

DISCRIMINATION COMPLAINT PROCESS

(Sec. 46a-68-89)

March 2021

This section was in compliance in the previous filing of the *Plan* and there were no recommendations.

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.

Subsection (a)

The Office of Institutional Equity (OIE) 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 witnesses, 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 14, 2020. Please see **Exhibit 1** for a copy of the Discrimination Complaint Procedures.

(1) The Associate Vice President, Director of Investigations, Associate Director of Investigations, and EEO Investigator(s) 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 Connecticut Commission on Women, Children and Seniors (CWCS) as designated in Public Act 03-151 and 12-78 *including the bi-annual mandatory Equal Employment Opportunity/Attorney General Designee training on September 17, 2019 and September 25, 2019. Exhibit 2 provides required training attendance with dates.*

In addition, investigative staff attended the Office of Audit, Compliance and Ethics Mandatory Compliance Training; Shipman and Goodwin's 2019 Labor and Employment Fall Seminar; NACUA Webinar: Religion on Campus- Conflicts and Accommodations; AHLA Webinar: Disrupting Physician Behavior: Addressing Issues Beyond a Discussion Over Coffee; SUNY Webinar: Charting the Uncharted: Moving Investigations and Adjudications Into a Digital Environment During Campus Closures; NACUA Briefing: Unique Regulatory Issues Related to COVID-19: Accessibility, Accommodations and Antitrust; AWI Webinar: Up Close Yet Far Away: Tips for Assessing Credibility and Conducting Effective Video Interviews; NACUA Briefing: Title IX: The Department of Education's Final Rule on Sexual Harassment; ACE Webinar: Discussing the Title IX Final Rule; Pepper Hamilton Webinar: New Title IX Regulations: A Seismic Shift During a Pandemic; Vector Solutions Webinar: New Title IX Regulations: Nine Key Takeaways for Fall Planning; AWI Webinar: Navigating Bias, Cultural Competence and Microaggressions; Grand River Solutions Title IX Training; AWI Webinar:

Writing Investigation Reports: Hacks from Hacks; NACUA Webinar: COVID-19 In-Person or Virtual Requests for Accommodations: What You Need to Know; AWI Webinar: Addressing the Elephant in the Room: The Impact of Race in Investigations; AWI Webinar: Trauma Informed Interviewing and Credibility Assessment; Shipman and Goodwin Webinar: Free Speech in the Workplace: Politics, Pandemic, Social Media & Protests; Shipman and Goodwin Webinar: Managing a Rapidly Shifting Workforce: Work-From-Home and Hybrid Considerations; Shipman and Goodwin Webinar: Hot Topics in Labor and Employment Law.

(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 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. This protection and guarantee will continue to be a provision of the University's Discrimination Complaint Procedures and any revised set of procedures. Please see **Exhibit 3** for the Non-Retaliation Policy

(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. Links to the agencies' websites, can be accessed through OIE's web site, <https://equity.uconn.edu/discrimination/civil-rights-enforcement-agencies/>.

(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, 2019 – November 30, 2020) 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. Parties are given periodic updates regarding the status of their matter while it is pending with OIE. If a matter is still pending after approximately 45 days, Complainants are provided a written reminder of their options to file complaints with civil rights enforcement agencies. Please see **Exhibit 4** for a template of the written notice. 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. Please see **Exhibit 5** for a summary of complaint activity.

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 14, 2020, govern OIE's investigation process when a University of Connecticut or UConn Health employee or other individual affiliated with the University or UConn Health in one of the capacities set forth below 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 (including the School of Law and School of Social Work), and UConn Health (including the School of Medicine and School of Dental Medicine). University policies falling under OIE's jurisdiction, include but are 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 (2003-40)* (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 Prohibited Conduct 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 is the subject 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.
 - 3. These procedures apply to reports of Prohibited Conduct by 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 Third Parties³ when:

³ As set forth in section III.E. of the *Policy Against Discrimination, Harassment and Related Interpersonal Violence*, these procedures may be used in reports of Prohibited Conduct by students enrolled in MD or DMD/DDS degree programs at UConn Health. As set forth in Section III.D. of the *Policy Against Discrimination, Harassment and Related Interpersonal Violence*, the University’s ability to take appropriate corrective action against a Third Party

- 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.
- ii. Reports of Title IX Sexual Harassment (See Section IX.C. of the *Policy Against Discrimination*) are processed using the procedures provided in Appendix II. In matters containing allegations of both Title IX Sexual Harassment and allegations of other Prohibited Conduct, all allegations may be investigated simultaneously; the allegations of Prohibited Conduct not constituting Title IX Sexual Harassment will be addressed through these Complaint Procedures, and only the allegations of Title IX Sexual Harassment will be addressed through the procedures provided in Appendix II.

B. Support Persons

Complainants, Respondents, and witnesses shall have the right to have one (1) support person (which may be a union representative) 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. The Complainant, Respondent or witness is responsible for arranging their support person's attendance at any OIE meeting. It is within OIE's discretion whether to reschedule a meeting or extend other timelines in the investigation process 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.

will be determined by the nature of the relationship of the Third Party to the University. The University will determine the appropriate manner of resolution consistent with its commitment to a prompt and equitable process.

