

## DISCRIMINATION COMPLAINT PROCESS

(Section 46a-68-89)

September 2023

This section was found to be in compliance in the previous filing and there were no proposals or recommendations.

### **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) investigate internal discrimination and discriminatory harassment complaints. The investigative staff (Director of Investigations, and EEO Investigator(s)) 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. The Associate Vice President completed the "Foundations" training on October 26, 2022. Please see **Exhibit # 2**.

In addition, investigative staff attended:

- the Office of University Compliance's Annual Compliance Training
- Husch Blackwell's Webinar: Remote Work as an ADA Accommodation: Balancing the Interests in a Return-to-Campus World
- Association of Workplace Investigators Annual Conference
- Shipman & Goodwin's Webinar: Private Eyes – Responding to Discrimination Complaints and Conducting Investigations
- NACUA's Briefing: The Race in Admissions Cases: Oral Arguments
- NACUA's Webinar: At the Top of Your Feed: Social Media Issues on Campus
- Clery Center Webinar: Clery Crim Spotlight: VAWA Crimes
- NACUA's Spring 2023 CLE Workshop: Higher Education Discrimination Law
- FBI Threat Assessment Workshop: Partnership to Prevent School Attacks
- SUNY Student Conduct Institute multiple web-based learning modules

(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 and the Ombuds Office serve as neutral resources that provide confidential and informal assistance to UConn Health employees and are 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/](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. **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. Complainants also receive such notification on the Discrimination and Discriminatory Harassment Complaint Form that they sign and receive a copy of (Please see **Exhibit # 4**). 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, <https://equity.uconn.edu/wp-content/uploads/sites/2036/2021/09/OIE-Complaint-Procedures-FINAL-10-1-21-update.pdf> and <https://equity.uconn.edu/discrimination/civil-rights-enforcement-agencies/>

(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. When the 90-day time frame is coming to a close without a resolution, UConn Health’s EEO Investigators are trained to advise a complainant of their legal rights as well as further remedies (including CHRO and EEOC).

### **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 (June 1, 2022 – May 31, 2023) 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 #5** 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 # 6**.

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

These procedures, effective for all reports made to the Office of Institutional Equity (OIE)<sup>1</sup> on or after October 1, 2021, 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.<sup>2</sup>

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

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

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

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

<sup>2</sup> Hereinafter, all references to “University” include UConn Storrs campus, UConn regional campuses (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](http://www.community.uconn.edu)).

## I. UNIVERSITY POLICIES UNDER OIE'S JURISDICTION

- A. As set forth in the University Policies, the University prohibits unlawful discrimination in education, employment, and the provision of services on the basis of legally protected characteristics (race, color, ethnicity, religious creed, age, sex, marital status, national origin, ancestry, sexual orientation, genetic information, pregnancy, physical or mental disability [including learning disabilities, intellectual disabilities, and past or present history of mental illness], veteran's status, prior conviction of a crime, workplace hazards to reproductive systems, gender identity or expression, and membership in any other protected classes as set forth in state and federal law). More specifically, the University prohibits discrimination, as well as discriminatory harassment, sexual assault, sexual exploitation, intimate partner violence, stalking, sexual or gender-based harassment, complicity in the commission of any act prohibited by the *Policy Against Discrimination, Harassment, and Related Interpersonal Violence*, and retaliation against a person for the good faith reporting of any of these forms of misconduct or participation in any investigation or proceeding related to any of these forms of misconduct under University Policies ("Prohibited Conduct").
- B. In accordance with University Policies, all parties who participate in the good-faith reporting, filing, investigation, and/or proceedings related to reports of 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 Parties<sup>3</sup> when:

<sup>3</sup> 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.<sup>4</sup> 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](mailto:equity@uconn.edu); Fax: 860-486-6771.

UConn Health, at 16 Munson Road, 4<sup>th</sup> Floor, Farmington, CT 06030; Phone:  
860-679-3563; Email: [equity@uconn.edu](mailto:equity@uconn.edu); Fax: 860-679-6512.

