# STRICTLY CONFIDENTIAL

## **REPORT OF INVESTIGATION AND FINDINGS**

Allegations of Violation of the University of California Policy on Sexual Harassment
September 26, 2014

I. Background and Allegations	
Complainant alleged that her coworker, Respondent Phillip Loya, subjected her to unwelcome touching on several occasions, from December 2012 to April 2014. and Loya are both UC Berkeley staff members in the alleged that during a happy hour event in December 2012 with other coworkers, Loya placed his hand on her thigh underneath a table, are began moving it upward until amoved his hand away. In May 2013, she spowith Loya privately and asked him to stop touching her, and he agreed. Subsequent alleged that Loya touched her on the back or shoulder three more times; in Fall 2013, January 2014, and while taking a group photo in April 2014.	er nd ke ly,
II. Procedural History	
complained about Loya's unwanted touching to her direct supervisor twice. On the second occasion in late July 2014, provided with resources, including the contact information for HR representative Jenee Jackson contacted Jackson, and discussed the allegations with her on August 14, 2014. The same day, Jackson referred allegations to the Office for the Prevention of Harassment and Discrimination (OPHD) for potential further investigation August 19, 2014, OPHD took the lead role in investigating allegations. The case was assigned to Complaint Resolution Officer Paula Raffaelli (the "Investigator") on August 29, 2014.	on
III. Interim Remedies	
Loya moved farther away from on September 14, 2014. The Investigator confirmed with on September 10, 2014, that and Loya will not work on any projects one-on-one, and that all communications between them will be through email or in staff meetings with other colleagues present. The Investigator also confirmed with on September 10, 2014, that Loya would not be placed in the interim director position while is . The	

Investigator confirmed that \_\_\_\_\_, an \_\_\_\_ staff member, was announced as interim director on September 13, 2014.

#### IV. Jurisdiction

The Office for the Prevention of Harassment and Discrimination has campus-wide responsibility for responding to sex discrimination complaints and implementation of the University of California Policy on Sexual Harassment<sup>1</sup>, which includes the investigation and resolution of complaints received against faculty, staff and students.

## V. Applicable Policy

The University of California Policy on Sexual Harassment defines sexual harassment as unwelcome sexual advances, request for sexual favors, and other verbal of physical conduct of a sexual nature, when submission to or rejection of this conduct explicitly or implicitly affects a person's employment or education, unreasonably interferes with a person's work or educational performance, or creates an intimidating, hostile or offensive working or learning environment. In the interest of preventing sexual harassment, the University will respond to reports of any such conduct.

Sexual harassment may include incidents between any members of the University community, including faculty and other academic appointees, staff, coaches, housestaff, students, and non-student or non-employee participants in University programs, such as vendors, contractors, visitors, and patients. Sexual harassment may occur in hierarchical relationships or between peers, or between persons of the same sex or opposite sex.

In determining whether the reported conduct constitutes sexual harassment, consideration shall be given to the record of the conduct as a whole and to the totality of the circumstances, including the context in which the conduct occurred.

#### VI. Summary of Findings

Based upon a preponderance of the evidence, the Respondent, Phillip Loya, violated the UC Policy on Sexual Harassment. A detailed discussion of the findings is included in Section VIII.

<sup>&</sup>lt;sup>1</sup> This policy was replaced on February 25, 2014 with a combined Sexual Harassment and Sexual Violence Policy. Because the majority of the behavior attributed to Loya occurred prior to February 25, 2014, the allegations are analyzed under the then-existing policy quoted herein. However, the analysis and outcome would be the same under either policy.

### VII. The Investigation

OPHD Complaint Resolution Officer, Paula Raffaelli ("the Investigator") conducted the administrative investigation. She interviewed Complainant on September 3, 2014 and conducted a follow-up interview September 11, 2014. She interviewed Respondent Loya on September 8, 2014, and did a follow-up interview on September 22, 2014. She interviewed Witness on September 10, 2014. She also reviewed email communications between and and between and Jenee Jackson, and photos and text messages provided by both Loya.