- ii. When an external complaint has been filed, OIE will review the complaint and determine on a case-by-case basis, in consultation with other University offices as appropriate, 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. To that end, OIE may provide information regarding matters it handles to individuals with a need to know the information.

E. Informal Resolution

Nothing in these procedures precludes an individual from seeking to discuss or resolve concerns independently with the University's Ombudsperson or other appropriate resources at the University.⁴ A Complainant may withdraw a complaint and/or their participation at any point; however, it is within OIE's discretion to determine whether and in what manner a matter may proceed, as noted in Section V.A. below.

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: 860-679-6512.

- 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

⁴ <https://equity.uconn.edu/campus-resources/>

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. When OIE receives a report of alleged Prohibited Conduct but a Complainant is not identified or is not engaging in OIE's procedures, it is in OIE's discretion to determine whether to move forward with additional steps, including but not limited to conducting an assessment of merits and/or investigation.
- C. When conducting an assessment of merits, OIE will 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 and regulations. In making this assessment, OIE will consider information provided by Complainant, and may also, in its discretion, review information from other sources as deemed relevant by OIE. 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 and/or to alert management of concerns potentially implicating other policies outside of OIE's jurisdiction.
- D. If, based on the allegations, OIE determines that the alleged conduct does not meet the parameters of the Title IX Sexual Harassment, but may violate other provisions of University Policy under OIE's jurisdiction, the investigation will proceed as described below. Allegations meeting the parameters of Title IX Sexual Harassment will be processed according to the procedures in Appendix II.

V. THE INVESTIGATION

- A. OIE will notify the Complainant (if participating) that their matter will proceed to a full investigation after OIE determines that it will initiate an investigation. OIE will determine the appropriate timing of such notification. 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. OIE will determine the appropriate timing of such

notification. 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. It is within OIE's discretion to determine appropriate investigative steps, which may include but are not limited to, interviewing witnesses determined in OIE's discretion, to have relevant information, and obtaining and reviewing relevant documents or other evidence. These investigative steps may be taken prior to notification of the Respondent(s) under subsection B.
- E. During the course of the investigation, OIE will provide the Complainant (if participating) and Respondent with the opportunity to review their own respective interview summaries and to provide any additional information. The Complainant and Respondent will have three (3) business days to provide a response to their interview summaries.
- F. OIE strives to complete its investigation process within sixty (60) calendar days and to keep parties reasonably informed as to the status of the investigation, consistent with the need to protect the integrity of the investigative process and the privacy of the participants. Investigations may exceed sixty (60) calendar days 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.
- 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 may submit a written response to OIE's Findings and Recommendations report in lieu of a request for review (pursuant to Section VII below) no later than 5:00 PM (EST) on the fourteenth (14) calendar day from written receipt of OIE's findings. Written receipt is presumed to be five (5) calendar days after transmittal by U.S. mail and the same day if issued via

email before 5:00 PM (EST). A request for an extension of time beyond fourteen days may be granted at the discretion of OIE's Associate Vice President or designee.

B. All written responses will be added to and maintained with OIE's file.

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, no later than 5:00 PM (EST) on the fourteenth (14) calendar day from written receipt of OIE's findings. Written receipt is presumed to be five (5) calendar days after transmittal by U.S. mail and the same day if issued via email before 5:00 PM (EST). A request for an extension of time beyond fourteen days may be granted at the discretion of OIE's Associate Vice President or designee.
- 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 Chair of the Panel of Reviewers may serve as one of the three members of the 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) business 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 or their respective designee 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 their response to the Review Committee's recommendation within ten (10) business days of receipt.

Revised August 14, 2020

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 06103-1835
PHONE: (860) 566-7710
FAX: (860) 566-1997
TDD: (860) 566-7710
EMAIL: CHRO.Capitol@ct.gov

EASTERN REGION OFFICE

100 Broadway
Norwich, CT 06360
PHONE: (860) 886-5703
FAX: (860) 886-2550
TDD: (860) 886-5707
EMAIL: CHRO.Eastern@ct.gov

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
EMAIL: CHRO.WestCentral@ct.gov

SOUTHWEST REGION OFFICE

350 Fairfield Ave., Sixth Floor
Bridgeport, CT 06604
PHONE: (203) 579-6246
FAX: (203) 579-6950
TDD: (203) 579-6246
EMAIL: CHRO.Southwest@ct.gov

*For information on which CHRO field office to utilize, please visit
<https://portal.ct.gov/CHRO/Commission/Commission/Contact-Us> .

U.S. Equal Employment Opportunity Commission (EEOC)

John F. Kennedy Federal Building

15 Sudbury Street, Room 475

Boston, MA 02203-0506

PHONE: (800) 669-4000

FAX: (617) 565-3196

TTY: (800) 669-6820

ASL Video Phone: (844) 234-5122

<https://www.eeoc.gov/field-office/boston/location>

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

TDD: (800) 877-8339

EMAIL: OCR.Boston@ed.gov

<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

EMAIL: <https://webapps.dol.gov/contactwhd/Default.aspx>

<https://www.dol.gov/agencies/whd/contact/complaints>

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/agencies/whd/contact/complaints>

U.S. Department of Health and Human Services

HHH Building, Room 509F

200 Independence Avenue SW

Washington, D.C. 20201

PHONE: 1-800-368-1019

TDD: 800-537-7697

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

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

APPENDIX II

EMPLOYEE-RESPONDENT TITLE IX SEXUAL HARASSMENT PROCEDURES

I. FILING A FORMAL COMPLAINT

The grievance procedures under this Appendix II may be initiated by the filing of a Formal Complaint as follows:

- a. The Complainant signing or acknowledging a written document or electronic submission that contains the Complainant's physical or digital signature or otherwise indicates that the Complainant is the person filing the Formal Complaint, identifying the Complainant and the Respondent(s), and requesting OIE to investigate their allegation(s) of sexual harassment; or
- b. The Title IX Coordinator or designee signing or acknowledging a written document or electronic submission requesting OIE to investigate allegation(s) of sexual harassment regarding the Respondent(s).

