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 website, 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)\(^1\) 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.\(^2\)

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.

\(^1\) OIE maintains office locations on both the Storrs campus and UConn Health.

\(^2\) 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; Fax: 860-486-6771.

   UConn Health, at 16 Munson Road, 4th Floor, Farmington, CT 06030; Phone: 860-679-3563; Email: 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.

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

12/2/2016
Non-Retaliation Policy

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

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/](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:  
• 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 officerc@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

• 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.uconnnaup.org/contact/](http://www.uconnnaup.org/contact/)
- The University of Connecticut Professional Employees Association (UCPEA):  (860) 487-0850
- Maintenance and Service Unit – Connecticut Employees Union Independent (CEUI):  (860) 344-0311
- Administrative Clerical Unit – American Federation of State, County and Municipal Employees (AFSCME):  (860) 224-4000
- Connecticut Police and Fire Union:  (860) 953-2626
- Social and Human Services Unit – American Federation of State, County and Municipal Employees (AFSCME):  (860) 224-4000
- Administrative and Residual Employees Union (A&R):  (860) 953-1316
- New England Health Care Employees Union – District 1199
- University Health Professionals (UHP)

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

**NEW MATTERS OPENED DURING PLAN YEAR**

<table>
<thead>
<tr>
<th>COMPLAINANT RACE/SEX</th>
<th>DATE FILED/DATE REC'D</th>
<th>TYPE</th>
<th>RESPONDENT</th>
<th>BASIS CLAIMED</th>
<th>FINDING</th>
<th>RESOLUTION</th>
<th>LENGTH OF TIME TO RESOLVE</th>
<th>DATE CLOSED</th>
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</thead>
<tbody>
<tr>
<td>1 Asian/White/Female</td>
<td>8/19/2016</td>
<td>External</td>
<td>UConn</td>
<td>Discrimination based on Age/Race/Sex (CHRO)</td>
<td>Pending</td>
<td></td>
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<td></td>
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<td>2 Unknown/Female</td>
<td>8/1/2016</td>
<td>External</td>
<td>UConn</td>
<td>Discrimination based on Disability (Federal Court)</td>
<td>Pending</td>
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<td></td>
<td></td>
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<td>3 White/Male</td>
<td>7/28/2016 8/18/2016</td>
<td>External</td>
<td>UConn</td>
<td>Harassment based on Sex, Retaliation (CHRO/EEOC)</td>
<td>Pending</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Black/Female</td>
<td>7/6/2016 7/25/2016</td>
<td>External</td>
<td>UConn</td>
<td>Discrimination based on Age; Retaliation (CHRO/EEOC)</td>
<td>Dismissed by MAR (CHRO)</td>
<td>Dismissed (CHRO)</td>
<td>79</td>
<td>9/23/2016 (CHRO)</td>
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<tr>
<td>5 Hispanic/Male</td>
<td>6/21/2016 7/21/2016</td>
<td>External</td>
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<td>8 Black/Male</td>
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<td>Pending at EEOC</td>
<td>Settlement Agreement</td>
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<tr>
<th>COMPLAINANT</th>
<th>DATE FILED/ DATE REC'D*</th>
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<th>RESOLUTION</th>
<th>LENGTH OF TIME TO RESOLVE</th>
<th>DATE CLOSED</th>
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<td>Discrimination and harassment based on Age/Sex; Retaliation (CHRO/EEOC)</td>
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<td>560</td>
<td>8/25/2016</td>
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</table>

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1/27/2017 9:37 AM
Sec. 13 Discrimination Complaint Process - Attachment C
<table>
<thead>
<tr>
<th>COMPLAINANT RACE/SEX</th>
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<th>RESOLUTION</th>
<th>LENGTH OF TIME TO RESOLVE</th>
<th>DATE CLOSED</th>
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<td>22 American Indian/Alaskan Native/Male</td>
<td>12/29/2014</td>
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<td>Closed</td>
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### DISCRIMINATION COMPLAINT LOG
#### UNIVERSITY OF CONNECTICUT

**INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2015 - SEPTEMBER 30, 2016**

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<tr>
<th>#</th>
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<td>University Employee</td>
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<tr>
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<td>Dismissed - Assessment of Merits</td>
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<td>08/17/2016</td>
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* Date written complaint received by the Office of Institutional Equity (OIE), formerly the Office of Diversity and Equity (ODE), or date of complainant's first substantive interview with OIE.
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<td>07/19/2016</td>
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<td>9/21/2015</td>
<td>Internal</td>
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<td>30</td>
<td>White/Female</td>
<td>9/14/2015</td>
<td>Internal</td>
<td>University Employee</td>
<td>Discrimination based on Age</td>
<td>Dismissed - Assessment of Merits</td>
<td>Referred to Union and Ombuds Office</td>
<td>80</td>
<td>12/3/2015</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>#</th>
<th>COMPLAINANT RACE/SEX</th>
<th>DATE FILED*</th>
<th>TYPE</th>
<th>RESPONDENT</th>
<th>BASIS CLAIMED</th>
<th>FINDING</th>
<th>RESOLUTION</th>
<th>LENGTH OF TIME TO RESOLVE</th>
<th>DATE CLOSED</th>
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<tbody>
<tr>
<td>32</td>
<td>Unknown/Male</td>
<td>9/3/2015</td>
<td>Internal</td>
<td>University Employee</td>
<td>Discrimination based on Disability</td>
<td>Dismissed - Assessment of Merits</td>
<td></td>
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<td>10/30/2015</td>
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<td>33</td>
<td>Unknown/Male</td>
<td>9/2/2015</td>
<td>Internal</td>
<td>University Employee</td>
<td>Sexual Harassment</td>
<td>No Policy Violation</td>
<td></td>
<td>92</td>
<td>12/3/2015</td>
</tr>
<tr>
<td>34</td>
<td>Black/African American/Male</td>
<td>8/14/2015</td>
<td>Internal</td>
<td>Three University Employees</td>
<td>Discrimination based on Race; Retaliation</td>
<td>No Policy Violation</td>
<td>Review of procedures for receiving and evaluating requests for workplace accommodations pursuant to the ADA</td>
<td>194</td>
<td>2/24/2016</td>
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<tr>
<td>35</td>
<td>Unknown/Transgender</td>
<td>7/27/2015</td>
<td>Internal</td>
<td>University Employee</td>
<td>Harassment based on Gender Identity; Retaliation</td>
<td>No Policy Violation</td>
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<td>143</td>
<td>12/17/2015</td>
</tr>
<tr>
<td>36</td>
<td>Unknown/Transgender</td>
<td>7/27/2015</td>
<td>Internal</td>
<td>Two University Employees</td>
<td>Harassment based on Gender Identity and Sex</td>
<td>No Policy Violation</td>
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<td>129</td>
<td>12/3/2015</td>
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<td>37</td>
<td>Hispanic/Latino/Female</td>
<td>7/27/2015</td>
<td>Internal</td>
<td>University Employee</td>
<td>Discrimination based on National Origin</td>
<td>No Policy Violation</td>
<td></td>
<td>106</td>
<td>11/10/2015</td>
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<td>38</td>
<td>Asian/Female Unknown/Female</td>
<td>7/1/2015</td>
<td>Internal</td>
<td>Five University Employees</td>
<td>Discrimination based on Disability, National Origin and Sex</td>
<td>No Policy Violation</td>
<td></td>
<td>92</td>
<td>10/1/2015</td>
</tr>
</tbody>
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<td>39</td>
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<td>4/3/2015</td>
<td>Internal</td>
<td>Two University Employees</td>
<td>Harassment based on Disability</td>
<td>No Policy Violation</td>
<td>Department training regarding accommodations pursuant to ADA</td>
<td>196</td>
<td>10/16/2015</td>
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</tbody>
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