

## **DISCRIMINATION COMPLAINT PROCESS**

(Sec. 46a-68-89)

January 2016

This section contains information on the University's system to resolve employee allegations of discrimination and discriminatory harassment and is consistent with Chapter 67 and 68 of the Connecticut General Statutes. This section was found to be in compliance in the 2014 filing of the University's *Plan*.

### **Subsection (a)**

The Office of Diversity and Equity (ODE) is the University's neutral unit responsible for managing internal investigations and resolutions for employees and students who believe they have been subjected to discrimination or discriminatory harassment. ODE investigates complaints of discrimination, gathers and evaluates evidence submitted by all parties, and renders a determination based on a preponderance of the evidence presented in order to mitigate harm resulting from any discriminatory conduct within the University and/or prevent its recurrence. The University's Discrimination Complaint Procedures provide for the expeditious resolution of complaints to assure that legal options for filing complaints with enforcement agencies are not foreclosed. **ATTACHMENT A.**

(1) The Associate Vice President, Director of Investigations, Associate Director of Investigations, EEO Investigator(s), and Paralegal/Legal Administrator are the University's Affirmative Action Officers who investigate internal discrimination and discriminatory harassment complaints. The investigative staff has completed the required training provided by the Connecticut Commission on Human Rights and Opportunities (CHRO) and the Permanent Commission on the Status of Women (PCSW) as designated in Public Act 03-151 and 12-78. As of July 2012, all investigative staff hired during the plan year has completed the required "Foundations" training for new Affirmative Action Officers presented by the CHRO and PCSW. In addition, investigative staff attended the Office of Audit, Compliance and Ethics Mandatory Compliance Training; ADA Webinar Training; NACUA Title IX Coordinator Training; FERPA Orientation/Training; The Practical Implementation of Title IX and Clery Act for Sexual Violence and Response training presented by Security on Campus and the Victim Rights Law Center; AA/EEO Update Training; and Search Process and RSA training.

(2) As part of the University's Discrimination Complaint Procedures, ODE provides assistance with informal resolution procedures for all parties involved in an internal investigation of alleged discrimination. The University's Ombuds Office serves as a neutral resource that provides confidential and informal assistance to members of the campus community and is available to parties and witnesses involved in an internal investigation of alleged discrimination.

(3) The University's Discrimination Complaint Procedures are distributed yearly to all University faculty, staff, and union representatives, **ATTACHMENT A, *Internal Communication***. The procedures also are available through ODE's website, <http://www.ode.uconn.edu/discrimination/>.

(4) All parties involved in an internal investigation of alleged discrimination are informed of and guaranteed protection from retaliation. **ATTACHMENT B.** This protection and guarantee will continue to be a provision of the University's Discrimination Complaint Procedures and any revised set of procedures.

(5) All parties involved in an internal investigation of alleged discrimination or discriminatory harassment are advised of their legal options to file complaints with the Connecticut Commission on Human Rights and Opportunities; United States Equal Employment Opportunity Commission; United States Department of Labor, Wage and Hour Division; and any other agencies, state, federal or local, that enforce laws concerning discrimination in employment. These legal options also are listed in the University's Discrimination Complaint Procedures, which include a list of the "Most Commonly Used Civil Rights Agencies," and is provided to all parties. The addresses of these agencies also can be accessed through ODE's web site, <http://www.ode.uconn.edu/>.

(6) The University's Discrimination Complaint Procedures provide timelines, not exceeding ninety (90) days, for the filing, processing, and resolution of all complaints of discrimination and discriminatory harassment.

#### **Subsection (b)**

All records of internal complaints of discrimination and dispositions thereof are maintained and reviewed on a regular basis by ODE to detect patterns in the nature of the alleged complaints. In addition, ODE provides regular reports to the President, Provost, and other senior University administrators.

#### **Subsection (c)**

A summary of all complaint activity, the results thereof and the length of time required to resolve the alleged matters for this reporting period (October 1, 2014 – September 30, 2015) immediately follows this section. For matters not resolved within seventy-five (75) days, the Complainant was reminded of his/her right to file a complaint of discrimination with external civil rights agencies. These matters generally include the need to interview copious witnesses, the filing of amended complaints, the naming of additional Respondents, and/or calendar conflicts. As required, this summary references allegations that have resulted in complaints to external enforcement agencies, the number of such complaints, investigating agency, and whether the matter is currently pending or the outcome thereof. All records relevant to employee internal complaints of discrimination are maintained by ODE for examination by the Commission. **ATTACHMENT C.**

**THE UNIVERSITY OF CONNECTICUT  
DISCRIMINATION AND DISCRIMINATORY HARASSMENT  
COMPLAINT PROCEDURES**

Individuals wanting to file a complaint of discrimination and/or discriminatory harassment are encouraged to file with the Office of Diversity and Equity (ODE) as soon as possible to allow for internal resolution of their complaints. In addition, complaints of discrimination may be filed with state and federal civil rights enforcement agencies, generally within 180 calendar days from the date of the alleged discriminatory event. [See Appendix II for addresses of civil rights agencies.]

