

## **DISCRIMINATION COMPLAINT PROCESS**

(Sec. 46a-68-89)

January 2017

This section contains information on the University's system to resolve allegations of discrimination and discriminatory harassment and is consistent with Chapters 67 and 68 of the Connecticut General Statutes. This section was found to be in compliance in the 2015 filing of the University's *Plan*.

### **Subsection (a)**

The Office of Institutional Equity (OIE) (formerly the Office of Diversity and Equity) 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. OIE 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. These procedures were updated, effective August 1, 2016. **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. With the exception of one EEO Investigator, 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. The most recently hired EEO Investigator received the "Foundations" training on October 25, 2016. 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; EEOC Pregnancy Compliance training provided by Jackson Lewis, P.C.; Title IX and LGBTQI Students Webinar; AA/EEO Update Training; and Search Process and RSA training.

(2) As part of the University's Discrimination Complaint Procedures, OIE 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 OIE's website, <http://www.equity.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 OIE's web site, <http://www.equity.uconn.edu/discrimination/complaint-procedures>.

(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 OIE to detect patterns in the nature of the alleged complaints. In addition, OIE 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, 2015 – September 30, 2016) immediately follows this section. For those matters not resolved within ninety (90) days, those matters generally included 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 OIE for examination by the Commission. **ATTACHMENT C**.

**THE UNIVERSITY OF CONNECTICUT & UCONN HEALTH  
OFFICE OF INSTITUTIONAL EQUITY (OIE)  
COMPLAINT PROCEDURES**

These procedures, effective for all reports made to the Office of Institutional Equity (OIE)<sup>1</sup> on or after August 1, 2016, govern OIE’s investigation process when a University of Connecticut or UConn Health employee or other individual associated with the University or UConn Health is alleged to have violated any University or UConn Health policy within OIE’s jurisdiction.<sup>2</sup>

Individuals wanting to report alleged violations of University Policies, as defined below, are encouraged to contact OIE as soon as possible following an incident to allow for internal resolution of their complaints, and to connect employees and students with appropriate resources.

These procedures govern OIE’s investigations of alleged violations of University Policy. Suspected crimes or any behavior that poses an imminent risk to any person or the University community should be reported immediately to law enforcement.

OIE will make appropriate arrangements to ensure that individuals with disabilities and individuals with limited English proficiency are provided auxiliary aids and services or language assistance services, respectively, if needed to participate in this complaint process. Such arrangements may include, but are not limited to, providing qualified interpreters or assuring a barrier-free location for the proceedings.

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<sup>1</sup> OIE maintains office locations on both the Storrs campus and UConn Health.

<sup>2</sup> Hereinafter, all references to “University” include UConn Storrs campus, UConn regional campuses, and UConn Health. Also, these procedures apply when an employee, contractor, vendor, visitor, patient, resident, guest or other third party affiliated with the University is alleged to have violated any University policy falling under OIE’s jurisdiction, including but not limited to the following policies: *Policy Against Discrimination, Harassment, and Related Interpersonal Violence*; *Policy Statement: People with Disabilities*; *Non-Retaliation Policy*; *Policy Statement: Affirmative Action and Equal Employment Opportunity*; *UConn Health Affirmative Action, Non-discrimination and Equal Opportunity (2002-44)*; *UConn Health Persons with Disabilities (2002-46)*; and *UConn Health Non-Retaliation (2002-40)* (individually, “University Policy”; collectively, “University Policies”).

In addition to these procedures, individuals are strongly encouraged to read the relevant University Policies in their entirety. Capitalized terms used within these procedures are given the same meaning as defined in the *Policy Against Discrimination, Harassment, and Related Interpersonal Violence*.

These procedures do not govern reports in which a UConn **student** is alleged to have violated any University Policy (see [www.community.uconn.edu](http://www.community.uconn.edu)).

