UC SEXUAL VIOLENCE AND SEXUAL HARASSMENT POLICY
INITIAL ASSESSMENT UNDER APPENDIX IV: DOE-COVERED CONDUCT

Did the Title IX Officer receive a “DOE Formal Complaint” from a qualified Complainant? The report must:
- allege conduct that occurred on or after August 14, 2020
- be in writing
- be made by the person who allegedly experienced the harassment
- be made by a person participating or attempting to participate in a University program or activity
- be against an identified Respondent
- request an investigation
- request an investigation
- allege DOE Sex-Based Misconduct (as defined in Appendix IV)

Must the Title IX Officer “dismiss” the DOE Formal Complaint?
Dismissal is required if the alleged conduct is not DOE-Covered Conduct, meaning it:
- doesn’t meet the definition of DOE Sex-Based Misconduct after all, or
- did not occur in a program or activity, or
- did not occur while Complainant was in the U.S.

Is the alleged conduct nonetheless DOE-Covered Conduct?
- occurred on or after August 14, 2020
- meets the definition of DOE Sex-Based Misconduct
- occurred in a program or activity
- occurred while Complainant was in the U.S.

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

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- occurred while Complainant was in the U.S.

Decision to Sign
The TIX Officer may decide to “sign” a DOE Formal Complaint themselves when:
- Complainant does not want investigation but TIX Officer determines it is necessary
- Complainant wants investigation, but cannot make DOE Formal Complaint because not participating in a program or activity (or trying to)
- Complainant’s identity is unknown

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

End of DOE process. Title IX Officer will continue initial assessment under SVSH Policy.

Title IX Officer will decide whether and how to continue resolution of dismissed allegations

Title IX Officer will open DOE Grievance Process or Alternative Resolution

Dismissal not required

Dismissal required

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