

## **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 policies and ensuring compliance throughout the agency. Dr. Agwunobi retains ultimate responsibility for the development, implementation and monitoring of UConn Health's Affirmative Action Plan.

Dr. Agwunobi designated Elizabeth Conklin as the Equal Employment Officer for UConn Health and assigned her the responsibility for operational achievement of UConn Health's Affirmative Action Plan. Elizabeth Conklin is the 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. In that role, Associate Vice President Conklin has regularly scheduled meetings 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.

#### **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 October 24, 2017, encouraging commitment to and support of equal employment opportunity and building a diverse workforce. Dr. Agwunobi chairs the Compliance Workgroup which provides direction and guidance to the UConn Health compliance, health and safety, and public safety risk management programs. One of the key responsibilities of this Workgroup is to work closely with UConn Health managers to help ensure institution wide compliance with relevant state and federal laws and to provide a safe working environment for the UConn Health community. Elizabeth Conklin, the Equal Employment Officer, is a voting member of this committee. **Exhibit #2**

On November 17, 2016, Susan Herbst, President of the University of Connecticut, distributed a University-wide email where she described the University as a community valuing diversity, inclusion, compassion and respect regardless of race, ethnicity, religion, sexual orientation, gender identity or socioeconomic background. **Exhibit #3**

As the designated Equal Employment Officer, Elizabeth Conklin, has a 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. She is responsible for the development, maintenance, and monitoring of UConn Health's Affirmative Action Plan. Please see **Organizational Analysis**, for organization charts.

As part of the Office of Institutional Equity's ongoing efforts to ensure awareness of and progress toward affirmative action program goals, the Associate Vice President and Equal Employment Opportunity Officer regularly communicates with the UConn Health population, and advises the Chief Executive Officer and Executive Vice President for Health Affairs and UConn Health leadership of developments in affirmative action law, civil rights, and social equity policy updates. Dr. Agwunobi is also notified of all complaints investigated and adjudicated by OIE's EEO Investigators.

In addition, OIE staff present orientation and training sessions on policy changes and current developments in affirmative action related laws to employees; advise senior administration on affirmative action policies and procedures, as well as diversity issues and concerns; and monitor progress toward the UConn Health's affirmative action goals. Additional responsibilities include:

1. Partnering with the Department of Human Resources on new employee orientation activities;
2. Developing and conducting mandated Diversity Awareness and Sexual Harassment Prevention Training for all UConn Health employees and Department of Correction Sexual Harassment Prevention Training for UConn Health employees in the Correctional Managed Health Care (CMHC);
3. Developing online search committee training for faculty and staff searches, and the Management Development Training Program;
4. Developing and providing the Respectful and Harassment-Free Workplace training for managerial employees;
5. Updating recruitment resource directories of underutilized populations;
6. Maintaining relationships with state and federal civil rights agencies;
7. Maintaining relationships with University internal communities;
8. Preparing state and federal AA/EEO reports and statistical information.

The feasibility of an employee advisory committee was considered by University and UConn Health leaders. It was determined that the uniqueness of a medical school and research center, part of a Research 1 University called for a comprehensive internal body that could address the broad, University-wide matters related to issues of diversifying the faculty and staff workforce and improving the campus climate/work environment. In September 2014, a Diversity Task Force was charged with reviewing, assessing and recommending strategies to improve diversity at UConn. The first of six core recommendation focused on building an effective and sustainable diversity infrastructure including the hire of a Chief Diversity Officer (CDO) to lead the Office of Diversity and Inclusion (ODI), formation of a Diversity Council chaired by the CDO.

The Diversity Council, launched in July 2016 by UConn's new Chief Diversity Officer, is composed of faculty, staff and students across all academic and administrative units on campus. The Council is charged with the development and implementation of a multi-dimensional strategic and inclusion plan that supports the diversity core as stated in the academic plan and the six core recommendations of the Diversity Task Force. The Council also supports the execution of initiatives that would further UConn's goals of becoming a more inclusive community and a leader in diversity and inclusion in higher education. Additionally, the Council acts in an advisory capacity to UConn's leadership on issues including increased recruitment and retention of underrepresented groups amongst the students, faculty and staff. It uses metrics to monitor progress on diversity

through analysis and assessment and work to identify and disseminate best practices around the successful coordination and execution of diversity programs and initiatives across the entire University, including UConn Health.

Five subcommittees of the Diversity Council were created to focus on different areas of the Council's mission: Faculty and Staff Recruitment and Retention, Student Recruitment and Retention, Diversity Education and Training, Communication/Campus Climate and External & Community Partnerships.

Members of the Diversity Council are identified by name and position. The 32-person Council, led by the Chief Diversity Officer, a black female, 4 white males, 11 white females, 3 black males, 7 black females, 3 Hispanic females and 4 Asian females. UConn Health is represented on the Council by the Chief Administrative Officer (black female) and the Vice President of Human Resources (black male). The Diversity Council meets quarterly with the subcommittees meeting regularly and members dedicating time as necessary. Copies of all Diversity Council minutes and all supporting documentation are retained as required by University and state records retention schedules. **Exhibit #4** lists the membership of the Diversity Council.

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.

The following section discusses UConn Health offices and personnel with responsibilities related to developing or implementing the Plan. Employees who believe that they are being retaliated against for performing their stated affirmative action duties may file a complaint with the Commission on Human Rights and Opportunities (CHRO).

### **Office of Institutional Equity**

The Office of Institutional Equity (OIE) supports UConn Health's commitment to affirmative action, diversity, multiculturalism, and social equity through functions that play educational, support and compliance roles at UConn Health. OIE advises senior administration on institutional civil rights and social equity policies and issues. The Associate Vice President reports on these issues to the Chief Executive Officer and Executive Vice President for Health Affairs. OIE is charged with compliance function in the following major areas of focus:

1. monitoring employment systems (faculty and staff recruitment, hiring and retention);
2. pre-litigation discrimination case management;
3. Americans with Disabilities Act (ADA) compliance;
4. training and education relative to diversity and sexual harassment prevention;
5. reporting and publishing UConn Health's progress and compliance with affirmative action and equal employment opportunity regulations; and
6. Title IX compliance.

In addition, as a diversity resources unit, OIE provides subject matter expertise and training relative to ensuring non-discriminatory learning and working environments and recruitment and retention of diverse faculty and staff.

### Monitoring Employment Systems

The OIE staff is available to provide training to search committees and administrators covering subjects such as: search committee roles and responsibilities, best practices for Affirmative Action and Equal Employment Opportunity compliance, good faith efforts in recruitment, evaluation and documentation of applicants and interviewing best practices. The staff also provides support and guidance to search committees, hiring departments, and search administrators and works collaboratively with Human Resources to ensure a fair and equitable search process.

### Pre-litigation Discrimination Case Management

OIE's investigations are conducted by EEO investigators charged with fielding and objectively investigating complaints of discrimination and discriminatory harassment on the basis of legally-protected characteristics. OIE's investigations determine whether employee conduct violates UConn Health non-discrimination policies, which have been drafted to provide protections aligned with current law. The investigators address inquiries and complaints made in-person, by telephone, e-mail, and regular mail ranging from employee requests for confidential consultations about options for action and relief, to managers' calls for disparate treatment analyses of intra-office conflicts. OIE's investigators thoroughly investigate discrimination complaints, make determinations regarding discriminatory animus and violations of UConn Health policy, and follow statutory requirements regarding recommendations for remedial action when there is evidence of policy violations.

### American with Disabilities Act (ADA) Compliance

OIE is responsible for facilitating the interactive process used to evaluate employee requests for accommodations under Title I of the Americans with Disabilities Act (ADA) and providing guidance to employees and managers regarding reasonable accommodations under the ADA. Additionally, OIE is charged with monitoring UConn Health's compliance with the ADA's requirements. In this regard, OIE has responsibility for resolving allegations of discrimination based on disability; ensuring UConn Health compliance with all relevant laws and regulations related to the ADA; providing consultation, information and referral to appropriate resources for disability-related issues; and provide training regarding the ADA.

### Training and education relative to diversity and sexual harassment prevention

Pursuant to General Statutes §46a-54, OIE provides ongoing Diversity Awareness and Sexual Harassment Prevention training to all permanent UConn Health employees. A report on training and attendance is provided in the Internal Communications section of this Plan. OIE investigators also provide customized trainings to individual departments or groups of employees or students seeking further guidance or training around discrimination and/or harassment issues. Investigators also present tailored trainings, speakers or information sessions to a variety of groups upon request or where a specific need is evident based on complaint activity.

## Reporting and publishing UConn Health's progress and compliance with affirmative action and equal employment opportunity regulations.

The EEO & Search Compliance staff, in compliance with §46a-68, prepares UConn Health's annual Affirmative Action Plan for Employment for submission to the Commission of Human Rights and Opportunities (CHRO). The Plan is also published in its entirety on the OIE [website \(www.equity.uconn.edu\)](http://www.equity.uconn.edu) in an effort to apprise UConn Health community of the progress of annual affirmative action programming and compliance activities. Additionally, as a federal contractor, UConn Health is required to have Affirmative Action Plans for Women and Minorities and Veterans and Individuals with Disabilities on file in compliance with Executive Order 11246, Section 503 of the Rehabilitation Act, the Vietnam Era Veterans Readjustment Act of 1974, and the Veterans Employment Opportunity Act of 1998. Both Plans are prepared annually by the EEO & Search Compliance staff.

## Title IX compliance

The Associate Vice President of the Office of Institutional Equity, Elizabeth Conklin, is designated as UConn Health's Title IX Coordinator. OIE, the Title IX Coordinator and Title IX Investigators together monitor and track UConn Health's compliance with Title IX and ensure that complaints of sex discrimination, sexual harassment and sexual violence are investigated and addressed appropriately by UConn Health.

## **Department of Human Resources**

The Department of Human Resources, in accordance with affirmative action requirements and state and federal anti-discrimination laws, administers the State Personnel Act, and the University's internal procedures and employment practices. DHR provides leadership in the development, implementation, and administration of sound human resources policies, procedures, and programs which support the UConn Health's education and research mission. DHR consists of the following operating units: Administration, Creative Child Center, International, Employee/Labor Relations, Organization and Staff Development, Talent Acquisition, Compensation and Classification, Benefits, Information Management, and Payroll.

