



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

December 14, 2018

P. Kay Lund PhD, Director
National Institutes of Health
Division of Biomedical Research Workforce
Office of Extramural Research
9000 Rockville Pike
Bethesda, MD 20892

Dear Director Lund:

This letter confirms the commitment of the University of California to ensure that proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices that may occur in connection with NIH institutional training grants (T15, T32, T34, T35, T36, T37, T90/R90, TL1, TL4), as requested in [Notice NOT-OD-19-029, Harassment and Discrimination Protections in NIH Training Applications](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-029.html) (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-029.html>).

It is the policy of the University of California to undertake affirmative action in employment, consistent with its obligations as a Federal contractor, for minorities and women, for persons with disabilities, and for protected veterans.

The University has on file with the HHS Office for Civil Rights (OCR) Form HHS-690, a one-time Assurance of Compliance (https://www.ucop.edu/research-policy-analysis-coordination/_files/assurances.pdf). This assurance is also affirmed by Authorized Organization Representatives (AOR) submitting grant proposals to NIH.

As Provost of the University of California, I affirm that proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices. The University has implemented the following Presidential policies:

- [UC Policy on Discrimination, Harassment, and Affirmative Action in the Workplace](https://policy.ucop.edu/doc/4000376/DiscHarassAffirmAction) (<https://policy.ucop.edu/doc/4000376/DiscHarassAffirmAction>)
- [UC Policy on Sexual Violence and Sexual Harassment](https://policy.ucop.edu/doc/4000385/SVSH) (<https://policy.ucop.edu/doc/4000385/SVSH>)
- [UC Policy on Reasonable Accommodation](https://policy.ucop.edu/doc/4010420/PPSM-81) (<https://policy.ucop.edu/doc/4010420/PPSM-81>)
- [UC Policy on Gender and Ethnicity Representation in Health Research](https://policy.ucop.edu/doc/2500495/HealthResGendr-Ethn) (<https://policy.ucop.edu/doc/2500495/HealthResGendr-Ethn>)

[Systemwide Employee Relations in Office of the President](https://www.ucop.edu/human-resources/staff/employee-relations-staff/eo-affirmative-action.html) (<https://www.ucop.edu/human-resources/staff/employee-relations-staff/eo-affirmative-action.html>) supports systemwide compliance with federal requirements for the provision of equal opportunity and affirmative

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action as it relates to race, color, creed, religion, national origin, citizenship, sex, age, marital status, sexual orientation, gender identity or expression, disability, or status as a disabled veteran or Vietnam-era veteran, or other protected veterans. In addition, each UC location employs Equal Employment Opportunity/Affirmative Action Diversity Administrators (<https://ucnet.universityofcalifornia.edu/contacts/eo-aa-da-contact-list.html>) to ensure University compliance with its obligations under federal statutes and regulations.

A systemwide Title IX office provides direction and support for Title IX offices at the ten UC campuses, the Lawrence Berkeley National Laboratory (LBNL), and the UC Office of the President. This office assists in implementing systemwide initiatives and best practices in harassment prevention and response. It also provides investigative support and development, and delivery of education and training to Title IX offices and other university partners involved in preventing and responding to sexual harassment and sexual violence. Each UC campus and location also has a Title IX officer who oversees compliance with the UC Policy on Sexual Violence and Sexual Harassment and other Title IX-related policies. UC's [Sexual Violence Prevention and Response website](http://sexualviolence.universityofcalifornia.edu/) (<http://sexualviolence.universityofcalifornia.edu/>) provides important guidance, including how to file a report of complaint, and each campus and location has a website.

University of California AORs have formal delegations of authority to solicit, negotiate, and/or accept extramural awards. As a condition of this delegated authority, and in accordance with NIH policy, AORs follow institutional procedures for requesting prior approval from NIH (or any agency) for a change in the status of the Program Director/Principal Investigator (PD/PI) or other senior/key personnel when such a change would affect the PI's ability to conduct the work; this includes administrative or disciplinary actions. Additionally, Sponsored Projects Offices provide training and guidance to PI/PDs and to school and departmental administrators to ensure that they are aware of sponsor policies and expectations, as well as the University's obligations. Sponsored Projects Offices communicate changes and updates to extramural policies and procedures to the research community.

The University takes seriously all reports of discriminatory misconduct, and works diligently to maintain policies that are fair to all parties concerned. As we seek funding to support our important training programs, the University will maintain its compliance with all relevant NIH policies.

Sincerely,



Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

cc: President Napolitano
Vice President Ellis
Interim Systemwide Title IX Coordinator Taylor
Complaint Resolution & Systemwide AA/EEO Compliance Specialist Sims
Associate Director DeMattos
Research Policy Manager Kusiak