

# University at Albany

## Allegations of Unlawful Discrimination and Sexual Harassment

### Policy and Procedures for Complaints

#### *Policy Statement and Nondiscrimination Notice:*

The University at Albany (“University”) is committed to fostering a diverse community of outstanding faculty, staff, and students, as well as ensuring equal educational opportunity, employment, and access to services, programs, and activities, without regard to an individual's race, color, national origin, religion, creed, age, disability, sex, gender identity, gender expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction. Employees, students, applicants or other members of the University community (including but not limited to vendors, visitors, and guests) may not be subjected to harassment that is prohibited by law, or treated adversely or retaliated against based upon a protected characteristic.

The electronic version of the Nondiscrimination Notice may be found at:  
<http://www.albany.edu/general-counsel/48741.php>.

#### *Reasons for the Policy and Procedures:*

The University, in its continuing effort to seek equity in education and employment and in support of federal and state anti-discrimination legislation, has adopted a complaint procedure for the prompt and equitable investigation and resolution of allegations of unlawful discrimination on the basis of race, color, national origin, religion, creed, age, sex, gender identity, gender expression, sexual orientation, disability, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction.

Conduct that may constitute harassment is described in the Definitions Appendix (Appendix A – Definitions and Prohibited Acts and Behaviors).

***Sex discrimination includes, but is not limited to, sexual harassment, sexual violence, sexual assault, domestic violence, dating violence, stalking and cyber-stalking.***

The University will take steps to prevent discrimination and harassment, to prevent the recurrence of discrimination and harassment, and to remedy its discriminatory effects on the victim(s) and others, if appropriate. This Procedure provides a mechanism through which the University may identify, respond to, and prevent incidents of illegal discrimination.

The University recognizes and accepts its responsibility in this regard and believes that the establishment of this internal, non-adversarial grievance process will benefit student, faculty, staff, and administration, permitting investigation and resolution of problems without resorting to

the frequently expensive and time-consuming procedures of state and federal enforcement agencies or courts.

***Reporting:***

The University encourages prompt and accurate reporting of sexual harassment so that it may quickly respond to the allegations and offer immediate support to the victim.

See below for Reporting Procedures.

***Confidentiality:***

The University is committed to protecting the confidentiality of the victims, and will work closely with victims to obtain confidential assistance regarding any incident of sexual harassment.

Given this commitment to confidentiality, during any portion of the complaint procedures, the parties shall not either record, either by audio or video, the meetings, interviews, interrogations or any portion of the process.

***Campus Community Training:***

In its efforts to create and maintain an educational environment free from all forms of sexual harassment, to ensure equal educational and employment opportunities for all Campus Community members, and to foster a diverse Campus Community free of sexual harassment, the University engages in ongoing prevention and awareness programs throughout the academic year. The programs are open to the entire Campus Community, and all members of the Campus Community, including, but not limited to students, faculty, staff and affiliated entities' staffs are encouraged to participate throughout the year in the campaigns, theme weeks, and trainings focused on sexual harassment.

***Legal Authority:***

The University's policy and complaint procedure is in accordance with federal and state laws and regulations prohibiting discrimination and harassment. These laws include the Americans with Disabilities Act (ADA), Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964 as Amended by the Equal Employment Opportunity Act of 1972, and the New York State Human Rights Law.

***Again, these laws prohibit sex discrimination, which includes, but is not limited to, sexual harassment, sexual violence, sexual assault, domestic violence, dating violence, stalking and cyber-stalking.***

***Applicability:***

This procedure **may be used by any student or employee** of the University as well as **visitors and other third-parties who are participating in a University sponsored program or affiliated activity, held either on the Campus or off-Campus.**

**Of import, employee grievance procedures established through negotiated contracts, academic grievance review committees, student disciplinary grievance boards and any other procedures defined by contract will continue to operate as before.**

Furthermore, **this procedure does not in any way deprive a complainant of the right to file with outside federal and state enforcement agencies**, such as the New York State Division of Human Rights, the Equal Employment Opportunity Commission, the Office for Civil Rights of the United States Department of Education and the Office of Federal Contract Compliance of the United States Department of Labor. However, after filing with one of these outside enforcement agencies, or upon the initiation of litigation, the complaint will be referred to the campus Affirmative Action Officer/Title IX Coordinator for investigation with the Office of General Counsel. Contact information for these agencies is listed in the Other Related Information section below. More detailed information may be obtained from the campus Affirmative Action Officer/Title IX Coordinator.

