

ASSIGNMENT OF RESPONSIBILITY AND MONITORING

Section 46a-68-81

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

In accordance with statutory requirements, the appointing authority Dr. Andrew Agwunobi, Chief Executive Officer and Executive Vice President for Health Affairs is accountable for promoting and enforcing diversity and affirmative action. Dr. Agwunobi retains ultimate responsibility for the development, implementation and monitoring of UConn Health's Affirmative Action Plan.

Dr. Agwunobi assigned responsibility for operational achievement of UConn Health's Affirmative Action Plan to Arnold Lizana, Associate Vice President of the Office of Diversity and Equity through June 30, 2016. In that role, Associate Vice President Lizana met regularly with Dr. Agwunobi to discuss all Affirmative Action/Equal Employment Opportunity (AA/EEO) related information including but not limited to issues of human and inter-group relations, review of operational and administrative activities impacting the Plan, identification of obstacles in meeting goals of the Plan, nondiscriminatory employment practices, the legal authority for affirmative action and the President's commitment to affirmative action. Additionally, correspondence regarding the Affirmative Action Plan and diversity initiatives occurred via email and the Diversity Committee SharePoint platform. **Exhibit #1.**

Dr. Agwunobi supported the implementation of all aspects of UConn Health's Affirmative Action Plan and expressed his personal commitment to affirmative action in a system-wide email on June 7, 2016, encouraging commitment to and support of equal employment opportunity and building a diverse workforce. Dr. Agwunobi also attended meetings of the Diversity Leadership Team and the Campus Resource Team and events such as the Underrepresented Minority Reception where he expressed his commitment to increasing the participation of underrepresented minorities and creating a harassment free environment. **Exhibit #2**

President Susan Herbst also communicated her commitment to ensuring diversity through several system-wide emails:

- November 4, 2015, Conversation on the Future of UConn;
- November 23, 2015, Value and Imperative of Embracing Diversity; and
- June 13, 2016, Embracing Diversity. (**Exhibit #3**)

For the Plan year, Associate Vice President Arnold Lizana was designated the Equal Employment Opportunity Officer for UConn Health by Dr. Agwunobi. As of July 1, 2016, UConn Health Office of Diversity and Equity merged with the Office of Institutional Equity (OIE) in Storrs and the regional campuses to create one office to serve the entire University community.¹ Although operating as one office, OIE will continue to maintain its separate office locations at UConn Health and Storrs. The name change to OIE more clearly articulates the charge, role and responsibilities of the office including investigations of discrimination and harassment complaints; implementation of measures intended to mitigate the effects of

¹ Throughout this document, ODE is referred to as its current name, OIE.
Assignment of Responsibility

demonstrated discriminatory conduct; ensuring compliance with state and federal equal employment, affirmative action, and civil rights laws and related University policies through training; and Americans with Disabilities Act and Title IX compliance efforts.

As of July 1, 2016, Elizabeth Conklin, Associate Vice President of OIE (both Storrs and UConn Health offices), as well as the ADA Coordinator and Title IX Coordinator for UConn Health, Storrs and the regional campuses, is designated as the Equal Employment Opportunity Officer for UConn Health. As the Equal Employment Opportunity Officer, Elizabeth Conklin has a direct reporting line to Dr. Andrew Agwunobi, Chief Executive Officer and Executive Vice President for Health Affairs on all matters concerning the Plan, affirmative action, discrimination and equal employment opportunity and has access to all records and personnel necessary for the effective performance of duties. As the designated Equal Employment Opportunity Officer, Elizabeth Conklin is responsible for the development, maintenance, and monitoring of UConn Health's Affirmative Action Plan. Please see **Organizational Analysis**, for organization charts.

UConn Health considered the feasibility of establishing an employee advisory and diversity committee. Due to the unique nature of the agency and the need for a comprehensive internal body to address wide-ranging diversity issues, Dr. Agwunobi transitioned the free-standing Executive Diversity & Inclusion Counsel to an Integrated Diversity Committee. This new committee included a cross-section of UConn Health's workforce and included members focused on workforce development, student support, and patient services. The committee met throughout the Plan year to discuss the business case for diversity, changing demographics, strategic diversity plans, recruitment processes, the search process, affirmative action planning and programming and workforce diversity. A GAP analysis was prepared to determine areas of concern and to be used as a basis for future strategic planning. Minutes and recommendations of the committee are retained as required by the state retention schedule. **Please see Exhibit #2.**

UConn Health employees performing affirmative action and equal employment opportunity duties are evaluated and monitored in their performance of such duties. These employees are ensured a working environment where they are not coerced, intimidated or retaliated against for performing their assigned duties. Such retaliation is expressly prohibited by UConn Health Policy on Rules of Conduct.