## **I. UNIVERSITY POLICIES UNDER OIE’S JURISDICTION**

- A. As set forth in the University Policies, the University prohibits unlawful discrimination in education, employment, and the provision of services on the basis of legally protected characteristics (race, color, ethnicity, religious creed, age, sex, marital status, national origin, ancestry, sexual orientation, genetic information, pregnancy, physical or mental disability [including learning disabilities, intellectual disabilities, and past or present history of mental illness], veteran’s status, prior conviction of a crime, workplace hazards to reproductive systems, gender identity or expression, and membership in any other protected classes as set forth in state and federal law). More specifically, the University prohibits discrimination, as well as discriminatory harassment, sexual assault, sexual exploitation, intimate partner violence, stalking, sexual or gender-based harassment, complicity in the commission of any act prohibited by the *Policy Against Discrimination, Harassment, and Related Interpersonal Violence*, and retaliation against a person for the good faith reporting of any of these forms of misconduct or participation in any investigation or proceeding related to any of these forms of misconduct under University Policies (“Prohibited Conduct”).
- B. In accordance with University Policies, all parties who participate in the good-faith reporting, filing, investigation, and/or proceedings related to reports of discrimination or discriminatory harassment under these procedures shall be free from retaliation on the basis of their participation in this process.

## **II. GENERAL PROVISIONS**

- A. Who May File a Complaint & Scope of Procedures
  - i. Reports of Prohibited Conduct may be filed by Students, Employees, Patients or Third Parties.
    - 1. “Complainant” means the individual who presents as the victim of any Prohibited Conduct under University Policies, regardless of whether that person makes a report or seeks action under University Policies.
    - 2. “Respondent” means the individual who has been accused of violating University Policy.
  - ii. These procedures apply to reports of Prohibited Conduct made against the following:
    - 1. University and UConn Health Employees, including graduate students when the action complained of was taken in the graduate student’s employment capacity (for example, as a Graduate Assistant, Teaching Assistant or Research Assistant, Resident and/or Fellow); or
    - 2. Third Parties when: (a) the conduct occurred on campus or other property owned or controlled by the University; (b) the conduct occurred in the context of a University employment or education program or activity, including, but not limited to, University-

sponsored study abroad, research, on-line, or internship programs; or (c) the conduct occurred outside the context of a University employment or education program or activity, but has continuing adverse effects on or creates a hostile environment for Students, Employees or Third Parties while on campus or other property owned or controlled by the University or in any University employment or education program or activity.

#### B. Support Persons

Complainants, Respondents, and witnesses shall have the right to have one (1) support person accompany them to any meeting with OIE related to a report or investigation under these procedures. An individual who is reasonably likely to participate as a witness in the investigation may not serve as a support person during any substantive interview. It is within OIE's discretion whether to reschedule a meeting due to a support person's unavailability.

#### C. Right to File External Complaint

- i. Complainants shall be advised of their right to file an external complaint with the applicable local, state and/or federal agency that enforces laws concerning non-discrimination and anti-harassment in employment or education such as the Connecticut Commission on Human Rights and Opportunities (CHRO), the Equal Employment Opportunity Commission (EEOC), U.S. Department of Labor, Wage and Hour Division, and the Office for Civil Rights (OCR). *See* Appendix I for agency contact information.
- ii. When an external complaint has been filed, OIE and the Office of Faculty and Staff Labor Relations (Labor Relations) will review the complaint and determine on a case-by-case basis whether OIE will conduct its own, internal investigation or, if OIE has already commenced an investigation, whether such investigation will be discontinued in light of the external filing.

#### D. OIE Files

OIE will create and maintain a file related to each report of Prohibited Conduct as described herein. The University is committed to protecting the privacy of all individuals involved in the investigation and resolution of a report. OIE will take reasonable efforts to protect the privacy of participants, in accordance with applicable state and federal law, while balancing the need to gather information to assess the report and to take steps to eliminate the discrimination, harassment or retaliation; prevent its recurrence; and remedy its effects.

#### E. Informal Resolution

Nothing in these procedures precludes an individual from seeking to discuss or resolve concerns independently with the University's

Ombudsperson. The Ombuds Office serves as a neutral resource that provides confidential and informal assistance to employees (including graduate students) on the Storrs and Regional campuses.