## Employee and Labor Relations

The Employee and Labor Relations Unit is responsible for negotiating and administering fair collective bargaining agreements with nine separate employee bargaining units, administering the progressive discipline and grievance/arbitration processes, investigating potential violations of collective bargaining agreements, agency policies or rules, holding Labor-Management meetings, providing interpretation and application of University policies and collective bargaining contracts, assisting in the development and monitoring of personnel policies, providing guidance to managers and supervisors with employee related situations such as attendance, tardiness, poor performance, discipline, substance abuse, reorganization, or layoff and training managers and supervisors in their responsibilities under the collective bargaining agreements.

## Organization and Staff Development

Organizational and Staff Development (OSD) is dedicated to building capacity in individuals and teams by delivering outstanding solutions that impact organizational effectiveness in support of our mission. OSD unit serves and supports UConn Health staff and managers by developing and conducting in-house professional development programs throughout the year. A range of classroom courses and workshops are offered, allowing employees to choose specific topics that meet their professional and personal development needs. OSD also offers customized workshops, consultation, facilitation and coaching. Topics include career/employee development, communication skills, business communication, business process redesign, change management, customer service, customized training and team building.

## Talent Acquisition

Talent Management partners with hiring managers in the areas of recruitment, search, and hiring process. Talent Management reviews and provides guidance on job descriptions and advertising materials, implements recruitment strategies, evaluates applicant materials and administers the search and hiring process.

## Compensation and Classification

The Compensation and Classification unit is responsible for the coordination of the classification program, the classification appeal process, employee-initiated and management-initiated classification review requests, and temporary or permanent reassignments. It provides new/replacement position classification; assists with departmental reorganizations; and receiving and processing requests for additional compensation.

## Benefits

The Benefits Unit advises, administers, and provides services to employees in areas such as benefit enrollment, retirement and insurance plans, worker's compensation, and tax-deferred products. This unit also administers other benefits such as leaves, and tuition reimbursements/waivers.

## **Office For Diversity and Inclusion**

The Office for Diversity and Inclusion (ODI) provides leadership in the development and implementation of innovative programming and is responsible, in coordination with the ongoing compliance-related efforts of OIE, for the monitoring and evaluation of diversity efforts and their efficacy. ODI proactively and collaboratively develops and implements plans, programs, and activities that educate and motivate members of UConn Health community to embrace diversity and inclusion as core values to be collectively practiced in UConn Health. ODI works strategically with appropriate UConn Health units responsible for promoting and implementing equity and diversity programs in support of a working and learning environment free of discrimination, harassment and retaliation and for conducting investigations related to discrimination, harassment and retaliation, including the principles and compliance requirements of Title IX.

## Individuals Assigned Affirmative Action Duties

The following summarizes the activities of those individuals for whom affirmative action functions comprised more than 50% of their job duties from July 1, 2016 to July 31, 2017. **Exhibit #5** includes OIE staff job descriptions.

### Office of Institutional Equity

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. Although operating as one office, OIE maintain separate office locations at UConn Health and Storrs. Most OIE staff have responsibilities across both locations.

#### ***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%**

#### ***Sarah Chipman, Director of Investigations & Deputy Title IX Coordinator***

Oversees OIE's investigations of claims of discrimination, harassment and retaliation, as well as campus-wide trainings for diversity awareness and sexual harassment prevention. Manages investigations of discrimination and harassment (including sexual violence, sexual harassment, intimate partner violence, and stalking) involving students at the University, as well as investigations involving employees. Assists the Title IX Coordinator with UConn Health's response to reports of sex discrimination, as well as education and outreach efforts on campus related to Title IX.

**Percentage of time devoted to affirmative action duties: 100%**

#### ***Robert Camilleri, Associate Director, Investigations***

Reports to the Associate Vice President of OIE and the Director of Investigations, supervises Equal Employment Opportunity investigations and manages UConn Health's internal discrimination complaint caseload and matters which may directly result in disciplinary action. Acts as an impartial, neutral investigator throughout all aspects of the investigation process, and

ensure that all investigation activities and OIE decisions are consistent with University policies and procedures, and that all investigation activities are conducted in a well-documented, prompt, fair and thorough manner. Provides mandatory Diversity Training for all new employees and mandatory Department of Correction Sexual Harassment Prevention Training for UConn Health employees in the Correctional Managed Health Care.

**Percentage of time devoted to affirmative action duties: 100%**

***Jamila Goolgar, EEO Investigator***

Acts as an impartial, neutral investigator throughout all aspects of the investigation process at UConn Health and the Storrs campus, and ensures that all investigation activities and OIE decisions are consistent with UConn Health policies and procedures. Assists in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. Assists with diversity, sexual harassment prevention and related training in accordance with UConn Health training mandates and state and federal statutes.

**Percentage of time devoted to affirmative action duties: 100%**

***Alexa Lindauer, EEO Investigator***

Acts as an impartial, neutral investigator throughout all aspects of the investigation process at UConn Health and the Storrs campus, and ensures that all investigation activities and OIE decisions are consistent with UConn Health policies and procedures. Assists in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. Assists with diversity, sexual harassment prevention and related training in accordance with UConn Health training mandates and state and federal statutes.

**Percentage of time devoted to affirmative action duties: 100%**

***Ann Randall, Paralegal & Legal Administrator***

Assists the OIE's EEO Investigators and the Director of Investigations in their investigations of complaints of discrimination and discriminatory harassment involving UConn Health employees and coordination of requests for accommodation under the Americans with Disabilities Act. Coordinates State and UConn Health mandated Diversity and Sexual Harassment Prevention training for UConn Health employees.

**Percentage of time devoted to affirmative action duties: 100%**

***Joshua Rucker, Deputy ADA Coordinator***

Ensures University, including UConn Health, compliance with the Americans with Disabilities Act (ADA), the Rehabilitation Act of 1973 and other relevant federal and state laws pertaining to individuals with disabilities. Collaborates with UConn Health leadership on disability issues to develop appropriate policies, procedures and processes that respond to the needs of individuals with disabilities. Provides education, training and guidance to UConn Health community in understanding disability access, rights, and responsibilities.

**Percentage of time devoted to affirmative action duties: 100%**

***Hanna Prytko, EEO & Search Compliance Manager***

Manages the EEO & Search Compliance unit which is responsible for the development and implementation of UConn Health policies and procedures related to ensuring compliance with state and federal guidelines, regulations and laws related to equal employment opportunity and



affirmative action in the search and hiring process. Responsible for developing the state and federal affirmative action plans for UConn Health and Storrs, producing various reports for monitoring workforce diversity goals and ensuring all state and federal reporting requirements are met. Provides guidance on the hiring activity, search committee training and AA/EEO related projects.

**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. Develops state and federal affirmative action plans.

**Percentage of time devoted to affirmative action duties: 100%**

***Paul Carozza, Affirmative Action Coordinator (part-time through June 30, 2016)***

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%**

***Katherine Johansen, EEO & Search Compliance Specialist***

Provides assistance to hiring managers and search committees in matters relating to the hiring activities and works collaboratively with departments and external auditors regarding compliance in hiring activity. Facilitates Search Committee training and state mandated Diversity and Sexual Harassment Prevention training for Storrs and UConn Health. Develops state and federal affirmative action plans and AA/EEO related projects.

**Percentage of time devoted to affirmative action duties: 100%**

***Michelle Askew, Administrative Program Assistant 2***

Provides a broad range of administrative support to the UConn Health OIE staff and manages personnel records/procedures functions.

**Percentage of time devoted to affirmative action duties: 100%**

***Kevin O'Connell, Deputy Title IX Coordinator***

Works with the Title IX Coordinator to ensure Storrs' and UConn Health's compliance with regard to its response to reports of sex discrimination, sexual harassment and sexual violence (including sexual assault, intimate partner violence, and stalking). Assists with identifying and addressing any patterns related to sex discrimination or sexual violence, and assessing the campus climate. Collaborates with on and off campus partners to develop and implement prevention and education initiatives 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%**

***Kimberly Bentson, Title IX Support Specialist***

Assists with collecting and analyzing data from reports of sex discrimination, sexual assault, sexual harassment, stalking, and intimate partner violence. Examines information about Title IX trends and issues and develops new initiatives based on these issues. Helps with the development and facilitation of various education, awareness, and prevention programs and campaigns.

**Percentage of time devoted to affirmative action duties: 100%**

***Deborah Redshaw, Titles IX Project Support Specialist & Budget Specialist***

As Title IX Project Support Specialist, assists the Title IX Coordinator by working collaboratively with on and off campus partners on sexual harassment and sexual violence prevention and education efforts to ensure Storrs' and UConn Health's commitment to creating and maintain a campus environment free from all forms of sexual violence, harassment exploitation and intimidation. As the Budget Specialist, assists the Associate Vice President in developing and monitoring the OIE departmental budgets and is responsible for reviewing and processing OIE's financial transactions and maintaining all related records.

**Percentage of time devoted to affirmative action duties: 100%**

***Susan Hoge, Executive Assistant***

Heads the OIE Operations Team and acts as Office Manager for OIE. Provides a broad range of executive support to the Associate Vice President and assists the AVP with supervising personnel, and manages personnel records/procedures functions.

**Percentage of time devoted to affirmative action duties: 100%**

**Department of Human Resources**

***John Peeples, Vice President of Human Resources***

Supports the teaching, research and healthcare mission of UConn Health by providing effective human resources programs and services. Provides oversight and direction in the areas of labor relations (School of Medicine, Research), recruitment (selection and retention) including affirmative action goal hiring process, compensation and benefits, child care services, organization and staff development, payroll and benefits, human resources records and information systems.

**Percentage of time devoted to affirmative action duties: 80%**

***Sam Avery, Assistant Vice President, Talent Management***

Implements the talent management infrastructure, framework, and strategies to support the UConn Health organization. Assists in the support of UConn Health's affirmative action and OIE initiatives around recruitment, workplace accommodations, and workplace diversity. Represents UConn Health School of Dental Medicine, Research in grievances, arbitrations, prohibited practices, Commission on Human Rights and Opportunities and Equal Employment Opportunity Commission procedures, administrative hearings, and court proceedings.