A Formal Complaint may be filed with the Title IX Coordinator in person, by mail, or by electronic mail.

Upon receipt of a Formal Complaint, OIE will provide a Notice of Allegations to the parties as set forth in Section III below.

Supportive measures are available to Complainants and Respondents. See Section VIII of the *Policy Against Discrimination*.

II. REQUIRED ELEMENTS OF THE FORMAL COMPLAINT

A Formal Complaint must meet all of the following required elements in order to initiate the investigation procedures under this Appendix II. In determining whether a Formal Complaint meets all the required elements, OIE will apply the provisions of the Title IX regulations, guidance from the U.S. Department of Education, and applicable case law. If the Formal Complaint does not meet the following required elements, it will be dismissed, and OIE will provide written notice of the dismissal and reasons therefor to the parties. If a Formal Complaint is dismissed under this provision, the matter may still be addressed pursuant to other provisions of the *Policy Against Discrimination, Harassment and Related Interpersonal Violence*, and the preceding *OIE Complaint Procedures*. OIE's dismissal of a Formal Complaint under this Appendix II may be appealed through the process set forth in Section VI below.

a. Identity of the Complainant

- i. The Complainant is defined as an individual who is alleged to be the victim of conduct that could constitute sexual harassment.

- ii. The Complainant must be participating in or attempting to participate in a University education program or activity at the time the Complaint is filed. Education Program or Activity includes locations, events, or circumstances within the United States over which the University exercised substantial control over both the Respondent and the context in which the sexual harassment occurs, and also includes any building within the United States that is owned or controlled by a student organization officially recognized by the University.
- iii. A Complainant cannot file a Formal Complaint under this Appendix II anonymously.

b. Identity of the Respondent(s)

- i. The Respondent(s) is defined as an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.
- ii. The identity of the Respondent(s), if known, must be included in the Formal Complaint.

c. Allegations of Sexual Harassment

- i. The Formal Complaint must include allegations of Title IX Sexual Harassment, which is defined as conduct that occurs on the basis of sex in a University education program or activity in the United States that satisfies one or more of the following:
 - 1. An employee conditioning the provision of an aid, benefit, or service on an individual's participation in unwelcome sexual conduct (i.e., quid pro quo);
 - 2. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to an education program or activity (i.e., hostile environment); or
 - 3. Sexual assault (as defined by Clery Act), or "dating violence," "domestic violence," and "stalking" (as defined by Violence Against Women Act).

d. A request that OIE investigate the allegation of sexual harassment.

III. NOTICE OF ALLEGATIONS

Upon receipt of a Formal Complaint pursuant to Sections I and II above, OIE will provide a written Notice of Allegations to the Complainant (if applicable) and the Respondent(s) regarding the allegations and containing information about the grievance process. If, during the course of the investigation, OIE receives information of additional allegations concerning the Respondent(s), OIE may supplement the Notice of Allegations, or may address the additional allegations through a separate process under the applicable procedures (including these Appendix II procedures or the preceding *OIE Complaint Procedures*). If a Formal Complaint is made but is dismissed pursuant to Section II above, OIE will provide the parties with both the Notice of Allegations, as well as the written notice of dismissal.

IV. INVESTIGATION⁵

- a. **Assignment of Advisors:** Within seven (7) calendar days of OIE's issuance of the Notice of Allegations, the parties may identify an advisor of their choice to accompany them to any meeting or proceeding under these Appendix II procedures. If a party indicates that they want OIE to assign an advisor to them, or if a party does not select an advisor by 5:00 PM (EST) on the seventh day following OIE's issuance of the Notice of Allegations, OIE will assign an advisor.
 - i. **Advisor** is defined as one individual (who may be a union representative or attorney) who is selected by a party, or, if none is selected, who is assigned by OIE to assist the party throughout the proceedings set forth in this Appendix II. The advisor may not participate in the proceedings in lieu of the party; the party must maintain meaningful participation in all proceedings. The advisor must maintain respectful and professional decorum in all proceedings; failure by the advisor to do so may result in OIE excluding the advisor from participation. OIE maintains discretion to determine whether exclusion of an advisor is warranted. If an advisor is excluded from participation in the hearing pursuant to Section V below, OIE will appoint an advisor for the party.
 - ii. **Support Person:** In addition to one advisor as set forth above, parties and witnesses are permitted to have one support person accompany them to any meeting with OIE or proceeding under these Appendix II procedures. An individual who is reasonably likely to participate as a witness in the investigation or hearing may not serve as a support person during any substantive interview or in the hearing pursuant to Section V below. A support person's role is to offer comfort and guidance to a party or witness; a support person may not actively participate in any proceeding under these Appendix II procedures. A support person's failure to maintain respectful and professional decorum and to limit their conduct at any meeting or proceeding to the scope of the role as described herein may result in OIE excluding the support person from any meeting or proceeding. OIE maintains discretion to determine whether exclusion of a support person is warranted. The party or witness is responsible for arranging their support person's attendance at any meeting or proceeding. It is within OIE's discretion whether to reschedule a meeting or proceeding or extend other timelines in the investigation process due to a support person's unavailability.
- b. **Identifying Witnesses and Evidence:** Within fourteen (14) calendar days of OIE's issuance of the Notice of Allegations, the parties may provide to OIE a list of witnesses and other evidence they believe may be relevant to OIE's investigation. It is within OIE's discretion to determine appropriate investigative