**Chapter 1  
POLICY ON NON-DISCRIMINATION**

**1.0 Coverage of Policy**

- 1.0.0 It is the policy of The University of Connecticut (University) to prohibit discrimination in education, employment, and in the provision of services on the basis of legally protected characteristics (race, color, ethnicity, religion, age, workplace hazards to reproductive systems, sex (gender, sexual harassment), marital status, sexual orientation, genetic information, pregnancy, national origin, physical/mental/learning disability, and any other group protected by civil rights laws. The University's policy also prohibits discrimination in employment on the basis of a criminal record that is not related to the position being sought; and supports all state and federal civil rights statutes whether or not specifically cited within this document.
- 1.0.1 Under this policy, discrimination shall mean unequal treatment; behavior producing an unequal effect; or violations of University policy or By Laws amplifying statutory protections. It includes harassment (i.e. "discriminatory harassment") on any basis mentioned above, and sexual harassment as defined in the Connecticut General Statutes, U.S. EEOC Guidelines of Sexual Harassment, and in Title IX of the Higher Education Amendments of 1972.
- 1.0.2 All parties who participate in the reporting, filing, investigation, or resolution of complaints under these procedures shall be free of reprisal on the basis of their participation. Reprisals shall themselves be considered grounds for a complaint.
- 1.0.3 The University's failure to comply with State and Federal Civil Rights contract compliance regulations may be treated as discrimination under these procedures.

**Chapter 2  
GENERAL PROVISIONS**

**2.0 Who May File a Complaint of Discrimination**

- 2.0.0 Complaints of discrimination may be filed by students, employees, or others who do business with the University.
- 2.0.1 An employee or student who is discriminated against by someone doing business with the University may file a complaint under these procedures. This is true whether the discrimination occurs on University property or elsewhere. [See Appendix I, concerning the protection of students and staff during mandatory off-campus experiences]. **THESE PROCEDURES DO NOT COVER DISCRIMINATION COMPLAINTS AGAINST STUDENTS. COMPLAINTS AGAINST STUDENTS SHOULD BE DIRECTED TO THE DEAN OF STUDENTS OFFICE, WILBUR CROSS BUILDING, ROOM 202, 233 GLENBROOK ROAD,**

*UNIT 4062, STORRS, CT, 06269-4062, PHONE: 860-486-3426, FAX: 860-486-1972.*

- 2.0.2 Complainants (accuser) and Respondents (accused) shall have the right to have one person accompany them when attending meetings related to their complaints.
- 2.1 Informal Resolution**
  - 2.1.0 Nothing in these procedures precludes an individual from seeking to resolve problems on his or her own.
- 2.2 Investigating Office**
  - 2.2.0 ODE is responsible for investigating and resolving complaints filed under these procedures.
- 2.3 Advising of Rights**
  - 2.3.0 All Complainants shall be advised of their rights under civil rights law. [See Appendix II for addresses of civil rights agencies.]
- 2.4 Complaint File; Access**
  - 2.4.0 The complaint file is created and maintained by ODE. To the extent permitted by law, ODE will safeguard its confidentiality.
  - 2.4.1 Upon request, the Complainant, Respondent, and Witnesses may have copies of their own statements. At the end of ODE's investigation and upon request, the Complainant or the Respondent may have a copy of any other material in the file related to them including the final ODE report about the complaint.
  - 2.4.2 When an ODE decision is appealed, the Complainant and Respondent may review the file, and have copies made at the current rates.

**Chapter 3  
PROCEDURES**

**3.0 Where and How to File a Complaint of Discrimination**

- 3.0.0 A Complainant may write and sign his/her complaint and send it to ODE, Wood Hall - Unit 2175, 241 Glenbrook Road, Storrs, CT 06269, (telephone number, 860-486-2943); or he/she may present it during a formal interview with an ODE professional staff member. In the latter instance, the staff member will prepare a report of the complaint and obtain the Complainant's signature.
- 3.0.1 All complaints must include the identity of the alleged violator(s), the approximate date of the incident, a description of the offensive behavior, and must state whether the alleged discrimination is on the basis of race, sex, age, et cetera.
- 3.1 Timeliness of Filing**
  - 3.1.0 Except for students filing complaints against teachers from whom they are currently taking classes, all complaints must be filed within thirty (30) calendar days of the alleged discrimination. Those submitted after this period will be accepted only at the discretion of the ODE Director.
- 3.2 The Investigation**
  - 3.2.0 ODE will initiate its investigation within fourteen (14) calendar days of receipt of the complaint.
  - 3.2.1 Respondents will be informed of the allegations against them and given an opportunity to respond.
  - 3.2.2 If a complaint is not resolved within seventy-five (75) calendar days from the initiation of the investigation, the Complainant shall be reminded of the relevant time limits for filing complaints with state or federal enforcement agencies.
- 3.3 Findings and Recommendations**

