

DISCRIMINATION COMPLAINT PROCESS

(Section 46a-68-89)

This section was in compliance in the prior plan filing with the following recommendation by the CHRO Reviewer:

“In addition to informal internal complaints when their investigation may exceed the 90 day investigation timeframe, the complainants should also be reminded of their options to file with the Commission on Human Rights and Opportunities, E.E.O.C., etc.”

Action: The Affirmative Action Specialist agrees fully with the recommendation to always inform complainants of their legal right to seek remedy from all available resources. UConn Health Center’s EEO Investigators are trained to advise a complainant of their legal rights as well as further remedies (CHRO and EEOC) notification on the Discrimination and Discriminatory Harassment Complaint Form that they sign and receive a copy of (see Exhibit #1).

This section contains information on UConn Health’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 previous filing and the proposals/recommendations were: Future filings must use the discrimination complaint log from the revised Affirmative Action Regulations training.

The discrimination complaint log from the revised Affirmative Action Regulations training was utilized.

Subsection (a)

The Office of Institutional Equity (OIE) is UConn Health’s neutral unit responsible for managing internal investigations and resolutions for employees, students and patients who believe they have been subjected to discrimination or discriminatory harassment. OIE investigates all complaints of discrimination, gathers and evaluates evidence submitted by all parties and witnesses, and renders a determination based on the preponderance of the evidence presented in order to mitigate harm resulting from any discriminatory conduct within UConn Health and/or to prevent its recurrence. UConn Health’s Discrimination Complaint Procedures provide for the expeditious resolution of complaints to assure the legal options for filing complaints with enforcement agencies are not foreclosed. Please see **Exhibit #1**.

(1) The Associate Vice President, Director of Investigations, Associate Director of Investigations, and EEO Investigator(s) are UConn Health’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 Connecticut Commission on Women, Children and Seniors (CWCS) as designated in Public Act 03-151 and 12-78, including the “Foundations” training and the bi-annual mandatory Equal Employment Opportunity/Attorney General Designee training on September 19, 2017, September 27, 2017, and October 25, 2017. In addition, investigative staff attended the Office of Audit, Compliance and Ethics Mandatory Compliance Training; NACUA Conducting Effective Internal Investigations Training; NACUA

Webinar: The Anatomy of a Retaliation Claim; the Clery Center's Webinar: The Evolving Landscape of Title IX and Clery Compliance: Updates on the 2017 Interim Guidance, Title IX and Clery Enforcement and the NCAA Policy on Sexual Violence; Shipman & Goodwin's Webinar: Are You at Risk? An In-Depth Look at Workplace Sexual Harassment Prevention and Company Culture; Shipman & Goodwin's 2018 Labor and Employment Spring Seminar; CHRO's Legal Rights of Working Parents: Making it Work at Home and On the Job; NACUA Webinar: Accommodating Pregnant and Parenting Students; Pullman & Comley's Developments in Labor and Employment Law; and the Connecticut Hospital Association's 2018 CHA Regulatory Compliance Conference. Please see **Exhibit #2**.

(2) As part of the UConn Health's Discrimination Complaint Procedures, OIE provides assistance with informal resolution procedures for all parties involved in an internal investigation of alleged discrimination. The Employee Assistance Program serves as a neutral resource that provides confidential and informal assistance to UConn Health employees and is available to employees involved in an internal investigation of alleged discrimination.

(3) UConn Health's Discrimination Complaint Procedures are available through OIE's website: www.equity.uconn.edu/discrimination/.

(4) All parties involved in an internal investigation of alleged discrimination are informed of and guaranteed protection from retaliation. **Exhibit #3**. This protection and guarantee will continue to be a provision of UConn Health'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 are also listed in the UConn Health's Discrimination Complaint Procedures, which includes a list of the "Most Commonly Used Civil Rights Agencies," and is provided to all parties. The addresses of these agencies can also be accessed through OIE's web site, www.equity.uconn.edu/wp-content/uploads/sites/2036/2018/08/OIE-Investigation-Procedures-August-1-2018.pdf.

(6) UConn Health'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 nature of the alleged complaints. In addition, OIE provides regular reports to the Chief Executive Officer and Executive Vice President for Health Affairs, and other senior executives.

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 (July 1, 2017 – May 31, 2018) 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 allegation 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. Please see **Exhibit #4**.