UConn Health employees performing duties related to the development or implementation of the affirmative action plan include:

Office of Institutional Equity

Elizabeth Conklin, Associate Vice President, Title IX Coordinator & ADA Coordinator

The University's designated Equal Employment Opportunity Officer. Reports to the Chief Executive Officer and Executive Vice President for Health Affairs on policy issues, discrimination complaints, and all matters related to administration of the Affirmative Action Program. Advises the Chief Executive Officer and Executive Vice President for Health Affairs and senior executives on civil rights policies and laws, administers the University's Affirmative Action Program including hiring goals, search file reviews, discrimination complaints, and publication of the Plan. Serves as coordinator for ADA, Section 504, and Title IX programs. Oversees each of OIE's areas of focus, including discrimination case investigations, campus-wide trainings for diversity and sexual harassment, coordination of employee requests for

accommodations under the Americans with Disabilities Act, search and hiring affirmative action and equal employment opportunity compliance, and various diversity and harassment prevention initiatives. As Title IX Coordinator, coordinates the University's response to reports of sex-based discrimination, including sexual harassment and sexual violence. Works collaboratively with on and off-campus partners on sexual harassment and sexual violence prevention and education efforts to ensure UConn Health's commitment to creating and maintaining a campus environment free from all forms of sexual violence, harassment, exploitation, and intimidation.
Percentage of time devoted to affirmative action duties: 100%

Theresa Segar, Affirmative Action Specialist

Develops, maintains and monitors UConn Health's affirmative action plan and programs. Works with Human Resources and other departments to provide technical assistance on affirmative action requirements. Provides updates on developments in affirmative action and equal employment opportunity issues.

Percentage of time devoted to affirmative action duties: 100%

Paul Carozza, Affirmative Action Coordinator (part-time)

Develops quantitative charts for UConn Health's affirmative action plan. Compiles and analyzes statistical affirmative action data and prepares reports.

Percentage of time devoted to affirmative action duties: 100%

Sharon Gaddy, Affirmative Action Specialist (Special Payroll – part-time)

Assists in the development and review of affirmative action plan statistical charts and report preparation.

Percentage of time devoted to affirmative action duties: 100%

Robert Camilleri, Senior EEO Investigator

Investigates complaints of discrimination and harassment involving UConn Health employees and prepares written decisions and recommendations based on factual findings. Facilitates employees' requests for accommodations under the Americans with Disabilities Act (ADA) and trains employees on diversity awareness and sexual harassment prevention, as well as the reasonable accommodations process. Serves as OIE's primary point of contact for issues involving the ADA and employees with disabilities and serves on a number of University committees examining ADA issues and compliance, as well as specialized teams where knowledge of workplace accommodations is essential. Provides mandatory Diversity Training for all new employees.

Percentage of time devoted to affirmative action duties: 100%

Ellen Keane, EEO Investigator

Investigates complaints of discrimination and harassment involving UConn Health employees and preparing written decisions and recommendations based on factual findings. Facilitates employees' requests for accommodations under the Americans with Disabilities Act (ADA) and trains employees on diversity awareness and sexual harassment prevention, as well as the reasonable accommodations process. Provides mandatory Diversity Training for all new employees.

Percentage of time devoted to affirmative action duties: 100%

Michelle Fredericks, EEO Investigator

Investigates complaints of discrimination and harassment involving UConn Health employees and preparing written decisions and recommendations based on factual findings. Facilitates employees' requests for accommodations under the Americans with Disabilities Act (ADA) and trains employees on diversity awareness and sexual harassment prevention, as well as the reasonable accommodations process. Provides mandatory Diversity Training for all new employees.

Percentage of time devoted to affirmative action duties: 100%

Michelle Askew, Administrative Program Assistant 2

Provides a broad range of administrative support to the OIE staff, manages personnel records/procedures functions and assists with affirmative action plan submittal and document preparation.

Percentage of time devoted to affirmative action duties: 100%

Department of Human Resources

Joyce Smith, University Director of Employment Services and Compensation

Reviews all hires and promotions to ensure good faith efforts in recruitment and the employment process. Initiates and maintains contact with recruiting sources and organizations.

