



## **TITLE IX COMPLIANCE REVIEW REPORT**



**University of California Irvine  
Henry Samueli School of Engineering  
Department of Civil and Environmental Engineering &  
Department of Mechanical and Aerospace Engineering**

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## **I. Introduction**

The Office of Civil Rights (OCR) of the United States Department of Energy (the Department or DOE) and the Office of Diversity and Inclusion (ODI) of the National Science Foundation (NSF) conducted a joint Title IX compliance review of the graduate program of the Department of Civil and Environmental Engineering (CEE Department) and the Department of Mechanical and Aerospace Engineering (MAE Department) at the University of California Irvine in May 2017. OCR and ODI conducted the review pursuant to Title IX of the Education Amendments of 1972 (Title IX), as amended, 20 U.S.C. Section 1681, *et seq.*, and the Department's Title IX implementing regulations, 10 C.F.R. Parts 1042 and 1040 (2013)<sup>1</sup> and the NSF Title IX implementing regulations at 45 C.F.R. Part 618. During the course of the compliance review, the Department requested and obtained data from the University and gathered data from the University's website. In May 2017, members of the Department's compliance review team held on-campus interviews with University administrators, including the University's Title IX Coordinator, students, faculty, and staff of the CEE and MAE Departments. The facts, findings, and recommendations contained in this report are based on a review and an analysis of the data obtained from the University, including the University's website, as well as information obtained from the interviews held with students, faculty, staff, and administrators.

The Department supports a diverse portfolio of research at colleges, universities, and research institutions across the United States, providing funding to more than 300 such institutions every year. The funding provided by the Department for research at universities and colleges supports thousands of principal investigators, graduate students, and post-doctoral researchers.

### **A. Background**

Title IX and DOE Title IX implementing regulations prohibit recipients of federal financial assistance, such as universities and colleges, from discriminating on the basis of sex in any of their educational programs or activities. 20 U.S.C. § 1681(a); 10 C.F.R. § 1042.100 (2013). In addition, DOE Title IX implementing regulations require the Department to periodically conduct compliance reviews of recipients of DOE financial assistance to ensure compliance with the nondiscrimination requirements of Title IX. *See* 10 C.F.R. §§ 1042.605, 1040.101(a) (2013).

NSF has promulgated regulations to ensure that educational programs receiving NSF funds are free of gender discrimination and harassment. (45 C.F.R. Part 618). NSF's regulation under Title VI of the Civil Rights Act of 1964 incorporated by reference to NSF's Title IX compliance responsibilities, require the agency to conduct periodic reviews of the practices of recipients to determine whether they are in compliance. At NSF, the Office of Diversity and Inclusion (ODI) is charged with conducting compliance reviews under Title IX, and the Department of Justice (DOJ), pursuant to Executive Order 12250, has overall enforcement authority to ensure agencies are in compliance.

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<sup>1</sup> DOE Implementing regulations (10 CFR Parts 1040 and 1042) do not reflect the annual requirement that DOE conduct two Title IX reviews that are mandated in 20 U.S.C. § 1681. However, these regulations fully outline the review criteria used herein.

In July 2004, the Government Accountability Office (GAO) issued a report (GAO-04-639) entitled, “GENDER ISSUES: Women’s Participation in the Sciences has Increased, but Agencies Need to do More to Ensure Compliance with Title IX.” The purpose of the report was two-fold: (1) to report on the status of women in the sciences; and (2) to evaluate the Title IX compliance activities of the four federal science agencies—the Department of Energy, Department of Education, National Aeronautics and Space Administration, and National Science Foundation. With respect to the status of women in the sciences, the GAO reported that the participation of women in the sciences at the undergraduate and graduate levels had increased over the past 30 years; however, the GAO reported that “[w]omen continue to major in the sciences and earn degrees in the sciences to a lesser extent than men.” The GAO also noted that some studies suggest that sex discrimination may still affect women’s choices and professional progress in the sciences. With respect to the Title IX compliance activities of the four federal science agencies, the GAO found that the agencies had taken steps, through the conduct of complaint investigations and the provision of technical assistance, to ensure that the institutions to which they provide financial assistance are in compliance with Title IX. However, the GAO noted that “[g]iven the general lack of knowledge and familiarity with the reach of Title IX and the disincentives for filing complaints against superiors,” the agencies needed to do more to judge whether sex discrimination exists in the sciences. To that end, the GAO made recommendations specific to each of the four federal science agencies. With respect to the Department, the GAO recommended that the Secretary of Energy ensure that compliance reviews of grantees are periodically conducted.

In August 2007, Congress passed, and the President signed into law, the America COMPETES Act, Pub. L. No. 110-69, § 5010, 121 Stat. 572, 620 (2007), which provided additional impetus for the Department to conduct compliance reviews. The Act states that the Department should (1) implement the recommendations contained in the GAO report, and (2) conduct at least two Title IX compliance reviews annually of recipients of DOE financial assistance.

## **B. Objective**

The objective of the Title IX compliance review at the University of California Irvine (UC Irvine) was three-fold: (1) to determine whether male and female applicants and students had equal access to the opportunities and benefits offered by the graduate program of the Department Civil and Environment Engineering and the Department of Mechanical and Aerospace Engineering; (2) to determine whether the University was in compliance with the requirements of Title IX and DOE Title IX implementing regulations; and (3) to identify and report on any promising practices instituted by the University for promoting gender equity.

## **C. Scope**

At the UC Irvine, the OCR and ODI elected to review the graduate component of the CEE Department and the MAE Department. To determine whether graduate applicants and students, regardless of their sex, had equal access to the opportunities and benefits offered by the CEE Department and the MAE Department, the OCR and ODI evaluated the following areas and practices of each respective Department: (1) student enrollment; (2) recruitment and outreach

efforts; (3) admissions policies; (4) leave of absence and re-enrollment policies; (5) financial assistance opportunities; (6) graduate examination and writing requirements; (7) the academic climate; and (8) student safety.

To determine whether the University was in compliance with the requirements of Title IX and DOE Title IX implementing regulations, the OCR and ODI evaluated the following: (1) whether the University has designated a Title IX Coordinator; (2) whether the University has taken continuing steps to notify the campus community about its nondiscrimination policies related to Title IX; and (3) whether the University has adopted and published grievance procedures providing for the prompt and equitable resolution of Title IX-related complaints, including sex discrimination and sexual harassment complaints.

## II. Recruitment and Outreach

DOE and NSF Title IX implementing regulations prohibit recipients of financial assistance from discriminating on the basis of sex in the recruitment of students. 10 C.F.R. § 1042.310 (2013) and 45 C.F.R. § 618.310. To determine whether the CEE and MAE Departments were in compliance with this provision, the OCR and ODI reviewed the recruitment and outreach activities of the CEE and MAE Departments.

### A. Recruitment and Outreach Activities

**Table 1-Recruitment Outreach Activities with Method of Advertising for 2012-2017**

Recruitment and Outreach Activities		
Organization	Outreach/ Recruitment Activity & Description	Methods of Advertising
UCI Graduate Division	Outreach programs such as the McNair Scholars Program and the Minority Biomedical Research Support Program.	Recruitment from other organizations and schools
	Campus-based graduate recruitment fairs at several UC and CSU campuses	
	Partnerships with HSIs and HBCUs	
	Recruitment Fairs and Research Conferences that Target Underrepresented Students	
	The Summer Undergraduate Research Fellowship Program (SURF) and University of California Leadership Excellence through Advanced Degrees (UC LEADS)	Graduate website and diversity email lists
Engineering Graduate Student Affairs (GSA)	Recruitment fairs at local universities	
	School-wide component of yield events	
	Graduate Opportunities at UCI (GO-UCI)	Emails, Flyers

The Office of Access and Inclusion (OAI)	Collaborated with the National GEM Consortium to host Getting Ready For Advanced Degrees Laboratory (GRAD Lab)	
CEE department	Visitation Day for high promising applicants or admitted graduate students	Invitation to applicants/admitted students
	Faculty actively recruit students while attending off-campus conferences and other engineering related events	Lectures to undergraduate students
MAE Department	Informal breakfast with a welcome from the MAE Chair	Graduate program websites, Graduate program brochure
	Prospective students to lunch at the Student Center	Graduate program websites, Graduate program brochure

**Highlights:** The University views recruitment as a collaborative effort between the UCI Graduate Division, Engineering Graduate Student Affairs, the Office of Access and Inclusion, and the CEE and MAE Departments respectively. The University engages in an array of activities to recruit students to its CEE and MAE graduate programs. The collaborative approach to recruitment is a best practice because it demonstrates that recruiting a diverse student population is everyone’s responsibility.