***Sexual Violence, Sexual Assault, Sexual Exploitation, Domestic Violence, Dating Violence, and Stalking:***

- The evidentiary standard shall be the preponderance of the evidence
- Both parties shall be notified of the outcome of the investigation, unless the outcome is otherwise protected as confidential or privilege under law or a collective bargaining agreement.

***Appendixes:***

- Appendix A Definitions and Prohibited Acts and Behaviors
- Appendix B State and Federal Agencies for Reporting
- Appendix C Complaint Form
- Appendix D Memorandum: Status-Resolved
- Appendix E Tripartite Committee (for allegations against the President)

***Where to file a Complaint:***

**A. Filing a Complaint with the University:**

Either the Title IX Coordinator or the Assistant Vice President for Diversity and Inclusion, hereafter referred to as the “AVP”, or a designee shall receive any complaint of alleged discrimination, shall assist the Complainant in the use of the University’s complaint form (see **APPENDIX C - CHARGE OF DISCRIMINATION**) and shall provide the Complainant with information about various internal and external mechanisms through which the complaint may be filed, including applicable time limits for filing with each agency.

**Assistant Vice President for Diversity and Inclusion:**

Tamra Minor, PhD  
Assistant Vice President for Diversity and Inclusion  
State University of New York at Albany  
1400 Washington Avenue  
University Hall 207  
Albany, New York 12222  
518-956-8110  
[tminor@albany.edu](mailto:tminor@albany.edu)

**Title IX Coordinator:**

Tamra Minor, PhD  
Title IX Coordinator  
State University of New York at Albany  
1400 Washington Avenue  
University Hall 207  
Albany, New York 12222  
518-956-8110  
[tminor@albany.edu](mailto:tminor@albany.edu)

**B. Filing a Complaint with a State or Federal Agency:**

Complainant is not required to pursue the University at Albany internal procedures before filing a complaint with a State or Federal agency. See Appendix B for a full listing of State and Federal Agencies.

**C. Dual Filing a Complaint with the University and a State and/or Federal Agency:**

In addition, if the Complainant chooses to pursue the University at Albany internal procedure, the Complainant is free to file a complaint with the appropriate State or Federal agency at any point during the process.

During any portion of the procedures detailed hereafter, the parties shall not employ audio or video taping devices.

**D. Complaints made to Administrators, Managers or Supervisors:**

Complaints or concerns that are reported to an administrator, manager or supervisor concerning an act of discrimination or harassment shall be immediately referred to the TITLE IX COORDINATOR OR AVP.

***Time Periods for Filing Complaints:***

- A. ***Employees*** must file a written complaint with the TITLE IX COORDINATOR OR AVP or designee within 90 calendar days following the alleged discriminatory act or the date on which the Complainant first knew or reasonably should have known of such act. All such complaints must be submitted on the forms provided by the University at Albany (see **APPENDIX C**). This form will be used for both the initiation of complaints under the informal procedure and the conversion of the complaint to the formal procedure.
  
- B. ***Students*** must file a complaint within 90 calendar days following the alleged discriminatory act or 90 calendar days after a final grade is received, for the semester during which the discriminatory acts occurred, if that date is later.

**IT IS THE COMPLAINANT’S RESPONSIBILITY TO BE CERTAIN THAT ANY COMPLAINT IS FILED WITHIN THE 90 DAY PERIOD THAT IS APPLICABLE UNDER THIS PARAGRAPH.**

If the Complainant brings a complaint beyond the period in which the complaint may be addressed under these procedures, the TITLE IX COORDINATOR OR AVP may terminate any further processing of the complaint, refer the complaint to University Counsel or direct the Complainant to an alternative forum (see **APPENDIX B** for a list of alternative forums).