- 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

<sup>4</sup> <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 October 1, 2021

## 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](mailto: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](mailto: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](mailto: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](mailto: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](mailto: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. INVESTIGATION<sup>5</sup>

- 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

<sup>5</sup>All 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 who appear for the hearing, and will make decisions regarding the relevancy of evidence offered and questions asked before a party or witness answers.
- 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. If deemed reliable and relevant by the Hearing Officers, and not otherwise subject to exclusion under controlling federal laws and regulations or these procedures, the Hearing Officers may consider the statements of persons who were not present at the hearing, or persons who were present at the hearing but who nevertheless were not subject to cross-examination. This includes, but is not limited to, opinions and statements in police reports or other official reports, medical records, court records and filings, the Investigative Report and the parties' responses to the report, OIE notes and summaries of interviews generated as part of its investigation, responses to written questions, emails, written statements, affidavits, text messages, social media postings, and the like.
- g. 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](mailto: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](mailto: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 October 1, 2021

UConn and UConn Health Discrimination Investigations Training Attendance

<b>NAME</b>	<b>TITLE</b>	<b>AGENCY</b>	<b>FOUNDATION</b>	<b>UPDATE</b>
Letissa Reid	Associate Vice President	UConn	2022	
Sarah Chipman	Director of Investigations, Deputy Title IX Coordinator	UConn	2014	2015, 2017, 2019, 2021
Jamila Goolgar	Senior EEO Investigator	UConn Health	2014	2015, 2017, 2019, 2021

# Non-Retaliation Policy

<b>Title:</b>	Non-Retaliation Policy
<b>Policy Owner:</b>	Office of the President
<b>Applies to:</b>	Faculty, Staff, Students, Contractors and Affiliated Persons
<b>Campus Applicability:</b>	All Campuses
<b>Effective Date:</b>	October 22, 2012
<b>For More Information, Contact</b>	Office of University Compliance
<b>Contact Information:</b>	(860) 486-2530
<b>Official Website:</b>	<a href="http://president.uconn.edu/">http://president.uconn.edu/</a>

## PURPOSE

To define how the University provides for the protection of any person or group within its community from retaliation who, in good faith, participates in investigations or reports 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 and/or participates in the investigation of alleged violations, or who assists others in making such a report, is strictly forbidden. This policy does not protect an individual who knowingly files a report or provides information as part of an investigation that is false or is filed in bad faith. The University will take appropriate action, up to and including dismissal, against any employee, student, or affiliated person who violates this policy.

## DEFINITIONS

**Retaliation:** Any adverse action taken, or threatened against an individual because they have, in good faith, reported an allegation concerning the violation of state or federal law, University policy, rule, or regulation, or because they have participated in any manner with an investigation of such an allegation, or in an effort to deter an individual from doing so.

Examples of actions that may constitute retaliation include, but are not limited to:

- unsubstantiated adverse performance evaluations or disciplinary action;
- adverse decisions relating to the terms or conditions of employment or education;
- interference with or denial of promotion or advancement opportunities (whether employment-related or academic);
- reduction in a student's grade;
- interference with or denial of participation in University programs or activities;
- unfounded negative job references or interfering with one's job search;
- denial or removal of co-authorship on a publication;
- repeated intimidation or humiliation, derogatory or insulting remarks, or social isolation which may occur indirectly or directly from co-workers and/or a supervisor;
- physical threats and/or destruction of personal or state property

Any action taken or threatened that would dissuade a reasonable person from engaging in activities protected by this policy may also be considered retaliatory.

**Good Faith Report:** A report made with an honest and reasonable belief that a university-related violation of law or policy may have occurred.

**Bad Faith Report:** A report made that is knowingly false and/or made with malicious intent.

**Protected Activities:** Good faith reporting, whether internally or externally, or inquiring about suspected wrongful or unlawful activity; assisting others in making such a report; and/or participating in an investigation or proceeding related to suspected wrongful or unlawful activity.

