privacy, exposure, and failing to comply with a no-contact order or similar directive issued under the SVSH Policy.

Figure 12: Types of Discrimination Reported in FY23



Important note: We categorize reports based on what type of discrimination or Prohibited Conduct (SVSH) is alleged, even if the conduct described does not fall within the policy description. For example, a report about conduct that is harassing in nature but not a violation of the policy (perhaps because it is outside of UCR’s jurisdiction or because the conduct is not “severe or pervasive” enough to meet the definition of Sexual Harassment-Hostile Environment) will still be included as a Sexual Harassment report.

Figure 13: The following shows who reported matters to OCR in 2022-23



Anyone can report Prohibited Conduct. They can report directly to UCR’s OCR, to any Responsible Employee, or to campus partners (who are also Responsible Employees) such as Student Affairs, UCPD, the VPAR, and Human Resources, who will then report to OCR.

Figures 14 and 15: Party Affiliation for Civil Rights Reports Received in 2022-23

A “Complainant” is a person identified or reported as having experienced discrimination or harassment (or other prohibited conduct), even if that person has not themselves made a complaint. A “Respondent” is the person who is reported to have engaged in discrimination (including Prohibited Conduct under the SVSH Policy).

- “Other” refers to UNEX students, patients, unknown individuals, and students who whom we cannot identify (and so do not know if they are graduate or undergraduate).
- A “Third Party” is a non-affiliate, such as a student at another university or a former UCR student.
- NFAP are non-faculty academic personnel, such as postdoctoral scholars.

Figure 14: Complainant Affiliation

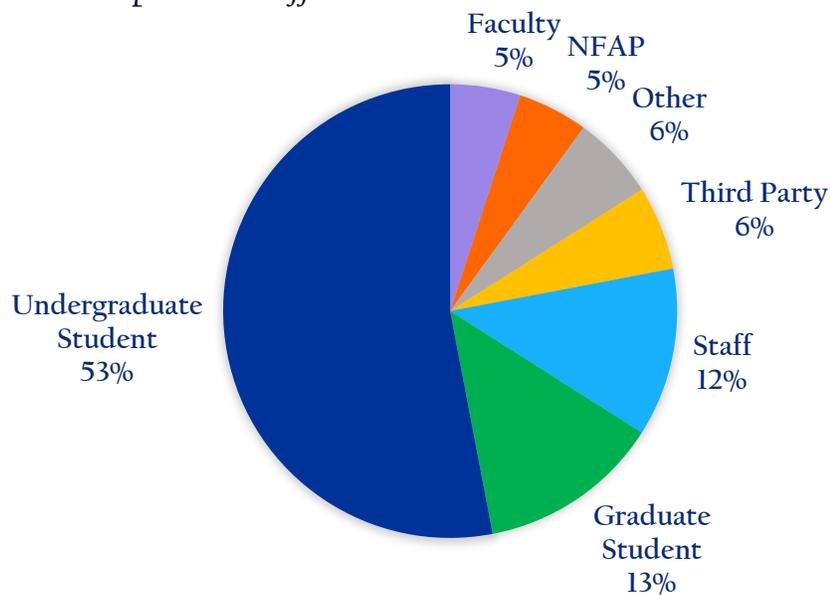
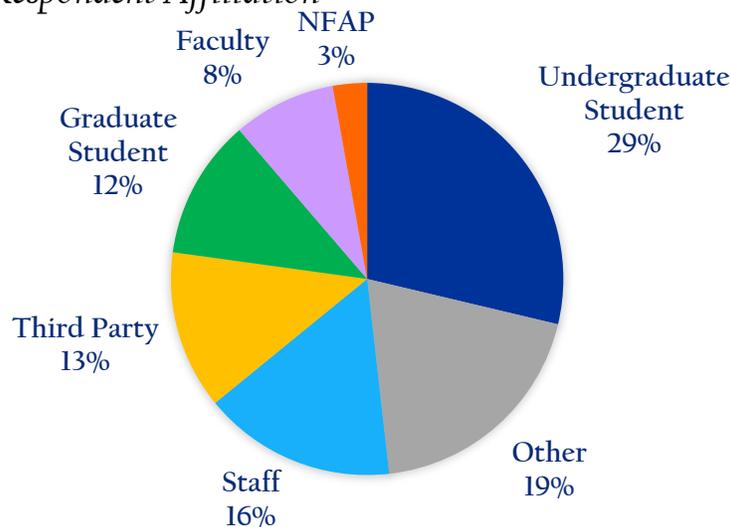


Figure 15: Respondent Affiliation



Responding to Civil Rights and Bias Reports—Initial Assessment

All civil rights reports are promptly and carefully assessed to:

- address immediate safety concerns
- decide whether the report is within OCR’s jurisdiction and available complaint resolution processes
- determine whether supportive measures are appropriate.

Reports may be addressed through Alternative Resolution (SVSH) or Early Resolution, Formal Investigation, or Other Inquiry. OCR works with complainants to pursue the most appropriate resolution process based on their goals and concerns, within the applicable policy framework. OCR rarely initiates an investigation against the wishes of a complainant.

UCR’s OCR helps connect complainants to campus resources and supportive services. For those who have experienced sexual violence or harassment, CARE provides support and confidential assistance—and is not obligated to share information with OCR.

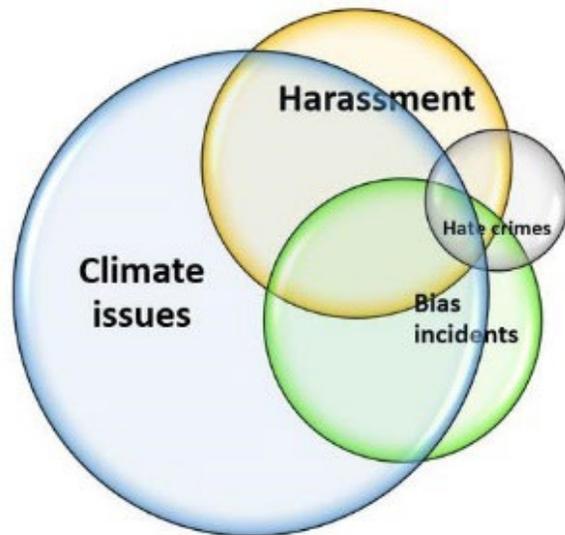
Not all reports received by OCR may be resolved through a formal resolution process. For example, UCR may not investigate or conduct an Alternative Resolution for reports:

- of conduct not covered by the SVSH Policy or Non-Discrimination Policy;
- without enough information (example, identities unknown);
- for which the Respondent is not a UCR affiliate;
- without sufficient connection (nexus) to UCR’s programs and activities.