**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).

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:

450 Columbus Boulevard
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

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

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

12/2/2016

Please explain the specific action(s) or situation(s) that resulted in your allegation(s) that you were discriminated against, (treated differently from other employees or applicants) or harassed based on your protected class (race, color, religion, national origin, sex, age, disability, sexual orientation, etc.) and/or retaliated against.

Describe why you believe the incident(s) you described was related to your race, sex, age, etc., as you described above, or why you believe that you were retaliated against.

List and describe all documents, e-mails, records, materials and other evidence pertaining to your complaint.

Describe the corrective action you are seeking.

Acknowledgment

I understand that, regardless of any contact with the Office of Institutional Equity, I also retain the right to file an external complaint of discrimination or discriminatory harassment with the Connecticut Commission on Human Rights and Opportunities (CHRO), the Equal Employment Opportunity Commission (EEOC) and/or the Office for Civil Rights (OCR). Further, I understand that the relevant timeline for filing with these agencies varies from 180 days to 300 days from the date of the alleged discriminatory or retaliatory act and is independent of any internal complaint filed with the Office of Institutional Equity.

I understand that under state and federal law, as a complainant, I may not be retaliated against for filing a charge of discrimination, participating in an investigation or opposing an unlawful discriminatory practice.

I hereby attest that the facts asserted in this complaint are true and accurate to the best of my knowledge and belief.

Complainant Signature

Date

Upon completion, please return this form and any evidence pertaining to your complaint to:

STORRS & REGIONAL CAMPUSES
Office of Institutional Equity
University of Connecticut
241 Glenbrook Road – Unit 4175
Storrs, CT 06269-4175
Phone: 860-486-2943
Fax: 860-486-6771
Email: equity@uconn.edu

UConn HEALTH
Office of Institutional Equity
UConn Health
16 Munson Road – 4th Floor
Farmington, CT 06030-5310
Phone: 860-679-3563
Fax: 860-679-6512
Email: equity@uconn.edu

NAME	TITLE	AGENCY	FOUNDATION	UPDATE
Robert Camilleri	EEO	UConn Health Center	2006	2007, 2008, 2009, 2010, 2011, 2013, 2015, 2017
Sylvia Santos-Flickinger	AGD	UConn Health Center	2012	2013, 2015
Jamila H. Goolgar	EEO	We have her down as from DAS	2004	2015, 2017
Alexa Lindauer	EEO	We have her down as from University of Connecticut	2017	Her update would be in Fall 2019

Hope this helps.

Rosemary Lopez, Senior Resource Coordinator

**Connecticut Commission on
Women, Children *and* Seniors**



UConn HEALTH

POLICY NUMBER 2003-40

February 17, 2015

POLICY: NON-RETALIATION

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. For the full policy, go to University of Connecticut Policy at: <http://policy.uconn.edu/2011/05/24/non-retaliation-policy/>

Andrew Agwunobi (Signed)

3/10/15

Andrew Agwunobi, M.D., M.B.A.
Interim Executive Vice President for Health Affairs

Date

Replaces: Policy 2003-40 Whistleblower Protection, dated 10/1/03

New Policy: 10/16/09

Reviewed Without Changes: 2/17/15

UConn Health INTERNAL Discrimination Complaints
 Opened Or Pending Between July 1, 2017 and May 31, 2018