## **REPORTING PROCESS**

If an individual believes that they have been subjected to retaliation, they should either contact the office to which the initial complaint was filed or any of the following University offices:

## Storrs & Regional Campuses

### The Office of University Compliance

28 Professional Park, Unit 5084  
Storrs, CT 06269-5084  
Telephone: (860) 486-2530  
Reportline: 1-888-685-  
2637 Website: <https://compliance.uconn.edu>

### The Office of Institutional Equity (OIE)

241 Glenbrook Road  
Wood Hall, Unit 4175  
Storrs, CT 06269-4175  
Telephone: (860) 486-2943  
OIE's Discrimination Complaint Procedures:  
<https://equity.uconn.edu/policiesprocedures/>

### Office of Faculty & Staff Labor Relations

9 Walters Avenue, Unit 5075  
Storrs, CT 06269-5075  
Telephone: (860) 486-5684  
Website: <https://lr.uconn.edu/>

### University of Connecticut Police Department

126 North Eagleville Road, Unit 3070  
Storrs, CT 06269-3070  
Telephone: (860) 486-  
4800 Website: <https://publicsafety.uconn.edu/police/>

## UConn Health

### The Office of University Compliance

Administrative Services Building 263 Farmington  
Avenue Farmington, CT 06030-5329  
Telephone: (860) 679-1969  
Reportline: 1-888-685-  
2637 Website: <https://compliance.uconn.edu>

### The Office of Institutional Equity (OIE)

Munson Building  
263 Farmington Avenue  
Farmington, CT 06030-5130  
Telephone: (860) 679-3563 Fax: (860) 679-3805  
Email: [equity@uconn.edu](mailto:equity@uconn.edu)  
OIE's Discrimination Complaint  
Procedures: <https://equity.uconn.edu/policiesprocedures/>

### Employee/Labor Relations

Munson Building 263 Farmington Avenue Farmington,  
CT 06030 – 4035  
Telephone: 860-679-  
8067 Website: [https://health.uconn.edu/human-  
resources/services/employee-labor-relations/](https://health.uconn.edu/human-resources/services/employee-labor-relations/)

### University of Connecticut Police Department

263 Farmington Avenue Farmington, CT 06030 – 3925  
Telephone: 860-486-  
4800 Website: <https://publicsafety.uconn.edu/police>

**Any individual who is covered by a collective bargaining contract are also encouraged to contact their union:**

### Union

The American Association of University  
Professors (AAUP), University of  
Connecticut Chapter

The University of Connecticut Professional  
Employees Association (UCPEA)

Maintenance and Service Unit,  
Connecticut Employees Union Independent  
(CEUI)

### Contact Information

Telephone: (860) 487-  
0450 Website: <http://www.uconnaaup.org/contact/>

Telephone: (860) 487-0850  
Website: <http://ucpea.ct.aft.org/>

Telephone: (860) 344-0311  
Website: <http://ceui.org/>

Telephone: (860) 224-4000  
Website: <https://www.afscme.org/>



Administrative Clerical Unit – American Federation of State, County and Municipal Employees (AFSCME)

Connecticut Police and Fire Union

Telephone: (860) 953-2626  
Website: [https://cpfu.org/cpfu\\_wp/](https://cpfu.org/cpfu_wp/)

Social and Human Services Unit – American Federation of State, County and Municipal Employees (AFSCME)

Telephone: (860) 224-4000  
Website: <https://www.afscme.org/>

Administrative and Residual Employees Union (A&R)

Telephone: (860) 953-1316  
Website: <http://andr.ct.aft.org/>

New England Health Care Employees Union – District 1199

Telephone: (860) 549-1199  
Website: <http://www.seiu1199ne.org/>

University Health Professionals (UHP)

Telephone: (860) 676-8444  
Website: <http://uhp3837.ct.aft.org/>

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.

## **ADDITIONAL RESOURCES**

In addition to the resources above, the following offices may be helpful to University employees and students who believe they are experiencing retaliation.

### **Employee Assistant Program**

Website: <https://hr.uconn.edu/employee-assistance-program/>

### **University Ombuds**

Website: <https://ombuds.uconn.edu/>

### **Office of the Dean of Students**

Website: <https://dos.uconn.edu/>

### **UConn Cultural Centers**

Website: <https://diversity.uconn.edu/cultural-centers/>

### **Office for Diversity and Inclusion:**

**Website:** <https://diversity.uconn.edu/>

## **POLICY HISTORY**

Policy created: 09/22/2009

Revisions:

10/22/2012 (Non-substantive revisions)

05/03/2021 (Approved by President's Cabinet)

**DISCRIMINATION & DISCRIMINATORY HARASSMENT COMPLAINT FORM**

**INSTRUCTIONS**

Please provide all the information requested. Be as specific as possible when discussing incidents by including the date(s) the incident(s) occurred, the name(s) of the person(s) involved and the name(s) of those who may have witnessed the incident(s). Please sign and date this form. Your complaint is not limited to the space provided. You are encouraged to attach additional materials relating to your claim. Please note that completion of this form does not constitute filing a Formal Complaint of Title IX Sexual Harassment pursuant to Appendix II of OIE's Investigation Procedures. If you need assistance to complete this form, please contact OIE.