⁵All timeframes noted within this Appendix II refer to calendar days, unless otherwise noted. To be considered timely, OIE must receive notice of completion of the procedure on or before 5:00 PM EST on the final day of the designated timeframe. Any requests for extension of these timeframes must be made within the designated timeframe and may be granted for good cause at the discretion of the OIE Associate Vice President or designee.

steps, including identifying which witnesses to interview and which documents to gather during its investigation.

- c. **Parties' Inspection and Review of Evidence:** Upon completion of OIE's investigation, OIE will provide the parties and their respective advisors with an electronic copy of the evidence directly related to the allegations which OIE obtained during the investigation, including a summary of the substantive information provided to OIE during interviews with the parties and witnesses, and any documentation OIE obtained that is directly related to the allegations. Within fourteen (14) calendar days of OIE's provision of the evidence, the parties may provide to OIE a written response to the evidence. After receipt of these responses (if submitted within the applicable timeframe), OIE will consider whether additional investigative steps are warranted or whether OIE's investigation should be concluded.
- d. **Investigative Report:** Upon conclusion of OIE's investigation pursuant to Section IV.c., OIE will provide the parties and their respective advisors with an electronic copy of its Investigative Report, which will summarize the relevant evidence, and may make recommended factual findings, conclusions, and credibility analyses.
- e. **Written Response to Investigative Report:** Within fourteen (14) calendar days of OIE's issuance of the Investigative Report, the parties may submit to OIE a written response to the report.

V. HEARING

- a. Upon completion of the Investigative Report, OIE will appoint a Hearing Chair to conduct a hearing, and two Hearing Officers who will render a decision on the Formal Complaint. OIE will schedule a hearing as soon as practicable, but not earlier than fourteen (14) calendar days following the issuance of the Investigative Report.
- b. After expiration of the fourteen (14) calendar day timeframe in Section IV.e. above, OIE will provide the Investigative Report and the parties' responses to the report to the Hearing Chair and Hearing Officers. OIE will also provide each party's responses to the Investigative Report to the other party.
- c. The hearing will be conducted in person or using video conferencing that allows all individuals participating in the hearing to communicate live. The hearing will be audio recorded, and may be video recorded. OIE will have discretion to permit additional individuals (including, but not limited to representatives from Human Resources and Labor Relations) to observe the hearing.
- d. The Hearing Chair will oversee questioning parties and witnesses, and will make decisions regarding the relevancy of evidence offered and questions asked before a party or witness answers. Parties and witnesses must meaningfully participate in the hearing, including participation in cross-examination by the other party's advisor. A party's or witness's failure to submit to cross-examination by the other party's advisor at the hearing shall result in the exclusion of that party's or witness's verbal and written statements from consideration by the Hearing Officers.

- e. For allegations of Title IX Sexual Harassment by a UConn Health employee or a student enrolled in an MD or DMD/DDS degree program at UConn Health, a live hearing pursuant to subsections c and d above will not occur; however, each party may submit to the Hearing Chair within fourteen (14) calendar days following issuance of the Investigative Report, written questions to be asked of any party or witness. The Hearing Chair will then make any relevancy determinations regarding the submitted questions and will promptly provide relevant questions to the party or witness to whom they are directed. Responses from the party or witness must be provided to the Hearing Chair within five (5) calendar days of the party's or witness's receipt of the questions, and the Hearing Chair will promptly provide the responses to the questioning party. Within two (2) calendar days of the questioning party's receipt of the responses, the questioning party may submit to the Hearing Chair additional questions for the party or witness. The Hearing Chair will make any relevancy determinations regarding the additional questions and will promptly provide relevant questions to the party or witness to whom they are directed. The responding party's responses thereto shall be submitted to the Hearing Chair within five (5) calendar days of the party's or witness's receipt of the additional questions, and the Hearing Chair will promptly provide the responses to the questioning party.
- f. Following the hearing or the conclusion of the procedures in subsection e above, the Hearing Officers will issue a written decision regarding Respondent(s)'s responsibility and recommendation regarding sanctions (if applicable). The standard of evidence to be used in determining responsibility is a preponderance of evidence (a determination based on facts that are more likely true than not).
 - i. Possible disciplinary sanctions and remedies may range from counseling to separation from the University.