<http://ombuds.uconn.edu/>

### **III. WHERE AND HOW TO REPORT PROHIBITED CONDUCT**

A. A report of Prohibited Conduct may be made in written or verbal form to OIE:

Storrs Campus, Wood Hall - Unit 4175, 241 Glenbrook Road, Storrs, CT 06269;  
Phone: 860-486-2943; Email: [equity.uconn.edu](mailto:equity.uconn.edu); Fax: 860-486-6771.

UConn Health, at 16 Munson Road, 4<sup>th</sup> Floor, Farmington, CT 06030; Phone:  
860-679-3563; Email: [equity.uconn.edu](mailto:equity.uconn.edu); Fax: 860-679-3805.

B. The following information should be included in reports/complaints (to the extent known): the identities of the Complainant(s) and Respondent(s), the approximate date of the incident(s), a description of the concerning behavior, and, if applicable, the protected characteristic(s) alleged to be the basis of the discrimination or harassment.

C. A Dean, Department Head, Director or Supervisor who knows or should have known about an incident of Prohibited Conduct must comply with that Employee's Reporting Responsibilities as set forth in Section VI ("Employee Reporting Responsibilities") of the *Policy Against Discrimination, Harassment, and Related Interpersonal Violence*.

### **IV. JURISDICTIONAL REVIEW & ASSESSMENT OF MERITS**

A. OIE will review any report made to its office to determine whether OIE has jurisdiction to investigate. If not, OIE will advise the reporting person and will not investigate the report further. However, OIE may, in its discretion, refer the report to other appropriate University offices for further review.

B. If OIE has jurisdiction, it will then conduct an assessment of the merits of the allegations to determine whether the conduct at issue, if it occurred as alleged, would constitute a violation of University Policy. To make this determination, OIE's analysis is guided by state and federal law. If OIE determines that the conduct would not violate University Policy even if all the allegations are credited, OIE will advise the Complainant of its determination and will not undertake further investigation. OIE may notify other individuals (including the Respondent) or offices within the University of the reported allegations in order to mitigate the impacts of any potentially discriminatory conduct.

C. If, based on the allegations, OIE determines that the alleged conduct may violate University Policy, the investigation will proceed as described below.

## V. THE INVESTIGATION

- A. OIE will send a Notice of Investigation to the Complainant and Respondent when it determines that it will initiate an investigation. OIE may determine an investigation must proceed even in the absence or withdrawal of Complainant participation.
- B. Respondents will be informed of the allegations against them and given an opportunity to respond. Respondents also will be informed that they may enlist the assistance of their union representative, if applicable, for support throughout this process. As their support person (sec. II(b)), a Respondent's union representative may accompany the Respondent to any meetings with OIE.
- C. The standard of proof utilized in OIE's investigations is Preponderance of the Evidence ("more likely than not").
- D. OIE will invite the parties, as well as witnesses determined, in OIE's discretion, to have relevant information, to an interview with an OIE investigator. OIE also will obtain and review relevant documents or other evidence provided to or obtained by OIE.
- E. During the course of the investigation, OIE will provide the Complainant and Respondent with the opportunity to review their respective interview summaries and to provide any additional information. The Complainant and Respondent will have three (3) business days to provide any additional information to their interview summaries, and OIE will incorporate changes where appropriate.
- F. OIE strives to complete its investigation process within sixty (60) calendar days. This timeframe may be extended for good cause, which includes but is not limited to: investigations where additional time is necessary to ensure the integrity and completeness of the investigation; to comply with a request by external law enforcement for temporary delay to gather evidence for a criminal investigation; to accommodate the availability of parties and/or witnesses; to account for University breaks or vacations; to account for complexities of a case, including the number of witnesses and volume of information provided by the parties; or for other legitimate reasons. If OIE determines that the investigation may exceed sixty (60) calendar days, the investigator will advise both the Complainant and Respondent.
- G. OIE will notify the parties in writing at the conclusion of its investigation. OIE will also notify the Office of the President and/or the Executive Vice President of UConn Health, and any other individual or office that may need to know the information.