Complainant Race/Sex	Date Filed	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Report/Referral Issued
1 Hispanic/Female	05/08/2018	Internal	1 UConn Health Employee 1 Department of Corrections Employee	Discrimination - National Origin; Retaliation	Pending			
2 Unknown/Male	04/26/2018	Internal	1 UConn Health Employee	Discrimination - No Protected Class	Closed - Assessment of Merits		35	05/31/2018
3 N/A - Report From Department	03/14/2018	Internal	2 UConn Health Employees	Sexual Harassment; Failure to Report	Closed - Policy Violation	Referred to Management	71	05/24/2018
4 Unknown/Female	03/12/2018	Internal	2 UConn Health Employees	Harassment - Sex-Based; Retaliation	Pending			
5 Unknown/Female	03/05/2018	Internal	1 UConn Health Employee	Sexual Harassment	Closed - No Policy Violation		71	05/15/2018
6 Hispanic/Female	03/01/2018	Internal	1 UConn Health Employee	Discrimination - Disability	Pending			
7 White/Female	02/22/2018	Internal	2 UConn Health Employees	Discrimination - National Origin; Retaliation	Pending			
8 Hispanic/Male	01/19/2018	Internal	1 UConn Health Employee	Discrimination - Ethnicity	Closed - Assessment of Merits	Referred to Management	77	04/06/2018
9 Hispanic/Female	12/18/2017	Internal	2 UConn Health Employees	Discrimination/Harassment - Race/Ethnicity	Closed - Withdrawn by Complainant	Managed by Human Resources	92	03/20/2018
10 Hispanic/Female	12/14/2017	Internal	1 UConn Health Employee	Discrimination/Harassment - Race/Ethnicity	Closed - Assessment of Merits	Referred to Management	105	03/29/2018
11 Black/Male	12/14/2017	Internal	1 UConn Health Employee	Discrimination - Color/National Origin/Race	Closed - Assessment of Merits		54	02/06/2018
12 Asian/Female	12/08/2017	Internal	1 UConn Health Employee	Sexual Harassment; Stalking	Pending			
13 Unknown/Female	11/21/2017	Internal	1 UConn Health Employee	Sexual Harassment	Closed - No University Policy Violation AD 2.2 Policy Violation	Referred to Management	78	02/07/2018
14 N/A - Report From Department	11/03/2017	Internal	1 UConn Health Employee	Harassment - Ethnicity/Sexual Orientation	Pending			
15 White/Female	11/01/2017	Internal	1 UConn Health Employee	Discrimination - Disability	Closed - Assessment of Merits		68	01/08/2018
16 Unknown/Female	10/18/2017	Internal	1 UConn Health Employee	Sexual Harassment	Closed - Policy Violation	Referred to Management	180	04/16/2018
17 White/Male	10/17/2017	Internal	1 UConn Health Employee	Sexual Harassment	Closed - No Policy Violation	Referred to Management	71	12/27/2017
18 Hispanic/Male	09/14/2017	Internal	1 UConn Health Employee	Discrimination - National Origin/Race	Closed - No Policy Violation		120	01/12/2018
19 Unknown/Male	09/08/2017	Internal	2 UConn Health Employees	Retaliation	Closed - No Policy Violation		152	02/07/2018
20 Black/Female	08/31/2017	Internal	1 UConn Health Employee	Sexual Harassment	Closed - No Policy Violation	Referred to Management	106	12/15/2017
21 White/Female	07/17/2017	Internal	1 UConn Health Employee	Sexual Harassment	Closed - AD 2.2 Policy Violation	Referred to Management	59	09/14/2017
22 Unknown/Female	5/26/2017	Internal	4 UConn Health Employees	Discrimination - Disability; Retaliation	Closed - No Policy Violation		174	11/16/2017
23 White/Female	05/04/2017	Internal	1 UConn Health Employee	Harassment - Sex-Based	Closed - Assessment of Merits		124	9/5/2017

UConn Health INTERNAL Discrimination Complaints
 Opened Or Pending Between July 1, 2017 and May 31, 2018

Complainant Race/Sex	Date Filed	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Report/Referral Issued
24 Black/Female	03/24/2017	Internal	1 UConn Health Employee	Discrimination - Color/Race; Retaliation	Closed - Withdrawn by Complainant		146	8/17/2017
25 Unknown/Male	02/15/2017	Internal	1 UConn Health Employee	Harassment - Age/Sex-Based	Closed - Assessment of Merits	Referred to Management	177	8/11/2017
26 Black/Female	12/07/2016	Internal	1 UConn Health Employee	Discrimination - Age/Race	Closed - No Policy Violation		216	7/11/2017
27 Black/Male	10/14/2016	Internal	1 UConn Health Employee	Discrimination - Color/Race	Closed - Assessment of Merits		266	7/7/2017