Formal Investigation is Not Appropriate for All Reports

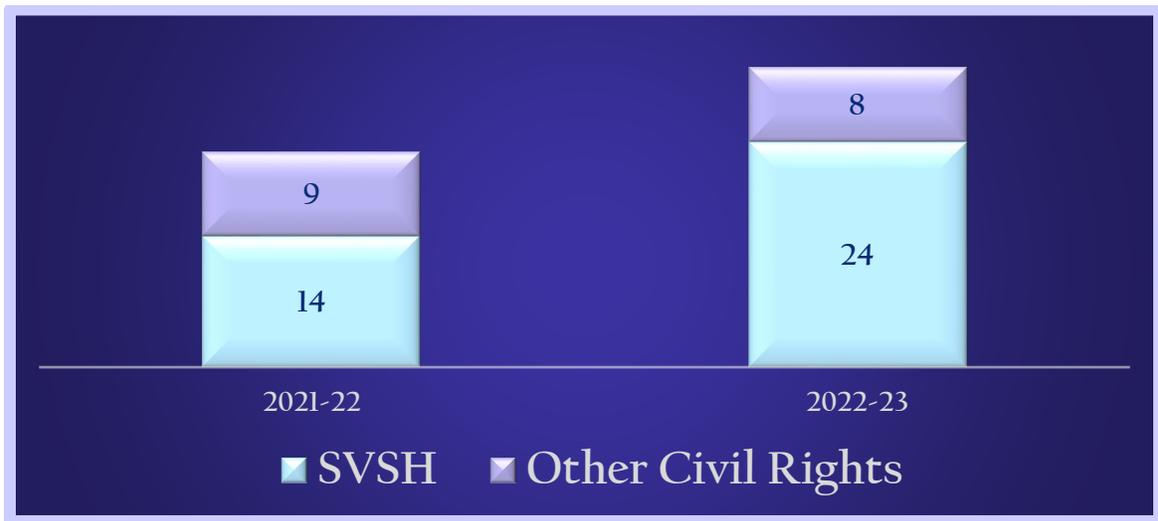
We encourage reporting of any and all harassing conduct, although harassment violates our policies only when it is severe or pervasive. This means that we receive reports of conduct that is harassing in nature, but not a policy violation. For these types of reports, when appropriate, UCR’s OCR takes steps to stop the reported conduct and/or prevent its escalation or occurrence, and address its affects, such as providing resources to the complainant or conducting an educational conversation with the respondent.

OCR (and the LDO) also receives bias and climate reports through CaseIQ and the [UC Systemwide Intolerance Report Form](#). Bias incidents generally are conduct that targets or disparages people or groups based on actual or perceived race, color, ancestry, religion, ethnicity, national origin, gender, gender identity, age, disability, sexual orientation, or other protected characteristics or categories. These reports and their relationship to discrimination and harassment are further explained in our [FAQs](#).



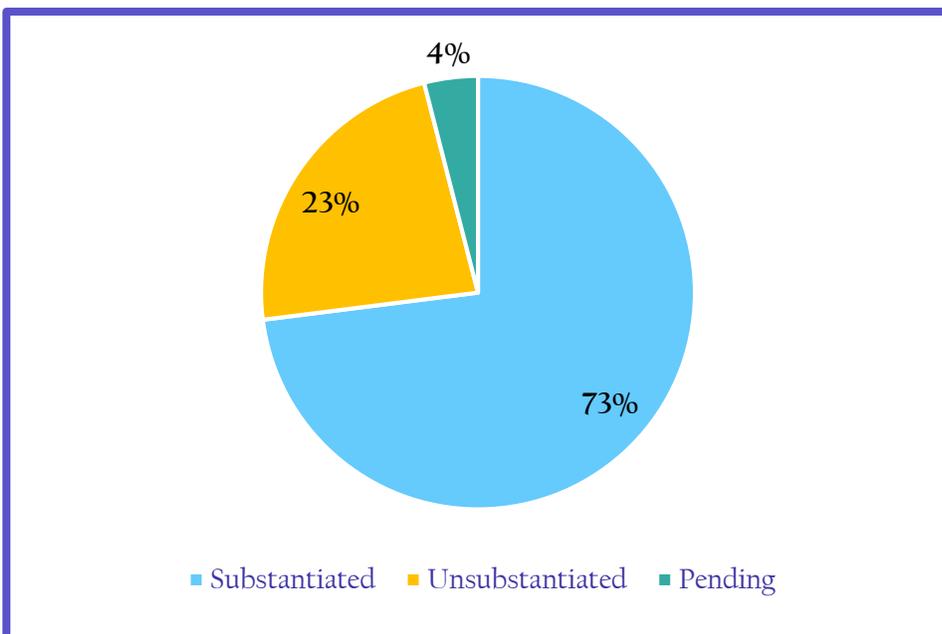
The figures below show the formal complaint resolution processes initiated in the period July 1, 2022 through June 30, 2023. Note that some of these processes relate to reports received by the Office in the previous academic year.

Figure 16: Number and Type of Formal Civil Rights Investigations Initiated FY22 & FY23



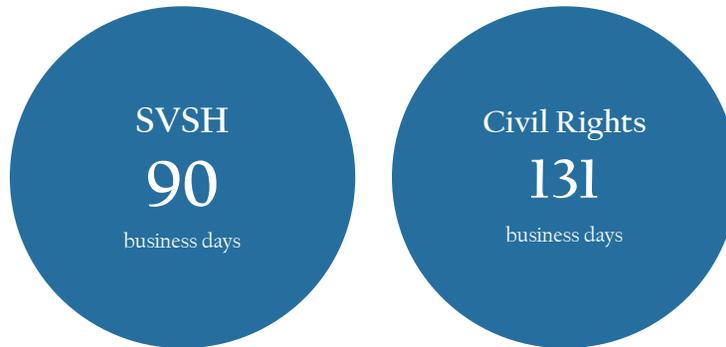
The Office initiated roughly **40% more** investigations than in the previous year. This increase reflects the increase in the number of reports received. In addition to the formal investigations, OCR initiated five Alternative Resolutions and one Other Inquiry under the SVSH Policy in FY23.