**Percentage of time devoted to affirmative action duties: 80%**

**Erica D'Angelo, Director of Talent Acquisition**

Leads a full-cycle recruitment program which includes the development and implementation of UConn Health Talent Acquisition Strategy designed to attract highly qualified and diverse talent throughout the enterprise. Builds and maintains recruiting policies, procedures, and training processes to enhance recruiting effectiveness. Assists the Assistant Vice President of Talent Management in the Development of a comprehensive staff training and career development program. Creates opportunities for professional development, individualized training and coaching that support recruitment and retention. Leverages Equal Employment Opportunity/Affirmative Action Plan/compliance strategies and goals to ensure Equal Employment Opportunities compliance and diversity goal achievement.

**Percentage of time devoted to affirmative action duties: 80%**

**Noreen Logan, Talent Acquisition Specialist**

Develops and executes fully integrated recruitment plans including aggressively recruiting for well-qualified candidates from a variety of sources, managing selection process to include interviewing, assessing candidates, screening, and recommending finalists, and filling the staffing needs within the defined service and performance criteria. Trains departmental hiring managers on recruitment processes and interviewing techniques. Participates in exit interviews and recall rights process. Works with employees to identify appropriate career paths.

**Percentage of time devoted to affirmative action duties: 80%**

**Sylvia Nolan, Human Resource Associate**

Prepares, processes or reviews a variety of personnel transactions, including but not limited to, vacant positions, applicant lists, processing employees through sign up, orientation and exit functions, status changes, transfers, reference checks; prepares and processes applicants; maintains applicant tracking system; contacts applicants to clarify information or arrange interviews; prepares and processes forms regarding establishment and allocations of positions; explains laws, rules, regulations and processes pertaining to personnel transactions; contacts proper authority for interpretation of the laws, rules, regulations and procedures.

**Percentage of time devoted to affirmative action duties: 60%**

**Pamela Rucker, Talent Acquisition Specialist**

Develops and executes fully integrated recruitment plans including aggressively recruiting for well-qualified candidates from a variety of sources, managing selection process to include interviewing, assessing candidates, screening, and recommending finalists, and filling the staffing needs within the defined service and performance criteria. Trains departmental hiring managers on recruitment processes and interviewing techniques. Participates in exit interviews and recall rights process. Works with employees to identify appropriate career paths.

**Percentage of time devoted to affirmative action duties: 80%**

**Kelly Pitkin, Human Resource Associate**

Prepares, processes or reviews a variety of personnel transactions, including applicant lists, orientation and exit functions, status changes, transfers and reference checks; maintains applicant tracking system; prepares and processes forms regarding establishment and allocations of positions; explains laws, rules, regulations and processes pertaining to personnel transactions; contacts proper authority for interpretation of the laws, rules, regulations and procedures.

**Percentage of time devoted to affirmative action duties: 60%**

**Julie Parrette, *Talent Acquisition Specialist***

Develops and executes fully integrated recruitment plans including aggressively recruiting for well-qualified candidates from a variety of sources, managing selection process to include interviewing, assessing candidates, screening, and recommending finalists, and filling the staffing needs within the defined service and performance criteria. Trains departmental hiring managers on recruitment processes and interviewing techniques. Participates in exit interviews and recall rights process. Works with employees to identify appropriate career paths.

**Percentage of time devoted to affirmative action duties: 80%**

**Rose Marie Orsini, *Human Resource Associate***

Prepares, processes or reviews a variety of personnel transactions, including applicant lists, orientation and exit functions, status changes, transfers and reference checks; maintains applicant tracking system; prepares and processes forms regarding establishment and allocations of positions; explains laws, rules, regulations and processes pertaining to personnel transactions; contacts proper authority for interpretation of the laws, rules, regulations and procedures.

**Percentage of time devoted to affirmative action duties: 60%**

**Marisa Leone, *Talent Acquisition Specialist***

Develops and executes fully integrated recruitment plans including aggressively recruiting for well-qualified candidates from a variety of sources, managing selection process to include interviewing, assessing candidates, screening, and recommending finalists, and filling the staffing needs within the defined service and performance criteria. Trains departmental hiring managers on recruitment processes and interviewing techniques. Participates in exit interviews and recall rights process. Works with employees to identify appropriate career paths.

**Percentage of time devoted to affirmative action duties: 80%**

**Donna Seklecki, *Talent Acquisition Specialist***

Develops and executes fully integrated recruitment plans including aggressively recruiting for well-qualified candidates from a variety of sources, managing selection process to include interviewing, assessing candidates, screening, and recommending finalists, and filling the staffing needs within the defined service and performance criteria. Trains departmental hiring managers on recruitment processes and interviewing techniques. Participates in exit interviews and recall rights process. Works with employees to identify appropriate career paths.

**Percentage of time devoted to affirmative action duties: 80%**

**Elizabeth McNamara, *Human Resource Associate***

Prepares, processes or reviews a variety of personnel transactions, including applicant lists, orientation and exit functions, status changes, transfers and reference checks; maintains applicant tracking system; prepares and processes forms regarding establishment and allocations of positions; explains laws, rules, regulations and processes pertaining to personnel transactions; contacts proper authority for interpretation of the laws, rules, regulations and procedures.

**Percentage of time devoted to affirmative action duties: 60%**

**Caroline Beitman, *Human Resources Consultant***

Interprets and administer pertinent laws, regulations, policies and procedures; administers and interprets collective bargaining contracts; conducts investigations into workplace issues; represents UConn Health at grievance meetings, labor-management meetings, contract negotiations, etc.; mediates and resolves disputes; provides consultation and training to managers in all areas of labor relations.

**Percentage of time devoted to affirmative action duties: 60%**

**Sylvia Flickinger, *Human Resources Consultant***

Interprets and administer pertinent laws, regulations, policies and procedures; administers and interprets collective bargaining contracts; conducts investigations into workplace issues; represents UConn Health at grievance meetings, labor-management meetings, contract negotiations, etc.; mediates and resolves disputes; provides consultation and training to managers in all areas of labor relations.

**Percentage of time devoted to affirmative action duties: 60%**

**Shaela Ryng, *Human Resources Consultant***

Interprets and administer pertinent laws, regulations, policies and procedures; administers and interprets collective bargaining contracts; conducts investigations into workplace issues; represents UConn Health at grievance meetings, labor-management meetings, contract negotiations, etc.; mediates and resolves disputes; provides consultation and training to managers in all areas of labor relations.

**Percentage of time devoted to affirmative action duties: 60%**

**Cynthia Molin, *Director Organization and Staff Development***

Acts as a consultant and facilitator of agency specific organizational change efforts; facilitates and orchestrates agency efforts to improve organizational effectiveness; conducts specialized training sessions with agency officials and staff to enable staff to carry out specific organizational development activities; consults and evaluates organizational development interventions and training strategies in alignment with organizational mission and goals; provides consulting services to various work groups within the UConn Health in the area of performance improvement; coaches leadership staff in managing organizational change.

**Percentage of time devoted to affirmative action duties: 60%**

**Alexis Crean, *Education and Staff Development Specialist***

Facilitates and evaluates overall organizational development through quality improvement, leadership education and involvement with research activities. Participates in the planning and delivery of mandatory educational programs including New Employee Orientation, Diversity Awareness and Harassment Free Workplace; develops, coordinates and implements employee recognition programs and employee work life balance initiatives; provides computer based education support (SABA Learning Management System); teaches content appropriate to areas of expertise; conducts leadership and management education programs.

**Percentage of time devoted to affirmative action duties: 60%**

**Marisol Cruz St. Juste, *Education and Staff Development Specialist***

Facilitates and evaluates overall organizational development through quality improvement, leadership education and involvement with research activities. Participates in the planning and delivery of mandatory educational programs including New Employee Orientation, Diversity

Awareness and Harassment Free Workplace; develops, coordinates and implements employee recognition programs and employee work life balance initiatives; provides computer based education support (SABA Learning Management System); teaches content appropriate to areas of expertise; conducts leadership and management education programs.

**Percentage of time devoted to affirmative action duties: 60%**

***Roselyn Wright, Education and Staff Development Specialist***

Facilitates and evaluates overall organizational development through quality improvement, leadership education and involvement with research activities. Participates in the planning and delivery of mandatory educational programs including New Employee Orientation, Diversity Awareness and Harassment Free Workplace; develops, coordinates and implements employee recognition programs and employee work life balance initiatives; provides computer based education support (SABA Learning Management System); teaches content appropriate to areas of expertise; conducts leadership and management education programs.

**Percentage of time devoted to affirmative action duties: 60%**

***Joyce Smith, Director of Compensation and Classification***

Provides consultation to supervisors and managers on compensation and classification issues and ensures the compliance of compensation programs. Develops job descriptions, classifies positions and determines salaries in accordance with appropriate collective bargaining unit guidelines and in compliance with established guidelines and sound classification practices. Develops and delivers staff and management training programs regarding classification, compensation and performance management to management team and employee workforce.

**Percentage of time devoted to affirmative action duties: 80%**

***Margo Granger, Personnel Specialist 2***

Conducts salary and classification studies, researches and prepares analysis for the development of compensation and classification programs. Provides consultative services to management on compensation, job reviews, writing and revision of job descriptions, job analysis and classification.

**Percentage of time devoted to affirmative action duties: 60%**

**Office for Diversity and Inclusion**

***Joelle Murchison, Associate Vice President and Chief Diversity Officer***

Serves as the Chief Diversity Officer in the Office for Diversity and Inclusion (ODI) and 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. Works with units that are responsible for equity and diversity programs to support a campus environment that is free of discrimination, harassment and retaliation. Develops programs and coordinates activities for all campuses to recruit and retain faculty, students and staff from diverse backgrounds.

**Percentage of time devoted to affirmative action duties: 100%**

***Dana Wilder, Assistant Vice President for Diversity and Inclusion***

Works with the Chief Diversity Officer in guiding efforts to define, assess, and promote diversity, inclusion, and educational and employment opportunity. Works with units that are responsible for equity and diversity programs to support a campus environment that is free of discrimination, harassment and retaliation. Develops programs and coordinates activities for all campuses to recruit and retain faculty, students and staff from diverse backgrounds.

**Percentage of time devoted to affirmative action duties: 100%**

**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.

Specifically, Deans and Department Heads are responsible for charging their respective Faculty search committees with their objective for the search. This charge includes a directive for aggressive recruiting of underrepresented candidates and ensuring applicants are evaluated objectively based on the qualifications. Search committee members and search administrators are responsible for conducting an aggressive recruitment effort to reach underrepresented candidates and evaluating candidates in an equitable manner free from discrimination.