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Complaint Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basics Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
1 White/Female	6/27/2018 Filed at EEOC 7/5/2018 Amended at EEOC 07/11/2018 Notice to UConn Health	External	UConn Health	Discrimination - Age/Disability/Sex	Pending at EEOC			
2 White/Male	6/20/2018 Filed at CHRO 6/27/2018 Notice to UConn Health	External	UConn Health	Harassment - Disability	Pending at CHRO			
3 Hispanic/Female	6/11/2018 Filed at CHRO 6/20/2018 Notice to UConn Health	External	UConn Health	Harassment - Disability; Retaliation	Pending at CHRO Pending at EEOC			
4 White/Male	5/8/2018 Filed at CHRO 5/21/2018 Notice to UConn Health	External	UConn Health	Discrimination - Sex/Mental Disability	Pending at CHRO Pending at EEOC			
5 White/Female	3/15/2018 Filed at CHRO 3/23/2018 Notice to UConn Health	External	UConn Health	Discrimination - Disability; Retaliation	Pending at CHRO Pending at EEOC			
6 Black/Female	2/26/2018 Filed at CHRO 3/9/2018 Notice to UConn Health	External	UConn Health	Sexual Harassment; Retaliation	Pending at CHRO Pending at EEOC			
7 Hispanic/Female	2/13/2018 Filed at CHRO 02/27/2018 Notice to UConn Health	External	UConn Health	Discrimination - Sex/Pregnancy	Pending at CHRO Pending at EEOC			
8 Black/Male	2/8/2018 Filed at CHRO 02/16/2018 Notice to UConn Health	External	UConn Health	Discrimination - Color/Disability/Race	Pending at CHRO			

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Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
9 Black/Male	2/7/2018 Filed at CHRO 02/16/2018 Notice to UConn Health	External	UConn Health	Discrimination - Color/Disability/Race	Pending at CHRO			
10 Black/Female	01/31/2018 Filed at CHRO 2/8/2018 Notice to UConn Health	External	UConn Health	Discrimination - Race/Color/Marital Status; Retaliation	Pending at CHRO			
11 White/Female	12/27/2017 Filed at CHRO 01/11/2018 Notice to UConn Health	External	UConn Health	Discrimination - Disability; Retaliation	Release of Jurisdiction by CHRO Pending at EEOC		125 CHRO	5/1/2018 CHRO
12 Black/Female	12/21/2017 Filed at CHRO Notice to UConn Health 1/10/2018	External	UConn Health	Discrimination - Color/Race; Retaliation	Pending at CHRO Pending at EEOC			
13 Black/Female	10/30/2017 Filed at CHRO 11/9/2017 Notice to UConn Health	External	UConn Health	Discrimination - Disability/Race/Religion/National Origin; Retaliation	Pending at CHRO Pending at EEOC			
14 Hispanic/Female	10/5/2017 Filed at CHRO 10/19/2017 Notice to UConn Health	External	UConn Health	Discrimination - National Origin/Sex; Sexual Harassment; Retaliation	Pending at CHRO Pending at EEOC			
15 Unknown/Female	10/3/2017 Filed at CHRO 10/18/2017 Notice to UConn Health	External	UConn Health	Discrimination - Sex/Religion; Retaliation	Pending at CHRO Pending at EEOC			
16 Black/Female	9/18/2017 Filed at CHRO 10/4/2017 Notice to UConn Health	External	UConn Health	Discrimination - Race	Pending at CHRO			
17 Black/Male	08/25/2017 Filed at CHRO 11/8/2017 Notice to UConn Health	External	UConn Health	Discrimination - Age/Color/Race/Sex/Marital Status; Incarceration; Retaliation	Dismissal and Release of Jurisdiction		175 CHRO	2/16/2018

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Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
18 Black/Male	08/18/2017 Filed at CHRO 9/6/2017 Notice to UConn Health	External	UConn Health	Discrimination/Harassment - Color/Race	Dismissal and Release of Jurisdiction		119 CHRO	12/15/2017
19 Unknown/Male	8/16/2017 Filed at CHRO 8/31/2017 Notice to UConn Health	External	UConn Health	Discrimination - Disability	Dismissal and Release of Jurisdiction		128 CHRO	12/22/2017 CHRO
20 Black/Female	08/09/2017 Filed at CHRO 8/22/2017 Notice to UConn Health	External	UConn Health	Discrimination - Race	Release of Jurisdiction issued by CHRO Pending at EEOC		97 CHRO	12/4/2017 CHRO
21 Hispanic Male	7/31/2017 Filed at CHRO 8/15/2017 Notice to UConn Health	External	UConn Health	Discrimination - Color/Race; National Origin	Withdrawn by Complainant at CHRO & EEOC		162 CHRO	1/9/2018
22 Unknown/Female	6/12/2017 Filed at CHRO 6/27/2017 Notice to UConn Health	External	UConn Health	Discrimination - Pregnancy	Pending at CHRO			
23 Black/Female	5/18/2017 Filed at CHRO 6/6/2017 Notice to UConn Health	External	UConn Health	Harassment/Discrimination - Color/Race	Dismissal and Release of Jurisdiction EEOC Dismissal		125 CHRO 168 EEOC	9/20/2017 CHRO 11/7/2017 EEOC
24 Unknown/Female	5/11/2017 Filed at CHRO 6/8/2017 Notice to UConn Health	External	UConn Employee	Discrimination - Sex and Retaliation	Pending at CHRO Pending at EEOC			
25 Unknown/Female	5/11/2017 Filed at CHRO 6/8/2017 Notice to UConn Health	External	UConn Health	Discrimination - Sex and Retaliation	Pending at CHRO			