- 3.3.0 Upon the conclusion of its investigation, ODE will determine whether or not discrimination occurred.
  - Unsupportable Complaints.** If ODE determines that the evidence is insufficient to support the allegation, it shall dismiss the case.
  - Supportable Complaints.** If ODE concludes that the allegations are supported by the evidence, it will report its findings and recommended remedy to the appropriate manager. The findings and proposed remedy will also be forwarded to the complainant and respondent.
- 3.3.1 Recommendations which might result in disciplinary action will be discussed with the Office for Labor Relations.

**Chapter 4**

**REVIEW OF DECISIONS AND RECOMMENDATIONS**

**4.0 Who May Request Reviews; Grounds**

- 4.0.0 Either the complainant or respondent may request that ODE's decision and recommendations be reviewed by submitting a written request for review to the President of the University, in care of the ODE Director. The request should identify the grounds for the appeal, which are limited to, a) violations of complaint procedures; and, b) additional evidence which was not available during the investigation.
- 4.1 Timeliness**
  - 4.1.0 Requests for review must be received by ODE within fourteen (14) calendar days from receipt of the notice of findings. Those received beyond that period will be considered at the discretion of the ODE Director.
- 4.2 Review Committees**
  - 4.2.0 ODE should convene review committees within thirty (30) calendar days of receiving approved requests. Delays may be granted at the discretion of the ODE Director.
  - 4.2.1 A review committee shall consist of three members selected from the panel of reviewers described in Section 4.4. Rules for selection may be decided by the panel to cover the period for which it is appointed.
  - 4.2.2 The proceedings of review committees are informal. Review committees should exercise their discretion not to consider cumulative, repetitious or irrelevant evidence. In discharging their duties, committees may interview principals in the specific complaints, review complaint records, and have access to relevant records which may not be appended to the complaint file.
  - 4.2.3 Review committees must consider the cases assigned to them within sixty (60) calendar days after they are convened.
- 4.3 Findings; Report to President**
  - 4.3.0 Review committees shall forward their findings and recommendations to the President in writing within thirty (30) calendar days after the conclusion of their work.
  - 4.3.1 A review committee's authority is to review appealed complaints, and to submit a report to the President. In the course of performing its task, it may comment upon the behavior of managers or ODE; or upon the effectiveness of the complaint procedures as they pertain to the situation under consideration.
- 4.4 Panel of Reviewers**
  - 4.4.0 ODE will solicit volunteers to serve two-year terms on a panel of reviewers from which review committees are selected. The panel shall be representative of the protected

classes as defined in Chapter 1 of these procedures and shall include –

- Faculty;
- Non-teaching professionals;
- Classified employees;
- Administration;
- Undergraduate students; and
- Graduate students.

4.4.1 The panel of reviewers shall be given an orientation on the nature of the review process, prohibited forms of discrimination, including harassment, and other issues related to their roles.

#### 4.5 Presidential Action

4.5.0 Upon receipt of the review committee's report and recommendation, the President will make the final decision as to the disposition of the complaint. The President will give written notice of his or her decision to the complainant, the respondent, the review committee, and ODE, within thirty (30) calendar days of receipt of the review committee's report.

### APPENDIX I PROTECTION OF STUDENTS AND STAFF FROM DISCRIMINATION AND HARASSMENT DURING OFF-CAMPUS EXPERIENCES

It is necessary for students in many programs to complete practica or internships within outside organizations. Employees also may be assigned to work at external sites as a part of their job duties. The University's legal and ethical obligations to protect the civil rights of students and staff extend to those settings.

Below are policy guidelines developed in cooperation with several Deans whose students customarily participate with other agencies as part of their academic programs. Your cooperation in administering the guidelines is appreciated; and, should you need advice or assistance, you may consult with the Director of ODE.

#### I. Inclusion of University Policies in Contracts or Agreements with External Agencies.

- A. All contracts with suppliers of services must include reference to the Governor's Executive Orders 3 and 17, and specific language is required. These Executive Orders cover nondiscrimination, as does C.G.S. Section 4a-114a.
- B. Other sections of the statute govern the conduct of state agencies in their normal functions.
  - i. C.G.S. Section 46a-71 prohibits discrimination in the delivery of service; forbids state agencies to become parties to agreements with entities that discriminate (or fail to bar discrimination); and require state agencies to analyze the conduct of organizations with which they enter agreements.
  - ii. C.G.S. Section 46a-75 (a) & (b) prohibits discrimination in the provision of educational and vocational programs; and require state agencies to encourage the fullest development of students' or trainees' potential, and encourage expansion of training opportunities under these programs so as to involve larger numbers of

participants from those segments of the labor force where the need for upgrading levels of skills is greatest.