Please note that in order to respond to your concerns, the information you provide to OIE may be shared with other individuals or University offices. In addition to OIE, you may file a complaint with civil rights enforcement agencies. Please note that the relevant timelines for filing with these agencies is 180-300 days of the alleged act of discrimination. See Appendix I of [OIE's Complaint Procedures](#) for agency contact information.

**COMPLAINANT STATUS**

Faculty  Employee/Staff  Undergraduate Student  Graduate Student (GA  Yes  No)  Other (Please Specify \_\_\_\_\_)  
Union Affiliation \_\_\_\_\_

**COMPLAINANT INFORMATION**

Name: \_\_\_\_\_ Pronouns/Name in Use: \_\_\_\_\_

Job Title/Program of Study: \_\_\_\_\_

Department/Major: \_\_\_\_\_

Work Telephone: \_\_\_\_\_ Work Email: \_\_\_\_\_

Home Address: \_\_\_\_\_

Home Telephone: \_\_\_\_\_ Home Email: \_\_\_\_\_

Preferred Method of Contact:  Work Telephone  Home Telephone  Work Email  Home Email

How long have you worked/studied in your current position? \_\_\_\_\_

How long have you worked/studied at UConn? \_\_\_\_\_

Your Supervisor's Name and Job Title: \_\_\_\_\_

**RESPONDENT INFORMATION**

Respondent Name: \_\_\_\_\_

Respondent Job Title: \_\_\_\_\_

Respondent Department: \_\_\_\_\_

Relationship: \_\_\_\_\_ Length of Relationship: \_\_\_\_\_

- 1) Please describe the specific action(s) or situation(s) that you believe constitute discrimination, discriminatory harassment (or sexual harassment) and/or retaliation.

- 2) Please identify why you believe the action(s) or situation(s) relate to your membership in a protected class (including but not limited to race, sex, age, disability, national origin, etc.) and/or why you believe you were subjected to retaliation

- 3) Please identify any documents, e-mails, records, materials and other evidence including witnesses whom you believe may have information pertaining to your complaint.

### ACKNOWLEDGEMENT

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](mailto:equity@uconn.edu)

**UConn HEALTH**

Office of Institutional Equity  
UConn Health  
16 Munson Road – 4<sup>th</sup> Floor  
Farmington, CT 06030-5310  
Phone: 860-679-3563 / Fax: 860-679-6512  
Email: [equity@uconn.edu](mailto:equity@uconn.edu)

The University of Connecticut complies with all applicable federal and state laws regarding non-discrimination, equal opportunity and affirmative action, including the provision of reasonable accommodations for persons with disabilities. UConn does not discriminate on the basis of race, color, ethnicity, religious creed, age, sex, marital status, national origin, ancestry, sexual orientation, genetic information, physical or mental disability, veteran status, prior conviction of a crime, workplace hazards to reproductive systems, gender identity or expression, or political beliefs in its programs and activities. Employees, students, visitors, and applicants with disabilities may request reasonable accommodations to address limitations resulting from a disability. For questions or more information, please contact the Associate Vice President, Office of Institutional Equity, 241 Glenbrook Road, Unit 4175, Storrs, CT 06269-4175; Phone: (860) 486-2943; Email: [equity@uconn.edu](mailto:equity@uconn.edu) / Website: <http://www.equity.uconn.edu>

**45 DAY UPDATE TO COMPLAINANT**

Dear [REDACTED],

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. You can find more information and links to these agencies' websites at <https://equity.uconn.edu/discrimination/civil-rights-enforcement-agencies/>.