***Informal Inquiries/Requests for Consultation:***

1. The TITLE IX COORDINATOR OR AVP on an informal basis may receive initial inquiries, reports and requests for consultation and counseling. Assistance will be available whether or not a formal complaint is contemplated or even possible. It is the responsibility of the TITLE IX COORDINATOR OR AVP to respond to all such inquiries, reports and requests as promptly as possible and in a manner appropriate to the particular circumstances.

Although in rare instances verbal complaints may be acted upon, the procedures set forth here rest upon the submission of a written complaint that will enable there to be a full and fair investigation of the facts.

2. If a Complainant elects to have the matter dealt with in an informal manner, the TITLE IX COORDINATOR OR AVP or designee will attempt to reasonably resolve the problem to the mutual satisfaction of the parties.
3. In seeking an informal resolution, the TITLE IX COORDINATOR OR AVP or designee shall attempt to review all relevant information, interview pertinent witnesses, and bring together the Complainant and the Respondent, if desirable. If a resolution satisfactory to both the Complainant and the Respondent is reached within 30 calendar days from the filing of the complaint, through the efforts of the TITLE IX COORDINATOR OR AVP or designee, the Office of Diversity and Inclusion (OD&I) shall close the case, sending a written notice to that effect to the Complainant and Respondent. The written notice, a copy of which shall be attached to the original complaint form in the OD&I file, shall contain the terms of any agreement reached by the Complainant and Respondent, and shall be signed and dated by the Complainant and the Respondent (see **APPENDIX D - MEMORANDUM: STATUS – RESOLVED** for the appropriate form).
4. If the TITLE IX COORDINATOR OR AVP or designee is unable to resolve the complaint to the mutual satisfaction of the Complainant and Respondent within 30 calendar days from the filing of the complaint, the TITLE IX COORDINATOR OR AVP or designee shall so notify the Complainant. The TITLE IX COORDINATOR OR AVP shall again advise the Complainant of his or her right to proceed to the next step internally and/or the right to separately file with appropriate external enforcement agencies.

The time limitations set forth above in paragraphs 2 and 3 may be extended by mutual agreement of the Complainant and Respondent with the approval of the TITLE IX COORDINATOR OR AVP, or by the TITLE IX COORDINATOR OR AVP for good cause shown. Such extension shall be confirmed in writing by the Complainant and Respondent.

5. At any time, subsequent to the filing of a complaint, the Complainant may elect to proceed with a Formal Complaint (procedure set forth herein) and forego the informal resolution procedure.

***Formal Complaints:***

1. The complaint shall contain (see **APPENDIX C** for Form):
  - (a) The name, local and permanent addresses, and telephone number(s) of the Complainant.
  - (b) A statement of facts explaining what happened and what the Complainant believes constituted the unlawful discriminatory acts in sufficient detail to give each Respondent reasonable notice of what is claimed against him/her. The

statement should include the date, approximate time and place where the alleged acts of unlawful discrimination or harassment occurred. If the acts occurred on more than one date, the statement should also include the last date on which the acts occurred as well as detailed information about the prior acts. The names of any potential witnesses should be provided.