## **VI. WRITTEN RESPONSE TO OIE'S FINDINGS AND RECOMMENDATIONS REPORT**

- A. Both the Complainant and Respondent have the option to submit a written response to OIE's Findings and Recommendations report (either in addition to or in lieu of a request for review).
- B. All written responses will be added to and maintained with OIE's file pertaining to the outcome.

## **VII. REVIEW OF OIE'S FINDINGS**

### **A. Panel of Reviewers**

- i. OIE will appoint a standing pool of trained faculty, staff, and members of the administration to serve two-year terms on a Panel of Reviewers.
- ii. OIE will select the Chair of the Panel of Reviewers.
- iii. The Panel of Reviewers shall be given an orientation and training by OIE regarding the nature of the review process, OIE's procedures, prohibited forms of discrimination, harassment and retaliation, and other issues related to their roles.

### **B. Request for Review**

- i. Either party may request a review of OIE's findings by submitting a written request for review to the Chair of the Panel of Reviewers, in care of the OIE Associate Vice President, within fourteen (14) calendar days from written receipt of OIE's findings. Written receipt is presumed to be five (5) days after transmittal by U.S. mail and one (1) day if issued via email. A request for an extension of time beyond fourteen days may be granted at the discretion of OIE's Associate Vice President.
- ii. The grounds for review are limited to: (1) violations of these complaint procedures, which would have had a material effect on the outcome; and/or (2) additional evidence that was not available during the investigation, which would have had a material effect on the outcome. A party's request for review must identify at least one of the two grounds for review and provide sufficient detail to understand the basis for the request. Mere disagreement with OIE's findings is not sufficient grounds for review.
- iii. If the request for review is submitted within the timeframe set forth in sec. VII(B)(i), OIE will forward the request to the Chair of the Panel of Reviewers within two (2) business days of receipt.

### **C. Review Committee**

- i. The Chair of the Panel of Reviewers shall choose three members from the Panel of Reviewers to serve as a Review Committee. The Review Committee will first review the request to determine if at least one of the review grounds is identified. The Review Committee has the discretion to



deny a request if it is clear that neither of the two permissible grounds for review are identified. The Review Committee's decision to deny a request for failure to identify either of these two grounds is deemed final.

- ii. If either of the two permissible grounds for review is identified, the role of the Review Committee is to determine whether OIE violated its complaint procedures and/or whether there exists new information that was not available during the investigation, and that such error/new information could have had a material effect on the outcome.
- iii. 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, Review Committees may interview the parties and review relevant records. The Review Committees also may interview the OIE investigator(s) with regard to procedural questions. A Review Committee is not obligated to do any or all of those things if the Review Committee deems it unnecessary under the circumstances.
- iv. Once the Review Committee has concluded its evaluation of all relevant evidence, it will make a recommendation to the President and/or the Executive Vice President of UConn Health, which may include accepting or rejecting one or all of OIE's findings, or any other actions deemed necessary or appropriate in the discretion of the Review Committee.
- v. The Review Committee shall make its recommendation in writing and provide it to the President and/or the Executive Vice President of UConn Health within twenty (20) calendar days of the Committee's receipt of the request for review. Extensions of time may be granted by the President and/or the Executive Vice President of UConn Health on the basis of good cause.

#### D. Presidential Action

The President or designee and/or the Executive Vice President of UConn Health or designee will notify the parties in writing of his or her response to the Review Committee's recommendation within ten (10) business days of receipt.