The statutes do not require that contracts, agreements, memoranda of understanding, et cetera, include reference to B (1) & (2). We prefer to include a brief reference to these obligations to assure that the agencies with whom we deal are well informed of the University's commitment to its statutory obligations.

C. The President's policies on nondiscrimination, affirmative action, and discriminatory harassment should be made a part of such contracts. It suffices to attach the most current versions to the agreements.

#### II. Internal Procedures for University Unit Entering Agreements.

- A. The school/unit should receive and review assurance that the external agency has strong nondiscrimination policies and complaint procedures.
- B. Each out-placed student should be advised of his or her civil rights, including the right to be free of racial, religious, and sexual harassment; and should be informed of the existing mechanisms for handling complaints in these areas.
- C. The Dean or Director should appoint a staff member to serve as chief contact person or advisor for, (a) reviewing civil rights policies and procedures as in II (A); and, (b) pursuing complaints filed as per II (D) & E.  
The identity of the individual fulfilling a similar role in the external agency should be known to school officials and students.
- D. Procedures regarding handling complaints of discrimination and harassment registered by our students should be articulated and, preferably, made a part of the agreement.
- E. Complaint procedures should be formal (i.e., consistent, fair and amendable to review) and should include the following elements:
  - i. Publication of the appointed staff person's identity (noted in (C) above).
  - ii. Means by which an aggrieved person may file a complaint, formal or informal, and may inform the unit of his or her desired resolution.
  - iii. Means by which the school/unit, may be assured that the complaint is treated properly by the external agency. "Properly" is defined as the standard for remedies imposed in similar complaint situations filed against an internal party.
  - iv. Protection of the complainant from retaliation for having complained must be assured.
- F. Formal and informal complaints should be recorded in a manner that allows the unit to review agencies' conduct in this area prior to renegotiating agreements.

G. ODE is to be consulted on a case-by-case basis. If an employee of the University is accused of discriminatory conduct, ODE must be apprised of the complaint.

### APPENDIX II MOST COMMONLY USED CIVIL RIGHTS ENFORCEMENT AGENCIES

Connecticut Commission on Human Rights and Opportunities  
CAPITOL REGION OFFICE:  
999 Asylum Avenue, Second Floor  
Hartford, CT 06105,

Connecticut Commission on Human Rights and Opportunities  
EASTERN REGION OFFICE  
100 Broadway  
Norwich, CT 06360

Connecticut Commission on Human Rights and Opportunities  
WEST CENTRAL REGION OFFICE  
Rowland State Government Center  
55 West Main Street, Suite 210  
Waterbury, CT 06702-2004

Connecticut Commission on Human Rights and Opportunities  
SOUTHWEST REGION OFFICE  
1057 Broad Street  
Bridgeport, CT 06604

U.S. Equal Employment Opportunity Commission  
John F. Kennedy Federal Building,  
475 Government Center  
Boston, MA 02203

U.S. Department of Education  
Office for Civil Rights  
John W. McCormack Post Office and Courthouse, Room 222,  
Post Office Square  
Boston, MA 02109

U.S. Department of Labor  
Employment Standards Administration  
Office of Federal Contract Compliance Programs  
1 Hartford Square West  
Hartford, CT 06006

# Non-Retaliation Policy

<b>Title:</b>	Non-Retaliation Policy
<b>Policy Owner:</b>	Office of the President
<b>Applies to:</b>	Faculty, Staff, Students, Others
<b>Campus Applicability:</b>	All Campuses
<b>Effective Date:</b>	October 22, 2012
<b>For More Information, Contact</b>	Office of Audit, Compliance & Ethics
<b>Contact Information:</b>	(860) 486-4526
<b>Official Website:</b>	<a href="http://president.uconn.edu/">http://president.uconn.edu/</a>

## Purpose

To define how the University provides for the protection of any person or group within its community from retaliation who, in good faith, participate in investigations or report alleged violations of policies, laws, rules or regulations applicable to the University of Connecticut.

## Policy Statement

The University encourages individuals to bring forward information and/or complaints about violations of state or federal law, University policy, rules or regulations. Retaliation against any individual who, in good faith, reports or who participates in the investigation of alleged violations is strictly forbidden. This policy does not protect an individual who files a report or provides information as part of an investigation that he or she knows is false, files a bad faith retaliation claim or participates in any illegal conduct. The University will take appropriate action, up to and including dismissal, against any employee who violates this policy.