Figure 17: Outcomes of Formal Civil Rights Investigations



An investigation is noted as “substantiated” when at least one policy violation is substantiated; investigations often consider multiple policy violations.

We strive to provide investigations that are prompt, fair, and thorough, meeting all policy and procedural requirements. The policy deadline for SVSH cases, which may be extended for good cause, is 90 business days. This year, we dedicated efforts to meeting deadlines and are proud to report that our median time for completion of an SVSH investigation in FY23 was 90 business days.



The 131 business day median for other civil rights investigations excludes investigations that we conduct in response to external agency complaints, because those investigations are subject to the agencies' deadlines and do not follow the full investigation process used for internal complaints. Beginning February 2024, there is a 90 business day deadline for discrimination investigations (as well as SVSH).

III. OTHER TITLE IX & CIVIL RIGHTS WORK

A. Affirmative Action

UCR is a federal contractor, meaning that it accepts federal funds for its educational programs, and as such must comply with all affirmative action regulations enforced by the Department of Labor's Office of Federal Contract Compliance Programs. The purpose of these regulations is to provide, for the benefit of job seekers and wage earners, affirmative action and equal employment opportunity, particularly to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans.

UCR's Office of Civil Rights is responsible for ensuring compliance with affirmative action regulations. We do this through:

- the creation of annual affirmative action plans (AAPs);
- the creation and monitoring of policies and guidelines;
- promotion of equal opportunity programs and policies, including complaint resolution processes;
- internal review of personnel actions (hiring, promotions, separations, compensation); and
- training and consultation.

2022-23 Affirmative Action Program Highlights

- Affirmative action goals (outreach goals) and other program highlights were communicated to the senior management and their team members through multiple communication sessions and presentation tailored to specific units.
- Both applicant tracking systems used by UCR (i-Recruit and AP Recruit) as well as the HR Management System (HRMS) were updated with current affirmative action goals and availability pools to help hiring departments in their affirmative action outreach responsibilities.
- Initiated a proactive compensation analysis for staff and non-senate faculty employee groups was initiated to determine whether and where impediments to equal employment opportunity exist and to determine whether there are gender-, race-, or ethnicity-based disparities, as per 41 CFR 60-2.17(b)(3). The preliminary plan is to conclude the analysis and review the results by April 2024.
- OCR staff served as subject matter experts and participated in multiple employment policies and procedures review, including PPSM20, PPSM21, affirmative action guidelines for academic positions as well as supported the UC Gender Recognition and Lived Name policy implementation by designing necessary system changes.
- Staff served on multiple UC-level workgroups, providing expertise and UCR best practices for academic applicant tracking system (AP Recruit) functionality improvement, academic availability usage, and census coding and availability for staff jobs.

B. Disability Access – ADA/504 Coordination

UC Riverside is dedicated providing an accessible campus and programs for its students, faculty, staff, and visitors. Federal laws and regulations—specifically, the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973 (a federal law prohibiting discrimination on the basis of disability and requiring affirmative action in employment for those with disabilities, which applies to UCR as an institution that receives federal funding)—require campuses to have an administrator who coordinates compliance efforts. UCR’s ADA/504 Coordinator is the Chief Compliance Officer.

In 2022, Chancellor Wilcox launched a new [Chancellor’s Advisory Committee for Disability Inclusion \(CACDI\)](#).

The ADA/Section 504 Coordinator's responsibilities include:

- ensuring that UCR has appropriate policies, procedures, and grievance mechanisms
- helping promote disability access, accommodations, and non-discrimination
- identifying and assessing compliance gaps and risks.

[Our Disability Inclusion and Access website](#) collects information, policies, and other resources. This year, we created a new resource: a [site collecting guidance on accessible communication](#), ranging from podcasts to PowerPoints to surveys.

C. Pregnancy Accommodations

The Office of Civil Rights supports pregnant students, faculty, and staff by coordinating accommodations. Accommodations that may be provided range from changes in parking to leaves of absences. To learn more, visit our [pregnancy resources website](#).

D. Clery Compliance

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998, commonly referred to as the “Clery Act,” is a federal law that requires each university receiving federal financial aid to annually compile and report specific crime and fire statistics for the university campus and to provide other safety and crime information to members of the campus community. The Clery Act also requires universities to:

- Have emergency response programs, including evacuation procedures for students.
- Notify the community of emergencies and issue warnings of threats.
- Maintain a daily crime log and a fire log.
- Have policies and procedures relating to sexual assault, dating and domestic violence, and stalking.

The Violence Against Women Reauthorization Act of 2013 (VAWA) made substantial amendments to the Clery Act, tightening its relationship to Title IX and particularly sexual violence prevention.

To learn more about Clery and review current and archived ASF SRs (Clery reports), visit our [Clery compliance website](#).

2022-23 Clery Compliance Highlights

- The 2023 Annual Security and Fire Safety Report (ASF SR) has been reviewed by the Clery expert consulting firm D. Stafford & Associates. Various UCR Clery stakeholders have performed a thorough analysis of the received recommendations; multiple deficiencies were eliminated, improving overall compliance and quality of the report. The 2022 and 2023 Annual Security & Fire Safety Reports (ASF SR) were published and communicated to the campus community by the deadline of October 1st.
- The UCR Clery Compliance Committee was formed several years ago and conducts regular meetings to update senior management on important Clery-related issues, including UCR ASF SR improvement, revisions to UC Clery policy, timely warnings, and classification of hate crimes. Members include representatives of Student Affairs, Civil Rights, UCRPD, Athletics, Fire Prevention, Risk Management, Emergency Management, Health, Well-Being & Wellness, and Real Estate.
- UCR's Campus Security Authority (CSA) identification and communication process has been improved to standardize and partially automate the process:
 - Clery Coordinator partnered with the UCPATH team to assign special CSA training codes to identified positions in the UCPATH to automate the process of CSA identification in the future.
 - Created multiple job aids for managers, such as a [CSA identification decision guide](#), [mapping table](#) of job titles with default CSA responsibilities, and standardized [CSA notice](#) for newly identified reporters.
 - Currently there are more than 800 CSAs identified at UCR.
 - Worked with ITS to implement changes in the ServiceLink system that allow CSA special training to be assigned when a new position is initiated.
- The [Timely Warning Policy](#) (850-70) was revised, and multiple stakeholders provided their feedback, including UCRPD, Legal, Emergency Management, and others. The changes included harmonized definitions, defined criteria for issuing timely warnings, and corrected process descriptions and responsibilities.
- The Clery reportable geography was clarified and included research on multiple properties such as SOM facilities, UCSD Salinity lab, additional leased parking spaces from third parties, and newly built and acquired buildings. The accurate Clery geography database and map are maintained to reflect current Clery reportable properties.
- In August 2023, the [UC Clery Act Policy](#) was revised to incorporate changes to the Campus Security Authorities (CSA) identification provisions. These provisions relate to certain offices that had previously been identified as confidential, and require position-by-position review to determine CSA status. Current UCR practices were aligned with this change.