#### A. Statements

#### 1. Complainant's Statement

is a UC Berkeley staff member in the second
a small office with only about staff members. and Loya work together at
Until May 2013, Loya was stationed in Los Angeles, but he often traveled up to
Berkeley. said that until December 2012, she noticed she got a lot of hugs
from Loya, but she did not think anything was wrong. She said that around July 2012,
she, Loya, her supervisor and and husband went to a movie. She
felt Loya's hand brush her thigh and she moved her leg away. But she assumed this
was an accident and did not feel the need to say anything. However, in December
2012, Loya, and the rest of the team went to a happy hour event at
Pappy's, a sports bar on Telegraph Ave. was sitting next to Loya at a long
table with the rest of the team, as well as staff
who joined them - about 15 people total. Loya placed his hand on this thigh
under the table, and began to move his hand up toward crotch.
grabbed his hand and pushed it away from her thigh. She did not look at Loya and
neither nor Loya said anything. said she was "in shock."
Over the subsequent winter break, grew anxious because she was scheduled
to fly to Los Angeles alone to support Loya on a work project and she did not want to go
alone. In January 2013, she decided to speak with her supervisor
told about the Pappy's incident, as well as the earlier movie incident from July
2012, which she decided to bring up in light of her discomfort after the Pappy's incident.
told that she and other female staff members would join her on
the trip to LA in February 2013, and the of them drove down to LA together in a
van. At their January 2013 meeting, also told also told , "I encourage you to
talk to [Loya]."
In May 2013, spoke with Loya privately. She told him that she did not want

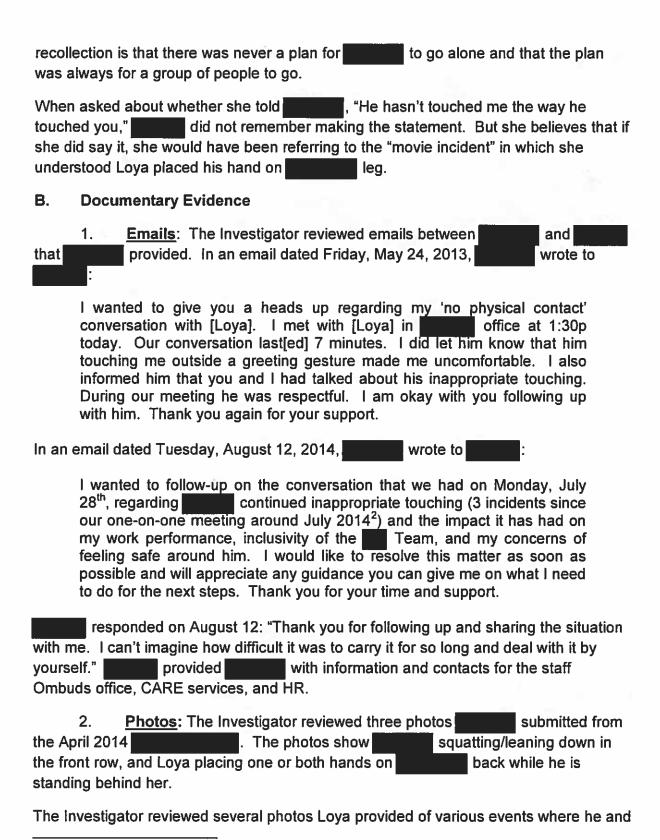
him to touch her, that the touching made her uncomfortable, that she did not "like how

examples of unwelcome touching. Loya responded, "This is how I am" and "I am just a touchy person." She told him not to touch her more than necessary for a professional greeting. The meeting lasted approximately seven minutes. After the May 2013 discussion, said that Loya touched her three more times. First, around Fall 2013, he touched her on the back but she "let it go" because she assumed Loya "forgot" that he was not supposed to touch her. In January 2014, while she and other coworkers were walking outside to get coffee at Strada, he rubbed or "caressed" her back while they were beginning to cross the street. The third time was in late April 2014 during a work event. While staff and others were posing for a photo, Lova placed his hands on back. again. She told On July 28, 2014, spoke with about the three incidents discussed above, and told her that due to her discomfort with Loya she had eliminated herself from social gatherings with coworkers and did not "feel a part of th[e] team." also expressed concerns that her own relationship with had deteriorated. At this meeting, told that Loya "touches me too, but I'm asked, "You're okay with him touching you?" and married." I responded, "He didn't touch me like he touched you." understood the latter statement to refer to the Pappy's incident. . She asked if she wanted to apply to be interim director, but declined. explained that because of the incidents with Loya and her subsequent elimination from group events, her confidence is low, and she did not feel appreciated or that the team valued her. asked how she would feel if Loya became the interim director, and responded that she would not like it. said he could be the interim could not report to him. director, but At the time of the September 3 interview with the Investigator, and Lova were . This made uncomfortable even though she stated that her back is to him, she "zones out," and she does not know what he is doing. She said he has not touched her since April 2014. sometimes uses the second office to get work done. 2. Respondent's Statement Phillip Loya is a UC Berkeley staff member in the He has since November 2008. In 2010, he moved to worked with to do outreach with students. He moved back to in May 2013. His first indication of a problem with was when they had their one-on-one conversation somewhere "between March and June 2013." told him that she