Percentage of time devoted to affirmative action duties: 90%

Susan Keegan, Human Resource Information Administrator

Prepares employment transaction reports utilized for the affirmative action plan.

Percentage of time devoted to affirmative action duties: 10%

Job descriptions of these positions are in **Exhibit # 4**.

Additional University Personnel

Dr. Andrew Agwunobi, Chief Executive Officer and Executive Vice President for Health Affairs, holds the ultimate responsibility to ensure that UConn Health's affirmative action and equal employment opportunity objectives are accomplished. Dr. Agwunobi and members of his senior executive team devote substantial time and efforts to ensure affirmative action and equal employment opportunity are instilled in all aspects of the operation of UConn Health. Regarding the academic operations, Bruce Liang, Dean, School of Medicine and R. Lamont MacNeil, Dean, School of Dental Medicine dedicate significant time to monitoring all academic functions related to employment, promotion, retention and recruitment to make certain they are conducted in accordance affirmative action principles and policies.

Additional personnel at the Department Head, Manager and Search Committee level spend a significant portion of their time on affirmative action. Department Heads and Managers are responsible for monitoring and applying affirmative action and equal employment opportunity in searches and promotions they oversee, and in creating an inclusive environment free from discrimination within their departments.

In July 2016, Joelle Murchison was hired as the Chief Diversity Officer in the Office for Diversity and Inclusion (ODI). In this role, she will serve as the University's and UConn Health's main strategist responsible for guiding efforts to define, assess, and promote diversity, inclusion, and educational and employment opportunity. The Chief Diversity Officer will work with units that are responsible for equity and diversity programs to support a campus environment that is free of discrimination, harassment and retaliation. Additionally, the ODI will develop programs and coordinate activities for all campuses to recruit and retain faculty, students and staff from diverse backgrounds.

As part of UConn Health's established internal review system, The Office of Institutional Equity (OIE) monitored progress of UConn Health's affirmative action plan throughout the year. OIE developed reports to measure progress toward hiring and promotional goal achievement. These reports were provided to Human Resources to enable recruiters to focus on remaining goals when planning targeted recruitment. Additionally, program goals set in the Plan determined OIE's focus and prioritization of projects.

OIE staff developed reports summarizing the UConn Health workforce. The reports provided a statistical and graphical analysis of the workforce by occupational category including race, gender and age. Applicants for filled positions were analyzed by race and gender. The reports were distributed to the School of Dental Medicine and at the Diversity Leadership meetings. This allowed for discussions in identifying barriers in our hiring promotional process. **Please see External Communications, Exhibit #8.**

Throughout the Plan year, OIE focused on the implementation of a plan concentrated on increasing underrepresented minorities in faculty and managerial position. For faculty and managerial positions, search committees were mandatory. OIE met with the School of Dental Medicine, Dean of the School of Medicine, Family Medicine, Neurology, Nephrology, Emergency Department, and Human Resources, throughout the reporting period to discuss the Affirmative Action Plan, affirmative Action hiring/promotional goals, underrepresented minority recruitment, search activity, and diversity standards. **Please see External Communications, Exhibit #5**

Managers are evaluated on an annual basis according to UConn Health Performance Evaluation Program. The evaluations include performance standards regarding knowledge of goals and designing, implementing, and monitoring an action plan for goal achievement building and using both external and internal sources of qualified goal candidates. This program ensures that employee performance on affirmative action is considered in promotion and merit increase decisions. **Please see Exhibit #5 for program documentation.**

Throughout the *Plan* year, Associate Vice President Lizana apprised Dr. Andrew Agwunobi, Chief Executive Officer and Executive Vice President for Health Affairs of the progress toward goals and objectives established in the *Plan*. Furthermore, Associate Vice President Lizana identified specific problems and provided recommendations for any necessary corrective action.

Prior to completion of the Affirmative Action Plan, Dr. Agwunobi and Associate Vice President Conklin met to review and discuss the *Affirmative Action Plan Executive Summary*. The *2016 Executive Summary* provides an analysis of hiring goal achievement, an evaluation of the program goals and an explanation of the new goals set for the new *Plan* year. Additionally, this *Executive Summary* includes graphical and statistical data of the workforce and new hires. **Please see Exhibit #6.**

After completing the Plan according to CHRO standards, OIE will conduct further analyses to identify broader observations and patterns.