It is ultimately the responsibility of the Chief Executive Officer and Executive Vice President for Health Affairs to ensure these objectives are accomplished. He has specifically designated the Associate Vice President of the Office of Institutional Equity as the person responsible for working towards and achieving Affirmative Action and Equal Employment Opportunity at the University.

UConn Health has established internal program evaluation mechanisms to continually audit, monitor and evaluate programs in our affirmative action program. The Chief Executive Officer and Executive Vice President for Health Affairs and the Associate Vice President of the Office of Institutional Equity (the institution's Equal Employment Opportunity Officer) have established and implemented a system that provides for goals, timetables for goals and initiatives and for periodic evaluations.

As an integral part of the evaluation effort, UConn Health considered the following:

1. Conducting an ongoing review and evaluation of UConn Health's progress towards the goals of the affirmative action plan with the evaluation directed toward results accomplished, not only at efforts made;
2. Establishing a system for evaluating supervisor's performance on affirmative action consistent with chapters 67 and 68 of the Connecticut General Statutes, **Exhibit #6**; and

3. Reviewing the affirmative action plan at least annually with the Equal Employment Officer providing an annual report to the Chief Executive Officer and Executive Vice President for Health Affairs and Senior Executive Team containing the overall status of the program, results achieved toward established objectives, identification of any particular problems encountered and recommendations for corrective actions as needed.

The following summarizes UConn Health's internal evaluation process and the results for this *Plan* period.

***1. Conducting an ongoing review and evaluation of UConn Health's progress towards the goals of the affirmative action plan with the evaluation directed toward results accomplished, not only at efforts made.***

Progress toward the hiring and programmatic goals of the 2016 Plan was an integral part of ongoing discussions throughout the Plan year. The Associate Vice President for the Office of Institutional Equity has continued to review goal achievement on a regular basis, and has presented verbal or written reports to the Chief Executive Officer and Executive Vice President for Health Affairs, Senior Executive Team, Human Resources, and Board of Directors. These meetings were in addition to the regular scheduled meetings between the Chief Executive Officer and Executive Vice President for Health Affairs and UConn Health's Equal Employment Opportunity Officer regarding administration of the affirmative action function, and progress and challenges in meeting affirmative action goals, initiatives, and discrimination complaint matters.

OIE staff developed a report summarizing the UConn Health workforce. The report 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 report was distributed to the Senior Executive Team Meeting. This allowed for discussions in identifying barriers in our hiring promotional process. **Please see External Communications, Exhibit #8.**

Employees separating from UConn Health are given the option to participate in exit interviews online with the option to be anonymous, and in person. Exit interviews were conducted to elicit additional information about employees' experiences working at UConn Health. Feedback was given to the appropriate department for follow up. The exit interviews were also reviewed by OIE to determine whether employees left as a result of discrimination or harassment issues that were not addressed by OIE.

As part of UConn Health's established internal review system, OIE monitored progress of UConn Health's affirmative action plan throughout the year. OIE reviewed and reported progress toward hiring and promotional goal achievement to Human Resources enabling Talent Acquisition Specialists and HR Associates to focus on remaining goals when planning targeted recruitment. **Please see Internal Communications, Exhibit #12** . Additionally, program goals set in the Plan determined OIE's focus and prioritization of projects.



Throughout the year Associate Vice President Conklin met with or provided trainings to various departments, deans, chairs, and directors to ensure compliance with accessibility, non-discrimination and anti-harassment, affirmative action and equal employment opportunity, and related UConn policies/procedures and state and federal laws and regulations. In addition to these meetings, Associate Vice President Conklin:

1. Provided an overview of OIE, policies, and procedures to ensure compliance with our non-discrimination and anti-harassment policies, as well as state and federal laws and regulations related to equal opportunity and affirmative action. These overviews focused on the American with Disabilities Act, affirmative action, discrimination/harassment, education and training, search process, Title IX Compliance, and sexual harassment and violence awareness and response. OIE AVP met with the following areas: New Faculty Orientation; Compliance Workgroup; Board of Directors Academic Affairs; Office of the Chief Administrative Officer manger meeting; Human Resources; Dean, School of Dental Medicine and faculty; Dean, School of Medicine and his Chairs and Directors of Faculty Affairs, Clinical Quality and Network development Related to Faculty Academics, Health career Opportunity Programs, Education, Multicultural and Community Affairs, Finance and administration, Research, and Clinical Research, Planning and Administration; Board of Directors; Cell Biology faculty; Cell Analysis faculty; Neuroscience faculty; Radiology faculty; Psychiatry faculty; and Surgery faculty.
2. Attended a technical assistance meeting with Neva Elaine Vigezzi, Human Rights and Opportunity Representative, EEO and Search Compliance Manager and Affirmative Action Specialist to discuss the 2016 Affirmative Action Plan Review and Analysis proposals/recommendations. This meeting focused on ensuring the Goals Analysis justifications for hires/promotions are based upon the minimum and preferred qualifications in the job posting.
3. Participated in the Compliance Workgroup, chaired by Dr. Agwunobi, to ensure compliance with non-discrimination and anti-harassment policies, as well as state and federal laws and regulations related to equal opportunity and affirmative action.
4. Met with the Faculty Development Advisory Committee, who assist our faculty by providing workshops, programs, and resources that focus on academic advancement, enhancement of teaching and research skills, and leadership development, to discuss our discrimination and anti-harassment policies; proactive recruitment strategies, and retention strategies to enhance our academic reputation, improve diverse employee population, and create a competitive edge in the global marketplace.
5. Met with the Senior Associate Dean for Education and the Associate Dean for Multicultural and Community Affairs to discuss proactive faculty recruitment strategies to enhance our academic reputation, improve diverse faculty population, and create a greater competitive edge in the global marketplace.
6. Presented at the Leadership Development Sessions on the American with Disabilities Act, affirmative action, discrimination/harassment, education and training, search process, Title IX Compliance, and sexual violence awareness and response in an effort to ensure

compliance with the non-discrimination and anti-harassment policies, as well as state and federal laws and regulations related to equal opportunity and affirmative action.

7. Met with Human Resources to discuss employee training initiatives and collaborations in the following areas: diversity, search process, and sexual harassment. As a result of this meeting an online Search Committee training was developed by OIE for the Management Development Training Program's Hiring the Right Talent Part I and for search committees for Faculty and above positions.
8. Conducted mandatory Managing a Respectful and Harassment-Free Workplace for newly appointed managers, supervisors, and administrative staff who supervise employees and/or students. **Please see Internal Communications, Exhibit # 14.**
9. Met with Associate Vice President of Campus Planning, Design and Construction, Chief Communications Officer of Office of University Communications, and the Center for Excellence and Developmental Disabilities to discuss UConn Health's compliance with ADA requirements.
10. Met with the Police Chief and Master Sergeants of our Public Safety Department to collaborate on raising awareness of sexual violence and creating and maintaining an environment free from all forms of sexual harassment, sexual violence, intimate partner violence and stalking.
11. Held a Coffee and Conversation informal meet and greet with employees and students to discuss our commitment to creating and maintain an environment free from all forms of sexual harassment, sexual violence, and intimate partner violence and stalking.
12. Attended meetings and participated in ongoing discussions of Americans with Disabilities Act (ADA) compliance issues, strategies, and education initiatives with the Access and Accommodations Committee, a group committed to providing equal access and full participation for individuals with disabilities within all UConn Health programs and activities.

The Associate Vice President for the Office of Institutional Equity was on a leave of absence from July through August. During this time former Director of Investigations & Deputy Title IX Coordinator, Nancy Myers served as interim Associate Vice President for the Office of Institutional Equity. She met with or provided trainings to various departments, deans, chairs, and directors to ensure compliance with accessibility, discrimination, affirmative action, policies/procedures, and sexual assault. Interim Associate Vice President Nancy Myers:

1. Met with the Senior Associate Dean for Education to discuss roles and responsibilities of the Title IX Coordinator in raising awareness of sexual violence and creating and maintaining an environment free from all forms of sexual harassment, sexual violence, intimate partner violence and stalking.

2. Participated in several Compliance Workgroups, chaired by Dr. Agwunobi, to ensure compliance with our non-discrimination and anti-harassment policies, as well as state and federal laws and regulations related to equal opportunity and affirmative action.
3. Provided an update of ongoing anti-discrimination requirements and compliance initiatives in meetings with the following individuals: Chief Executive Officer and Executive Vice President for Health Affairs, Chief Administrative Officer, Dean, School of Medicine, Associate Dean for Medical Student Affairs, and Associate Professor of Neuroscience.
4. Discussed the merger of the Storrs and UConn Health Office of Institutional Equity in a meeting with Neva Elaine Vigezzi, Human Rights and Opportunity Representative, EEO and Search Compliance Manager and Affirmative Action Specialist.
5. Provided a presentation on non-discrimination, affirmative action, equal employment opportunity, Title IX and policy compliance to the managers/supervisors in the Management Development Training Program.
6. Met with the Police Department to discuss procedures for responding to hate crimes, bias incidents, and Title IX reports.
7. Provided two trainings to the Office of Institutional Equity's Panel of Reviewers who review OIE's Findings and Recommendations reports of their investigations into alleged discrimination. The Office of Institutional Equity's Panel of Reviewers serve two year terms and are appointed from a standing pool of trained faculty, staff, and members of the administration to serve two-year terms on a Panel of Reviewers. OIE provides training to the Reviewers on the nature of the review process, OIE's procedures, prohibited forms of discrimination, harassment and retaliation, and other issues related to their roles.

The Deputy ADA Coordinator for the Office of Institutional Equity met with various departments, deans, chairs, and directors to ensure UConn Health's compliance with all relevant laws and regulations related to the ADA and provided consultation, information and referral to appropriate resources for disability related issues. Deputy ADA Coordinator Joshua Rucker:

1. Developed a training module that focused on the American with Disabilities Act (ADA). This training provides a general overview of disability rights as related to UConn Health and the subsequent responsibilities of employees, managers, and supervisors in ensuring equal access and opportunities for individuals with disabilities. **Please see Internal Communications, Exhibit #19.**
2. Toured UConn Health campus to obtain an initial scope of accessibility issues and to touch base on ongoing accessibility projects to ensure full participation for persons with disabilities.