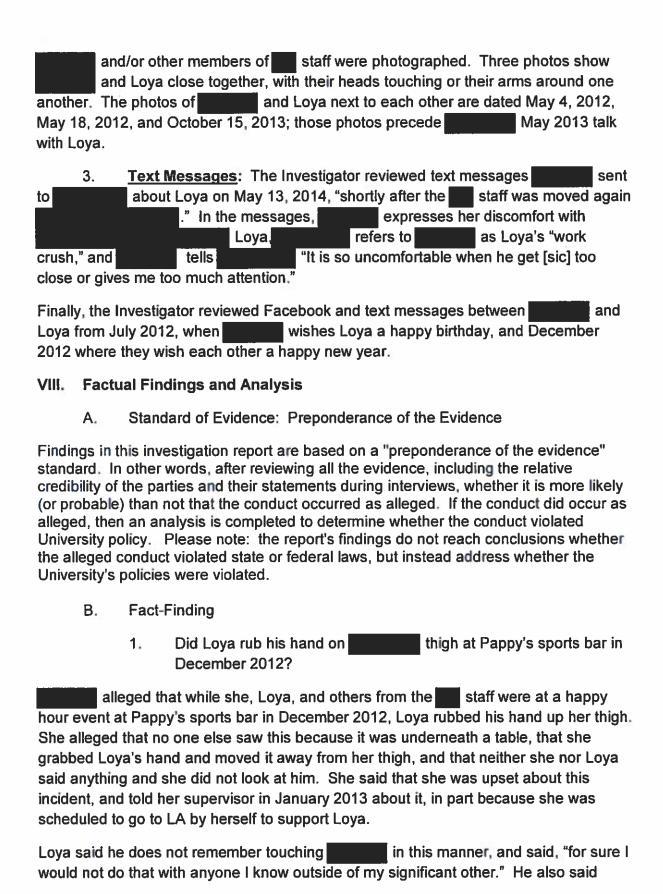
you touch me," and she wanted him to stop. She did not give him any specific