- (c) The name(s), address(s) and telephone number(s) of the Respondent(s), i.e., the person(s) claimed to have committed the act(s) of unlawful discrimination.
  - (d) Identification of the status of the persons charged whether faculty, staff, or student.
  - (e) A statement indicating whether or not the Complainant has filed or reported information concerning the incidents referred to in the complaint with a non-college official or agency, under any other complaint or complaint procedure. If an external complaint has been filed, the statement should indicate the name of the department or agency with which the information was filed and its address.
  - (f) Such other or supplemental information as may be requested.
2. If the Complainant first pursued the informal complaint resolution procedure and subsequently wishes to pursue a formal complaint, he/she may do so by checking the appropriate box, and signing and dating the complaint form.
  3. Upon receipt of a complaint, the AVP or designee will provide an initialed, signed, date-stamped copy of the complaint to the Complainant. As soon as reasonably possible after the date of filing of the complaint, the AVP or designee will mail a notice of complaint and a copy of the complaint to the Respondent(s). Alternatively, such notice with a copy of the complaint may be given by personal delivery, provided such delivery is made by the AVP or designee and, that proper proof of such delivery, including the date, time and place where such delivery occurred is entered in the records maintained in the OD&I.
  4. Within 5 business days of receipt of the complaint, the AVP shall send notification to the Complainant, the Respondent and the President or designee, that a review of the matter shall take place.
  5. The AVP or designee shall review all relevant information, interview pertinent witnesses and, at their discretion, hear testimony from the Complainant and the Respondent. Both the Complainant and the Respondent(s) shall be entitled to submit written statements or other relevant and material evidence and to provide rebuttal to the written record compiled by the AVP or designee.
  6. Within 30 business days from the filing of the complaint the AVP shall prepare a summary of his/her findings and recommendations to the President or designee for resolution. The summary shall identify the facts upon which the findings were based. If the President is the Respondent, the findings and recommendation shall be submitted to

the Chancellor or designee. When the AVP transmits the findings and recommendation to the President or designee, she/he shall transmit, concurrently, copies to the Complainant and Respondent.

7. Within 10 business days of receipt of the written summary and recommendations, the President or designee shall issue a written statement to the Complainant and Respondent, indicating what action the President proposes to take. The action proposed by the President or designee, may consist of:
  - (a) A determination that the complaint was not substantiated.
  - (b) A determination that the complaint was substantiated.
    - (i) ***For Employees (including student employees) not in a Collective Bargaining Unit*** - The President may take such administrative action as he/she deems appropriate under his/her authority as the chief administrative officer of the college, including but not limited to termination, demotion, reassignment, suspension, reprimand, or training. For employees (including student employees) not in a Collective Bargaining Unit the action of the President shall be final.
    - (ii) ***For Students*** - The President may determine that sufficient information exists to refer the matter to the student judiciary or other appropriate disciplinary panel for review and appropriate action under the appropriate student conduct code.
    - (iii) ***For Employees in Collective Bargaining Units*** - The President may determine that sufficient information exists to refer the matter to his/her designee for investigation and disciplinary action or other action as may be appropriate under the applicable collective bargaining agreement.

**If the President is the Respondent, the following procedure shall be followed:**

1. Within 5 business days of receipt of the complaint, the AVP shall send notification to the Complainant, the Respondent and the Chancellor, or designee, that a review of the matter shall take place by a Tripartite Panel to be selected by the Complainant and the Respondent from a pre-selected pool of eligible participants (see **Appendix E**).
2. The Tripartite Panel shall consist of one member of the pre-selected pool chosen by the Complainant, one member chosen by the Respondent and a third chosen by the other two designees. The panel members shall choose a Chair among themselves. Selection must be completed and written notification of designees submitted to the AVP no later than 10 business days after the Complainant, the Respondent and the Chancellor received notice under Paragraph 8 above.



3. In the event that the procedural requirements governing the selection of the Tripartite Panel are not completed within 10 business days after notification, the AVP shall complete the selection process.
4. The Tripartite Panel shall review all relevant information, interview pertinent witnesses and shall hear testimony from the Complainant and the Respondent. Both the Complainant and the Respondent(s) shall be entitled to submit written statements or other relevant and material evidence and to provide rebuttal to the written record compiled by the Tripartite Panel.
5. Within 30 business days from the completion of selection of the Panel, the Chairperson of the Tripartite Panel shall submit a summary of its findings and the Panel's recommendation(s) for resolution to the Chancellor, or designee. The summary shall identify the facts upon which the findings were based. When the Panel transmits the findings to the Chancellor, or designee, the Panel shall transmit, concurrently, copies to the Complainant, Respondent and the AVP.

The Chancellor or his designee shall issue a written statement to the Complainant and Respondent indicating what action the Chancellor proposes to take. The Chancellor's decision shall be final for purposes of this discrimination procedure.