## APPENDIX I

### MOST COMMONLY USED CIVIL RIGHTS ENFORCEMENT AGENCIES

#### **Connecticut Commission on Human Rights and Opportunities (CHRO)\***

##### CAPITOL REGION OFFICE:

999 Asylum Avenue, Second Floor

Hartford, CT 06105

PHONE: (860) 566-7710

FAX: (860) 566-1997

TDD: (860) 566-7710

##### EASTERN REGION OFFICE

100 Broadway

Norwich, CT 06360

PHONE: (860) 886-5703

FAX: (860) 886-2550

TDD: (860) 886-5707

##### WEST CENTRAL REGION OFFICE

Rowland State Government Center

55 West Main Street, Suite 210

Waterbury, CT 06702-2004

PHONE: (203) 805-6530

FAX: (203) 805-6559

TDD: (203) 805-6579

##### SOUTHWEST REGION OFFICE

350 Fairfield Ave., Sixth Floor

Bridgeport, CT 06604

PHONE: (203) 579-6246

FAX: (203) 579-6950

TDD: (203) 579-6246

\*For information on which CHRO field office to utilize, please visit

[www.ct.gov/chro/cwp/view.asp?a=2523&Q=315790](http://www.ct.gov/chro/cwp/view.asp?a=2523&Q=315790).

#### **U.S. Equal Employment Opportunity Commission (EEOC)**

John F. Kennedy Federal Building

475 Government Center

Boston, MA 02203

PHONE: (800) 669-4000

FAX: (617) 565-3196

TTY: (800) 669-6820

**U.S. Department of Education  
Office for Civil Rights/Boston (OCR)**

U.S. Department of Education

Eighth Floor

5 Post Office Square

Boston, MA 02109-3921

PHONE: (617) 289-0111

FAX: (617) 289-0150

<http://www2.ed.gov/about/offices/list/ocr/index.html>

**U.S. Department of Labor, Wage and Hour Division**

HARTFORD DISTRICT OFFICE

135 High Street, Room 210

Hartford, CT 06103-1111

PHONE: (860) 240-4160; 1-866-4-USWAGE (1-866-487-9243)

TTY: 1-877-889-5627

<https://www.dol.gov/wecanhelp/howtofilecomplaint.htm>

NEW HAVEN AREA OFFICE

150 Court Street, Room 208

New Haven, CT 06510

PHONE: (203) 773-2249; 1-866-4-USWAGE (1-866-487-9243)

<https://www.dol.gov/wecanhelp/howtofilecomplaint.htm>

**U.S. Department of Health and Human Services**

HHH Building, Room 509F

200 Independence Avenue SW

Washington, D.C. 20201

PHONE: 1-800-868-1019

TDD: 800-537-7697

<http://www.hhs.gov/ocr/office/file/index.html>

<https://ocrportal.hhs.gov/ocr/portal/lobby.jsf>

12/2/2016

# 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 Institutional Equity (OIE)  
241 Glenbrook Road  
Wood Hall, Unit 4175  
Storrs, CT 06269-4175  
Telephone: (860) 486-2943  
Information on OIE'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 Institutional Equity (OIE)  
241 Glenbrook Road  
Wood Hall – Unit 2175  
Storrs, CT 06269  
Telephone: (860) 486-2943  
Information on OIE’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**

**EXTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2015 AND SEPTEMBER 30, 2016**

COMPLAINANT RACE/SEX	DATE FILED/ DATE REC'D*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
1 Asian/White/Female	8/19/2016	External	UConn	Discrimination based on Age/Race/Sex (CHRO)	Pending			
2 Unknown/Female	8/1/2016	External	UConn	Discrimination based on Disability (Federal Court)	Pending			
3 White/Male	7/28/2016 8/18/2016	External	UConn	Harassment based on Sex, Retaliation (CHRO/EEOC)	Pending			
4 Black/Female	7/6/2016 7/25/2016	External	UConn	Discrimination based on Age; Retaliation (CHRO/EEOC)	Dismissed by MAR (CHRO) Pending at EEOC	Dismissed (CHRO)	79	9/23/2016 (CHRO)
5 Hispanic/Male	6/21/2016 7/21/2016	External	UConn	Discrimination based on National Origin (CHRO/EEOC)	Pending			
6 Asian/Pacific Islander/Male	3/29/2016 4/15/2016	External	UConn	Discrimination based on Ancestry/Race/Religion (CHRO/EEOC)	Pending			
7 Black/Male	3/4/2016 3/10/2016	External	UConn	Discrimination based on Color/National Origin/Race	Pending			
8 Black/Male	12/29/2015 1/7/2016	External	UConn	Discrimination and Harassment based on Color/Race; Retaliation (CHRO/EEOC)	Withdrawn at CHRO and EEOC	Settlement Agreement	197	7/13/2016 (CHRO/EEOC)
9 Black/Female	12/22/2015 1/8/2016	External	UConn	Discrimination based on Age/Race; Retaliation (CHRO/EEOC)	Pending			
10 Hispanic/Female	12/14/2015 12/31/2015	External	UConn	Discrimination based on National Origin (CHRO/EEOC)	Closed at CHRO Pending at EEOC	Settlement Agreement	221	7/22/2016 (CHRO)
11 White/Male	11/4/2015 11/19/2015	External	UConn	Discrimination based on Age/Disability; Retaliation (CHRO/EEOC)	Pending at CHRO Pending at EEOC	Settlement Agreement		