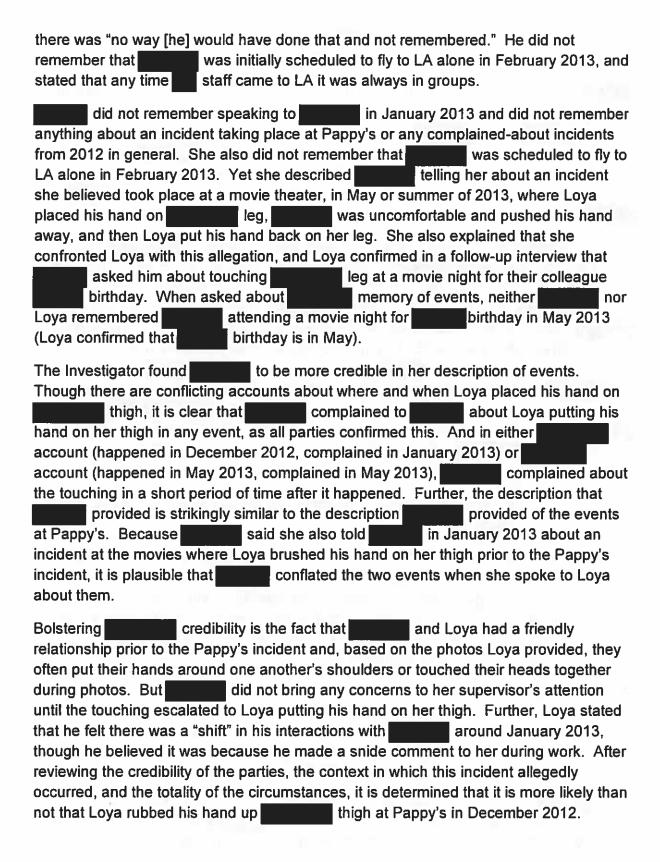
felt uncomfortable when he touched her. Specifically, she said it made him uncomfortable when he touched her arm or back. He was taken aback because they often took photos together, and because the staff was close. He noted that had previously picked him up from the airport and/or they would go to dinner together. Though he was taken aback, he understood she could be uncomfortable. He could tell she was nervous and he was too, and he agreed not to touch her anymore. He apologized and said he would give her the space she needs, and he felt that the short meeting ended on a good note. He was confused about why was upset because she did not give any specific examples, but he did not want to probe further or talk to anyone else about it. He denied saying anything along the lines of "this is how I am" or "I am just a touchy person."
After this talk, Loya spoke with
Subsequently, Loya remembers that his relationship with went back to normal. He specifically remembers making an effort to wave goodbye to rather than hug her at a May/June 2013 retirement party for former director. He remembers that during this time their work did not really coincide and that they talked casually. He does not remember any physical touching after the May 2013 conversation.
Loya spoke with again in August 2014. He said that at this meeting, told him that was uncomfortable because he touched her on her arm or elbow and also at a graduation event called the fine complete touching on either occasion. In late April 2014, He does not remember touching on either occasion. In late April 2014, He does not remember touching on either occasion. In late April 2014, He does not remember touching on either occasion. In late April 2014, He does not remember that to see a movie for their colleague of birthday, Loya placed his hand on the knee, and took his hand and moved it away. Loya does not remember this incident taking place. He remembers going to see a movie for the birthday in May 2013, but he does not remember of being there. He told the he felt bad and asked what he could do. It told him to be hyperaware of his actions.
When asked about the December 2012 Pappy's incident, Loya said he had no memory of the specific night, and that he did not touch leg. He said he did not know how his hand would even be on her thigh, and "for sure I would not do that with anyone outside of my significant other." He could not think of any explanation for why would claim he did it. When asked if perhaps was conflating the movie incident and the Pappy's incident, Loya stated that he did not remember touching on the leg in either event, and did not understand why was making these allegations.

Loya also denied touching after she spoke with him in May 2013. He denied placing his hand on her back and rubbing her back, and stated that that is not something he typically does; instead, he is a "hugger" and a "high-fiver." Regarding the April 2014 photo touch, he does not remember touching back, but he acknowledged that he "could've" touched her back or shoulder.
3. <u>Witness Statement</u>
is the said that Loya is very comfortable around people and has put his hands on her shoulders, but not in an uncomfortable way. She feels any touching from Loya was very casual, meaning that he did not "linger" for any inappropriate time or touch at any inappropriate times.
first spoke with around summer of 2013. She remembers that told her about an incident that happened while staff went to the movies, in May or summer of 2013. She remembers telling her that at the movies, Loya placed his hand on was uncomfortable and pushed his hand away, and then Loya put his hand back on her leg. was unsure exactly what the details or timing was on this incident, but speculated that it was in summer 2013 when some that the colleagues went for a colleague's birthday.
She spoke with Loya shortly after told him to stop touching her in May 2013. She told Loya about the movie incident allegation. She remembers that Loya was surprised because he and had gone out to dinner before and she had picked him up from the airport. But he understood that could be uncomfortable.
In late July 2014, spoke with a second time. It told that after told Loya to stop touching her, he touched her shoulder on one occasion, her back on a second, and her back again while a photo was being taken for the
In August 2014, followed-up with Loya after this second complaint, and told him that complained about three additional incidents. Loya told he could not remember intentionally touching he was concerned and surprised but not defensive.
said she did not remember hearing about the Pappy's incident, or any incidents that happened in 2012. She did not have any memory of speaking with prior to summer 2013; her memory is that her first talk with was in May or summer of 2013. It also did not remember telling that she would join her on a trip to Los Angeles in February 2013 so that she would not need to go alone;



clarified in an email to Jenee Jackson on Thursday, August 14, 2014 that she inadvertently wrote July 2014 but meant May 2013.