**FINDING: In Compliance**

**Table 2-CEE Recruitment Activity Participant/Applicant/Admitted Numbers**

CEE DEPARTMENT RECRUITMENT/OUTREACH EVENTS						
		Total	Male		Female	
		Total #	# of People	% of Total	# of People	% of Total
2012-2013	No. Event Participants	118	66	56%	52	44%
	No. Participants Applied	43	25	58%	15	35%
	No. Participants Admitted	39	23	59%	15	38%
2013-2014	No. Event Participants	72	37	51%	35	49%
	No. Participants Applied	29	14	48%	15	52%
	No. Participants Admitted	29	14	48%	15	52%
2014-2015	No. Event Participants	73	39	53%	34	47%

	<b>No. Participants Applied</b>	35	18	51%	17	49%
	<b>No. Participants Admitted</b>	34	17	50%	17	50%
<b>2015-2016</b>	<b>No. Event Participants</b>	61	34	56%	27	44%
	<b>No. Participants Applied</b>	24	12	50%	12	50%
	<b>No. Participants Admitted</b>	23	12	52%	11	48%
<b>2016-2017</b>	<b>No. Event Participants</b>	67	37	55%	30	45%
	<b>No. Participants Applied</b>	24	14	58%	10	42%
	<b>No. Participants Admitted</b>	21	12	57%	9	43%

Note. This chart does not include data from the Graduate Division due to incomplete data submission.

**Highlights:** In Table 2, the ratio of male to female recruitment event participants that converted to admitted students remained steady and relatively even from the AY2013 through the AY2016. There is no major disparity in numbers observed.

**FINDING: In Compliance**

**Table 3-MAE Recruitment Activity Participant/Applicant/Admitted Numbers**

<b>MAE DEPARTMENT RECRUITMENT/OUTREACH EVENTS</b>						
		<b>Total</b>	<b>Male</b>		<b>Female</b>	
		<b>Total #</b>	<b># of People</b>	<b>% of Total</b>	<b># of People</b>	<b>% of Total</b>
<b>2012-2013</b>	<b>No. Event Participants</b>	65	50	77%	15	23%
	<b>No. Participants Applied</b>	54	50	93%	4	7%
	<b>No. Participants Admitted</b>	54	50	93%	4	7%
<b>2013-2014</b>	<b>No. Event Participants</b>	73	56	77%	17	23%
	<b>No. Participants Applied</b>	32	27	84%	5	16%
	<b>No. Participants Admitted</b>	29	24	83%	5	17%
<b>2014-2015</b>	<b>No. Event Participants</b>	66	47	71%	19	29%



	<b>No. Participants Applied</b>	21	19	90%	2	10%
	<b>No. Participants Admitted</b>	18	16	89%	2	11%
<b>2015-2016</b>	<b>No. Event Participants</b>	103	74	72%	29	28%
	<b>No. Participants Applied</b>	34	22	65%	12	35%
	<b>No. Participants Admitted</b>	17	14	82%	3	17%
<b>2016-2017</b>	<b>No. Event Participants</b>	88	52	59%	36	41%
	<b>No. Participants Applied</b>	15	12	80%	3	20%
	<b>No. Participants Admitted</b>	Not Available	Not Available	Not Available	Not Available	Not Available

Note. This chart does not include data from the Graduate Division due to incomplete data submission.

**Highlights:** In Table 3, the MAE female percentage of recruitment event participants rose from 23% of the total participants in AY2012 to 41% in AY2016. That is a positive sign that MAE is making an effort to recruit more women. There are significant disparities in the ratio of male to female participants that applied and were admitted from AY2012-AY2016. The Department suggests that UC Irvine examine their recruitment, admission, and enrollment processes to determine if there are any gender-related barriers negatively affecting the number of female applicants and enrolled students.

## **FINDING: In Compliance**

### **B. Graduate Division Recruitment Incentives**

The UCI Graduate Division recruitment fellowships are used to recruit promising applicants to UC Irvine graduate programs, which includes both Mechanical and Aerospace and Civil and Environmental Engineering. Graduate student applicants do not apply directly for these fellowships, but rather they are nominated by the graduate programs they applied to. These competitive awards provide tuition, fees and stipend support in varying amounts.

UC Irvine offers six fellowship opportunities for graduate students:

- Eugene-Cota Robles (ECR)
- Graduate Opportunity Fellowship (GOF)
- Graduate Deans Recruitment Fellowship (GDRF)
- UC Irvine Diversity Recruitment (DRF)
- Leading Edge Advancement with Distinction (LEAD) fellowships
- Nevin Graduate Endowment Fellowship

**Highlights:** The Department commends UC Irvine for creating the number of fellowships directed at increasing the diversity of its graduate students.

## **FINDING: In Compliance**

### **C. Department Recruitment Incentives**

#### **CEE Incentives**

The CEE department offers financial incentives to almost all incoming Ph.D. students. The amount of the incentive depends on whether the applicant is a California resident or non-resident, as the cost of tuition is far greater for the latter and thus an offer of full support equates to a greater financial commitment. Depending on the availability of funds, which vary from year-to-year, the CEE department may also offer partial support incentives to a select number of outstanding applicants for the terminal MS degree, because financial incentives for terminal MS students are far less common at peer institutions and can serve as a compelling factor in a decision to enroll. Ph.D. students who do not receive financial support incentives usually fall into two categories: those who have already secured financial support, such as a National Science Foundation Graduate Research Fellowship; and those who are committed to enrolling without financial aid.

Financial incentives for Ph.D. students are funded from a variety of sources including 1) extramural research grants controlled by individual faculty; 2) fellowships funds controlled by the department (Block Funds); and, 3) Graduate Division Recruitment and Diversity Fellowships. Several faculty and administrators noted that 20-30% of the block funds are earmarked for women and underrepresented minority students.

Block funds are student financial support, distributed to schools and departments and typically awarded based on merit. Some programs support all of their incoming Ph.D. students with block-funded fellowships for their first year, for example, and some have other approaches. It is up to the individual school and program how they distribute the funds. As part of the decision for awarding funds, departments consider whether a student is in good academic standing and enrolled full-time, while making sure academic and student support policies are being followed appropriately.

The CEE department block funds are mainly reserved for incoming Ph.D. students for their first year. Any remaining funds may be applied toward summer research fellowship awards, and distributed to faculty to use at their discretion. For these funds, the department sends a call to faculty to nominate qualified students. Typically, the Targeted Recruitment/Diversity funds are awarded to female students.

**Highlights:** The University earmarks 20-30% of block funds for the benefit of female and underrepresented minority students. The University should examine any gender disparities that might be created or exacerbated by these earmarked funds.

## **FINDING: In Compliance**

## **MAE Incentives**

For the MAE department, the factors for incentives include academic qualifications of the candidate, identification of a faculty advisor who will be willing and able to financially support the student throughout his/her doctoral studies, compatibility with campus criteria for the various fellowships offered by the Graduate Division, and financial ability of the department to provide multi-year offers, as required by the Graduate Division.