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Complainant Race/ Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
26 Black/Female	5/10/2017 Filed at CHRO Notice to UConn Health 6/8/2017	External	UConn Health	Harassment - Age/Disability/Race	Pending at CHRO Pending at EEOC			
27 Unknown/Female	3/23/2017 Filed at OCR 4/27/2017 Notice to UConn Health	External	UConn Health	Discrimination - Disability	Pending at OCR			
28 Black/Female	1/26/2017 Filed at CHRO 2/7/2017 Notice to UConn Health	External	UConn Health	Discrimination - Color/Race; Retaliation	Pending at CHRO Pending at EEOC			
29 White/Female	10/26/2016 Filed at EEOC	External	UConn Health	Discrimination - Disability/Sex	Dismissal by EEOC		89 EEOC	1/23/2017
30 Unknown/Female	10/20/2016 Filed at CHRO Notice to UConn Health 10/21/2016	External	UConn Health	Discrimination - Age	Pending at CHRO			
31 Asian-Indian/Male	6/29/2016 Filed at CHRO 7/19/2016 Notice to UConn Health	External	UConn Health	Discrimination - Color/Disability/National Origin/Race	Pending at CHRO			
32 Unknown/Female	5/24/2016	External	UConn Health	Discrimination - Pregnancy	Pending in State Court			
33 Black/Male	5/20/2016 Filed at CHRO 6/27/2016 Notice to UConn Health	External	UConn Health	Discrimination - Color/Race	Pending at CHRO			

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Complainant Race/Sex	Date Filed/Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
34 Unknown/Male	5/13/2016 Filed at CHRO 5/19/2016 Notice to UConn Health 6/16/2016 Filed at EEOC	External	UConn Health	Discrimination - Age/Disability	Dismissal and Release of Jurisdiction Pending at EEOC		459 CHRO	8/15/2016 CHRO
35 Hispanic/Female	5/9/2016 Filed at CHRO 5/13/2016 Notice to UConn Health	External	UConn Health	Discrimination - National Origin	Pending at CHRO Pending at EEOC			
36 Black/Female	2/29/2016 Filed 3/18/2016 Notice to UConn Health	External	UConn Health	Discrimination/Harassment - Color/Disability/Race; Retaliation	Dismissal and Release of Jurisdiction Pending at EEOC		141 CHRO	7/19/2016 CHRO
37 Unknown/Male	2/26/2016 Filed at CHRO 4/7/2016 Notice to UConn Health	External	UConn Health	Discrimination - Disability	Pending at CHRO Pending at EEOC			
38 Unknown/Female	2/22/2016 Filed at CHRO 3/09/2016 Notice to UConn Health 3/31/2016 Filed at EEOC 4/1/2016 Filed at EEOC	External	UConn Health	Discrimination - Age/Disability/Sex-Based	Pending at CHRO Pending at EEOC			
39 Asian/Male	12/16/2015 Filed 12/29/2015 Notice to UConn Health	External	UConn Health	Discrimination - National Origin	Pending at CHRO Pending at EEOC			
40 Unknown/Female	12/15/2015	External	UConn Health	Retaliation	Pending in Federal Court			