## Definitions

**Retaliation** – Any inappropriate or unsubstantiated action taken or threatened against an employee because the individual has, in good faith, made an allegation concerning the violation of state or federal law, University policy, rule or regulation, or has participated in any manner with an investigation of such allegation. Such actions adversely affect or threaten to affect the employment rights or other interests of an individual and can take either work or social form.

Examples of work-related retaliation may include, but are not limited to:

- Unsubstantiated adverse performance evaluations or disciplinary action;
- Unfounded negative job references;
- Arbitrary denial of salary increases, promotions or other job benefits; and
- Unfounded reduced or limited work assignments.

Examples of social retaliation in the workplace may include, but are not limited to:

- discrimination or harassment from co-workers and/or supervisor;
- bullying, which involves repeated intimidation or humiliation, derogatory or insulting remarks, or social isolation and which occurs indirectly (e.g., via e-mail) or directly;
- hostile work environment, described as conduct that is so objectively offensive as to alter the conditions of employment; and
- physical threats and/or destruction of personal or state property.

Actions also considered retaliatory include any action taken or threatened by an employee that would dissuade a reasonable employee from engaging in activities protected by this policy.

**Good Faith Reporting** – An individual is considered to have reported in good faith if s/he has brought forward the complaint or participated in providing information during an investigation, based upon a reasonable belief that the information provided is true.

**Bad Faith Reporting** – An individual shall be considered to have reported in bad faith if s/he has brought forward a complaint or participated in providing information during an investigation, knowing that such information is not true or made without a reasonable belief in the truth of the allegation based upon the facts.

### **Reporting Process**

If an individual believes that he or she has been subjected to retaliation, s/he should either contact the office to which the initial complaint was filed or any of the following University offices:

## **Storrs and Regional Campuses**

- The Office of Audit, Compliance and Ethics (OACE)  
9 Walters Avenue, Unit 5084  
Storrs, CT 06269-5084  
Telephone: (860) 486-4526  
Information on OACE's Investigation Protocol is available at:  
<http://audit.uconn.edu/internal-investigation-protocol/>  
Confidential Reportline: 1-888-685-2637
- The Office of Diversity and Equity (ODE)  
241 Glenbrook Road  
Wood Hall, Unit 4175  
Storrs, CT 06269-4175  
Telephone: (860) 486-2943  
Information on ODE's Discrimination Complaint Procedures is available at:  
<http://ode.uconn.edu/discrimination/complaint-procedures/>

- Office of Faculty & Staff Labor Relations  
9 Walters Avenue, Unit 5075  
Storrs, CT 06269-5075  
Telephone: (860) 486-5684  
<http://lr.uconn.edu/>
- Police Department  
126 North Eagleville Road, Unit 3070  
Storrs, CT 06269-3070  
Telephone: (860) 486-4800  
Emergency: 9-1-1

## Health Center

- The Office of Audit, Compliance and Ethics (OACE)  
263 Farmington Ave.  
Farmington, CT 06030 – 5329  
Telephone: 860-679-4180  
[Compliance.officer@uchc.edu](mailto:Compliance.officer@uchc.edu)  
Information on OACE's Investigation Protocol is available at: <http://audit.uconn.edu/internal-investigation-protocol/>  
Confidential Reportline: 1-888-685-2637
- The Office of Diversity and Equity (ODE)  
241 Glenbrook Road  
Wood Hall – Unit 2175  
Storrs, CT 06269  
Telephone: (860) 486-2943  
Information on ODE's Discrimination Complaint Procedures is available at <http://ode.uconn.edu/wp-content/uploads/sites/833/2015/02/dcp.pdf>
- Labor Relations at the Department of Human Resources  
263 Farmington Ave. Farmington, CT 06030 – 4035  
Telephone: 860-679-8067
- Police Department  
263 Farmington Ave. Farmington, CT 06030 – 3925  
Telephone: 860-679-2511

Employees should expect that any of the above offices will direct her/him to the appropriate department for reporting the retaliation.

### Resources Available For Assistance

There are resources on campus that can assist employees who are experiencing retaliation. Individual advocacy through these resources in connection with specific incidents

can include information and referrals, accompanying an employee through the hearing process, assistance with navigating other resources as requested and crisis-intervention services.