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**EXTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2015 AND SEPTEMBER 30, 2016**

	COMPLAINANT RACE/SEX	DATE FILED/ DATE REC'D*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
12	Asian/Female	10/29/2015 11/5/2015	External	UConn	Discrimination based on Sex; Sexual Harassment (CHRO/EEOC)	Closed at CHRO Pending at EEOC	Settlement Agreement	58	1/19/2016 (CHRO)
13	White/Female	7/13/2015 7/24/2015	External	UConn	Discrimination and harassment based on Age/Sex; Retaliation (CHRO/EEOC)	Closed at CHRO Pending at EEOC	Settlement Agreement	109	10/30/2015 (CHRO)
14	Unknown/Male	6/9/2015 6/23/2015	External	UConn	Discrimination based on Disability (CHRO/EEOC)	Closed at CHRO Pending at EEOC	Settlement Agreement	246	2/10/2016 (CHRO)
15	White/Male	6/10/2015 6/25/2015	External	UConn	Discrimination and Harassment based on Age/Sex/Disability (CHRO/EEOC)	CHRO - ROJ Issued Pending at EEOC	Dismissed	301	4/12/2016 (CHRO)
16	Unknown/Male	March 2015 5/29/2015	External	UConn	Discrimination based on Age/Disability (OCR)	Closed	Dismissed by OCR	140	10/16/2015
17	Asian/White/Female	2/27/2015 3/17/2015	External	UConn	Discrimination based on Age/Race/Sex (CHRO/EEOC/State Court/Federal Court)	Closed Pending at EEOC	Federal Court matter dismissed for Plaintiff's failure to appear  ROJ Issued (CHRO)  State Court case not timely - file closed	278	12/2/2015
18	Unknown/Female	2/17/2015	External	UConn	Discrimination based on Sex (OCR)	Pending			
19	White/Female	2/17/2015 2/29/2015	External	UConn	Retaliation (EEOC)	Closed	ROJ Issued	639	11/17/2016
20	Unknown/Male	2/12/2015	External	UConn	Discrimination based on Disability (Federal Court)	Closed	Settlement Agreement	560	8/25/2016

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	COMPLAINANT RACE/SEX	DATE FILED/ DATE REC'D*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
21	White/Female	12/29/2014	External	UConn	Discrimination based on Disability; Retaliation (Hartford Superior Court)	Pending			
22	American Indian/Alaskan Native/Male	12/29/2014	External	UConn	Discrimination based on Age; Retaliation (Hartford Superior Court)	Pending			
23	Black/African American/Male	11/17/2014	External	UConn	Retaliation (Federal Court)	Closed	Stipulation of Dismissal with prejudice	571	6/10/2016
24	Unknown/Male	9/29/2014 10/17/2014	External	UConn	Discrimination based on Disability (EEOC)	Dismissed	Settlement Agreement	514	3/14/2016 (EEOC)
25	Unknown/Female	9/26/2014 10/23/2014	External	UConn	Discrimination based on Age/Sex/ Disability (CHRO/EEOC)	Closed Pending at EEOC	Settlement Agreement	405	11/6/2015 (CHRO)
26	White/Male	9/4/2014 9/15/2014	External	UConn	Discrimination based on Disability (EEOC)	Closed	Settlement Agreement	453	12/1/2015
27	Native American/Male	6/9/2014 6/27/2014	External	UConn	Discrimination based on Age and Race (Hartford Superior Court)	Pending			
28	Black/Female	6/3/2014	External	UConn	Discrimination based on Race (Federal Court)	Closed	Settlement Agreement	500	10/16/2015
29	White/Female	12/29/2014	External	UConn	Discrimination based on Disability; Retaliation (Hartford Superior Court)	Pending			