3. Attended Capital Projects meetings regarding building projects and any identified accessibility issues in construction/renovation projects to ensure compliance with all relevant laws and regulations related to the ADA.
4. Attended an Affordable Care Act meeting to help broaden awareness and understanding of the rules and responsibilities as related to persons with disabilities under the Affordable Care Act, including non-discrimination notice requirements for publications and auxiliary aids and services for individuals who are deaf or hard of hearing.
5. Met with the Chief Communications Officer of Office of University Communications to discuss UConn Health's compliance with ADA, compliance strategies, identify concerns, and plan future projects.
6. Worked with the Parking Department to address accessibility issues in parking and shuttle buses.
7. Met with the Director of John Dempsey Hospital and UConn Medical Group Clinical Informatics to discuss disability disclaimer standards for events/classes/written materials on how to request an accommodation if needed.
8. Attended the Executive Policy Committee to discuss ADA compliance issues and policy updates.
9. Participated in ongoing discussions of ADA compliance issues, strategies, and education initiatives with the Access and Accommodations Committee.
10. Reviewed the Deaf and Hard of Hearing Emergency Department process and interpreting services for deaf and hard of hearing patients in the Emergency Department.
11. Provided mandatory trainings for compliance designees in various departments on interpreting services for Deaf and Hard of Hearing.
12. Participated in the Compliance Workgroup, chaired by Dr. Agwunobi, to ensure compliance with the ADA.

The EEO & Search Compliance staff provided training to the Human Resources Talent Acquisition team. The training focused on writing professional, detailed job descriptions with concrete and specific minimum and preferred qualification to help attract a top-tier, diverse workforce; best practices for applicant evaluation, interviewing and candidate selection and writing detailed and specific candidate dispositions. The training allowed for discussion and questions about specific examples. **Please see Internal Communications, Exhibit #20.**

Additionally, The EEO & Search Compliance staff drafted an online training for the Management Development Training program. The training included Affirmative Action/Equal Employment Opportunity laws and regulations, recruitment, diversity, recognizing and minimizing inherent bias, and conducting interviews. Following the completion of the training online, participants attended an in-person session. The EEO & Search Compliance and Human Resources staff held a question and answer session to discuss best practices, case scenarios, and identify key ingredients in successful recruitment, search and hire. OIE staff's discussion focused on recruiting a diverse applicant pool, implicit bias, and compliance with the search process. **Please see Internal Communications, Exhibit #18.**

During this Plan year, UConn Health was successful in making several diverse hires in a number challenging areas. The Executive job group, two black males were hired in the top two management positions of President and Vice President of Human Resources. In the Manager job group, a black female was hired as the Manager of Patient Access. Additionally, a Hispanic female was hired as a University Assistant Director in the Strategic Projects and Clinical Services department.

In the faculty categories, one Hispanic Males was hired as a Professor, three Hispanic females, one black male and one black female were hired as Assistant Professors and two Hispanic females were hired as Instructors.

In the Nursing job group one black male, one Asian male and nine white males were hired as into a traditionally female dominated field.

In the Administrative job group three black females were hired as a Procurement Contract Specialist, EEO Investigator, and a Planning Specialist. One Hispanic male was also hired as Labor Relations Specialist.

In the Technical job group two Hispanic males, a Technical Analyst 1 and an Application Developer 3 were hired. Additionally, in the Secretarial/Clerical job group, one black male was hired as a Telecom Operator, a position typically held by white females.

In the Protective Services job group, the Police Department was successful in hiring two black males and one Hispanic female as Building and Grounds Patrol Officers and one black male as a Police Officer.

## ***2. Establishing a system for evaluating supervisor's performance on affirmative action consistent with chapters 67 and 68 of the Connecticut General Statutes***

Managers are evaluated on an annual basis according to UConn Health Performance Evaluation Program. The performance 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 #6 for program documentation.**

**3. *Reviewing the affirmative action plan at least annually with the Equal Employment Officer providing an annual report to the President, the Provost and the Chief of Staff, containing the overall status of the program, results achieved toward established objectives, identification of any particular problems encountered and recommendations for corrective actions as needed.***

As in past years, through regularly scheduled meetings with the Chief Executive Officer and Executive Vice President for Health Affairs throughout the Plan year, Associate Vice President Conklin apprised Dr. Agwunobi of the progress toward goals and objectives established in the Plan. Furthermore, Associate Vice President Conklin identified specific problems and provided recommendations for any necessary corrective action. Additionally, OIE submitted periodic updates regarding progress on various elements of the Plan including goal achievement.

Dr. Agwunobi also received briefings regarding all complaints investigated and/or adjudicated by the EEO Investigators of the Office Institutional Equity. He was notified of all decisions regarding complaints and receive copies of all Finding and Recommendations. These regular meetings routinely included discussions of trends with respect to both hiring and discrimination complaint activity. **Please see Exhibit #1 for a list of dates.**

Prior to completion and submission of this years' Affirmative Action Plan, Dr. Agwunobi and Associate Vice President Conklin met to review and discuss the Affirmative Action Plan and the Executive Summary. The *2017 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, the *Executive Summary* includes graphical and statistical data of the workforce and new hires based on the Plan year. Further discussions concern grievance procedures and discrimination complaints, contract compliance, organizational structure and staffing needs, and various programs and projects relevant to the affirmative action program. **Please see Exhibit # 2.**

All employee groups are free to comment on any aspect of the Plan or program, according to their interests. OIE requests that comments and inquiries regarding the Plan be submitted no later than September 30 of each year so that these matters can be referenced in the respective year's Plan, as noted in the Policy Statement, Internal Communications, and External Communications sections of this Plan.

After completing the *Plan* according to CHRO standards, OIE conducts further analyses to identify broader observations and patterns. OIE regularly performs in-depth reviews of the search and hiring system, and conducts other large-scale studies of systemic components of the program.

# **Exhibit #1**

**Meetings with Chief Executive Officer  
and Executive Vice President for Health Affairs**

August 8, 2016  
September 26, 2016  
October 24, 2016  
November 21, 2016  
December 15, 2016  
December 29, 2016  
May 15, 2017  
June 19, 2017



# **Exhibit #2**

**Segar, Theresa**

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**From:** CEO UConn Health and EVP for Health Affairs  
**Sent:** Tuesday, October 24, 2017 12:06 PM  
**Subject:** 2017 Affirmative Action Plan

UConn Health continues its steadfast commitment to affirmative action, equal employment opportunity, inclusion and diversity. Our ongoing efforts to advance these principles in all aspects of the recruitment and employment process are detailed in the *2017 Affirmative Action Plan*, completed by the [Office of Institutional Equity \(OIE\)](#). The *Plan* also provides a comprehensive account of UConn Health's major initiatives designed to promote an inclusive and discrimination-free workplace environment that values diversity and inclusion. I encourage the UConn Health community to review the [Executive Summary](#) of the *Plan* on OIE's website. The Executive Summary provides an analysis of hiring goal achievement, discusses achieved and future program goals and includes graphical and statistical data of the workforce and new hires based on the *Plan* year.

I recognize that the goals set forth in this *Plan* go beyond compliance with state laws and are essential to advancing the priorities of UConn Health leadership. As a world-class health center, medical research center and school of medicine and dentistry, these goals are infused into all aspects of strategic planning. I am committed to our continual efforts to implement successful diversity, equity, and inclusion initiatives at UConn Health. I look forward to achieving our affirmative action goals in the coming year as a multicultural workplace that recognizes and embraces the unique talents and contributions of our diverse workforce.

**Andrew Agwunobi, M.D., M.B.A.**  
Chief Executive Officer, UConn Health  
Executive Vice President for Health Affairs



**2017 Affirmative Action Plan  
Executive Summary**



**UConn Health  
Office of Institutional Equity**

**OCTOBER 2017**



## 2017 Affirmative Action Plan

### Overview and Highlights

The Office of Institutional Equity has completed UConn Health's annual Affirmative Action Plan for Employment (*Plan*) per Connecticut General Statute (CGS) §46a-68 and sections 46a-68-75 to 46a-68-114, inclusive. The *Plan* is a comprehensive, results-oriented set of procedures and programs that articulate the University's strategy to combat discrimination, put forth a good faith effort to attain hiring goals, and to achieve equal employment opportunity.

The *Plan's* objectives are to:

- Establish hiring, promotional and program goals that promote affirmative action;
- Illustrate the University's efforts to achieve a work force that is properly balanced and fully representational of the relevant labor market areas;
- Quantitatively and qualitatively measure the University's degree of success in accomplishing hiring, promotion, and program goals; and
- Examine and eliminate any policy or employment practice that adversely affects members of protected classes.

The *Plan* is submitted annually for review and approval by the Commission on Human Rights and Opportunities (CHRO). CHRO evaluates the *Plan* within 90 days, reviewing to ensure that the *Plan* contains all 16 required elements and meets the following standard of review:

1. The work force, considered as a whole and by occupational category, is in parity with the relevant labor market area; or
2. The agency has met all or substantially all of its hiring, promotion and program goals; or
3. The agency has demonstrated every good faith effort to achieve such goals and despite these efforts has been unable to do so; and
4. The agency has substantially addressed deficiencies noted by the commission in prior plan reviews in accordance with Section 46a-68-10.

UConn Health's history of approvals has been based on CHRO's acceptance that UConn Health demonstrated every *good faith effort* to meet goals, rather than goal achievement. Connecticut General Statutes Section 46a-68-75 (v) defines good faith effort as:

... that degree of care and diligence which a reasonable person would exercise in the performance of legal duties and obligations. At a minimum, it includes all those efforts reasonably necessary to achieve full compliance with the law. Further, it includes additional or substituted efforts when initial endeavors will not meet statutory or regulatory requirements. Finally, it includes documentary evidence of all action undertaken to achieve compliance, especially where requirements have not or will not be achieved within the reporting period established pursuant to section 46a-68-92 of the Regulations of Connecticut State Agencies.

The 2016 *Plan* was *Approved* by the CHRO, based on Reviewer Neva Vigezzi's recommendation.