- African American Cultural Center – (860) 486-3433
- Asian American Cultural Center – (860) 486-0830
- Employee Assistance Program – (860) 679-2877 or 800-852-4392
- Puerto Rican/Latin American Cultural Center – (860) 486-1135
- Rainbow Center – (860) 486-5821
- Women’s Center – (860) 486-4738

Employees who are covered by a collective bargaining contract are also encouraged to contact their union for assistance:

- The American Association of University Professors (AAUP), University of Connecticut Chapter: (860) 487-0450  
<http://www.uconnaaup.org/contact/>
- The University of Connecticut Professional Employees Association (UCPEA): (860) 487-0850  
<http://www.ucpea.org/>
- Maintenance and Service Unit – Connecticut Employees Union Independent (CEUI): (860) 344-0311  
<http://www.ceui.org/>
- Administrative Clerical Unit – American Federation of State, County and Municipal Employees (AFSCME): (860) 224-4000  
<http://www.afscme.org/> <http://www.afscmelocal355.org/>
- Connecticut Police and Fire Union: (860) 953-2626  
<http://www.cpfu.org/>
- Social and Human Services Unit – American Federation of State, County and Municipal Employees (AFSCME): (860) 224-4000  
<http://www.afscme.org/>
- Administrative and Residual Employees Union (A&R): (860) 953-1316  
<http://www.andr.org/>
- New England Health Care Employees Union – District 1199  
<http://www.seiu1199ne.org/>  
(860) 549-1199
- University Health Professionals (UHP)  
<http://ct.aft.org/uhp3837/>  
(860) 676-8444

Nothing in this policy shall be deemed to diminish the rights, privileges or remedies of a University (state) employee under other federal or state law or under any collective bargaining agreement or employment contract.



**DISCRIMINATION COMPLAINT LOG  
UNIVERSITY OF CONNECTICUT  
INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
1	Asian/Female	9/30/2015	Internal	University Employee	Retaliation	Pending			
2	Hispanic/Latino/Male	9/22/2015	Internal	University Employee	Discrimination based on National Origin	Pending			
3	Unknown/Female	9/21/2015	Internal	University Employee	Discrimination based on Age and Disability	Pending			
4	White/Female	9/21/2015	Internal	Two University Employees	Harassment based on Disability; Retaliation	Pending			
5	White/Female	9/14/2015	Internal	University Employee	Discrimination based on Age	Pending			
6	Unknown/Female	9/3/2015	Internal	University Employee	Sexual Harassment	Pending			
7	Unknown/Male	9/3/2015	Internal	University Employee	Discrimination based on Disability	Pending			
8	Unknown/Male	9/2/2015	Internal	University Employee Non-University Respondent	Sexual Harassment	Pending			
9	White/Male	8/31/2015	Internal	University Employee	Harassment - No Protected Class Identified	Referred to Office of Faculty and Staff Labor Relations		1	9/1/2015
10	Black/African American/Male	8/14/2015	Internal	Three University Employees	Discrimination based on Race; Retaliation	Pending			

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UNIVERSITY OF CONNECTICUT  
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#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
11	White/Female	7/31/2015	Internal	University Employee	Discrimination based on Age and Sex	Withdrawn		48	9/17/2015
12	Hispanic/Latino/Female	7/27/2015	Internal	University Employee	Discrimination based on National Origin	Pending			
13	Unknown/Transgender	7/27/2015	Internal	University Employee	Harassment based on Gender Identity; Retaliation	Pending			
14	Unknown/Transgender	7/27/2015	Internal	Two University Employees	Harassment based on Gender Identity and Sex	Pending			
15	Asian/Female	7/8/2015	Internal	University Employee	Sexual Harassment	No Policy Violation		40	8/17/2015
16	Asian/Female Unknown/Female	7/1/2015	Internal	Five University Employees	Discrimination based on Disability, National Origin and Sex	Pending			
17	White/Female	5/26/2015	Internal	Three University Employees	Sexual Harassment; Retaliation	No Policy Violation	Additional Training Provided	73	8/7/2015
18	Hispanic/Latino/Female	5/12/2015	Internal	University Employee	Discrimination based on National Origin	Withdrawn		101	8/21/2015
19	Black/African American/Female	4/24/2015	Internal	University Employee	Discrimination Based on Race	No Policy Violation	Recommended Review of Conduct under the Code of Conduct	91	7/24/2015

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20	Unknown/Female Unknown/Female	4/14/2015	Internal	University Employee	Harassment based on Race; Sexual Harassment	No Policy Violation		76	6/29/2015
21	White/Female	4/3/2015	Internal	Two University Employees	Harassment based on Disability	Pending			
22	Unknown/Male	3/27/2015	Internal	University Employee	Discrimination based on National Origin	No Policy Violation		90	6/25/2015
23	Unknown/Female	3/12/2015	Internal	University Employee	Discrimination based on Race; Retaliation	No Policy Violation		57	5/8/2015
24	Unknown/Male	2/18/2015	Internal	University Employee	Discrimination based on Disability	No Policy Violation		86	5/15/2015
25	Asian/Female	2/17/2015	Internal	University Employee	Discrimination based on National Origin; Retaliation	No Policy Violation	Recommended to Develop Guidelines Regarding Speak-English-Only Directives	129	6/26/2015
26	White/Female	12/30/2014	Internal	University Employee	Discrimination based on Age	No Policy Violation		79	3/19/2015
27	Hispanic/Latino/Female White/Female	12/18/2014	Internal	University Employee	Sexual Harassment	No Policy Violation	Reassignment of Respondent; Recommended additional training	120	4/17/2015