VI. RESPONSE TO DECISION AND APPEAL PROCESS

- a. **Response to Decision:** Within seven (7) days of the issuance of OIE's decision regarding the dismissal of a Formal Complaint pursuant to Section II above, or the Hearing Officers' decision following the hearing pursuant to Section V.e. above, either party may submit to OIE a written response regarding the decision. The written response should be addressed to the OIE Associate Vice President and sent by email to equity@uconn.edu. The written response will be maintained in OIE's file.
- b. **Appeal:** If a party wishes to appeal OIE's dismissal of a Formal Complaint pursuant to Section II above, or the Hearing Officers' finding as to Respondent's responsibility, their appeal must be made within the timeframe specified in Section VI.a. above and submitted to the OIE Associate Vice President by email to equity@uconn.edu. The party's written submission must specify that they intend to appeal OIE's dismissal of a Formal Complaint, or the finding as to Respondent's responsibility and must identify at least one of the following grounds: (i) Procedural irregularity that affected the outcome of the matter; (ii) New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of

the matter; or (iii) The Title IX Coordinator, investigator(s), Hearing Chair or Hearing Officer(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual Complainant or Respondent that affected the outcome of the matter. A written submission that does not identify at least one of these grounds for appeal will be considered a written response pursuant to Section VI.a. above and will not be processed through the appeal procedures set forth below.

- i. Within two (2) business days of OIE's receipt of an appeal, OIE will acknowledge receipt of the party's appeal and inform the other party that an appeal has been filed. Within seven (7) calendar days of OIE's acknowledgement or notice that an appeal has been filed, the parties may submit to OIE a statement regarding OIE's dismissal of a Formal Complaint or the outcome of the Hearing Officers' decision.
- ii. After expiration of the seven (7) calendar day timeframe set forth in Section VI.b.i., above, OIE will provide to the Chair of the Panel of Reviewers the following:
 1. For appeals of Hearing Officers' decision: the party's appeal; the Hearing Officers' decision and the parties' responses or statements (if any) regarding the Hearing Officers' decision; the Investigative Report and both parties' responses to the Investigative Report (if any).
 2. For appeals of OIE's dismissal of a Formal Complaint: the party's appeal; the parties' statements regarding OIE's decision (if any); and the written notice of dismissal from OIE.
- iii. The Chair of the Panel of Reviewers shall choose three (3) members from the Panel of Reviewers to serve as a Review Committee. The Chair of the Panel of Reviewers may serve as one of the three members of the Review Committee. The Review Committee will review the appeal to determine if at least one of the appeal grounds is identified. The Review Committee has discretion to deny an appeal if it is clear that none of the permissible grounds for appeal are identified. The Review Committee's decision to deny an appeal is deemed final.
- iv. If the Review Committee finds that an appeal should be granted, the Review Committee will make a recommendation to the President and/or the Executive Vice President of UConn Health, which may include remanding the matter for further investigative or hearing proceedings, accepting or rejecting one or all of the Hearing Officers' 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) business days of the Committee's receipt of the appeal. Extensions of time may be granted by the President and/or the Executive Vice President of UConn Health or their respective designee on the basis of good cause.

1. The President or designee and/or the Executive Vice President of UConn Health or designee will notify the parties in writing of their response to the Review Committee's recommendation within ten (10) business days of receipt.
- vi. Upon OIE's receipt of the Review Committee's decision, OIE will inform the parties of the decision.

VII. RECORDKEEPING

OIE will maintain records of all proceedings under this Appendix II. Such records will be shared pursuant to these procedures, and may be disclosed to others with a need to know the information or pursuant to state or federal law or regulations.

Revised August 14, 2020

UConn and UConn Health Discrimination Investigations Training Attendance

NAME	TITLE	AGENCY	FOUNDATION	UPDATE
Elizabeth Conklin	AVP	UConn	2010	2011, 2013, 2015, 2017, 2019
Sarah Chipman	Director of Investigations	UConn	2014	2015, 2017, 2019
Robert Camilleri	Associate Director of Investigations	UConn Health	2006	2007, 2008, 2009, 2010, 2011, 2013, 2015, 2017, 2019
Alexa Lindauer	EEO Investigator	UConn Health	2017	2019
Jamila Goolgar	EEO Investigator	UConn Health	2014	2015, 2017, 2019

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 University Compliance
9 Walters Avenue, Unit 5084
Storrs, CT 06269-5084
Telephone: (860) 486-2530
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

UConn Health

- The Office of University Compliance
263 Farmington Ave.
Farmington, CT 06030 – 5329
Telephone: 860-486-2530
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.

45 DAY UPDATE TO COMPLAINANT

Dear _____,

I write to provide an update on your OIE case. I am [continuing to investigate/ MODIFY AS APPROPRIATE]. I anticipate being able to complete your case by [PROVIDE ESTIMATED TIME FRAME].

Please also know that, in addition to my office, you have the option to file a complaint regarding discrimination or harassment with the Connecticut Commission on Human Rights and Opportunities (CHRO), the Equal Employment Opportunity Commission (EEOC), the U.S. Department of Labor, or the Office for Civil Rights (OCR). Please note that the relevant timelines for filing with these agencies is 180-300 days of the alleged incident or act of discrimination, regardless of OIE's investigation. Please understand that OIE's investigation does not stop the clock on the deadlines to file external complaints. I would encourage you to review the websites for these agencies (www.ct.gov/chro; www.eeoc.gov; www.dol.gov; <https://www2.ed.gov/about/offices/list/ocr/index.html>) for more information.