6. No later than 5 business days following issuance of the statement by the President or the Chancellor, as the case may be, the AVP shall issue a letter to the Complainant and to the Respondent(s) advising them that the matter, for purposes of this discrimination procedure, is closed.

The time limitations set forth above may be extended by mutual agreement of the Complainant and Respondent with the approval of the AVP, or by the AVP, the President, or the Chancellor as the case may be, for good cause shown. Such extension shall be confirmed in writing.

7. If the Complainant is dissatisfied with the President's or Chancellor's decision, the Complainant may elect to file a complaint with one or more State and Federal agencies. The AVP will provide general information on State and Federal guidelines and laws, as well as names and addresses of various enforcement agencies (see **APPENDIX B**).

**Amended November 2013**

**Amended March 2014**

**Amended June 2014**

## **APPENDIX A DEFINITIONS AND PROHIBITED ACTS AND BEHAVIORS**

### **Sexual Harassment in the Employment Setting is defined as:**

Unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature when any of the following occurs:

- Submission to such conduct is made a term or condition of an individual's continued employment, promotion, or other condition of employment.
- Submission to or rejection of such conduct is used as a basis for employment decisions affecting an employee or job applicant.
- Such conduct is intended to interfere, or results in interference, with an employee's work performance, or creates an intimidating, hostile, or offensive work environment.

### **Sexual Harassment in the Educational Setting is defined as:**

Unwelcome conduct of a sexual nature. Sexual harassment can include unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature. Sexual harassment of denies or limits, on the basis of sex, the person's ability to participate in or to receive benefits, services, or opportunities in the educational program and/or employment.

### **Harassment on the Basis of Protected Characteristic(s) other than Sex/Gender**

Harassment based on race, color, age, religion, national origin, disability, sexual orientation, genetics, veteran status or other protected characteristics is oral, written, graphic or physical conduct relating to an individual's protected characteristics that is sufficiently severe, pervasive, or persistent so as to interfere with or limit the ability of an individual to participate in or benefit from the educational institution's programs or activities.

### **Sexual Misconduct**

Sexual misconduct encompasses a wide range of behavior for sexual purposes against another person's will and/or at the expense of another. Sexual misconduct includes, but is not limited to sexual harassment, sexual violence, sexual assault, intimate partner violence, stalking of a sexual nature, cyber-stalking of a sexual nature, and/or any conduct of a sexual nature that is non-consensual, or has the effect of threatening or intimidating another person.

### **Dating Violence** (relationship violence, domestic violence, or intimate partner abuse.)

A pattern of coercive behaviors that serve to exercise control and power in an intimate relationship. The coercive and abusive behaviors can be physical, sexual, psychological, verbal

and/or emotional in nature. Intimate partner abuse can occur in relationships of the same or different genders; between current or former intimate partners who have dated, lived together, or been married.

### **Stalking**

A course of conduct by a stranger or acquaintance directed at a specific person that directly or indirectly distresses, intimidates or threatens and places a reasonable person in fear. Stalking also includes incidents where electronic media such as the internet, pagers, cell phones, or other similar devices are used to pursue, intimidate or threaten and place a reasonable person in fear.

### **Rape, Sexual Violence, Sexual Assault and Sexual Exploitation**

**Sexual Assault I**—By a stranger or acquaintance, sexual intercourse or any sexual penetration, however slight, of another person’s oral, anal, or genital opening with any object (an object includes but is not limited to parts of a person’s body) where active consent was not established. Where the victim purported to give consent, but the accused used force, threat, intimidation, or the victim’s mental or physical helplessness, the charge of Sexual Assault I also applies. Mental or physical helplessness would include, but not be limited to, sleep, as well as the inability to consent due to excessive alcohol or drug use or consumption.

**Sexual Assault II**—By a stranger or acquaintance, touching a person’s intimate parts (defined as genitalia, groin, breast, or buttocks), whether directly or through clothing, where active consent was not established. Sexual Assault II also includes forcing an unwilling person to touch another’s intimate parts. Where the victim purported to give consent, but the accused used force, threat, intimidation, or the victim’s mental or physical helplessness, the charge of Sexual Assault II also applies. Mental or physical helplessness would include, but not be limited to, sleep, as well as the inability to consent due to excessive alcohol or drug use or consumption.