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**UNIVERSITY OF CONNECTICUT**  
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#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
28	White/Male	12/3/2014	Internal	University Employees	Discrimination and Harassment based on Disability and Sex	No Policy Violation		282	9/11/2015
29	Unknown/Female Unknown/Male Unknown/Female	10/10/2014	Internal	University Employee	Discrimination and Harassment based on Color, Ethnicity, Race, Religion, and Sex	No Policy Violation		91	1/9/2015
30	Unknown/Female	10/8/2014	Internal	University Employee	Discrimination based on Disability	No Policy Violation		100	1/16/2015
31	Unknown/Male Unknown/Female Unknown/Female	10/1/2014	Internal	University Employee	Harassment based on Race, Religion, Sex, and Sexual Orientation	No Policy Violation	Additional training provided	156	3/6/2015
32	White/Female	9/25/2014	Internal	University Employee	Sexual Harassment	No Policy Violation		160	3/4/2015
33	Unknown/Male	9/22/2014	Internal	University Employee	Discrimination based on Disability	Referred to Office of Faculty and Staff Labor Relations (External Complaint Filed)		31	10/23/2014
34	Unknown/Female	7/16/2014	Internal	University Employee	Sexual Harassment	Policy Violation	Employee separated from University	118	11/11/2014
35	White/Female	7/14/2014	Internal	University Employee	Discrimination based on Sex; Retaliation	No Policy Violation		121	11/12/2014

**DISCRIMINATION COMPLAINT LOG**  
**UNIVERSITY OF CONNECTICUT**  
**INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
36	Unknown/Female	7/10/2014	Internal	University Employee	Discrimination based on National Origin and Sex; Sexual Harassment	No Policy Violation		200	1/26/2015
37	Unknown/Female	7/10/2014	Internal	University Employee	Failure to Report/Remedy Discrimination and Harassment	No Policy Violation		200	1/26/2015
38	Unknown/Female	6/26/2014	Internal	Two University Employees	Discrimination based on Age	No Policy Violation		140	11/13/2014
39	Unknown/Male	6/23/2014	Internal	University Employee	Discrimination and Harassment based on Age and Disability; Retaliation	No Policy Violation		169	12/9/2014
40	Native American/Male	5/28/2014	Internal	Six University Employees	Discrimination based on National Origin	No Policy Violation		145	10/20/2014
41	White/Female	2/10/2014	Internal	Two University Employees	Discrimination based on Age and Disability; Retaliation	No Policy Violation		302	12/9/2014
42	Unknown/Male	1/17/2014	Internal	Two Former University Employees	Discrimination based on Sex; Sexual Harassment; Retaliation	No Policy Violation		299	11/12/2014

**DISCRIMINATION COMPLAINT LOG  
UNIVERSITY OF CONNECTICUT  
INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED/ DATE	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO	DATE CLOSED
1	White/Female	7/24/2015	External	UConn	Discrimination and harassment based on Age and Sex; Retaliation (CHRO/EEOC)	Pending			
2	Unknown/Male	6/23/2015	External	UConn	Discrimination based on Disability (CHRO)	Pending			
3	White/Male	6/10/2015 6/25/2015	External	UConn	Discrimination and Harassment based on Sex and Disability (CHRO)	Pending			
4	Unknown/Male	5/29/2015	External	UConn	Discrimination based on Disability and Age (OCR)	Pending			
5	Unknown/Female	2/17/2015	External	UConn	Discrimination based on Sex (OCR)	Pending			
6	White/Female	2/17/2015 2/29/2015	External	UConn	Retaliation (EEOC)	Pending			
7	Unknown/Male	2/12/2015	External	UConn	Discrimination based on Disability (Federal Court)	Pending			
8	White/Female	12/29/2014	External	UConn	Discrimination based on Disability; Retaliation (Hartford Superior Court)	Pending			
9	American Indian/Alaskan Native/Male	12/29/2014	External	UConn	Discrimination based on Age; Retaliation (Hartford Superior Court)	Pending			
10	Unknown/Male	12/8/2014	External	UConn	Discrimination based on Disability and Age (Hartford Superior Court)	Withdrawn	Plaintiff's Action was withdrawn	37	2/3/2015