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30	Unknown/Male	11/17/14 12/4/2014	External	UConn	Discrimination based on Disability and Age (Hartford Superior Court)	Closed	Withdrawn	442	2/2/2016
31	White/Female	3/13/2014 4/1/2014	External	UConn	Discrimination based on Disability; Retaliation (EEOC)	Pending			
32	Unknown/Male	3/12/2014 4/1/2014	External	UConn	Discrimination based on Race (EEOC)	Pending	Settlement Agreement (CHRO_		
33	Unknown/Female	2/28/14 3/26/2014	External	UConn	Discrimination based on Pregnancy (CHRO/EEOC)	Pending			
34	Unknown/Unknown	1/28/2014 2/11/2014	External	UConn	Discrimination based on Sex/Gender Identity (EEOC)	Pending			

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#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
1	Unknown/Male	09/27/2016	Internal	University Employee	Discrimination based on Disability	Referred to Department Head	Referred to Department Head	27	10/24/2016
2	Unknown/Female	09/12/2016	Internal	University Employee	Harassment - No Protected Class	Referred to Office of Faculty and Staff Labor Relations	Referred to Office of Faculty and Staff Labor Relations	42	10/24/2016
3	White/Female	9/12/2016	Internal	University Employee	Discrimination based on Disability	Dismissed - Assessment of Merits	Referred to Vice Provost for Academic Affairs	59	11/10/2016
4	Unknown/Female	08/30/2016	Internal	University Employee	Discrimination based on Gender Identity	Dismissed - Assessment of Merits		62	10/31/2016
5	White/Female	8/31/2016	Internal	University Employee	Discrimination based on Sex; Retaliation	Policy Violation	Referral to Dean, Management and Office of Faculty and Staff Labor Relations	89	11/28/2016
6	Black/Female	08/23/2016	Internal	Three University Employees	Discrimination based on Race/Religion/Sex	Dismissed - Assessment of Merits		84	11/15/2016
7	Unknown/Male	8/8/2016	Internal	University Employee	Discrimination based on National Origin/Sex	Dismissed - Assessment of Merits		29	09/06/2016
8	Black/Female	7/1/2016	Internal	University Employee	Discrimination based on Race	No Policy Violation		47	08/17/2016

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#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
9	Male	06/27/2016	Internal	University Employee	Discrimination based on Disability	Dismissed - Assessment of Merits		77	09/12/2016
10	White/Male	6/15/2016	Internal	Two University Employees	Sexual Harassment; Retaliation	No Policy Violation		55	08/09/2016
11	Black/Female	05/11/2016	Internal	University Employee	Discrimination based on Race	Dismissed - Assessment of Merits	Referred to Department Head	29	06/09/2016
12	Unknown/Female	05/10/2016	Internal	Two University Employees	Discrimination based on Disability	No Policy Violation	Recommendation for grade review and to Center for Students with Disabilities to review procedures regarding extension-of-time accommodations and notice to faculty	59	07/08/2016
13	White/Female	5/26/2016	Internal	University Employee	Discrimination based on Age/Disability; Retaliation	No Policy Violation	Referred to Ombuds Office	56	07/21/2016
14	White/Male	5/5/2016	Internal	Two University Employees	Harassment based on Sex-Based	Dismissed - Assessment of Merits		70	07/14/2016
15	Unknown/Male	5/2/2016	Internal	Two University Employees	Discrimination based on Gender Identity	No Policy Violation		78	07/19/2016