	three additional times after she told him to uching her in May 2013?
January 2014, and that he touched since discussion, and he stated wave goodbye to her rather	ched her in Fall 2013, he rubbed or "caressed" her back in ouched her on her back in April 2014. Loya denied that he told him to stop touching her in their May 2013 hat he purposely kept a distance from and opted to than hug her goodbye. But he acknowledged it was her on her back during the photo for the April 2014
the totality of the circumstatouched on the of more credible, in her three times since she to documented this in an emathat told her about shoulder, once on her back	t Loya touching her three additional times, once on her, and again on her back during the photo.  photographic evidence showing that Loya touched her after she told him to stop, which lends credibility to her claim
C. Did the Alleg UC Policy?	ed Behavior Constitute Sexual Harassment in Violation of the
unwelcome sexual advance conduct of a sexual nature implicitly affects a person's	Policy on Sexual Harassment defines sexual harassment as es, request for sexual favors, and other verbal or physical when submission to or rejection of this conduct explicitly or employment or education, unreasonably interferes with a all performance, or creates an intimidating, hostile or eg environment.
shall be given to the record	orted conduct constitutes sexual harassment, consideration of the conduct as a whole and to the totality of the e context in which the conduct occurred.
1. Was t	e Conduct Unwelcome?
her: first in January 2013 a	er supervisor that she was uncomfortable with Loya touching and again on July 28, 2014. said she was "in shock" on her thigh at Pappy's. She told Loya directly that she was

provided emails between her and demonstrating that she was uncomfortable with Loya's touching. She further provided text messages where she told that she was uncomfortable around Loya.
2. Was the Conduct of a Sexual or Gendered Nature?
Yes. Loya's action of rubbing his hand up thigh is sexualized conduct.  Similarly, described Loya placing his hand on her back and rubbing it in a "caressing" motion. Unlike simply placing his hand on her back as if to say hello, or to perhaps guide her across the street, the rubbing, "caressing" motion makes this a sexualized act.
3. Was the conduct severe and/or pervasive and objectively offensive?
Loya's action of placing his hand on crotch is arguably severe conduct. In Loya's hand to physically remove Loya's hand from her thigh, and described being in "shock" when it happened. Even if not viewed as severe conduct, however, the Pappy's incident coupled with the three additional unwelcome touches demonstrates pervasive conduct. In Loya's favor, these four incidents are spread out over a one and one-half-year period. Additionally, the three additional touches were not as egregious as placing a hand upon thigh and moving it upward. But the Pappy's incident is particularly troubling, and the remaining three incidents occurred after explicitly told Loya to stop touching her. On balance, Loya's continued unwanted touching of was pervasive conduct.
4. Did submission to or rejection of this conduct explicitly or implicitly affect a employment, unreasonably interfere with her work performance, or create an intimidating, hostile, or offensive working environment?
Loya's unwanted touching of interfered with her work performance.  eliminated herself from social gatherings with staff, and she did not feel like she was a "part of the team" after the unwelcome touching from Loya. She explained that initially asked her if she was interested in the interim director position, but declined to be considered because, as a result of her discomfort around Loya, her confidence was low and she did not feel that the team valued her anymore. She stated that before the incidents with Loya she would have been interested in the interim director position. She expressed that sometimes she opted to do her work in office at rather than at her own desk because of her discomfort with having Loya (where he was located at the time of the September 3, 2014 interview with the Investigator). She also explained that after the

Pappy's incident, she began looking for a different job because she was too		
uncomfortable in her work environment. When she applied to but did not get a different		
job, she felt that her relationship with	also changed, and she noted that	
did not check in on her as often and began fo	orwarding her job announcements.	

#### IX. Conclusion

The Investigator evaluated the record of the allegations as a whole and gave consideration to the totality of the circumstances, including the context in which the alleged incidents occurred. The standard by which the evidence was weighed was "more likely than not." The evidence gathered supports the conclusion that Respondent Phillip Loya more likely than not subjected Complainant to pervasive, unwanted touching. Therefore, it is determined that Loya did violate the University of California Policy on Sexual Harassment.