50th Anniversary of Title IX: The Landmark Law Covers Athletics Too

When Judy Shapiro-Ikenberry enrolled as an undergraduate at UCR in the 1960s, there were no women's intercollegiate athletics teams. An equal opportunity to participate in university-level athletics was beyond the realm of possibility for Judy, even though the summer before her freshmen year at UCR she placed fifth at the U.S. track and field Olympic trials at 800 meters.

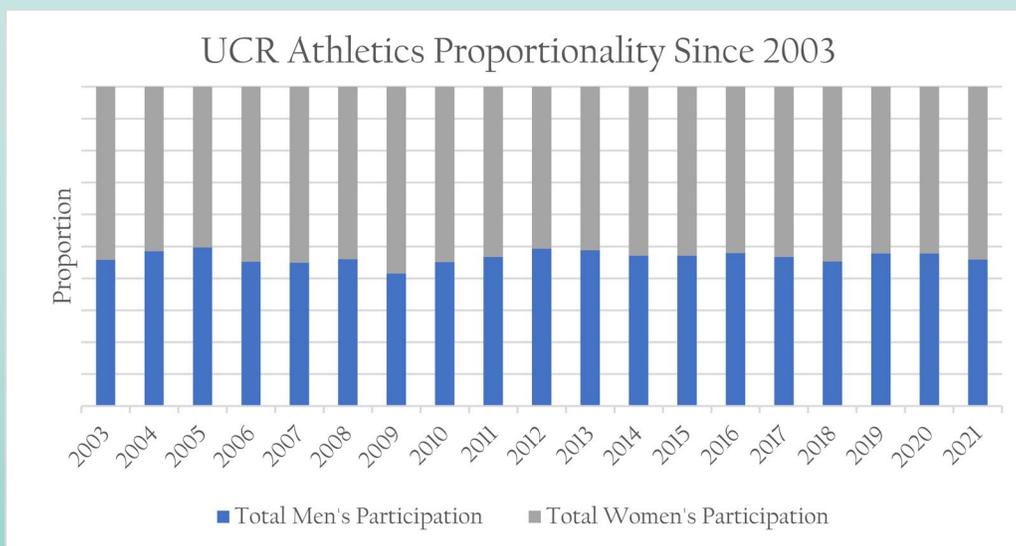
In 1972 Congress passed Title IX, which says “No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.”

For generations of women in the decades that followed, the Title IX civil rights law would over time dramatically lower sex discrimination barriers in intercollegiate athletics and other sectors of American higher education. Much work remains. [Title IX regulations enforced by the U.S. Department of Education](#) require the University to provide equal opportunity based on sex in intercollegiate athletics programs, as measured by:

- The benefits, opportunities, and treatment given to men's and women's teams;
- How a school is awarding athletic scholarships and financial assistance; and
- How a school is meeting students' athletic interests and abilities.

In this annual report corresponding to the fiftieth anniversary of Title IX, we look back over the past twenty years for which there are available federal data. The Equity in Athletics Disclosure Act (EADA) requires universities to publicly report many categories of gender equity information about their athletics programs. Although Title IX compliance is determined on a case-by-case basis, EADA data like the chart below showing gender proportions of athletics participation opportunities (duplicate counts) are helpful in benchmarking trends and monitoring progress. In UCR's most recent EADA report, women comprised 53.3% of the undergraduate student body and 54.1% of athletics participants under the duplicate count method (49.4% under the unduplicated count method).

Figure 18: UCR Athletics Proportionality Since 2003



IV. COMPLIANCE & ETHICS PROGRAM COORDINATION

A. Introduction

CCO provides campus coordination of the University-wide ethics and compliance program.

- Compliance and ethics programs are the *practices and culture* of an organization designed to encourage ethical conduct and a commitment to compliance with the law, including by preventing and detecting misconduct.
- The University of California [Board of Regents established the University ethics and compliance program](#), which is designed to satisfy the federally-defined seven elements of an effective compliance & ethics program. UCOP's Senior Vice President/Chief Compliance and Audit Officer provides systemwide leadership for the program.
- Under the [UC Ethics and Compliance Program Plan](#), each campus has a chief compliance and ethics officer (CCO) and a compliance and ethics committee—at UCR, the Ethics, Compliance Risk and Audit Controls Committee (ECRAC)—to provide program oversight and advise the CCO.

Campus Partners

The Chief Compliance Office partners with multiple units across campus to promote a culture of compliance; identify, address, and mitigate compliance risks, and to comply with applicable laws and policies. The CCO partners with the following offices along with many others:

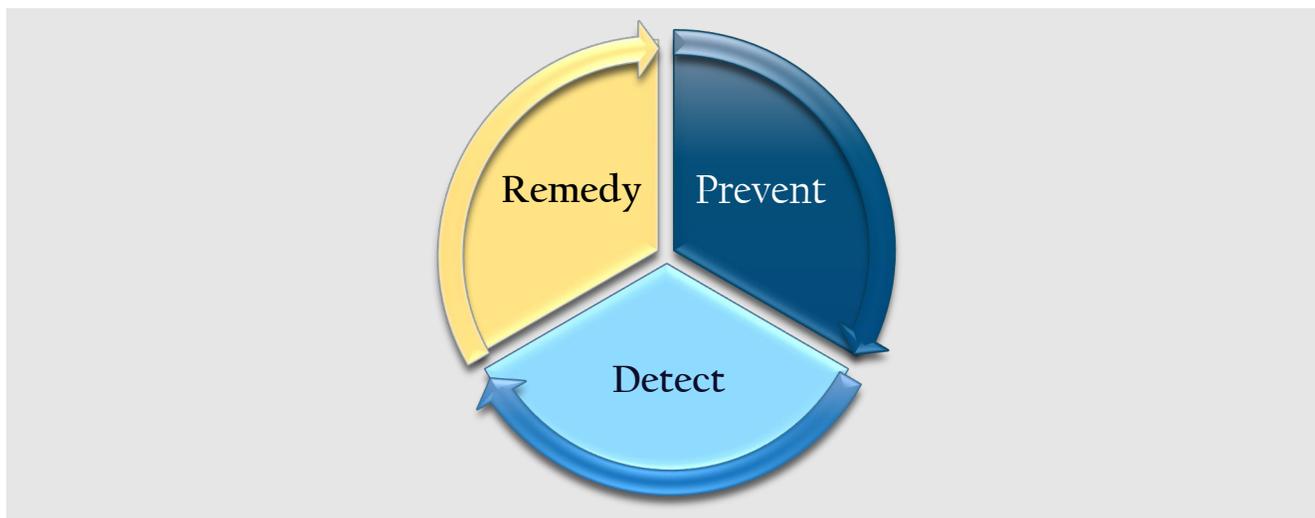


Compliance Cycle

A compliance program seeks to **PREVENT** misconduct by establishing clear expectations and standards of conduct, ensuring that faculty and staff are aware of applicable laws and rules, and maintaining internal controls.

A compliance program must also have ways to **DETECT** problems that occur, including whistleblower hotlines and other reporting mechanisms as well as audits and monitoring systems.

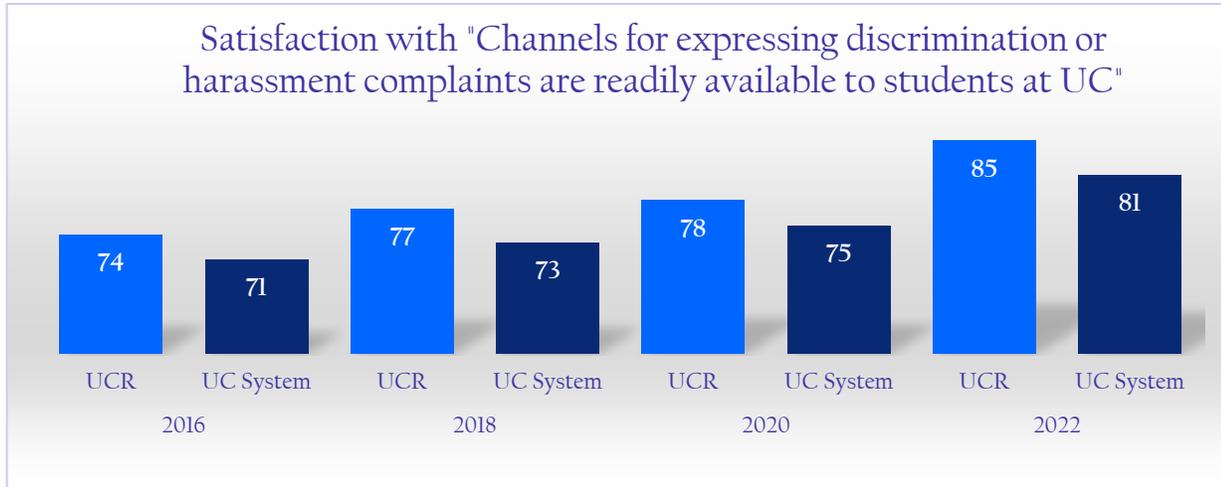
A compliance program **REMEDIES** violations, system failures, internal control weaknesses, including through disciplinary action and policy improvements.



B. Evaluating and Monitoring

The Chief Compliance Office uses qualitative and quantitative data to evaluate the effectiveness of the compliance program at UCR. The CCO collects systemwide survey data from various populations including student and faculty/staff to benchmark perceptions of certain elements of the program and evaluate whether these are improving. (The CUCSA staff engagement survey typically conducted every two years was last conducted in 2021, so no new data was available for this report.) In addition, the CCO reviews campus-specific data, such as exit surveys and the risk assessment process to compile additional information regarding the effectiveness of the program.

Figure 19: University of California Undergraduate Experience Survey (UCUES)



The University of California Undergraduate Experience Survey (UCUES) is completed every two years by the nine UC undergraduate campuses and seeks responses from a broad set of areas including educational experience, academic engagement, and campus climate. One question that has been asked in the survey since 2016 is whether students are satisfied with whether the “channels for expressing discrimination or harassment complaints are readily available.” As shown in the figure above, undergraduate students at UCR have increasingly been more satisfied with the availability of these channels for expressing complaints since the survey began. In addition, UCR continues to out-perform the UC system.

Exit Surveys

CCO reviews quantitative and qualitative data of exit surveys provided by employees who left UCR. The qualitative responses include narratives regarding potential discrimination, harassment, and whistleblower concerns. The exit surveys also provide data on the reasons why employees may have left UCR. Factors such as compensation and opportunities are the most common reasons provided, while Ethics and Integrity is much further down the list.

Risk Assessment

Compliance programs are risk-sensitive—our work is focused on higher-risk areas and our goal is to reduce compliance risk. Audit & Advisory Services and the Chief Compliance Officer together identify and prioritize risks each spring for the next fiscal year, based on:

- Interviews with senior leaders
- Consideration of legal and regulatory developments and enforcement activity
- Investigation findings and trends identified from complaint activity
- Consultation with UCOP, ECRAC (the Ethics & Compliance Risk and Audit Committee) and campus compliance partners

- Review of previous year’s risks and status of mitigation activities.