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16	Hispanic/Male	4/8/2016	Internal	University Employee	Discrimination based on Race; Retaliation	Policy Violation	Referred to Vice Provost for Academic Affairs and Office of Faculty and Staff Labor Relations	77	06/24/2016
17	Unknown/Female	3/25/2016	Internal	Two University Employees	Discrimination based on Disability	No Policy Violation		83	06/16/2016
18	White/Female	2/4/2016	Internal	Two University Employees	Discrimination based on Sex	Withdrawn		42	03/17/2016
19	White/Female	3/3/2016	Internal	University Employee	Sexual Harassment	Referred to Office of Faculty and Staff Labor Relations	Referred to Office of Faculty and Staff Labor Relations	1	03/03/2016
20	Black/Male	12/21/2015	Internal	University Employee	Discrimination based on Race	No Policy Violation		88	03/18/2016
21	Black/Male	1/5/2016	Internal	Two University Employees	Harassment based on Age/Race; Retaliation	No Policy Violation	Referred to Office of Faculty and Staff Labor Relations	112	04/26/2016
22	White/Male	11/19/2015	Internal	Four University Employees	Discrimination based on Disability	No Policy Violation	Referred to University Committee on Access and Accommodations	130	03/28/2016
23	Unknown/Male	1/15/2016	Internal	University Employee	Retaliation	No Follow-up from Complainant		45	02/29/2016

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24	Unknown/Male	11/16/2015	Internal	University Employee	Discrimination based on National Origin	No Policy Violation		106	03/01/2016
25	Unknown/Female Unknown/Female	10/29/2015	Internal	University Employee	Harassment based on Color/Race/Religion/Sex-Based/National Origin	No Policy Violation	Referred to Management and Office of Faculty and Staff Labor Relations	165	04/11/2016
26	Asian/Female	9/30/2015	Internal	University Employee	Retaliation	Referred to Office of Faculty and Staff Labor Relations	Referred to Office of Faculty and Staff Labor Relations	63	12/2/2015
27	Hispanic/Latino/Male	9/22/2015	Internal	University Employee	Discrimination based on National Origin	No Policy Violation		79	12/10/2015
28	White/Female	9/21/2015	Internal	Two University Employees	Harassment based on Disability; Retaliation	No Policy Violation		108	1/7/2016
29	Unknown/Female	9/21/2015	Internal	University Employee	Discrimination based on Age and Disability	No Policy Violation		211	4/19/2016
30	White/Female	9/14/2015	Internal	University Employee	Discrimination based on Age	Dismissed - Assessment of Merits	Referred to Union and Ombuds Office	80	12/3/2015
31	Unknown/Female	9/3/2015	Internal	University Employee	Sexual Harassment	No Policy Violation	Review of Policies with Respondent	64	11/6/2015

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32	Unknown/Male	9/3/2015	Internal	University Employee	Discrimination based on Disability	Dismissed - Assessment of Merits		57	10/30/2015
33	Unknown/Male	9/2/2015	Internal	University Employee Non-University Respondent	Sexual Harassment	No Policy Violation		92	12/3/2015
34	Black/African American/Male	8/14/2015	Internal	Three University Employees	Discrimination based on Race; Retaliation	No Policy Violation	Review of procedures for receiving and evaluating requests for workplace accommodations pursuant to the ADA	194	2/24/2016
35	Unknown/Transgender	7/27/2015	Internal	University Employee	Harassment based on Gender Identity; Retaliation	No Policy Violation		143	12/17/2015
36	Unknown/Transgender	7/27/2015	Internal	Two University Employees	Harassment based on Gender Identity and Sex	No Policy Violation		129	12/3/2015
37	Hispanic/Latino/Female	7/27/2015	Internal	University Employee	Discrimination based on National Origin	No Policy Violation		106	11/10/2015
38	Asian/Female Unknown/Female	7/1/2015	Internal	Five University Employees	Discrimination based on Disability, National Origin and Sex	No Policy Violation		92	10/1/2015

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39	White/Female	4/3/2015	Internal	Two University Employees	Harassment based on Disability	No Policy Violation	Department training regarding accommodations pursuant to ADA	196	10/16/2015

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