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Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
41 Unknown/Female	11/16/2015 Filed at CHRO 11/27/2015 Notice to UConn Health	External	UConn Health	Discrimination - Disability	Dismissed - No Reasonable Cause Dismissed by EEOC		569 CHRO 669 EEOC	6/7/2017 CHRO 9/15/2017 EEOC
42 Unknown/Male	6/22/2015	External	UConn Health	Discrimination - Disability	Pending at CHRO			
43 Asian/Male	6/10/2016 Filed at CHRO 6/21/2016 Notice to UConn Health	External	UConn Health	Discrimination - Retaliation	Pending at CHRO Pending at EEOC			
44 Hispanic/Male	5/4/2015 Filed at CHRO 5/23/2015 Notice to UConn Health 6/25/2015 Filed at EEOC	External	UConn Health	Harassment - National Origin/Race; Retaliation	CHRO Dismissal Pending at EEOC		574 CHRO	11/28/2016 CHRO
45 Black/Female	11/19/2014 Filed at CHRO 12/9/2014 Notice to UConn Health 2/7/2015 Filed at EEOC 3/15/2016 Filed in Federal Court	External	UConn Health	Harassment - Color/Disability/Race	Release of Jurisdiction (CHRO) Dismissed (EEOC) Pending in Federal Court		365 CHRO 389 EEOC	11/19/2015 CHRO 2/26/2016 EEOC
46 Black/Female	10/27/2014 Filed at CHRO 11/18/2014 Notice to UConn Health 12/16/2014 Filed at EEOC 8/8/2015 Filed in Federal Court	External	UConn Health	Retaliation	Release of Jurisdiction Pending at EEOC Pending in Federal Court		217 CHRO	6/1/2015 CHRO

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Findings	Resolution	Length of Time to Resolve	Date Closed
47 Black/Female	10/15/2014 Filed at CHRO 10/23/2014 Notice to UConn Health 1/2/2015 Amended Complaint	External	UConn Health	Discrimination - Color/Race; Retaliation	Dismissal for No Reasonable Cause Pending at EEOC		730 CHRO	10/14/2016 CHRO
48 Black/Male	9/22/2014 Filed at CHRO 10/03/2014 Notice to UConn Health	External	UConn Health	Harassment - Color/Race	Dismissal for No Reasonable Cause Pending at EEOC		493 CHRO	01/28/2016 CHRO
49 Black/Male	9/12/2014 Filed at CHRO 9/26/2014 Notice to UConn Health	External	UConn Health	Harassment - Disability/Race	Pending at CHRO			
50 Unknown/Female	7/9/2014 Filed at CHRO 7/29/2014 Notice to UConn Health 9/10/2014 Filed at EEOC 9/17/2014 Filed at CHRO 7/6/2016 Filed in State Court	External	UConn Health	Discrimination - Disability/Sex-Based; Retaliation	Closed at CHRO EEOC Dismissal Pending in State Court		674 CHRO 908 EEOC	5/12/2016 CHRO 3/6/2017 EEOC
51 Unknown/Female	2/26/2014 Filed at CHRO 2/29/2014 Filed at EEOC 9/24/2014 Filed in State Court	External	UConn Health	Discrimination - Disability	Pending in State Court			
52 Unknown/Female	1/21/2014 Filed in Federal Court	External	UConn Health	Discrimination - National Origin/Sex	Pending in Federal Court			

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
53 Unknown/Female	1/14/2014 Filed at CHRO 2/19/2014 Filed at EEOC	External	UConn Health	Discrimination - Disability	Dismissed for No Reasonable Cause Dismissed by EEOC		1316 CHRO 1331 EEOC	8/22/2017 CHRO 10/12/2017 EEOC
54 Unknown/Male	10/28/2013	External	UConn Health	Discrimination - Disability; Retaliation	Pending in State Court			
55 Unknown/Female	10/4/2013	External	UConn Health	Discrimination - Sex-Based; Sexual Harassment	Verdict for Plaintiff Appeal Pending in Federal Court			
56 Black/Female	7/9/2013 Filed at EEOC	External	UConn Health	Retaliation	Pending at EEOC			
57 Unknown/Male	4/4/2013 Filed at CHRO 9/25/2014 Amended 5/15/2015 Amended 12/7/2015	External	UConn Health	Discrimination - Disability; Retaliation	Pending at CHRO			
58 Black/Female	3/13/2013 Filed at CHRO 3/20/2013 Notice to UConn Health	External	UConn Health	Discrimination - National Origin/Color/Race	Pending at CHRO Pending at EEOC Note: Complainant deceased as of 10/14/2016 but no notice of closed cases received by UConn Health.			
59 Unknown/Male	1/16/2013	External	UConn Health	Retaliation	Pending at WB/OPH			
60 Unknown/Male	11/4/2009	External	UConn Health	Discrimination - Age/Race	Pending in State Court			