The MAE department reviews all files comprehensively and weighs contributions to diversity and inclusion very heavily in all cases, and in particular for Block funds earmarked for this purpose.

**Highlights:** The factors for financial incentives are clear. The onus to identify a faculty advisor that can provide support is on the student. The University should examine this process to determine if any gender-related barriers exist since this is the primary means that an MAE doctoral student can get financial incentives.

## **FINDING: In Compliance**

### **III. Admissions**

DOE and NSF Title IX implementing regulations prohibit recipients of financial assistance from discriminating on the basis of sex in the admission of applicants. 10 C.F.R. § 1042.300 (2013) and 45 C.F.R. § 618.300. In determining whether a person satisfies a criterion for admission, or in making any offer of admission, recipients are prohibited from the following: giving preference to one person over another on the basis of sex; applying numerical limitations upon the number or proportion of persons of either sex who may be admitted; or otherwise treating one individual differently from another on the basis of sex. *Id.*

#### **A. University Graduate Admissions Policies and Procedures**

The University of California Irvine's graduate admissions policies are governed by the Academic Senate regulations and other university policy set by the UCI Graduate Council. Admission to a specific graduate program is made by recommendation of a particular departmental graduate admissions committee.

The basic requirements for admission are a non-refundable application fee and an assessment of official transcripts of previous academic work, letters of recommendation, the results of the GRE and the applicant's statement of purpose by the Graduate Division.

The departmental graduate admissions committee considers the applicant's:

- Previous academic performance (minimum 3.0 GPA)
- Academic preparation for the graduate curriculum
- Intellectual capacity
- Motivation and maturity
- Areas of academic interest

- Identification of a faculty advisor

The objective of each departmental graduate admissions committee is to admit the applicants who are best qualified and whose interests and expertise best match that of the academic program.

<https://www.grad.uci.edu/forms/academics/Graduate-Policies-and-Procedures.pdf>

UCI Graduate Division waives the application fee for applicants who:

- Participated in Diversity Programs
- Demonstrated financial need
- Are US veterans

**Highlights:** The admission criteria seem standard for most graduate programs. The University has made efforts to promote diversity by providing fee waivers to applicants who participated in diversity programs through UCI or applicants who identified themselves as U.S. veterans. Additionally, the University has provided fee waivers for those that have demonstrated financial need. While there is no evidence of gender discrimination at this time, the Department recommends that this process is periodically evaluated for gender disparities.

#### **FINDING: In Compliance**

#### **B. Graduate Admissions Application**

The graduate admissions application asks for the applicant's gender. The response options are inclusive because they include transgender, gender queer, and different identity.

The graduate admissions application also references a required personal history statement for U.S. citizens and permanent residents in addition to a statement of purpose.

The application asks applicants to rank their preferences for financial assistance. The choices are graduate fellowship, nonresident tuition fellowship, research assistantship, teaching assistantship, and diversity fellowship. There is no explanation of what each option entails, the requirements, the awards process, or the compensation.

<https://www.grad.uci.edu/admissions/>

**Highlights:** The application appears to be inclusive of the gender spectrum. The application does not ask about other demographic information with the exception of disability status.

#### **FINDING: In Compliance**

#### **C. Department Specific Admissions**

#### **CEE Department Specific Admissions Process**

The CEE department admissions committee is broken down by the three areas with a chair for

each area. Faculty individually review applicants holistically using a qualitative method and make recommendations based on that review. There are no standard forms used in this evaluation process. Strongest factors include GPA, grades in specific courses, the reputation of the institution(s), GREs, and reference letters. The campus GPA minimum requirement is 3.0, but the Ph.D. applicants typically have at least a 3.6 undergraduate GPA.

**Highlights:** While there is no evidence of gender discrimination at this time, the Department recommends that this process is periodically evaluated due to the stated qualitative nature of the applicant evaluation process and the lack of standardized form use.

**FINDING: In Compliance**

**MAE Department Specific Admissions Process**

The MAE department takes a holistic view in evaluating and ranking applicants for admission to the MAE graduate program. There are no standard forms. Strongest factors include GPA, grades in specific courses, the reputation of the institution(s), GREs, and reference letters. In addition, the personal statement is scrutinized, and the research experience is examined. Even though there are no strict thresholds (besides the campus minimum GPA of 3.0/4.0), there is a general expectation that MS candidates should have a GPA of around 3.2/4.0 or higher and Ph.D. candidates should have a GPA of around 3.5/4.0 or higher. Quantitative GRE scores are expected to be in the range of 165-170, particularly for Ph.D. candidates.

**Highlights:** While there is no evidence of gender discrimination at this time, the Department recommends that this process be periodically evaluated due to the qualitative nature of the applicant evaluation process and the lack of standardized form use.

**FINDING: In Compliance**

**D. Applicant-Admitted-Enrolled Data**

Table 4 and 5 below, shows the number and percentage of students by gender, who applied to the graduate CEE program and MAE program, respectively, for both M.S. and Ph.D. degrees from AY2012 to AY2016. The tables also shows the number and percentage of male and female applicants who were admitted to the respective graduate programs, as well as the number and percentage of male and female applicants who enrolled in the program for the same time period.

**Table 4-CEE Department Applicant-Admitted-Enrolled Data**

		Total	Male		Female	
<b>2012-2013</b>	<b>No. of Applicants</b>	472	308	65%	164	35%
	<b>No. Admitted</b>	109	71	65%	38	35%
	<b>No. Enrolled</b>	33	23	70%	10	30%
<b>2013-2014</b>	<b>No. of Applicants</b>	489	305	62%	184	38%
	<b>No. Admitted</b>	177	105	59%	72	41%

	<b>No. Enrolled</b>	65	37	57%	28	43%
<b>2014-2015</b>	<b>No. of Applicants</b>	543	350	64%	193	36%
	<b>No. Admitted</b>	315	199	63%	116	37%
	<b>No. Enrolled</b>	93	57	61%	36	39%
<b>2015-2016</b>	<b>No. of Applicants</b>	509	333	65%	176	35%
	<b>No. Admitted</b>	193	126	65%	67	35%
	<b>No. Enrolled</b>	42	26	62%	16	38%
<b>2016-2017</b>	<b>No. of Applicants</b>	489	310	63%	179	37%
	<b>No. Admitted</b>	224	138	62%	86	38%
	<b>No. Enrolled</b>	60	45	75%	15	25%

**Highlights:** There is a disparity between males and female number of applicants, number of admitted, and number enrolled. The Department recommends further scrutiny of the recruitment, admissions, and enrollment process to determine if gender discrimination is a contributing factor to the disparity. While there is no mandated training for faculty with respect to unconscious bias training, faculty DECADE (Diverse Educational Community and Doctoral Experience) mentors do meet with all program admissions committees to discuss various issues including bias.

**FINDING: In Compliance**

**Table 5-MAE Department Applicant-Admitted-Enrolled Data**

		<b>Total</b>	<b>Male</b>		<b>Female</b>	
<b>2012-2013</b>	<b>No. of Applicants</b>	501	437	87%	64	13%
	<b>No. Admitted</b>	126	105	83%	21	17%
	<b>No. Enrolled</b>	51	46	90%	5	10%
<b>2013-2014</b>	<b>No. of Applicants</b>	584	486	83%	98	17%
	<b>No. Admitted</b>	150	117	78%	33	22%
	<b>No. Enrolled</b>	47	36	77%	11	23%
<b>2014-2015</b>	<b>No. of Applicants</b>	724	594	82%	130	18%
	<b>No. Admitted</b>	161	126	78%	35	22%
	<b>No. Enrolled</b>	73	56	77%	17	23%
<b>2015-2016</b>	<b>No. of Applicants</b>	638	550	86%	87	14%
	<b>No. Admitted</b>	120	96	80%	24	20%
	<b>No. Enrolled</b>	42	29	69%	13	31%
<b>2016-2017</b>	<b>No. of Applicants</b>	636	533	84%	103	16%
	<b>No. Admitted</b>	129	103	80%	26	20%
	<b>No. Enrolled</b>	46	36	78%	10	22%

**Highlights:** Significant disparities exist between male and female applicant-admitted-enrolled ratios. The Department recommends further scrutiny of the recruitment, admissions, and enrollment process to determine if gender discrimination is a contributing factor to the disparity. While there is no mandated training for faculty with respect to unconscious bias training, faculty

DECADE mentors do meet with all program admissions committees to discuss various issues including bias.