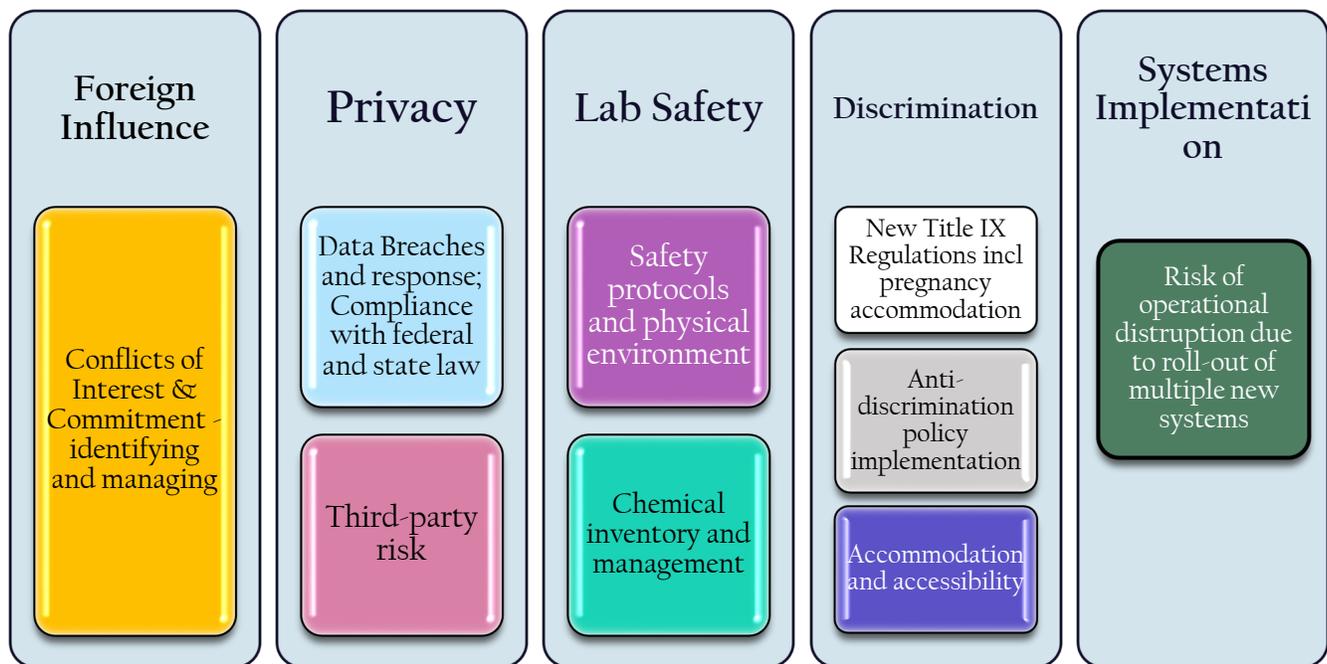
In FY23, our compliance work focused on the key risks of:

1. Export control/foreign influence
2. COVID/Post-pandemic operations
3. Lab safety and OSHA/EH&S risks
4. Cybersecurity and privacy
5. Prevention and remediation of discrimination and harassment (including sexual violence).

Risk mitigation efforts were made for all risks, with foreign influence (and the related research security) being a top focus. UCR staff implemented recommendations made in previous systemwide audits to reduce this risk. Risks tend not to change drastically from year to year.

In Spring 2023, CCO updated the risk list for FY24:

Figure 20: FY24 Top Compliance Risks for UCR



C. Policy Program and Delegations of Authority

The first requirement of an Ethics & Compliance program is that there be established “standards and procedures” to prevent and detect misconduct. Usually these “standards” are policies. The foundational standard for the UC E&C Program is Regents Policy IIII: [Statement of Ethical Values and Standards of Ethical Conduct](#). Other systemwide and campus policies implement and expand upon these standards.

UCR’s CCO manages the campus Policy Program, which communicates and implements compliance standards and regulations across the campus.

The Chief Compliance Office also manages the [Delegation of Authority process](#) and maintains the [campus repository](#). Delegation of authority is an organization process in which specific functions are passed down through a hierarchical chain, typically beginning with the UC Board of Regents or UC President down through the Chancellor and then, if necessary, re-delegated to certain campus offices or positions.

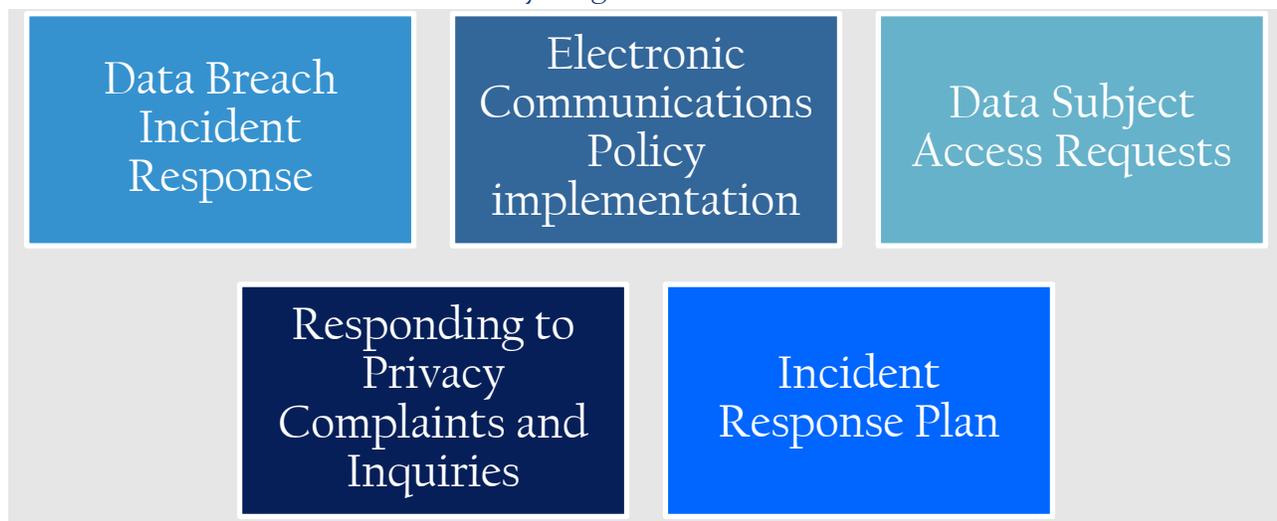
D. Privacy Program

The right to privacy is expressed in the [California Constitution](#). The University of California similarly values privacy. Under the [UC Statement of Privacy Values & Privacy Principles](#), privacy consists of (1) the individual's ability to conduct activities without concern of or actual observation and (2) the appropriate protection, use, and release of information about individuals.

The Campus Privacy Officer role sits within the Chief Compliance Office. The UC Riverside privacy goals are derived from the UC Privacy Principles and include:

- Upholding academic integrity, intellectual freedom, and autonomy;
- Committing to the privacy values while also respecting obligations relating to transparency, accountability, and individual choice;
- Promoting stewardship of personal data handled by the campus;
- Ensuring an appropriate level of privacy through policies and procedures, especially as interpretations of privacy change over time;
- Raising awareness about privacy issues, laws and regulations.