## Goal Achievement

A hiring or promotional goal is set for each instance of underutilization of a race and/or gender group in any given job category. The utilization of race and/or gender groups is determined by comparing the representation of these groups in our workforce with the availability in the labor market. Underrepresentation in a specific race and/or gender group is based on the difference in percentages between the current workforce and the availability in the labor market. Hiring goals are then set based on the number of positions needed in order for the workforce to reach parity with the available population in the labor market. A promotional goal is set for each instance of underutilization of a race and/or gender group in any given job category. Promotional goals are set in lieu of or in addition to hiring goals, based on the historical pattern of fulfilling positions. This historical pattern is utilized when calculating the availability base for job categories. Because of the constantly changing labor market and University workforce, goals are updated annually.

### Hiring Goals Achieved

**Total Goal Achievement: 30.7%**

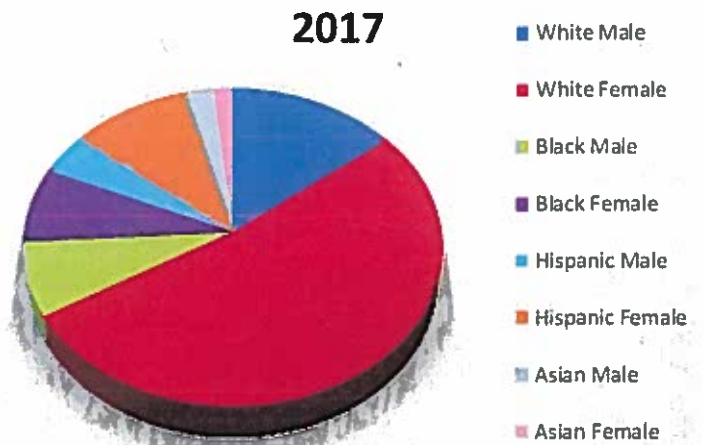
- ◆ 119 of the 388 hires met hiring goals
- ◆ The Faculty had the highest goal achievement of 44.9%
- ◆ 52.1% of goals were met with white female hires
- ◆ Females comprised 65.5% of goal hires
- ◆ 33.6% of goals were met by minority\* hires
- ◆ Protective Services met goals with the hire of 3 black males and 1 Hispanic female
- ◆ Black male, Hispanic male and female goal achievement increased significantly from 2016
- ◆ Tech/Paraprofessional, Protective Services and Service Maintenance categories had increased goal achievement from 2016

Category	Hires	Goals Met	2017 Achievement %	2016 Achievement %
Executive Managerial	14	1	7.1	81.8
Faculty	49	22	44.9	51.2
Professional	172	48	27.9	45.8
Secretarial/Clerical	64	12	18.8	11.6
Tech/Paraprofessional	63	26	41.3	36.0
Qualified Craft Worker	1	0	0.0	0.0
Protective Services	11	4	36.4	16.7
Service/Maintenance	14	6	42.9	20.0
<b>Total</b>	<b>388</b>	<b>119</b>	<b>30.7</b>	<b>35.9</b>

### Who met a Goal?

The 119 goal hires were comprised of:

Race/Gender	2017 Percentage	2016 Percentage
White Male	14.3	15.8
White Female	52.1	55.0
Black Male	7.6	3.3
Black Female	7.6	17.5
Hispanic Male	4.2	0.0
Hispanic Female	10.1	3.3
Asian Male	2.5	1.7
Asian Female	1.7	3.3



# 2016 Program Goals: Accomplished

## Goal #1

*The Office of Institutional Equity (OIE) will collaborate with the Department of Human Resources and the Office of Diversity & Inclusion to enhance the search orientation trainings offered to search committees, chairs and administrators. The trainings will focus on affirmative action and equal employment, strategic recruiting, and the search process including applicant evaluation, interviewing, and applicant selection. The comprehensive training will include modules focused on the development of job descriptions and qualifications, inherent bias and best practices and resources for eliminating bias in the search process. This new training will provide search committees, chairs and administrators with comprehensive training relative to the search process.*

The Office of Institutional Equity (OIE) in collaboration with the Department of Human Resources Organization and Staff Development developed a new comprehensive training for search committees, chairs and administrators. The enhanced training, offered online through SABA, focused on affirmative action and equal employment laws and regulations, UConn Health policies, job descriptions and qualifications, strategic recruiting for a diverse applicant pool, best practices and resources for recognizing and minimizing inherent bias, applicant evaluation and interviewing. Additionally, this training was included in the Management Development Training with OIE attending the live sessions to lead discussions focused on recruiting a diverse applicant pool, implicit bias and compliance with the search process.

## Goal #2

*The Office of Institutional Equity (OIE) will create additional reporting tools including a statistical report of the current staff workforce and applicant data to enable managers to examine workforce statistics and hiring trends. The detailed report will provide a comprehensive examination of the workforce, new hires and applicants in the latest hiring cycle. This report will provide Unit Heads, Directors, Department Heads, and Managers with statistical and graphical representations of the workforce and hires to assist in better understanding their future proactive recruitment and hiring efforts.*

The Office of Institutional Equity (OIE) produced a statistical report of current workforce and hires. This report provided a more comprehensive demographic examination of the workforce and hires made during the year. The report included both statistical and graphical representations of the staff and faculty workforce and hires made in the 2016 hiring cycle. Applicants for faculty positions were compared to hires. Additionally, the report included comparisons with the previous years' workforce and hires. This report gave administrators a tool to assist in proactive recruiting and hiring efforts.

## Goal #3

*The Office of Institutional Equity (OIE) will develop a training module focused on the American with Disabilities Act (ADA). The training will be offered to a wide range of employees, managers, and supervisors as well as members of the UConn Health community to ensure clear understanding of rights and responsibilities under state and federal disability laws. OIE staff will present the training in various formats including in-person and online. The materials will be made available online for departments to review.*

The Office of Institutional Equity (OIE) developed a training module focused on the American with Disabilities Act (ADA) and accessibility for people with disabilities. The training provides a general overview of disability rights as related to UConn Health and the subsequent responsibilities of employees, managers and supervisors in ensuring equal access and opportunities for individuals with disabilities. The training covers state and federal disability laws, UConn Health policies including Persons with Disabilities, Effective Communication with Individuals who are Deaf or Hard of Hearing and HIV/AIDS Non-Discrimination, accommodations, interpreter services, service animals, accessibility statements and resources. The training is available to the UConn Health community.

## 2016 Program Goals: Accomplished

### Goal #4

*The Office of Institutional Equity (OIE) will review existing online Affirmative Action/Equal Employment Opportunity best practice and guidance materials to identify subject areas lacking resources. OIE will update the website with resources on all aspects of the search process, including recruitment, evaluation, interviewing, and hiring. The new website will provide a centralized location for information specifically developed for search committees.*

The Office of Institutional Equity (OIE) reviewed and updated all online materials relative to affirmative action/equal employment opportunity. Materials and guidance on best practices for recruitment, search and hire, evaluation, interviewing and training were revised in an effort to provide up-to-date resources for search committees and hiring managers. Additionally, OIE added more information explaining affirmative action, regulations and policies. The new OIE website will include the updated materials, providing a centralized location for information specifically developed for search committees.

### Goal #5

*In an attempt to obtain a more accurate demographic profile of the current UConn Health population, a re-survey of the workforce will be conducted during this Plan year. The Department of Human Resources, in collaboration with the Office of Institutional Equity (OIE) will design a process that will allow all employees an opportunity to voluntarily provide race, gender, and ethnicity information. The more accurate demographic data will allow for more accurate calculation of availability and setting of Affirmative Action goals that are reflective of the truly underrepresented race/gender groups.*

The Department of Human Resources Information Management and the Office of Institutional Equity (OIE) partnered to design a process to allow employees the opportunity to voluntarily provide race, gender, ethnicity, disability and veteran information. The new process integrates into the employee self-service module of the Human Resources personnel system to provide accurate and efficient data collection. The survey necessitated customization of the HR personnel system, databases and reports, thus the 2018 Affirmative Action Plan will reflect the updated demographic data.

## 2017 Program Goals: Planning for the Future

### Goal #1

The Office of Institutional Equity (OIE) will design and launch a new, streamlined website highlighting OIE's areas of focus: accessibility; AA/EEO compliance; discrimination and harassment investigations; Title IX compliance; and education and training. The design of the website will allow users to more easily navigate to information, resources and policies. The website will include links to comprehensive materials related to OIE's areas of focus.

### Goal #2

The Office of Institutional Equity (OIE) will collaborate with the Department of Human Resources and the Office for Diversity and Inclusion to develop a training focused on faculty recruitment and hiring for the Schools of Medicine and Dental Medicine. The training will include strategies and best practices for recruiting diverse applicants, building networks and pipelines with other medical schools, developing applicable qualifications for the evaluation of faculty candidates, and navigating the search process. Additionally, the three offices will assess existing practices to determine the areas needing additional focus.

### Goal #3

The Office of Institutional Equity (OIE) will initiate a review of the existing Americans with Disabilities Act (ADA) program. The goal of the review will be to determine how best to ensure access at UConn Health, with a focus on enhancing employee training and education on issues related to accessibility. OIE will develop both a new accessibility website to provide information and resources for employees, students and visitors, as well as an ADA-related brochure to be used in employee education and training programs.

### Goal #4

The Office of Institutional Equity (OIE) will form a working group to assess current UConn Health practice as well as nationally-identified best practices for preventing and responding to discriminatory harassment in the clinical setting.