**Sexual Exploitation**—Nonconsensual, abusive sexual behavior that does not otherwise constitute Sexual Assault I, Sexual Assault II or Sexual Harassment. Examples include but are not limited to: intentional, nonconsensual tampering with or removal of condoms or other methods of birth control and STI prevention prior to or during sexual contact in a manner that significantly increases the likelihood of STI contraction and/or pregnancy by the non-consenting party; nonconsensual video or audio taping of sexual activity; allowing others to watch consensual or nonconsensual sexual activity without the consent of a sexual partner; observing others engaged in dressing/undressing or in sexual acts without their knowledge or consent; trafficking people to be sold for sex; and inducing incapacitation with the intent to sexually assault another person.

## **APPENDIX B:**

### **NYS Division of Human Rights**

#### State Headquarters

New York State Division of Human Rights  
One Fordham Plaza, 4th Floor  
Bronx, New York 10458  
Tel: (718) 741-8400  
Fax: (718) 741-3214

#### Albany

New York State Division of Human Rights  
Empire State Plaza, Corning Tower, 28th Floor,  
Post Office Box 2049  
Albany, New York 12220  
Tel: (518) 474-2705  
Fax: (518) 473-3422

#### Office of Sexual Harassment

New York State Division of Human Rights  
Office of Sexual Harassment  
55 Hanson Place, Suite 347  
Brooklyn, New York 11217  
Tel: (718) 722-2060 or 1-800-427-2773  
Fax: (718) 722-4525

#### Office of AIDS Discrimination

New York State Division of Human Rights  
Office of AIDS Discrimination  
20 Exchange Place, 2nd Floor  
New York, New York 10005  
Tel: (212) 480-2522 or 1-800-522-4369  
Fax: (212) 480-0143

### **United States Department of Labor**

#### Office of Federal Contract Compliance Programs (OFCCP)

201 Varick Street, Room 750  
New York, NY 10014  
Tel: (212) 337-2006  
Fax: (212) 620-7705

#### OFCCP New York District Office

26 Federal Plaza, Room 36-116  
New York, NY 10278-0002  
Tel: (212) 264-7742  
Fax: (212) 264-8166

### **New York State Department of Labor**

State Campus, Building 12, Room 500  
Albany, NY 12240-0003  
Tel: (518) 457-2741  
Fax: (518) 457-6908

### **United States Equal Employment Opportunity Commission**

EEOC National Headquarters  
131 Main Street NE, Fourth Flr., Suite 4NW02F  
Washington, D. C. 20507  
Tel: (202) 663-4900  
Fax: (202) 663-4912

EEOC Field Office  
6 Fountain Plaza, Suite 350  
Buffalo, New York 14202  
Tel: (716) 551-4441  
Fax: (716) 551-4387

### **Office for Civil Rights**

OCR National Headquarters  
U. S. Department of Education  
Office of Civil Rights, Customer Service Team  
Mary E. Switzer Building  
330 C. Street, S. W.  
Washington, D. C. 20202  
Tel: (800) 421-3481  
Fax: (202) 205-9862

Office for Civil Rights, New York Office  
75 Park Place, 14<sup>th</sup> Floor  
New York, NY 10007-2146  
Tel: (212) 637-6466  
Fax: (212) 264-3803

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**APPENDIX C****CHARGE OF DISCRIMINATION  
COMPLAINT FORM**

This form is to be used by students and employees to file a complaint of discrimination based on RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION, GENETICS, VETERAN'S STATUS, AGE, DISABILITY, and MARITAL OR PARENTAL STATUS OR SEXUAL HARASSMENT.