**FINDING: In Compliance**

**IV. Financial Assistance**

DOE and NSF Title IX implementing regulations state that in providing financial assistance to any of its students, a recipient shall not, on the basis of sex, provide different amounts or types of such assistance, limit eligibility for such assistance, apply different criteria, or otherwise discriminate. 10 C.F.R. § 1042.430 and 45 C.F.R. § 618.310. The OCR and ODI evaluated the different types of financial assistance made available by the respective Departments to its students, including financial recruitment incentives, to determine compliance with this provision.

**A. Financial Assistance by Degree and Gender**

**Tables 6-10--CEE Financial Assistance**

<b>CEE Financial Assistance 2012-2013</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	2	\$29,081
Male Ph.D.	11	\$26,424
<b>Total</b>	<b>13</b>	<b>\$27,753</b>
Female MS	1	\$37,708
Female Ph.D.	10	\$18,548
<b>Total</b>	<b>11</b>	<b>\$28,128</b>

<b>CEE Financial Assistance 2013-2014</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	7	\$6,571
Male Ph.D.	12	\$31,869
<b>Total</b>	<b>19</b>	<b>\$19,220</b>
Female MS	16	\$12,863
Female Ph.D.	5	\$33,533
<b>Total</b>	<b>21</b>	<b>\$23,198</b>

<b>CEE Financial Assistance 2014-2015</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	9	\$21,290
Male Ph.D.	9	\$34,127
<b>Total</b>	<b>18</b>	<b>\$27,709</b>
Female MS	7	\$15,411
Female Ph.D.	5	\$47,317
<b>Total</b>	<b>12</b>	<b>\$31,364</b>

<b>CEE Financial Assistance 2015-2016</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	2	\$5,000
Male Ph.D.	11	\$44,738
<b>Total</b>	<b>13</b>	<b>\$24,869</b>
Female MS	8	\$10,378
Female Ph.D.	9	\$39,030
<b>Total</b>	<b>17</b>	<b>\$24,704</b>

<b>CEE Financial Assistance 2016-2017</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	1	\$40,916
Male Ph.D.	10	\$38,271
<b>Total</b>	<b>11</b>	<b>\$39,594</b>
Female MS	1	\$25,815
Female Ph.D.	4	\$36,345
<b>Total</b>	<b>5</b>	<b>\$31,080</b>

**Highlights:** In every year except AY2016, the female students receive equitable or more aid overall than the male students.

**FINDING: In Compliance**

**Tables 11-15--MAE Financial Assistance**

<b>MAE Financial Assistance 2012-2013</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	8	\$40,500
Male Ph.D.	17	\$39,878
<b>Total</b>	<b>24</b>	<b>\$40,189</b>
Female MS	2	\$33,700
Female Ph.D.	4	\$38,700
<b>Total</b>	<b>6</b>	<b>\$36,200</b>

<b>MAE Financial Assistance 2013-2014</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	6	\$31,200
Male Ph.D.	9	\$38,533
<b>Total</b>	<b>15</b>	<b>\$34,867</b>
Female MS	3	\$46,267
Female Ph.D.	4	\$35,207
<b>Total</b>	<b>7</b>	<b>\$40,737</b>



<b>MAE Financial Assistance 2014-2015</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	0	\$0
Male Ph.D.	45	\$38,772
<b>Total</b>	<b>45</b>	<b>\$38,772</b>
Female MS	1	\$46,856
Female Ph.D.	10	\$41,260
<b>Total</b>	<b>11</b>	<b>\$44,058</b>

<b>MAE Financial Assistance 2015-2016</b>		
	<b># of Students</b>	<b>Avg. Amount Received</b>
Male MS	0	\$0
Male Ph.D.	24	\$40,234
<b>Total</b>	<b>24</b>	<b>\$40,234</b>
Female MS	0	0
Female Ph.D.	10	\$42,248
<b>Total</b>	<b>10</b>	<b>\$42,248</b>

<b>MAE Financial Assistance 2016-2017</b>		
	<b># of Students</b>	<b>Avg. Amount \$ Received</b>
Male MS	0	\$0
Male Ph.D.	34	\$45,833
<b>Total</b>	<b>34</b>	<b>\$45,833</b>
Female MS	0	\$0
Female Ph.D.	10	\$45,956
<b>Total</b>	<b>10</b>	<b>\$45,956</b>

**Highlights:** In every year except AY2012, the female students receive equitable or more aid overall than the male students.

**FINDING: In Compliance**

**B. TA/GSR/Reader Positions by Gender**

**Table 16-CEE TA/GSR/Reader Male-Female Ratios**

<b>CEE</b>									
		<b>TA</b>		<b>GSR</b>		<b>Reader</b>		<b>Total</b>	
<b>2012-2013</b>	<b>M</b>	17	68%	32	74%	12	75%	61	73%
	<b>F</b>	8	32%	11	26%	4	25%	23	27%
<b>2013-2014</b>	<b>M</b>	22	73%	19	61%	8	62%	49	66%
	<b>F</b>	8	27%	12	39%	5	38%	25	34%
<b>2014-2015</b>	<b>M</b>	24	65%	22	63%	6	46%	52	61%
	<b>F</b>	13	35%	13	37%	7	54%	33	39%

<b>2015-2016</b>	<b>M</b>	20	61%	34	69%	5	42%	59	63%
	<b>F</b>	13	39%	15	31%	7	58%	35	37%
<b>2016-2017</b>	<b>M</b>	17	63%	18	51%	9	90%	44	61%
	<b>F</b>	10	37%	17	49%	1	10%	28	39%

Note. M stands for Male and F stands for Female

**Highlights:** Female students are more likely to receive a GSR position than any of the other potential roles. GSR positions are generally seen as more beneficial to the recipient because of the research experience gained through this position.

### FINDINGS: In Compliance

**Table 17-MAE TA/GSR/Reader Male-Female Ratios**

MAE									
		TA		GSR		Reader		Total	
<b>2012-2013</b>	<b>M</b>	32	80%	39	78%	2	100%	73	79%
	<b>F</b>	8	20%	11	22%	0	0%	19	21%
<b>2013-2014</b>	<b>M</b>	44	90%	36	78%	3	60%	83	83%
	<b>F</b>	5	10%	10	22%	2	40%	17	17%
<b>2014-2015</b>	<b>M</b>	40	80%	30	75%	4	67%	74	77%
	<b>F</b>	10	20%	10	25%	2	33%	22	23%
<b>2015-2016</b>	<b>M</b>	44	80%	29	74%	2	67%	75	77%
	<b>F</b>	11	20%	10	26%	1	33%	22	23%
<b>2016-2017</b>	<b>M</b>	38	79%	28	62%	5	100%	71	72%
	<b>F</b>	10	21%	17	38%	0	0%	27	28%

**Highlights:** Female students are more likely to receive a GSR position than any of the other potential roles. There is a gender disparity here but it is smaller than the graduate enrollment numbers. As previously stated, GSR positions are generally seen as more beneficial to the recipient because of the research experience gained through this position.