The current elements of the UCR Privacy Program include:



E. Conflicts of Interest and Foreign Influence

Conflict of Interest Coordination

The Chief Compliance Office includes the responsibility of [Conflict of Interest Coordinator](#), tracking submission of Form 700 (required under the California Political Reform Act) by campus officials who are “Designated Officials”—employees required to disclose personal financial interests. Reportable

economic interests include stock holdings and other business interests, real estate, and personal income including gifts, loans and travel payments.

A key compliance risk for UCR and many higher education institutions is the increased federal scrutiny and requirements related to foreign influence in higher education, including Section 117 reporting, loss of intellectual property, and academic espionage. The Chief Compliance Office collaborated with compliance partner units across the university to facilitate and develop improvements to enhance [compliance with Section 117 of the Higher Education Act](#), which relates to foreign contracts and gifts reporting. The CCO also conducts conflict of commitment investigations, which can overlap with many of these risk areas.

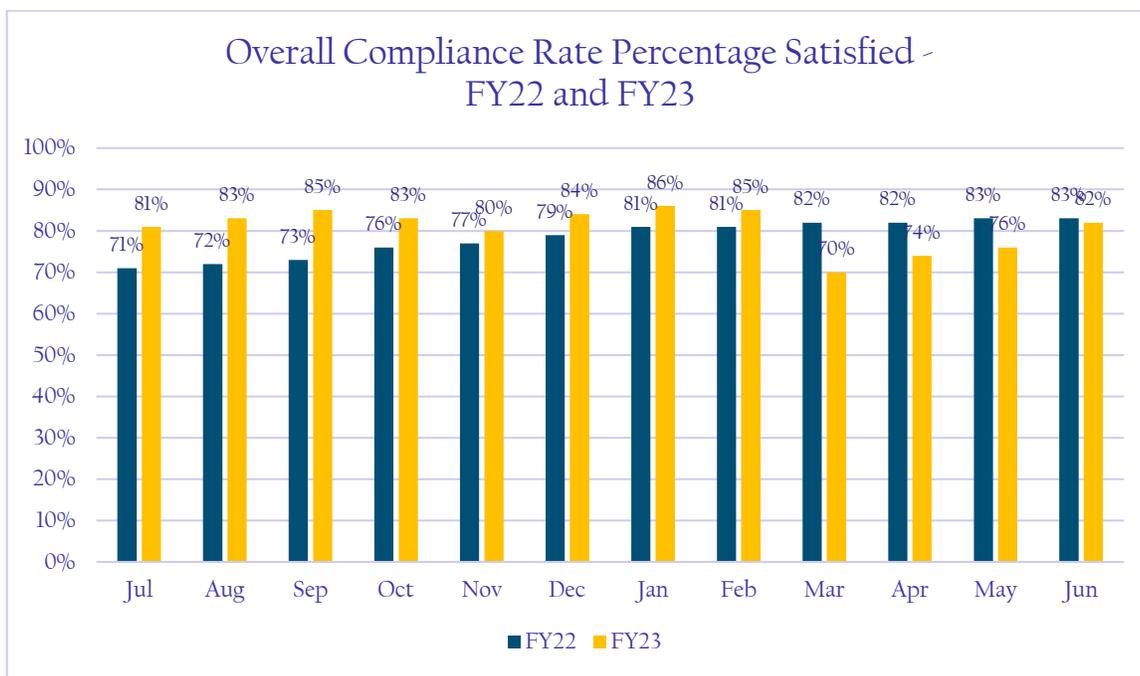
The CCO also helps implement two key campus policies designed to prevent conflicts of interest in admissions.

E. Compliance Training

An important component of maintaining and improving a compliance program is ensuring that individuals are properly trained and aware of ethics and compliance matters, policies, and best practices. UCR requires employees to take trainings in a number of key areas, such as a general compliance briefing (including one specific for researchers), preventing harassment and discrimination, cybersecurity awareness, safety orientation, and a module on COVID-19 prevention.

The CCO monitors the completion rate of certain mandatory trainings, including the general compliance briefing course assigned to new hires. In 2023, despite a new course on the Abusive Conduct Policy being rolled out and mandated for all employees, compliance rates trended positive.

Figure 21: Overall Compliance Rate Percentage Satisfied – FY22 and FY23



V. AUDIT & ADVISORY SERVICES

UCR Audit & Advisory Services (A&AS) provides independent, objective assessments of diverse financial and operating activities. In FY23, A&AS reports administratively to the Chancellor through the Chief Compliance Officer, and functionally to the UC Regents' Committee on Compliance and Audit through UC's Senior Vice President – Chief Compliance and Audit Officer (CCAO), with additional direct access to the Chancellor and the UC President as circumstances warrant.

A&AS performs three general types of services:

- 1) Audits – Assurance services defined as examinations of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples include financial, performance, compliance, systems security and due diligence engagements.
- 2) Advisory Services – Engagements wherein the nature and scope are agreed upon with the client, intended to add value and improve an organization's governance, risk management, and control processes without the internal auditor assuming management responsibility. Examples include reviews, consultations, recommendations, facilitation, and training.
- 3) Investigations – Independent evaluations of allegations generally focused on improper governmental activities including misuse of university resources, fraud, financial irregularities, significant control weaknesses and unethical behavior or actions.

In performing the audit function, A&AS has neither direct responsibility for, nor authority over any of the activities reviewed. The internal audit review and approval process does not in any way relieve other persons in the organization of the responsibilities assigned to them.

The FY23 annual audit plan for UCR comprised a variety of assurance, advisory and investigative services with audit topics primarily identified through a risk-based process. The audit plan strives to achieve an appropriate balance of breadth and depth of coverage. Three primary areas make up the audit plan for the year:

1. Risk based audits and systemwide audits;
2. Customer/Stakeholder requested audits and advisory service projects; and
3. Investigations.

During FY23, A&AS completed five audits. Three were UC systemwide audits: UCPD Complaints Process Review, G-45 Chancellor's Expenses, and Contracting Out.

Management Corrective Actions. Management corrective actions, or MCAs, are steps that management has agreed to take in response to audit findings. During FY23, A&AS closely monitored the progress in completing agreed upon MCAs addressing control weaknesses reported in our internal audit and advisory service reports. Timely correction of control weaknesses demonstrates management’s commitment to operating in accordance with sound business practices. Not only is management’s commitment to timely corrective action important, but functional areas are many times indicators of areas with increased inherent risk. Some MCAs are important enough that they are considered critical to the control environment. While all MCAs are tracked to their agreed corrective action date, prompt attention to “high risk” MCAs is critical to the University meeting its fiduciary responsibilities and being proactive in addressing gaps in respective systems of internal control. During FY23, A&AS was able to close out a total of 17 MCAs.