(PLEASE PRINT OR TYPE) RECEIVED BY \_\_\_\_\_ DATE \_\_\_\_\_

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1. Name \_\_\_\_\_

Phone No. \_\_\_\_\_

Campus Address \_\_\_\_\_

Status \_\_\_\_\_  
(Faculty, Staff, Graduate, Undergraduate)

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

City \_\_\_\_\_

State \_\_\_\_\_ Zip Code \_\_\_\_\_

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2. ALLEGED DISCRIMINATION IS BASED ON (please check all that apply):

<input type="checkbox"/>	Race or Color	<input type="checkbox"/>	Religion	<input type="checkbox"/>	National Origin
<input type="checkbox"/>	Sexual Orientation	<input type="checkbox"/>	Veteran's Status	<input type="checkbox"/>	Sex
<input type="checkbox"/>	Age	<input type="checkbox"/>	Disability	<input type="checkbox"/>	Marital or Parental Status
<input type="checkbox"/>	Genetics	<input type="checkbox"/>	Sexual Harassment	<input type="checkbox"/>	Sexual Assault

3. Alleged Discrimination took place on or about: \_\_\_\_\_  
month day year

Check if alleged discrimination is continuing [ ] Yes [ ] No

4. Respondent(s) Name(s) \_\_\_\_\_

Title (if known) \_\_\_\_\_

5. Please check the appropriate box(s):

I have filed a complaint on \_\_\_\_\_  
Date

I elect to utilize the informal complaint resolution procedure as described  
in Part C, paragraph 4 of the Internal Discrimination Procedure.

I elect to proceed immediately to the formal complaint resolution procedure  
as described in Part D, paragraph 4 of the Internal Discrimination Procedure.

6. Have you filed this charge with a federal, state or local government agency?

Yes       No

If yes, with which agency? \_\_\_\_\_

When? \_\_\_\_\_

7. Have you instituted a suit or court action on this charge?

Yes       No

If yes, with which court? \_\_\_\_\_

When? \_\_\_\_\_

Court address \_\_\_\_\_

Contact person \_\_\_\_\_

8. Describe briefly the act which occurred and your reason for concluding that it was discriminatory (see COMPLAINT PROCEDURE, PART B: COMPLAINTS, 2.(b)) Attach extra sheets if necessary.

9. I swear or affirm that I have read the above charge and that it is true to the best of my knowledge, information and belief.

Signature: \_\_\_\_\_

Date \_\_\_\_\_

**APPENDIX D**  
**MEMORANDUM: STATUS – RESOLVED**

Date:

To: Complainant

From: The Office of Diversity and Inclusion

Subject: Status of Complaint

This is to confirm the fact that your complaint, which was filed with the Office of Diversity and Inclusion on (insert date), has been resolved to the mutual satisfaction of all parties involved and the matter is deemed closed.

Agree:

\_\_\_\_\_  
Complainant

\_\_\_\_\_  
Date

**Attachment: Terms of the Resolution**



## **APPENDIX E SELECTION AND TRAINING OF PANEL AND TRIPARTITE HEARING COMMITTEE**

### ***Panel***

The Campus Affirmative Action Committee has the responsibility for recommending to the President a panel of campus administrators, faculty, staff and students from which a tripartite hearing committee may be selected. The Campus President annually appoints all affirmative action panel members. Training should occur prior to any specific complaints or cases and, preferably, at the beginning of the school year. Members of the affirmative action panel should become familiar with the internal grievance procedures, discrimination laws, and the law and the language of affirmative action. The panel should be assisted in a clear understanding of their responsibilities and rights, such as reviewing confidential material, concepts of burden of proof, confidentiality and responsible record keeping.

### ***Tripartite Hearing Committee***

The tripartite hearing committee is made up of persons selected from the affirmative action panel (the pool of individuals recommended by the affirmative action committee, approved by the President and trained in the campus internal grievance procedures). One person is selected by the Complainant; one person by the Respondent and the third member is selected by the other two designees. The three panel members select among themselves a committee chairperson. The tripartite committee should be given an opportunity to review the procedure and have any questions concerning process answered by the affirmative action officer prior to beginning the investigation.

The tripartite hearing committee is charged with the responsibility of reviewing all facts regarding the alleged harassment, investigating and reporting only on that charge, and maintaining confidentiality. The written record compiled by the committee must be clearly identified and described to ensure that findings are based on documented information extracted from pertinent records and letters.