**DISCRIMINATION COMPLAINT LOG**  
**UCONN HEALTH**  
**INTERNAL MATTERS PENDING BETWEEN JUNE 1, 2022 AND MAY 31, 2023**

#	COMPLAINANT RACE/SEX	DATE FILED	TYPE	RESPONDENT	BASIS CLAIMED	FINDING	RESOLUTION	LENGTH OF TIME TO RESOLVE	DATE CLOSED
1	Black/Female	6/15/2022	Internal	2 University Employees	Discrimination - Race	No University Policy Violation		99	9/22/2022
2	Black/Male	6/15/2022	Internal	2 University Employees	Discrimination - Race; Retaliation	Assessment of Merits		41	7/26/2022
3	Black/Female	6/27/2022	Internal	University Employee	Harassment - Race	No University Policy Violation	Referred to Management	45	8/11/2022
4	Unknown/Female	8/1/2022	Internal	2 University Employees	Discrimination/Harassment - Sex/Marital Status/Disability; Sexual Harassment	No University Policy Violation		137	12/16/2022
5	Unknown/Male	8/4/2022	Internal	2 University Employees	Discrimination/Harassment - Marital Statuts/Disability	Assessment of Merits		60	10/3/2022
6	Black/Female	9/29/2022	Internal	University Employee	Discrimination/Harassment - Race/Ethnicity/National Origin	Assessment of Merits	Referred to Management	33	11/1/2022
7	Black/Female; Unknown/Female	11/30/2022	Internal	2 University Employees	Harassment - Race; Retaliation	Assessment of Merits	Referred to Management	43	1/12/2023
8	Black/Female	1/6/2023	Internal	University Employee	Discrimination/Harassment - Race	Withdrawn by Complainant		21	1/27/2023
9	Unknown/Female	1/13/2023	Internal	University Employee	Discrimination - Age	Assessment of Merits	Referred to Management	12	1/25/2023
10	Hispanic/Female	2/16/2023	Internal	University Employee	Discrimination/Harassment - Ethnicity; Retaliation	No University Policy Violation		75	5/2/2023
11	Black/Female	4/27/2023	Internal	4 University Employees	Discrimination/Harassment - Race	Pending			

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

**UConn Health EXTERNAL Discrimination Complaints  
Opened or Pending Between June 1, 2022 - May 31, 2023**

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
BF	4/18/2023 Filed at OCR	External	UConn Health	Discrimination - Race	Pending at OCR			
UF	1/13/2023 Filed at OCR	External	UConn Health	Discrimination - Age	Pending at OCR			
BM	10/13/2022 Filed at CHRO 1/13/2023 Filed at CHRO	External	UConn Health	Discrimination - Race	Closed at CHRO	Dismissed at CHRO	130	CHRO 2/28/2023
UF	1/13/2023 Filed at EEOC 1/13/2023 Filed at CHRO	External	UConn Health	Discrimination - National Origin/Ancestry; Retaliation	Pending at CHRO Pending at EEOC			
UM	1/13/2023 Filed at EEOC 9/19/2022 Filed at CHRO	External	UConn Health	Discrimination - National Origin/Ancestry; Retaliation	Pending at CHRO Pending at EEOC			
UF	9/19/2022 Filed at EEOC 7/22/2022 Filed at CHRO	External	UConn Health	Discrimination - Sex/Pregnancy; Retaliation	Pending at CHRO Pending at EEOC			
BF	7/22/2022 Filed at EEOC	External	UConn Health	Discrimination - Race	Closed at CHRO Closed at EEOC	Settlement Agreement	215	CHRO 2/22/2023 EEOC 4/2/2023
BF	6/17/2022 Filed at EEOC	External	UConn Health	Discrimination - Sex; Race; Retaliation	Closed at EEOC	Dismissed at EEOC	11	EEOC 6/28/2022
UF	1/13/2022 Filed at CHRO	External	UConn Health	Discrimination - Disability/Ancestry; Retaliation	Pending at CHRO Pending at EEOC			
BM	8/3/2021 Filed at CHRO 8/3/2021 Filed at EEOC	External	UConn Health	Discrimination - Race/Color/Veteran Status; Retaliation	Closed at CHRO Pending at EEOC	Settlement Agreement	350	CHRO 7/19/2022
AF	7/6/2021 Filed at CHRO	External	UConn Health	Discrimination - Disability/ Sex/ Race/ National Origin; Retaliation	Closed at CHRO	Dismissed at CHRO	568	CHRO 1/25/2023