Figure 22 below presents a summary of open MCAs for the FY years ended June 30, 2022 and June 30, 2023.

Figure 22: Summary of Open MCAs

MCA SUMMARY

MCAs as of June 30, 2022	11
MCAs as of June 30, 2023	2

Figure 23 represents an aging report of all open MCAs. During FY23, A&AS worked closely with management to consistently inform them of past due MCAs. A&AS is working with department leadership to close the 2 open MCAs as of June 30, 2023, in FY24.

Figure 23: Open Management Corrective Actions (MCA) Aging Report

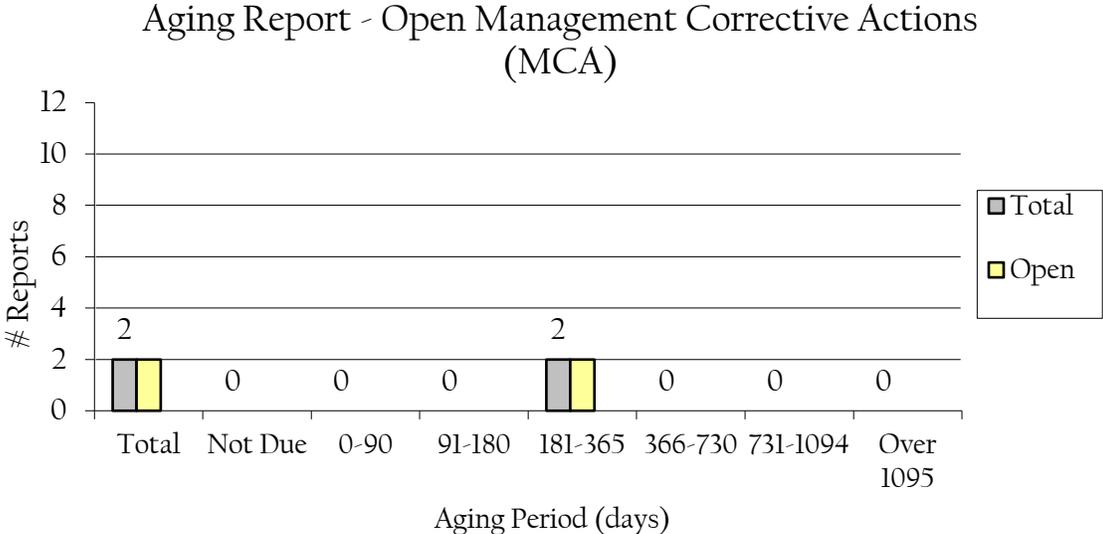
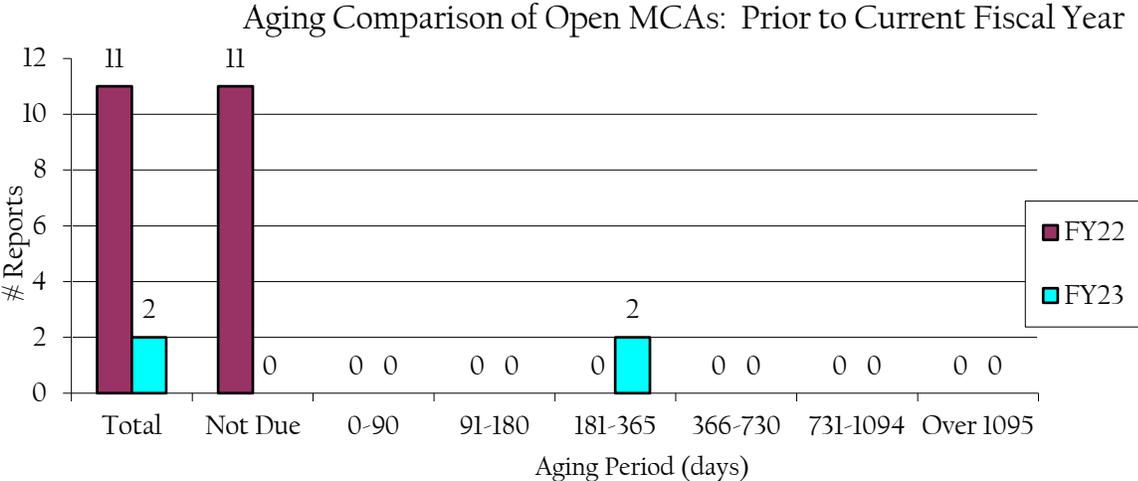


Figure 24: Open Management Corrective Actions (MCA) Aging Comparison



FY22 inventory reflects status update as of 6/30/2022
 FY23 inventory reflects status update as of 6/30/2023

Appendix A

Internal Audit Charter:

Policy Statement

It is the policy of the University of California (UC) to maintain an independent and objective internal audit function to provide the Regents, President, and campus Chancellors with information and assurance on the governance, risk management and internal control processes of the University. Further, it is the policy of the University to provide the resources necessary to enable Internal Audit to achieve its mission and discharge its responsibilities under its Charter. Internal Audit is established by the Regents, and its responsibilities are defined by The Regents' Committee on Compliance and Audit as part of their oversight function.

Authority

Internal Audit (IA) functions under the policies established by the Regents of the University of California and by university management under delegated authority.

IA is authorized to have full, free and unrestricted access to information including records, computer files, property, and personnel of the university in accordance with the authority granted by approval of this charter and federal and state statutes. Except where limited by law, the work of IA is unrestricted. IA is free to review and evaluate all policies, procedures, and practices for any university activity, program, or function.

In performing the audit function, IA has no direct responsibility for, nor authority over any of the activities reviewed. The internal audit review and approval process does not in any way relieve other persons in the organization of the responsibilities assigned to them.

Mission

The mission of the UC Internal Audit program is to provide the Regents, President, and campus Chancellors independent and objective assurance and consulting services designed to add value and to improve operations. It does this by assessing and monitoring the campus community in the discharge of their oversight, management, and operating responsibilities. Internal Audit brings a systematic and disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes.

Available at [Internal Audit Charter | UCOP](#)