### FINDINGS: In Compliance

#### V. Student Enrollment

DOE Title IX implementing regulations prohibit recipients of financial assistance from discriminating on the basis of sex in the recruitment of students. 10 C.F.R. § 1042.310 (2013). To determine whether the CEE and MAE Departments were in compliance with this provision, the OCR reviewed the student enrollment policies, procedures, and data of the CEE and MAE Departments.

## A. Full-time to Part-time Data Comparison

**Table 18-CEE Full-time to Part-time Data Comparison**

CEE Enrollment						
		Total	Male		Female	
2012	Full Time	115	78	68%	37	32%
	Part Time	10	5	50%	5	50%
2013	Full Time	153	98	64%	55	36%
	Part Time	8	4	50%	4	50%
2014	Full Time	180	115	64%	65	36%
	Part Time	26	17	65%	9	35%
2015	Full Time	146	94	64%	52	36%
	Part Time	25	14	56%	11	44%
2016	Full Time	161	110	68%	51	32%
	Part Time	9	5	56%	4	44%

**Highlights:** There is no evidence that gender has an effect on the PT or FT status of the students.

**FINDING: In Compliance**

**Table 19-MAE Full-time to Part-time Data Comparison**

MAE Enrollment						
		Total	Male		Female	
2012	Full Time	131	116	89%	15	11%
	Part Time	10	9	90%	1	10%
2013	Full Time	125	104	83%	21	17%
	Part Time	20	19	95%	1	5%
2014	Full Time	164	132	80%	32	20%
	Part Time	7	6	86%	1	14%
2015	Full Time	141	105	74%	36	26%
	Part Time	13	12	92%	1	8%
2016	Full Time	138	102	74%	36	26%
	Part Time	7	7	100%	0	0%

**Highlights:** There has been a steady improvement in the number of females that attend full-time. While there is no evidence that there is gender discrimination, the Department recommends further evaluation due to the appearance that female students are less likely to enroll PT than their male counterparts. There could be gender-related reasons for this difference that might be mitigated if identified.

**FINDING: In Compliance**

## B. Department Degree Completion Rates (Master/Ph.D.)

**Table 20-CEE Department Degree Completion Rates (Master/Ph.D.)**

CEE DEPARTMENT DEGREE COMPLETION RATES						
Academic Year	Degree	Total	Male	% of Total	Female	% of Total
2012-2013	Master	36	22	61%	14	39%
	Ph.D.	12	5	42%	7	58%
2013-2014	Master	36	20	56%	16	44%
	Ph.D.	14	12	86%	2	14%
2014-2015	Master	59	33	56%	26	44%
	Ph.D.	20	15	75%	5	25%
2015-2016	Master	70	40	57%	30	43%
	Ph.D.	14	13	93%	1	7%
2016-2017	Master	20	13	65%	7	35%
	Ph.D.	7	2	29%	5	71%
TOTAL	Master	221	128	58%	93	42%
	Ph.D.	67	47	70%	20	30%

**Highlights:** There is a 40% disparity between the number of female Ph.D. recipients and the number of male Ph.D. degree recipients. While there is no evidence of gender discrimination, the presence of a disparity is an indication that there could be. The Department's recommendation is to evaluate the completion rates annually to look for barriers to completion for female master's and doctoral students.

**FINDING: In Compliance**

**Table 21-MAE Department Degree Completion Rates (Master/Ph.D.)**

MAE DEPARTMENT DEGREE COMPLETION RATES						
Academic Year	Degree	Total	Male	% of Total	Female	% of Total
2012-2013	Master	35	33	94%	2	6%
	Ph.D.	18	16	89%	2	11%
2013-2014	Master	44	39	89%	5	11%
	Ph.D.	18	15	83%	3	17%
2014-2015	Master	50	39	78%	11	22%
	Ph.D.	13	12	92%	1	8%
2015-2016	Master	63	48	76%	15	24%
	Ph.D.	7	7	100%	0	0%
2016-2017	Master	18	9	50%	9	50%
	Ph.D.	16	8	50%	8	50%
TOTAL	Master	210	168	80%	42	20%
	Ph.D.	72	58	81%	14	19%

**Highlights:** There is a 60% disparity between the number of female Master’s degree recipients and the number of male Master’s degree recipients. There is a 62% disparity between the number of female Ph.D. recipients and the number of male Ph.D. recipients. While there is no specific evidence of gender discrimination, the presence of a disparity is an indication that there could be. The Department’s recommendation is to evaluate the completion rates annually to look for barriers to completion for female master’s and doctoral students.

**FINDING: In Compliance**

**C. Leave of Absence and Re-Enrollment Policies**

DOE and NSF Title IX implementing regulations state that “no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any academic . . . or other education program or activity operated by a recipient” of financial assistance. 10 C.F.R. § 1042.400 and 45 C.F.R. § 618.400. The Department and NSF evaluated the CEE and MAE Department’s leave of absence, re-enrollment, and maternity/paternity leave policies to determine whether they comply with this general provision of nondiscrimination on the basis of sex.

**Leave of Absence Policy**

A Leave of Absence (LOA) is intended to cover the temporary interruption of the student's academic program and may be granted for up to one academic year (3 quarters).

A LOA can be granted for one of the following reasons:

- Serious illness or other temporary disability.
- Concentration on an occupation not directly related to the student's academic program.
- Responsibilities related to family obligations.
- Temporary interruption of the student's academic program for other appropriate reasons.

LOA policy does NOT apply if a student:

- Will be absent from the campus and outside California while continuing to pursue graduate research or scholarly activity.
- Must leave the academic program for more than three quarters. Under such circumstances students should withdraw and apply for readmission at the time they expect to resume graduate study at UCI.
- Requests such action retroactively.
- Has not completed at least one-quarter of graduate study at UCI.
- Has not demonstrated satisfactory academic progress

<https://www.grad.uci.edu/forms/academics/Graduate-Policies-and-Procedures.pdf>

**D. UC Family Accommodations for Childbearing and Childrearing**

<https://www.ucop.edu/academic-personnel-programs/files/apm/apm-760.pdf>

UC's contract with the UAW provides salaried ASEs (Teaching Assistants and Teaching Associates) appointed for a minimum of 25% time for the duration of the quarter up to six weeks paid leave for childbirth. This benefit has been extended to eligible graduate students appointed as Graduate Student Researchers (GSRs) for a minimum of 25% time for the duration of the quarter. A central childbirth accommodation fund has been established to pay the salaries of eligible ASEs and GSRs during the time they are on leave.

For students on fellowship, there is no service component, i.e., employment is not necessary and, the student is getting some level of support via the fellowship. Students must be enrolled full-time to qualify for the six weeks of paid leave or for fellowship support; full-time enrollment is defined as 12 units. A student on fellowship typically receives a stipend and often finds it unnecessary to go on a formal leave. If a student takes a leave of absence for an entire term(s) for purposes of childbearing, they are ineligible for any additional concurrent university support and, if they wish to retain health insurance (GSHIP), they are responsible for enrolling and paying for the insurance on their own. The use of one policy precludes the use of the other at the same time for the same underlying event. However, the use of one policy does not preclude the use of the other policy at a later time and for a separate event.

<https://www.grad.uci.edu/funding/employment/child-care.php>

[http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-760.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-760.pdf)

**Highlights:** The Childbirth Accommodation Fund covers female graduate students, and the University provides all enrolled students with options for childcare reimbursement.

## **FINDING: In Compliance**

### **E. Re-Entry Procedures**

Students who wish to re-enter into the graduate program must submit a complete graduate application. While there is no specific process for re-entry, the CEE and MAE departments' admissions review takes into account the student's previous academic record, in addition to updated application materials in order to create a qualitative review.