DISCRIMINATION COMPLAINT LOG
UNIVERSITY OF CONNECTICUT
INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 - NOVEMBER 30, 2020

#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
1	Unknown/Female	11/09/2020	Internal	2 University Employees	Discrimination - Disability				Pending
2	Unknown/Male	10/16/2020	Internal	4 University Employees	Discrimination - Disability; Failure to Accommodate	Assessment of Merits		11	10/27/2020
3	Unknown/Female	10/2/2020	Internal	1 University Employee	Harassment - Disability	Assessment of Merits	Referred to Management	4	10/06/2020
4	N/A	09/28/2020	Internal	University Employee	Harassment - Race; Sexual Harassment	No University Policy Violation	Referred to Management	43	11/10/2020
5	Unknown/Male	10/7/2020	Internal	2 University Employees	Discrimination - Disability; Failure to Accommodate				Pending
6	Unknown/Female	09/10/2020	Internal	University Employee	Discrimination - Disability; Failure to Accommodate	No University Policy Violation		49	10/29/2020
7	Unknown/Male	9/11/2020	Internal	2 University Employees	Discrimination/Harassment - National Origin	No University Policy Violation		74	11/24/2020
8	Asian/Male	07/14/2020	Internal	2 University Employees	Discrimination - Race; Retaliation	Assessment of Merits		45	08/28/2020
9	Black/Male	7/17/2020	Internal	University Employee	Discrimination - Race	No University Policy Violation		75	09/30/2020
10	N/A	06/02/2020	Internal	University Employee	Sexual Harassment	Respondent Resigned		38	07/10/2020
11	Unknown/Female	6/4/2020	Internal	University Employee	Harassment - No Protected Class	Assessment of Merits		19	06/23/2020
12	Unknown/Unknown	06/01/2020	Internal	University Employee	Inappropriate Amorous Relationship	No University Policy Violation		17	06/18/2020
13	White/Female	5/19/2020	Internal	3 University Employees	Retaliation	Assessment of Merits		48	07/06/2020
14	Hispanic/Female	5/27/2020	Internal	University Employee	Retaliation	No University Policy Violation		105	09/09/2020
15	Unknown/Female	5/8/2020	Internal	2 University Employees	Discrimination - Disability	Withdrawn/Abandoned by Complainant		20	05/28/2020
16	Unknown/Male	4/23/2020	Internal	2 University Employees	Discrimination - Disability	No University Policy Violation		95	07/27/2020
17	Hispanic/Female	4/8/2020	Internal	4 University Employees	Retaliation	Assessment of Merits		19	04/27/2020
18	Hispanic/Female	4/1/2020	Internal	University Employee	Harassment - Race	Assessment of Merits		23	04/24/2020
19	White/Female	03/11/2020	Internal	University Employee	Retaliation	No University Policy Violation		41	04/21/2020
20	Black/Female	3/11/2020	Internal	2 University Employees	Discrimination/Harassment - Race; Retaliation	No University Policy Violation		119	07/08/2020
21	Unknown/Female	4/3/2020	Internal	University Employee	Discrimination/Harassment - Disability	No University Policy Violation	Referred to Management	77	06/19/2020
22	Unknown/Female	4/7/2020	Internal	University Employee	Harassment - Sex-Based	Assessment of Merits		55	06/01/2020
23	Unknown/Female	02/10/2020	Internal	2 University Employees	Harassment - Sex-Based; Sexual Harassment	No University Policy Violation	Referred to Management	22	03/03/2020
24	Unknown/Male	2/7/2020	Internal	4 University Employees	Discrimination - Religion	Assessment of Merits		14	02/21/2020
25	Asian/Female	01/24/2020	Internal	3 University Employees	Discrimination - Pregnancy	No University Policy Violation		124	05/27/2020

* Date complaint received by the Office of Institutional Equity (OIE), or date of Complainant's first substantive interview with OIE

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UNIVERSITY OF CONNECTICUT
INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 - NOVEMBER 30, 2020