# The Workforce

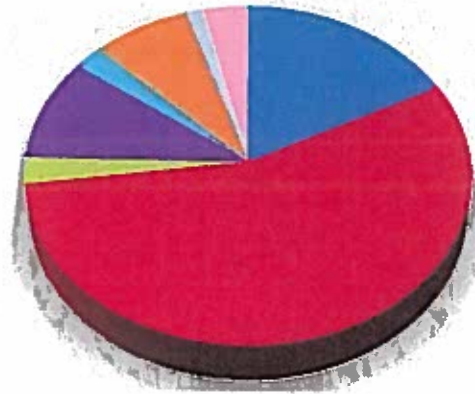
The total workforce\* of 3775:

- 81.8% Staff
- 13.1% Faculty
- 5.1% Executive/Management

The combined workforce is:

- 72.9% White
- 10.9% Black
- 9.0% Hispanic
- 7.0% Asian
- 0.1% Native American

- ◆ 71.2% female and 28.8% male
- ◆ White females are 55.5%, the largest group
- ◆ 1023 minority\*\* employees are 27.1% of the workforce



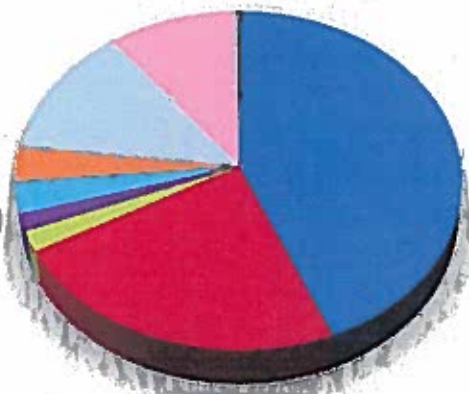
- White Male
- White Female
- Black Male
- Black Female
- Hispanic Male
- Hispanic Female
- Asian Male
- Asian Female
- Native Am Male

# Faculty

The Faculty workforce of 495:

- 66.9% White
- 3.6% Black
- 6.3% Hispanic
- 22.8% Asian
- 0.4% Native American

- ◆ 164 minority faculty comprise 33.1% of the total faculty workforce
- ◆ 40.4% female and 59.6% male
- ◆ White males constitute 43.6%, the largest group
- ◆ Black females are the least represented at 1.6%



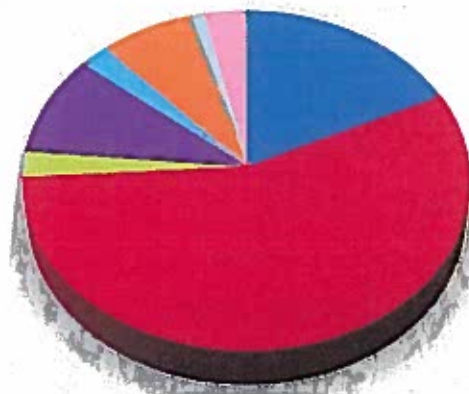
- White Male
- White Female
- Black Male
- Black Female
- Hispanic Male
- Hispanic Female
- Asian Male
- Asian Female
- Native Am Male

# Staff

The Staff workforce of 3087:

- 72.8% White
- 12.3% Black
- 9.9% Hispanic
- 4.9 % Asian
- 0.1% Native American

- ◆ 76.4% female and 23.6% male
- ◆ White females constitute 55.5%, the largest group
- ◆ 840 minority staff comprise 27.2% of the staff workforce



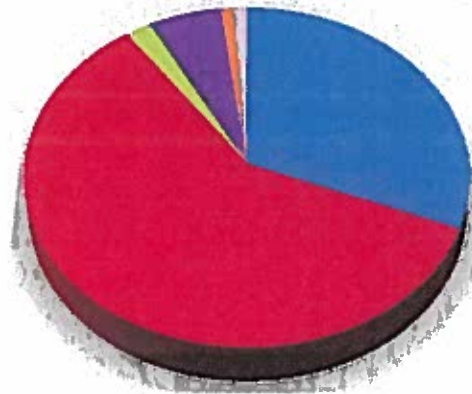
- White Male
- White Female
- Black Male
- Black Female
- Hispanic Male
- Hispanic Female
- Asian Male
- Asian Female
- Native Am Male

\*Workforce: full-time, not including part-time or temporary  
 \*\*Minority includes Black, Hispanic, Asian and Native American

# Executive/Managerial

The Executive/Managerial workforce of 193:

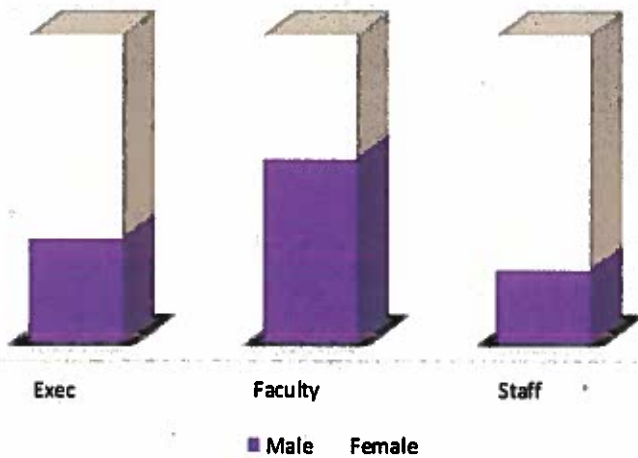
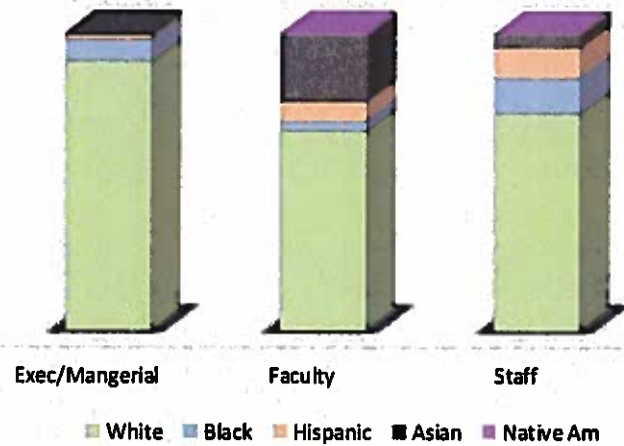
- 90.2% White
- 7.8% Black
- 1.0% Hispanic
- 1.0% Asian
- Native Americans are not represented
- ◆ 66.3% female and 33.7% male
- ◆ White females are 59.1%, the largest group
- ◆ 23 minority employees comprise 9.8% of the Executive/Managerial workforce
- ◆ There are no Hispanic males in this category



- White Male
- White Female
- Black Male
- Black Female
- Hispanic Male
- Hispanic Female
- Asian Male
- Asian Female
- Native Am Male

## Where is our diversity?

	Executive Managerial	Faculty	Staff
White	90.2%	66.9%	72.8%
Black	7.8%	3.6%	12.3%
Hispanic	1.0%	6.3%	9.9%
Asian	1.0%	22.8%	4.9%
Native Am	0.0%	0.6%	0.1%



	Executive Managerial	Faculty	Staff
Male	33.7%	59.6%	23.6%
Female	66.3%	40.4%	76.4%

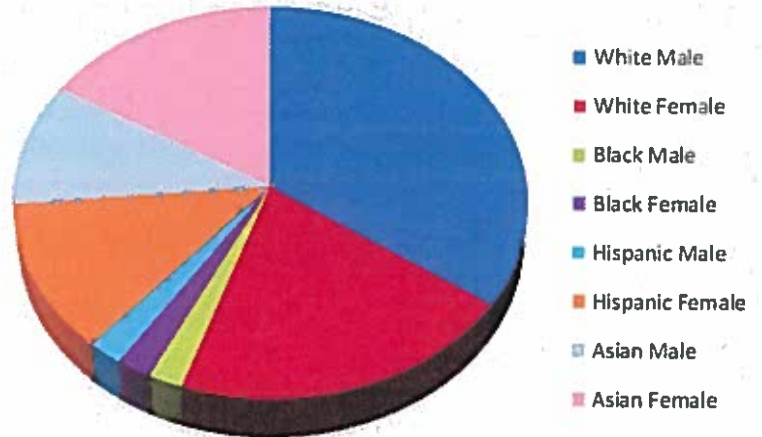
- ◆ The Faculty category has the highest percentage of males at 59.6% but is the most diverse in race/ethnicity at 33.1%
- ◆ Females in the Faculty category increased to 40.4% from 37.0% in 2016
- ◆ Staff has the highest percentage of females at 76.4%

\*Minority includes Black, Hispanic, Asian and Native American

## 2017 New Hires

### Faculty

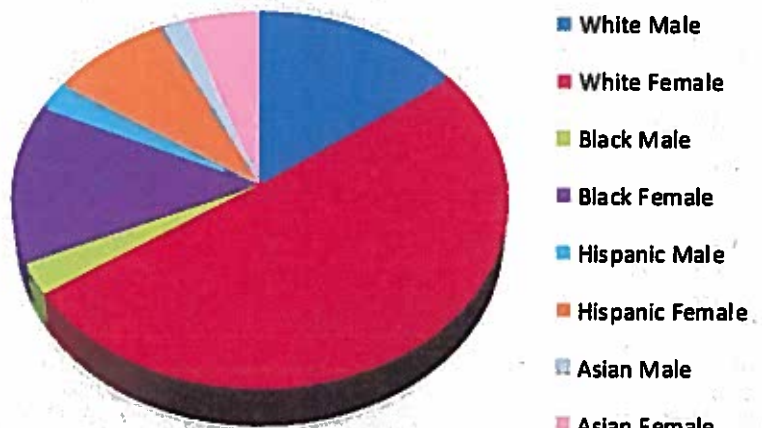
- ◆ 49 new hires:
  - 51.0% female and 49.0% male
  - 55.1% White
  - 4.1% Black
  - 14.3% Hispanic
  - 26.5% Asian
- ◆ Comparing to 2016:
  - Female hires increased to 51.0% from 43.9%
  - Hispanic hires increased to 14.3% from 9.8%
  - Hispanic female hires doubled from 3 to 6
  - 1 white female and 1 Hispanic male were hired in the Professor title



TOTAL	WM	WF	BM	BF	HM	HF	AM	AF	NM	NF
49	17	10	1	1	1	6	5	8	0	0

### Staff

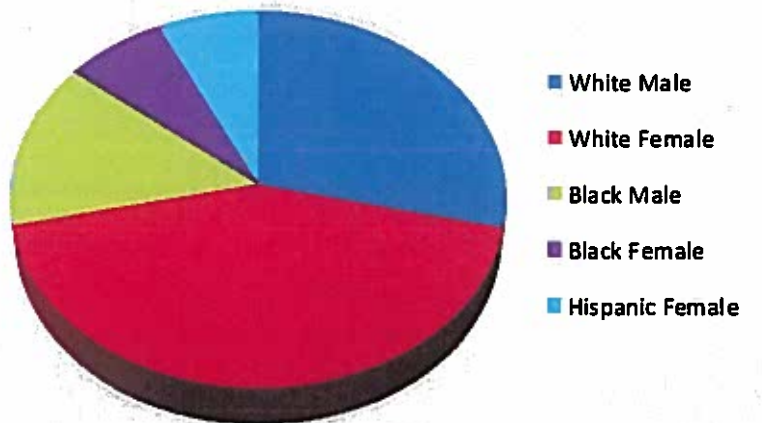
- ◆ 325 new hires:
  - 78.2% female and 21.8% male
  - 65.5% White
  - 16.3% Black
  - 11.1% Hispanic
  - 7.1% Asian
- ◆ White females were the largest group at 50.8%
- ◆ Black, Hispanic and Asian hires increased from 13.5%, 10.3% and 4.3%, respectively in 2016
- ◆ 9 white males, 1 black male, 1 Hispanic and 1 Asian male were hired into the Registered Nurse title