**UConn Health EXTERNAL Discrimination Complaints  
Opened or Pending Between June 1, 2022 - May 31, 2023**

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
UF	5/13/2021 Filed at CHRO  5/13/2020 Filed at EEOC	External	UConn Health	Disrimination - Disability/Age; Retaliation	Closed at CHRO Closed at EEOC Administrative Appeal Pending at Superior Court	Dismissed at CHRO	593	CHRO 12/27/2022  EEOC 3/23/2023
UF	5/10/2021 Filed at CHRO  5/18/2021 Notice to UConn Health	External	UConn Health	Discrimination - Pregnancy	Closed at CHRO Pending at EEOC	Dismissed at CHRO	637	CHRO 2/6/2023
HF	10/7/2020 Filed at CHRO Filed at EEOC	External	UConn Health	Discrimination - National Origin/Ancestry; Retaliation	Closed at CHRO Closed at EEOC Closed at OPH Pending at Superior Court	Dismissed at CHRO Dismissed at EEOC Dismissed at OPH	629	CHRO 6/28/2022  EEOC 7/13/2022
BF	8/20/2020 Filed at CHRO	External	UConn Health	Discrimination - Disability	Closed at CHRO Closed at EEOC Pending at OPH	Dismissed at CHRO	356	CHRO 8/11/2021
BF	7/21/2020 Filed at CHRO  8/13/2020 Notice to UConn Health	External	UConn Health	Discrimination - Race/ Color; Retaliation	Closed at CHRO Pending at EEOC	Dismissed at CHRO	771	CHRO 8/31/2022



**UConn Health EXTERNAL Discrimination Complaints  
Opened or Pending Between June 1, 2022 - May 31, 2023**

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
BM	1/27/2020 Filed at CHRO  2/27/2020 Filed at EEOC  2/27/2020 Notice to UConn Health	External	UConn Health	Discrimination/Harassment - Race/Color/National Origin; Retaliation	Closed at CHRO Pending at EEOC	Withdrawal of Complaint	368	CHRO 1/29/2021
BF	01/08/2020 Filed at CHRO  2/10/2020 Filed at EEOC  2/11/2020 Notice to UConn Health	External	UConn Health	Discrimination - Race/Color	Closed at CHRO Pending at EEOC	Settlement Agreement	840	CHRO 4/28/2022
UF	12/16/2019 Filed at CHRO  01/18/2020 Filed at EEOC  1/23/2020 Notice to UConn Health  9/14/2021 Filed in Federal Court	External	UConn Health	Discrimination - Race; Retaliation	Closed at CHRO  Closed at EEOC  Closed at Federal Court	Release of Jurisdiction CHRO  Settlement Agreement	560 CHRO  593 EEOC	CHRO 6/28/2021  EEOC 9/13/2021  Federal Court 3/20/2023

**UConn Health EXTERNAL Discrimination Complaints  
Opened or Pending Between June 1, 2022 - May 31, 2023**

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
UF	10/31/2019 Filed at CHRO  12/6/2019 Notice to UConn Health  12/7/2019 Filed at EEOC  4/8/2022 Moved to OPH	External	UConn Health	Discrimination - Disability; Retaliation	Pending at CHRO  Pending at EEOC  Pending at OPH			
BM	1/18/2019 Filed at CHRO  2/18/2019 Notice to UConn Health	External	UConn Health	Discrimination - Age/Color/National Origin/Race, Retaliation	Closed at CHRO	Dismissed at CHRO	1260	CHRO 6/29/2022
UF	1/25/2017 Filed at Claims Commission	External	UConn Health	Discrimination - Gender Identity	Pending at Claims Commission			
UF	10/20/2016 Filed at CHRO  10/21/2016 Notice to UConn Health	External	UConn Health	Discrimination - Age	Pending at CHRO Pending at EEOC			
BM	5/20/2016 Filed at CHRO  6/27/2016 Notice to UConn Health	External	UConn Health	Discrimination - Color/Race	Pending at CHRO			

**UConn Health EXTERNAL Discrimination Complaints  
Opened or Pending Between June 1, 2022 - May 31, 2023**

Complainant Race/Sex	Date Filed/ Date Received*	Type	Respondent	Basis Claimed	Finding	Resolution	Length of Time to Resolve	Date Closed
UM	1/16/2013	External	UConn Health	Retaliation	Closed at OPH Pending at Superior Court on administrative appeal			