**DISCRIMINATION COMPLAINT LOG**  
**UNIVERSITY OF CONNECTICUT**  
**INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED/ DATE	TYPE	RESPONDEN T	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO	DATE CLOSED
11	Black/African American/Male	11/17/2014	External	UConn	Retaliation (Federal Court)	Pending			
12	Unknown/Male	9/29/2014 10/17/2014	External	UConn	Discrimination based on Disability (CHRO/EEOC)	Withdrawn with prejudice and closed (CHRO); Pending (EEOC)	Settlement Agreement	242 (CHRO)	5/29/2015 (CHRO)
13	Unknown/Female	9/26/2014 10/23/2014	External	UConn	Discrimination based on Age, Sex and Disability (CHRO/EEOC)	Withdrawn with prejudice; not yet closed at agencies	Settlement Agreement		
14	White/Male	9/4/2014 9/15/2014	External	UConn	Discrimination based on Disability (CHRO/EEOC)	Withdrawn with prejudice and closed (CHRO/EEOC)	Settlement Agreement	328 (CHRO) 453 (EEOC)	7/1/15 (CHRO) 12/1/15 (EEOC)
15	Unknown/Unknown	8/4/2014	External	UConn	Discrimination based on Race and Sexual Orientation (CHRO)	Administratively Dismissed for failure to attend fact finding	Dismissed	248	4/9/2015
16	Unknown/Male	6/27/2014	External	UConn	Discrimination based on Age and Race (CHRO/ Hartford Superior Court)	ROJ Issued (CHRO); Pending (Hartford Superior Court)		110 (CHRO)	10/15/2014 (CHRO)
17	Black/Female	6/3/2014	External	UConn	Discrimination based on Race (Federal Court)	Pending			
18	American Indian/Alaskan Native/Male	3/24/2014	External	UConn	Discrimination based on Age; Retaliation (Hartford Superior Court)	Pending			
19	White/Female	3/24/2014	External	UConn	Discrimination based on Disability; Retaliation (Hartford Superior Court)	Pending			

**DISCRIMINATION COMPLAINT LOG**  
**UNIVERSITY OF CONNECTICUT**  
**INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED/ DATE	TYPE	RESPONDEN T	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO	DATE CLOSED
20	White/Female	3/13/2014 4/1/2014	External	UConn	Discrimination based on Disability; Retaliation (CHRO/EEOC)	ROJ Issued (CHRO) Pending (EEOC)		208 (CHRO)	10/7/2014 (CHRO)
21	Unknown/Male	3/12/2014 4/1/2014	External	UConn	Discrimination based on Race (CHRO/EEOC)	Withdrawn with prejudice and closed (CHRO); Pending (EEOC)	Settlement Agreement	229 (CHRO)	10/27/2014 (CHRO)
22	Unknown/Female	2/28/2014 3/26/2014	External	UConn	Discrimination based on Pregnancy (CHRO/EEOC)	Pending			
23	White/Female	2/28/2014 3/24/2014	External	UConn	Discrimination based on Disability; Retaliation (CHRO/EEOC)	ROJ Issued	ROJ Issued	221 (CHRO) 482 (EEOC)	10/7/2014 (CHRO) 6/25/2015 (EEOC)
24	White/Female	2/11/2014 2/18/2014	External	UConn	Discrimination based on Sex (CHRO/EEOC)	Withdrawn with prejudice and closed (CHRO); Withdrawn with prejudice and closed (EEOC)	Settlement Agreement	233 (CHRO) 476 (EEOC)	10/2/2014 (CHRO) 6/2/2015 (EEOC)
25	Unknown/Unknown	1/28/2014 2/11/2014	External	UConn	Discrimination based on Sex and Gender Identity (CHRO/EEOC)	Dismissed (CHRO); Pending (EEOC)		171 (CHRO)	7/18/2014 (CHRO)
26	American Indian/Alaskan Native/Male	3/22/2013 4/4/2013	External	UConn	Discrimination based on Age; Retaliation (CHRO/EEOC)	ROJ Issued	ROJ Issued	564 (CHRO) 802 (EEOC)	10/7/2014 (CHRO) 6/2/2015 (EEOC)
27	Unknown/Female	2/16/2012	External	UConn	Discrimination based on National Origin (CHRO/EEOC)	Dismissed (CHRO) ROJ Issued (EEOC)	Dismissed	1247 (CHRO) 195 (EEOC)	7/16/15 (CHRO) 8/28/12 (EEOC)



**DISCRIMINATION COMPLAINT LOG**  
**UNIVERSITY OF CONNECTICUT**  
**INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2014 - SEPTEMBER 30, 2015**

#	COMPLAINANT RACE/SEX	DATE FILED/ DATE	TYPE	RESPONDEN T	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO	DATE CLOSED
28	Black/African American/Male	11/7/2011	External	UConn	Discrimination based on Age, Race and Disability; Retaliation (CHRO/EEOC)	Dismissed (CHRO); ROJ Issued (EEOC)	Dismissed	1114 (CHRO) 1303 (EEOC)	11/25/14 (CHRO) 6/2/15 (EEOC)