## **FINDING: In Compliance**

### **F. Graduate Examination and Writing Requirements**

DOE and NSF Title IX implementing regulations state that "no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any academic, extracurricular, research, occupational training, or other education program or activity operated by a recipient" of financial assistance. 10 C.F.R. § 1042.400 (2013) and 45 C.F.R. § 618.400. The Department and NSF evaluated the CEE and MAE Departments' administration of the oral candidacy examination, the dissertation defense, and the dissertation approval process to determine whether they comply with this general provision of nondiscrimination on the basis of sex.

## **UC Irvine Examinations Policy**

Examinations are required for an advanced degree, including language and comprehensive examinations and qualifying or final examinations for the Ph.D. or professional doctorate degree. They are administered during the academic session that student is registered for. Doctoral preliminary examinations and M.S. comprehensive examinations are under the stipulation of each individual department.

Students have the option of taking a second examination in the event of unsatisfactory performance on a critical examination. The second examination may have a format different from the first, but the substance should remain the same. A student whose performance on the second attempt is also unsatisfactory, or who does not undertake a second examination within a reasonable period of time, is subject to academic disqualification. A third examination may be given only with the approval of the departmental graduate committee and the Graduate Dean.

Students may petition to be given an examination in lieu of taking a specific course if he/she feels that his/her knowledge of the subject is sufficient. The petition will be approved if the student has registered for at least four units of graduate-level work, has a 3.0 or better cumulative grade point average

The following conditions must be met before such a petition can be approved:

- The student must be registered for at least four units of upper-division and/or graduate-level work at the time the examination is taken.
- The student's overall scholarship must be satisfactory (3.0 or better cumulative grade point average).
- The course itself must be one that can be tested by examination. Graduate seminars and research courses cannot be taken for credit by examination.

<http://engineering.uci.edu/files/student-handbook.pdf>

**Highlights:** The required exams are offered each semester. The option to retake the exam is offered prior to academic disqualification. Students can test out of a course by petitioning for a special examination.

### **FINDINGS: In Compliance**

## **VI. Academic Climate**

### **A. Administrator and Faculty Interviews**

#### **Faculty**

Faculty members from both departments viewed the University's dual career hiring program and Stop the Clock policy positively. The dual career hiring program, also known as the Career Partners program, is a faculty recruitment tool that allows academic partners to be hired as an incentive for coming to work UC Irvine. The Stop the Clock for Child Care policy allows an

academic appointee to stop the clock during the probationary period to care for any child who is, or becomes part of a faculty member's family. These respective policies and programs address traditionally gender-related barriers and demonstrate the University's commitment to the recruitment, promotion, and retention of female faculty.

UC Irvine offers a robust selection of childcare services on campus. The UC Irvine Childcare Services offers five childcare options: Extended Day Center, Early Childhood Education Center, Children's Center, Verano Preschool, and Infant Toddler Center. UCI Housing Childcare Program offers three childcare options: After-School Program, Playgroup, and Verano Summer Program. University students can receive a subsidy for some of the childcare services on campus. Additionally, there is the University Montessori School of Irvine which gives preference to University-affiliated community members. Faculty stated that it is hard to get into the childcare program, it is expensive, but noted that it is great that it exists on campus. In a follow-up interview with UC Irvine's Vice Provost for Academic Equity, Diversity & Inclusion, Doug Haynes, he confirmed that there is a waiting list for childcare and that the cost is on par or lower with community childcare options. The University should be commended for their efforts to provide accessible childcare for faculty, staff, and students. On-campus childcare increases class attendance and reduces the amount of time that faculty and staff have to take off work to care for their children.

A few other positive notes from the faculty interviews include:

- Faculty expressed satisfaction with the way Title IX issues are handled by the Title IX Coordinator's Office when they arise.
- Faculty stated that they did not feel their gender affected any part of their hiring process or in gaining promotion/tenure.

Some areas of improvement expressed in the faculty interviews include:

- A few female faculty expressed frustration with getting their labs up and running when they first arrived at the institution.
- Two faculty members stated that the guidelines for making tenure are unclear.
- Several faculty stated that the security of the engineering tower building is lacking after hours. Specifically, the doors are left unlocked; there have been thefts, trespassers, and slow police response times. The Title IX Review team notified UC Irvine while onsite of this finding. UC Irvine addressed these concerns immediately.

Some suggested best practices by faculty include:

- Formal STEM female faculty mentoring program.
- More financial support and fellowships for female graduate students to attract higher numbers.
- Cultural training for international graduate students as a means to enrich the female professor-male student academic relationship.

## **Administrators**

The Administrators described UCI CARE (Campus Assault Resources and Education) as a model program in the UC system. This program provides free and confidential support services to



members of the UCI community impacted by sexual assault, relationship abuse, family violence and stalking. This program demonstrates the University’s commitment to going above and beyond compliance with Title IX.

The Diverse Educational Community and Doctoral Experience (DECADE) program was mentioned as a proactive, successful effort at mitigating unconscious bias. The DECADE program provides faculty mentorship with a focus on graduate admissions, mentoring current students, and engaging faculty with the graduate student population to create an inclusive environment. This program reveals the extent to which UC Irvine has institutionalized efforts to support and promote diversity among doctoral students.

**B. Student Interviews**

The majority of the students that were interviewed knew of Title IX and had a basic understanding of what it encompasses. The students identified the Title IX Coordinator by name or explained how to contact the Title IX office if the necessity arose. Most of the students stated that they believed they had training at least once since they have been at UC Irvine.

All of the students interviewed did not feel their gender played any role in their recruitment, application, financial aid, or admissions process. Additionally, all of the students expressed satisfaction with their faculty advisors.

The majority of the students knew of another student in their department that was married and/or had children. Of note, only one of the students interviewed identified the student they were thinking of as female.

Seventy-five percent of the students interviewed did not know of the childcare available on campus. One student commented that it is too expensive.

The majority of the students confirmed that the campus was safe and they were aware of the safety programs such as blue lights and campus police escorts. Several students mentioned the vagrancy problem in the Engineering Tower, but none expressed impact on their feelings of safety on campus.

**C. Research Groups/Projects Composition**

**Table 22-CEE Department Research Groups/Projects Composition**

<b>CEE DEPARTMENT</b>					
<b>Research Groups/Projects Composition</b>					
<b>Research Group/Project</b>	<b>Total</b>	<b>Male</b>	<b>% of Total</b>	<b>Female</b>	<b>% of Total</b>
Structure	17	13	76%	4	24%
Transportation	27	18	67%	9	33%
Water	29	18	62%	11	38%
Environment	17	10	59%	7	41%
<b>TOTAL</b>	<b>90</b>	<b>59</b>	<b>66%</b>	<b>31</b>	<b>34%</b>

**Highlights:** The water and environment research groups have the highest number of female students. The male to female ratio in the research groups is comparable to the male to female ratio in the overall CEE program. The Department encourages UC Irvine to examine the process that students must go through in order to get selected for a research group to determine if there are any gender-related barriers.