#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
26	White/Female	1/31/2020	Internal	University Employee	Discrimination/Harassment - Disability	No University Policy Violation	Referred to Management	81	04/21/2020
27	Unknown/Female	1/22/2020	Internal	2 University Employees	Discrimination/Harassment - Age/Disability	Assessment of Merits		54	03/16/2020
28	Black/Female	12/20/2019	Internal	University Employee	Discrimination - Race	Assessment of Merits		119	04/17/2020
29	Unknown/Female	2/18/2020	Internal	2 University Employees	Discrimination - Disability; Failure to Accommodate	Assessment of Merits		10	02/28/2020
30	Unknown/Female	1/22/2020	Internal	University Employee	Sexual Harassment	Assessment of Merits	Referred to Management	35	02/26/2020
31	Unknown/Female	12/12/2019	Internal	University Employee	Discrimination - Disability	Assessment of Merits		49	01/30/2020
32	Unknown/Female	12/04/2019	Internal	University Employee	Discrimination/Harassment - Disability/Sex-Based	University Policy Violation	Referred to Management	163	05/15/2020
33	Unknown/Female	2/13/2020	Internal	2 University Employees	Harassment - Disability	Assessment of Merits		15	02/28/2020
34	Unknown/Female	12/3/2019	Internal	University Employee	Discrimination/Harassment - Sex-Based; Retaliation	No University Policy Violation		108	03/20/2020
35	N/A	11/26/2019	Internal	University Employee	Harassment - Race/Sex-Based	No University Policy Violation	Referred to Management	63	01/28/2020
36	Unknown/Male	11/25/2019	Internal	University Employee	Discrimination - Disability	Assessment of Merits		66	01/30/2020
37	Asian/Male	12/5/2019	Internal	University Employee	Discrimination - National Origin/Retaliation	No University Policy Violation		84	02/27/2020
38	Unknown/Male	11/08/2019	Internal	University Employee	Discrimination - Disability; Failure to Accommodate	No University Policy Violation		62	01/09/2020
39	Hispanic/Female	12/6/2019	Internal	University Employee	Discrimination/Harassment - Ethnicity; Retaliation	No University Policy Violation		124	04/08/2020
40	Black/Female	10/25/2019	Internal	2 University Employees	Discrimination - Race	No University Policy Violation		54	12/18/2019
41	White/Female	11/13/2019	Internal	University Employee	Discrimination - Race	Withdrawn/Abandoned by Complainant		35	12/18/2019
42	Unknown/Male	10/28/2019	Internal	4 University Employees	Discrimination - National Origin/Religion	Assessment of Merits		18	11/15/2019
43	Unknown/Female	10/23/2019	Internal	University Employee	Sexual Harassment	University Policy Violation	Referred to Management	44	12/06/2019
44	Unknown/Female	10/21/2019	Internal	4 University Employees	Discrimination/Harassment- Disability	Assessment of Merits as to 3 Respondents Withdrawn as to 1 Respondent		77	01/06/2020

* Date complaint received by the Office of Institutional Equity (OIE), or date of Complainant's first substantive interview with OIE

DISCRIMINATION COMPLAINT LOG
UNIVERSITY OF CONNECTICUT
INTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 - NOVEMBER 30, 2020

#	COMPLAINANT RACE/SEX	DATE FILED*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
45	Unknown/Female	10/12/2019	Internal	University Employee	Inappropriate Amorous Relationship; Sexual Harassment	No University Policy Violation	Referred to Management	67	12/18/2019
46	Unknown/Female	1/2/2020	Internal	University Employee	Discrimination/Harassment - Sex-Based; Sexual Harassment	Withdrawn/Abandoned by Complainant		12	01/14/2020
47	N/A	11/12/2019	Internal	University Employee	Sexual Harassment	University Policy Violation	Referred to Management	37	12/19/2019
48	Unknown/Male	09/17/2019	Internal	University Employee	Discrimination - Religion	No University Policy Violation		29	10/16/2019
49	Unknown/Female	09/17/2019	Internal	University Employee	Inappropriate Relationship; Sexual Harassment	Assessment of Merits	Referred to Management	38	10/25/2019
50	Unknown/Female	09/17/2019	Internal	University Employee	Harassment - Sex-Based; Sexual Harassment; Inappropriate Relationship	No University Policy Violation	Referred to Management	62	11/18/2019
51	Unknown/Female	09/11/2019	Internal	University Employee	Sexual Harassment	No University Policy Violation	Referred to Management	75	11/25/2019
52	N/A	7/31/2019	Internal	University Employee	Harassment - Disability/Sex-Based; Sexual Harassment; Inappropriate Relationship	University Policy Violation	Referred to Management	68	10/7/2019
53	Unknown/Female	4/25/2019	Internal	3 University Employees	Discrimination/Harassment - Disability	No University Policy Violation		162	10/4/2019

* Date complaint received by the Office of Institutional Equity (OIE), or date of Complainant's first substantive interview with OIE

DISCRIMINATION COMPLAINT LOG
UNIVERSITY OF CONNECTICUT
EXTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 AND NOVEMBER 30, 2020

	COMPLAINANT RACE/SEX	DATE FILED/ DATE REC'D*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED**
1	White/Female	11/17/2020 12/2/2020	External	UConn 4 other state agencies	Discrimination based on Disability; Retaliation	Pending at Claims Commission			
2	Unknown/Unknown	10/26/2020	External	UConn	Discrimination based on Sex	Pending at OCR			
3	N/A	9/8/2020	External	UConn	Discrimination based on Gender	Pending at OCR			
4	Asian/Female	08/27/2020 09/08/2020	External	UConn	Discrimination based on Sex/Pregnancy	Closed at CHRO Closed at EEOC	Settlement		10/26/2020 Unknown
5	Unknown/Female	7/27/2020	External	UConn	Discrimination based on Disability	Pending at OCR			
6	Male/Unknown	7/17/2020 7/22/2020	External	UConn	Discrimination based on Disability	Closed at CHRO Pending at EEOC	Dismissed on CAR		11/16/2020
7	Unknown/Female	06/01/2020 06/09/2020	External	UConn 3 Employees	Discrimination based on Sex; Sexual Harassment; Retaliation	Pending at CHRO Pending at EEOC			
8	Male/Unknown	05/13/2020 05/21/2020	External	UConn	Discrimination based on Disability	Pending at CHRO Pending at EEOC			

*Where only one date appears, that is the date the complaint was filed with agency/court. Where a second date appears that is the date UConn received notice of the claim.