**FINDINGS: In Compliance**

**Table 23-MAE Department Research Groups/Projects Composition**

<b>MAE DEPARTMENT</b>					
<b>Research Groups/Projects Composition</b>					
<b>Research Group/Project</b>	<b>Total</b>	<b>Male</b>	<b>% of Total</b>	<b>Female</b>	<b>% of Total</b>
Nanoscale Mechanics and Materials Lab	6	1	17%	5	83%
Nano Thermal Energy Research	6	4	67%	2	33%
Aeronautics, Dynamics, and Control Lab	6	6	100%	0	0%
Lasers, Flames, and Aerosols Group	10	7	70%	3	30%
Bio robotics Lab	8	6	75%	2	25%
Aeroacoustics Lab	2	2	100%	0	0%
Combustion, Fluid Dynamics, and Propulsion Group	6	5	83%	1	17%
Computational Environmental Science Lab	2	2	100%	0	0%
Multiphase Heat Transfer and Fluid Dynamics Group	1	1	100%	0	0%
Renewable Energy Resources Group	5	3	60%	2	40%
Turbulence Group	1	1	100%	0	0%
Microsystems Lab	9	7	78%	2	22%
Electric Propulsion Group	1	1	100%	0	0%
UCI Combustion Lab	6	5	83%	1	17%
National Fuel Cell Research Center	7	5	71%	2	29%
Advanced Power and Energy Program	14	7	50%	7	50%
Cooperative Systems Lab	6	5	83%	1	17%
Robotics and Automation Lab	4	3	75%	1	25%
Control and Dynamical Systems Group	4	1	25%	3	75%
Mechanics of Materials and Structures	5	3	60%	2	40%
Nanoscale Multiphase Transport	6	5	83%	1	17%
Computational Fluid Dynamics	4	2	50%	2	50%

Unnamed Group 1	4	3	75%	1	25%
Unnamed Group 2	1	1	100%	0	0%
Unnamed Group 3	5	4	80%	1	20%
Unnamed Group 4	2	2	100%	0	0%
Unnamed Group 5	1	0	0%	1	100%
Unnamed Group 6	0	0	0%	0	0%
<b>TOTAL</b>	<b>132</b>	<b>92</b>	<b>70%</b>	<b>40</b>	<b>30%</b>

**Highlights:** Female students make up 50% or greater of the Nanoscale Mechanics and Materials Lab, Advanced Power and Energy Program, Control and Dynamical Systems Group, Computational Fluid Dynamics groups. This is an excellent accomplishment given the large disparity between the number of male and female students in the overall MAE program. The Department encourages UC Irvine to examine the process that students must go through to get selected for a research group to determine if there are any gender-related barriers.

## FINDINGS: In Compliance

### VII. Title IX Regulation Compliance

DOE and NSF Title IX implementing regulations require each recipient of financial assistance to designate at least one employee to coordinate its efforts to comply with and to carry out its responsibilities under Title IX and DOE and NSF Title IX implementing regulations. 10 C.F.R. § 1042.135(a) (2013) and 45 C.F.R. § 618.135(a).

#### A. Title IX Coordinator and Investigator(s) Identification

**Table 24-25--Title IX Coordinators and Investigators**

<b>TITLE IX COORDINATORS</b>					
	<b>First Name</b>	<b>Last Name</b>	<b>Phone #</b>	<b>Email</b>	<b>Still at Institution?</b>
<b>2012-2013</b>	Kirsten	Quanbeck	(949) 824-5594	<a href="mailto:oeod@uci.edu">oeod@uci.edu</a>	Yes
<b>2013-2017</b>	Kirsten	Quanbeck	(949) 824-5594	<a href="mailto:oeod@uci.edu">oeod@uci.edu</a>	Yes
	Theresa	Truman	(949) 824-5594	<a href="mailto:oeod@uci.edu">oeod@uci.edu</a>	Yes

<b>TITLE IX INVESTIGATORS</b>		
<b>Name</b>	<b>Title</b>	<b>Years</b>
Kirsten Quanbeck	Assistant Executive Vice Chancellor; Director of OEOD and Title IX / Sexual Harassment Officer	2012-present
Gwendolyn Kuhns Black	Senior Associate Director, OEOD	2012-present
Theresa Truman	Deputy Title IX Officer / Senior Investigator, OEOD	2012-present
Janet Prichard	Senior Investigator, OEOD	2012-2014
Raid Faraj	Senior Investigator, OEOD	2012-present

Cynthia Inda	Senior Investigator, OEOD	2013-2016
Dawnita Franklin	Senior Investigator, OEOD	2013-2017
Janis Wallace	Senior Investigator, OEOD	2013-2014 2015-2016
Edgar Dormitorio	Director, Office of Student Conduct	2012-2014
Mario Garibay	Student Conduct Officer, Office of Student Conduct	2012-2014
Tierney Anderson	Senior Investigator, OEOD	2015- present
Gregory Timberlake	Senior Investigator, OEOD	2015-present
Erik Pelowitz	Senior Investigator, OEOD	2016-2019

**Highlights:** It was very clear from the site visit that UC Irvine has a dedicated Title IX coordination team of subject matter specialists, led by a Title IX coordinator that has the appropriate background and training required to execute a successful and compliant program. This demonstrates the university’s recognition of its critical role and responsibility to address issues of sexual harassment, campus assault, and violence.

**FINDINGS: In Compliance**

**CEE and MAE Departmental Title IX Coordinators/Investigators**

There are no specific designees for the CEE or MAE departments. As of September 2013, the Office of Equal Opportunity and Diversity (OEOD) is the sole office designated by the University to receive, investigate, and process Title IX complaints.

**Highlights:** University policy mandates that all employees, with the exception of Confidential Resources, must report Title IX complaints to OEOD. The University’s definition of an employee that has a responsibility to report includes resident assistants, graduate teaching assistants, and all other student employees. A policy that includes potential grant recipients and participants in the federal work-study program demonstrates that UC Irvine understands the broader scope of Title IX as it relates to federal funding of educational programs and services.

**FINDINGS: In Compliance**

**B. University Notification of Students, Faculty, and Staff**

**Students:** Incoming students (graduate and undergraduate) are required to complete an online prevention and response training upon their enrollment at the University. Additionally, new students are provided prevention and response education as part of their orientation. Annually, all students are provided with a reminder from the Chancellor and the Title IX Officer about the University’s commitment to preventing and responding to discrimination, harassment, and sexual violence; the policies prohibiting sex discrimination, harassment, and sexual violence; reporting options; responsible employee obligations; and resources. Additionally, awareness events and targeted trainings are provided to students throughout the year.

**Faculty and Staff:** New faculty and staff are required to attend prevention and response training within six weeks of their hire. In compliance with California state law AB1825, all faculty and staff supervisors are provided two hours of prevention and response training every two years. Non-supervisor employees are similarly provided one hour of prevention and response training every two years. These trainings are offered in-person and online. Annually, all faculty and staff are provided with a reminder from the Chancellor and the Title IX Officer about the University's commitment to preventing and responding to discrimination, harassment, and sexual violence; the policies prohibiting sex discrimination, harassment, and sexual violence; reporting options; responsible employee obligations; and resources. Additionally, awareness events and targeted trainings are provided to the University community throughout the year.

**Highlights:** UCI's prevention and response education and awareness programs include a statement that prohibits sex discrimination, sexual harassment, and sexual violence; definitions of all prohibited conduct and consent; information about reporting options, confidential resources, risk reduction, and support services; bystander intervention training; and responsible employee obligations. The Department and NSF deem these programs as a vital component to preventing and appropriately responding to incidents of sex discrimination, harassment, and sexual violence. The Department and NSF commend UC Irvine for exceeding what is required by federal law and DOE regulations in regards to notification and prevention/response education.

## **FINDINGS: In Compliance**

### **C. University Policy on Sexual Violence and Sexual Harassment**

The University of California system has a policy on sexual violence and sexual harassment that applies to faculty, students, and staff at all University of California campuses. This policy addresses the University of California's responsibilities and procedures related to Title IX to ensure an equitable and inclusive education and employment environment free of discrimination, harassment, and sexual violence. The policy defines conduct prohibited by the University of California and explains the administrative procedures the University uses to resolve reports of prohibited conduct. This policy can be found at <http://policy.ucop.edu/doc/4000385/SVSH>.