**EEOC matters with "Unknown" closing dates were previously reported as pending but are no longer reflected in EEOC's online system.

DISCRIMINATION COMPLAINT LOG
UNIVERSITY OF CONNECTICUT
EXTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 AND NOVEMBER 30, 2020

	COMPLAINANT RACE/SEX	DATE FILED/ DATE REC'D*	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED**
9	White/Female	03/25/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
10	Asian/Male	02/24/2020 03/10/2020	External	UConn	Discrimination based on National Origin; Retaliation	Pending at CHRO Pending at EEOC			
11	White/Female	01/31/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
12	White/Female	01/31/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
13	White/Female	01/31/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
14	White/Female	01/31/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
15	White/Female	01/31/2020	External	UConn	Discrimination based on Sex	Pending at CHRO			
16	Unknown/Male	1/14/2020	External	UConn	Discrimination based on Disability	Pending at CHRO			
17	Unknown/Female	12/5/2019	External	UConn	Discrimination based on Disability	Pending at CHRO			
18	Asian/Female	11/25/2019 12/05/2019	External	UConn	Sexual Harassment	Closed at CHRO Closed at EEOC	Dismissed on CAR	127	3/31/2020 Unknown

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**EEOC matters with "Unknown" closing dates were previously reported as pending but are no longer reflected in EEOC's online system.

DISCRIMINATION COMPLAINT LOG
UNIVERSITY OF CONNECTICUT
EXTERNAL MATTERS PENDING BETWEEN OCTOBER 1, 2019 AND NOVEMBER 30, 2020

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19	Asian/Male	11/14/2019 12/5/2019	External	UConn 5 UConn Employees	Discrimination based on National Origin/Race	Pending in Federal Court			
20	Unknown/Male	10/17/2019 11/15/2019	External	UConn	Discrimination/Harassment based on Age	Pending at CHRO			
21	Unknown/Male	09/18/2019 10/29/2019	External	UConn	Discrimination based on Disability	Closed at CHRO	Withdrawn by Complainant	184	03/20/2020
22	White/Male	09/09/2019 09/12/2019	External	UConn	Discrimination based on Disability/Sex; Retaliation	Closed at CHRO Closed at EEOC	Release of Jurisdiction Right to Sue	128 350	01/15/2020 8/24/2020
23	Unknown/Female	07/25/2019 08/06/2019	External	UConn	Discrimination based on Disability	Pending at CHRO			
24	Black/Female	6/10/2019	External	UConn	Discrimination based on Race; Retaliation	Closed in Federal Court	Settlement	192	12/6/2019
25	Unknown/Male	06/05/2019 06/10/2019	External	UConn	Discrimination based on Disability;Retaliation	Pending at CHRO			
26	White/Female	05/30/2019 06/11/2019	External	UConn	Discrimination based on Disability; Retaliation	Pending at CHRO Pending at EEOC			
27	White/Female	05/15/2019 07/01/2019	External	UConn	Retaliation	Closed at OPH	Motion to Dismiss/Strike Granted		4/2/2020

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28	Black/Female	5/10/2019 9/11/2019	External	UConn 5 employees 2 former employees 1 union 1 union employee 1 former union employee	Discrimination based on Age/Disability/National Origin/Race/Sex; Retaliation	Pending in Federal Court			
29	Asian/Male	02/14/2019 03/01/2019	External	UConn	Discrimination based on National Origin/Race	Closed at CHRO Closed at EEOC	Release of Jurisdiction Right to Sue	230 263	10/2/2019 11/4/2019
30	White/Female	02/13/2019 02/28/2019	External	UConn	Discrimination based on Sex; Retaliation	Closed at CHRO Closed at EEOC	Settlement	402 Unknown	03/21/2020 Unknown
31	Unknown/Male	01/24/2019	External	UConn	Discrimination based on Disability	Closed at OCR	Settlement	145	6/18/2019
32	Black/Male	06/29/2018	External	UConn 4 UConn Employees	Discrimination based on Race	Pending in State Court			
33	White/Male	04/20/2018 05/04/2018	External	UConn	Discrimination based on Disability/Sex; Retaliation	Closed at CHRO Closed at EEOC	No Reasonable Cause Unknown		2/14/2020 Unknown

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34	White/Male	04/04/2018 04/12/2018	External	UConn	Discrimination based on Disability; Retaliation	Closed at CHRO Closed at EEOC	No Reasonable Cause Unknown	665	01/29/2020 Unknown
35	Asian/Male	9/5/2017	External	UConn 1 UConn employee 2 other State Agencies	Discrimination based on Age/National Origin; Retaliation	Pending in Federal Court			
36	Black/Male	04/17/2017 04/28/2017	External	UConn	Discrimination based on Color/National Origin/Race	Pending in State Court			
37	Unknown/Female	12/19/2016	External	UConn	Discrimination based on Sex	Pending in Federal Court			
38	Black/Female	10/11/2016 11/23/2016	External	UConn	Discrimination based on Race	Closed at OCR	Withdrawn by Complainant	1184	02/20/2020

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