The University of California, Irvine implemented local policies and procedures for prohibiting and responding to discrimination, harassment, and sexual violence. They can be found at the links below:

#### **UCI Guidelines for Reporting and Responding to Reports of Sex Offenses**

<http://www.policies.uci.edu/policies/procs/700-17.html>

#### **UCI Guidelines for Reporting and Responding to Reports of Discrimination and Harassment**

<http://www.policies.uci.edu/policies/procs/700-18.html>

#### **UCI Student Adjudication Model for Sex Offenses and Sexual Harassment**

[https://aisc.uci.edu/policies/svsh/UCI\\_local\\_procedures\\_2-9-16.pdf](https://aisc.uci.edu/policies/svsh/UCI_local_procedures_2-9-16.pdf)

Additional policies and procedures related to the filing of Title IX complaints can be found at the links below:

**UC Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment**

<http://policy.ucop.edu/doc/4000376/NondiscrimAffirmAct>

**UC Nondiscrimination Policy Statement Regarding Student-Related Matters**

[https://aisc.uci.edu/policies/pacaos/appendix\\_c.php](https://aisc.uci.edu/policies/pacaos/appendix_c.php)

**UC Academic Personnel Manual, Section 015**

[http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-015.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-015.pdf)

**UC Academic Personnel Manual, Section 035**

[http://www.ucop.edu/academic-personnel-programs/\\_files/apm/apm-035.pdf](http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-035.pdf)

**Highlights:** The University of California system and UC Irvine have a robust set of policies that meet the requirements of federal law and DOE regulations.

**FINDINGS: In Compliance**

**D. UC Irvine Policy and Procedure Updates**

**Table 26-UC Irvine Policy and Procedure Updates**

<b>University of California Irvine</b>			
<b>Document</b>	<b>Date of Last Update</b>	<b>Review/Update Frequency</b>	<b>Administrative Reviewer/Updater</b>
UCI Guidelines for Reporting and Responding to Reports of Sex Offenses	February 2016	As Needed	UCI Office of Equal Opportunity and Diversity
UCI Guidelines for Reporting and Responding to Reports of Discrimination and Harassment	February 2016	As Needed	UCI Office of Equal Opportunity and Diversity
UCI Student Adjudication Model for Sex Offenses and Sexual Harassment	February 2016	As Needed	UCI Office of Academic Integrity & Student Conduct
UC Sexual Violence and Sexual Harassment Policy	November 2016	As Needed	University of California Office of the President

UC Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment	July 2013	As Needed	University of California Office of the President
UC Nondiscrimination Policy Statement Regarding Student-Related Matters	October 2008	As Needed	University of California Office of the President
UC Academic Personnel Manual, Section 015	July 2013	As Needed	University of California Office of the President
UC Academic Personnel Manual, Section 035	February 2014	As Needed	University of California Office of the President

The MAE and CEE Departments do not have the aforementioned policies separate from the University of California Irvine and the University of California System.

**Highlights:** All of the University Title IX-related policies have been updated within the last 10 years. The Department and NSF recommends that UC Irvine set a regular policy review schedule for institution specific policies. The Department and NSF also recommends that UC Irvine review the updated Title IX guidance issued by the US Department of Education.

**FINDINGS: In Compliance**

**E. UC System Self-Study**

**Table 27-UC System Self-Evaluation**

UNIVERSITY OF CALIFORNIA				
Date of Self-Evaluation	Responsible Administrator	Review	Actions Taken as a Result	Web Link to Study Report
May 2016	University of California Office of the President	UCI's campus procedures, practices, and relevant training were reviewed for compliance with the Department of Education's Guidance on Title IX, the UC System policies, and the CA State Audit Report from 2013-2014.	Unknown	Unknown

**Highlights:** The University of California system has conducted a self-study on UC Irvine within the last 10 years. The Department and NSF recommend that UC Irvine set a schedule for regular self-studies in order to ensure compliance with the most updated federal law, guidance, and DOE and NSF regulation.

**FINDINGS: In Compliance**

**F. Resolution of Title IX-Related Complaints**

**Tables 28-32—University-wide Title IX Related Complaints (MAE and CEE Included)**

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Sexual Harassment</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	13	19	19	11	15*
<b>Avg. # Days to Resolution</b>	25	30	40	33	19*

\*Information is incomplete due to the timing of the information request to UC Irvine.

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Sexual Assault</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	2	9	8	3	1*
<b>Avg. # Days to Resolution</b>	212	53	55	89	113*

\*Information is incomplete due to the timing of the information request to UC Irvine.

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Sexual Misconduct</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	0	3	0	4	0*
<b>Avg. # Days to Resolution</b>	0	29	0	53	0*

\*Information is incomplete due to the timing of the information request to UC Irvine.

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Dating Violence</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	2	7	11	9	1*
<b>Avg. # Days to Resolution</b>	124	49	61	114	51*

\*Information is incomplete due to the timing of the information request to UC Irvine.

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Stalking</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	0	3	1	3	3*
<b>Avg. # Days to Resolution</b>	0	78	57	67	91*

\*Information is incomplete due to the timing of the information request to UC Irvine.



<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Discrimination Based on Sex, Gender, Gender Identity, Gender Expression</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	0	1	0	2	0*
<b>Avg. # Days to Resolution</b>	0	11	0	49	0*

\*Information is incomplete due to the timing of the information request to UC Irvine.

<b>University-Wide Title IX Related Complaints (Including MAE and CEE)</b>					
<b>Retaliation</b>					
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017
<b># of Complaints</b>	3	0	0	0	0*
<b>Avg. # Days to Resolution</b>	31	0	0	0	0*

\*Information is incomplete due to the timing of the information request to UC Irvine.

**Highlights:** The numbers of complaints in each category has decreased or remained steady over the 5 years according to the data presented. The average number of days to resolution is acceptable. The Department and NSF encourage the University to continue to monitor outcomes of complaints related to sex discrimination.

### **Findings: In Compliance**

### **VIII. Conclusion**

The Department of Energy and the National Science Foundation recognize the effort that UC Irvine has put forth in order to comply with Title IX of the Education Amendment of 1972 and the Department of Energy’s and the National Science Foundation’s regulations. The Title IX compliance review team acknowledges the following best practices at UC Irvine:

- The University’s collaborative approach to recruitment and institutional value that recruiting a diverse student population is everyone’s responsibility.
- The creation of fellowships directed at increasing the diversity of graduate students at UC Irvine.
- The admissions application attempt to be inclusive of the gender spectrum.
- The subject matter expertise on Title IX coordination team with leadership by a Title IX coordinator that has the appropriate background and training required to execute a successful and compliant program.
- The University policy mandates that all employees, with the exception of Confidential Resources, must report Title IX complaints to Title IX Coordinator.
- The inclusion of resident assistants, graduate teaching assistants, and all other student employees in the University’s definition of an employee that has a responsibility to report.
- The University’s Title IX-related policies have been updated within the last 10 years.
- The University of California system has conducted a self-study on UC Irvine within the last 10 years.
- UC Irvine has a “Stop the Clock” policy, a dual career hiring program, and robust on-campus child care service offerings.

- UCI CARE (Campus Assault Resources and Education) is a model program that provides free and confidential support services to members of the UCI community impacted by sexual assault, relationship abuse, family violence and/or stalking
- The Diverse Educational Community and Doctoral Experience (DECADE) program provides faculty mentorship with a focus on graduate admissions, mentoring current students, and engaging faculty with the graduate student population to create an inclusive environment.

While in overall compliance, the Title IX compliance review team has identified some areas in which further action could yield an even stronger level of compliance. The Department and NSF recommend the following:

- Examination of recruitment, admission, and enrollment processes to determine if there are any gender-related barriers negatively affecting the number of female applicants and enrolled students.
- Creation of an objective and clear process for the departmental graduate committee to utilize when evaluating applicants.
- Development of a standardized form for applicant evaluation process.
- Incorporation of a process for MAE graduate students that do not know any faculty prior to applying to UC Irvine to identify a faculty advisor prior to funding decisions. Faculty advisors that can provide support are the primary means that an MAE graduate student can get financial incentives.
- Investigation of the process that students must go through in order to get selected for a research group to determine if there are any gender-related barriers.
- Review of the completion rates annually to look for barriers to completion for female master's and doctoral students.