TOTAL	WM	WF	BM	BF	HM	HF	AM	AF	NM	NF
325	48	165	9	44	8	28	6	17	0	0

### Executive/Managerial

- ◆ 14 new hires:
  - 57.1% female and 42.9% male
  - 71.4% White
  - 21.4% Black
  - 7.1% Hispanic
- ◆ 2 black males were hired into the two most senior positions in Human Resources



TOTAL	WM	WF	BM	BF	HM	HF	AM	AF	NM	NF
14	4	7	2	1	0	1	0	0	0	0

# **Exhibit #3**

University of Connecticut

**UConn Health Lifeline***Thursday, November 17, 2016***IMPORTANT UNIVERSITY-WIDE ANNOUNCEMENTS****Happy Thanksgiving**

To the UConn Community,

As the week draws to a close and many prepare to leave campus for the holiday break, I write to wish everyone a restful and happy Thanksgiving.

We have much to be thankful for here at UConn.

There are a number of students who will be remaining on campus next week, including many international students. In advance of the holiday, UConn Dining Services prepares a special Thanksgiving dinner for our students, allowing them to enjoy a great meal with friends and classmates at no cost to them, in the spirit of the holiday.

Dinner is also served to those members of UConn's police and fire departments who must be on duty and away from their families on Thanksgiving Day. We owe a deep thanks to them and to the many UConn Dining Services employees who make this dinner possible.

We are an academic institution, but we are also a community. One that lives and breathes its values each day. We are deeply thankful for each, including: freedom of speech and expression, diversity and inclusion, compassion and respect.

We are thankful that we are the kind of university that works to reflect those values in all our interactions with others, no matter their race, ethnicity, religion, sexual orientation, gender identity, or socioeconomic background. Or their citizenship. When enrolling students, we consider their academic qualifications, not their immigration status. That has been and will continue to be true, reflecting both our values and the laws of the state of Connecticut.

UConn is a large university, but one small community in a vast nation that is intensely polarized.

On our campuses and across the country, the results of last Tuesday's election have left some pleased and hopeful while others are disappointed and fearful. A number of questions have been raised by members of our community regarding possible changes in public policy resulting from the election, and the effect that could have on our students, particularly those who are undocumented. I have asked the appropriate university offices to respond to inquiries that have been received and assemble information that may be relevant and helpful to our students.

Whatever your reaction to this or any election, I urge all in our community to embrace your passions and pursue the causes and work that are important to you.

At our great university, we work every day to solve problems, advance understanding, and serve communities, across all disciplines. My own academic field is political science and we

know that elections are won and lost and public policy is made based largely on the hard work of active populations – those who engage in the political process and with their elected representatives on the local, state, and federal level. That is what our representatives are there for.

As emeritus Professor Bruce Stave chronicled so well in his history of the university, there is a long tradition of activism and engagement at UConn over decades. This tradition of active citizenship remains today on our campuses. It also extends to the nation and the world around us.

Once again, I wish you all the best and a very happy Thanksgiving.

Sincerely,

Susan Herbst

For more information, contact: Multimedia Services at x3914

*Other stories from the [UConn Health Lifeline for Thursday, November 17, 2016 >>](#)*

# **Exhibit #4**

# University Diversity Council

The University of Connecticut Diversity Council was established in May 2016 by President Susan Herbst and is charged with the development and implementation of a multi-dimensional strategic diversity and inclusion plan that supports the diversity core value as stated in the academic plan and the six core recommendations of the Diversity Task Force.

Composed of faculty, staff, and students across all academic and administrative units on campus, the council will also support the execution of initiatives that would further the University's goals of becoming a more inclusive community and a leader in diversity and inclusion in higher education.

The Council will additionally act in an advisory capacity to University leadership on issues including but not limited to student outreach and programmatic initiatives, expanding options related to diversity in the curriculum and across academic units, increased recruitment and retention of underrepresented groups amongst the students, faculty and staff, and utilizing metrics to monitor progress on diversity through analysis and assessment.

Members of the Diversity Council will also work to identify and disseminate best practices around the successful coordination and execution of diversity programs and initiatives across the University.

## Committees

Faculty and Staff Recruitment and Retention Committee

Student Recruitment and Retention Committee

Diversity Education and Training Committee

Communication/Campus Climate Committee

External & Community Partnerships Committee

## Membership

Zahra Ali

Jill Anderson

Carolle Andrews

Edna Comer

Elizabeth Conklin

Harvey Felder

María-Luz Fernandez

Michael Gilbert

Lawrence Gramling

Erik Hines

Teresa Johnston

Donna Korbel

Samantha Lawrence

Mona Lucas

Maria Martinez

Mikki Meadows-Oliver

Marisa Moseley

Joelle Murchison

Elizabeth Omara-Otunnu

John Peoples

Gayatri Phadke

Noemi Maldonado Picardi

Hans Rhyhart

Roxanne Roy

Ellen Shanley

Derek Slap

Marie Smith

Jennifer Snow

Mei Wei

Aliza Wilder

Anna Ziering

Ernie Zirakzadeh



# **Exhibit #5**

# Office of Institutional Equity

## Associate Vice President for the Office of Institutional Equity

**Reports to:** President. Dotted line to Executive Vice President for Health Affairs.

**Supervises:** Full-time classified and unclassified staff; graduate assistants; law student externs.

**General Statement:** The Associate Vice President (AVP) is the principal, executive-level advisor to the President, Provost, and other University senior executives responsible for compliance with relevant state and federal laws and regulations related to equal employment opportunity and affirmative action, including discrimination, harassment, discriminatory retaliation, Title IX, the Americans with Disabilities Act (ADA), Section 504 of the Rehabilitation Act, Section 1557 of the Patient Protection and Affordable Care Act, the Age Discrimination Act, and State and Federal Affirmative Action Plans for all UConn campuses, including UConn Health.

### **Major Responsibilities and Accountabilities:**

#### **A. Advisor to President and Senior Administration**

- Serves as advisor to President and Senior Administration with authority and responsibility for the Storrs and Regional campuses EEO/AA compliance, providing leadership around equity compliance efforts across the institution.
- Directs implementation of equity compliance initiatives, programs, and projects.
- Provides strategic and programmatic direction to all campuses, including UConn Health, to ensure effective and consistent application of University wide-policies and initiatives relating to affirmative action and equal opportunity compliance.
- Works closely with the Assistant Vice President & Chief Diversity Officer to assist in the development of innovative, legally justifiable programs and initiatives designed to improve diversity, inclusion, climate and retention.
- Assists in the design, implementation and monitoring of civil rights, social equity, multiculturalism, sexual harassment, and diversity training and compliance programs that require institutional oversight.
- Other duties and projects as assigned by the President.

#### **B. Compliance and Information Services, including Affirmative Action Officer and Affirmative Action Plan Compliance (i.e. Search Compliance)**

##### **Statutory Compliance (State and Federal)**

- Serves as the University's designated Affirmative Action Officer for Storrs, the Regional campuses, and UConn Health and as such, directs EEO/AA compliance services, including the preparation and implementation of the University's state and federal affirmative action plans, internal analyses and reports.

- Serves as University liaison to the Connecticut Commission on Human Rights & Opportunities (CHRO) on University's Affirmative Action Plan and to the Equal Employment Opportunity Commission (EEOC) and other relevant state and federal agencies on civil rights cases, compliance reviews, and audits.
- Provides periodic reports to the President, the Board of Trustees, the University Senate, the Deans Council, and other constituent groups regarding EEO/AA Compliance.
- When assigned by the President, serves as a legislative liaison on EEO/AA and other diversity compliance issues, including participating in review of and University response to proposed statewide legislation and developing and providing testimony on the University's behalf in related legislative hearings.

**Internal University Compliance (including Search Compliance)**

- Monitors institutional diversity goals as related to EEO/AA compliance requirements, including evaluation and approval of recruitment and retention efforts for senior executives, faculty and non-teaching professional staff.
- Develops, implements, and monitors institutional policies, procedures and practices to ensure compliance with equal employment opportunity and affirmative action regulations.
- Ensures through the development and oversight of search policies and procedures for senior executives, faculty and non-teaching professional staff that the University's employment search process is free from unlawful discrimination and is compliant with applicable affirmative action laws and regulations; evaluates and approves requests for exemptions to search policies and procedures.
- In collaboration with the Chief Diversity Officer, oversees the development of search support services; recruitment and search techniques that will enhance diversification; and maintains databases for searches and recruitment contacts.

**C. Civil Rights Case Management – Discrimination and Discriminatory Harassment**

- Receives, investigates, and resolves internal complaints of discrimination and discriminatory harassment; oversees system for handling informal resolutions (including mediation); maintains database for complaints and produces internal reports and analyses across entire institution, including Storrs, Regionals, and UConn Health (including CMHC).
- Manages investigation of all pre-litigation external discrimination cases filed against the University, including against UConn Health with state and federal enforcement agencies (CHRO, EEOC, and Office of Civil Rights (OCR)).
- Ensures that all investigative findings and decisions are consistent with legal standards of review accepted within Second Circuit and Connecticut courts.
- Recommends remedial action or discipline to mitigate the effects of discriminatory conduct, where found, and consults with Human Resources and the Attorney General's Office to ensure that appropriate disciplinary and personnel actions are taken when investigative results find that discriminatory conduct has been substantiated.

- Reviews and develops institutional policies that further institutional civil rights and affirmative action objectives regarding employee conduct across the institution.
- Maintains database for complaints; produces internal reports and analyses, including developing and implementing case management strategy, monitoring patterns, and recommending appropriate changes to relevant University policies.
- Manages and/or coordinates centralized state and federally mandated training (diversity and sexual harassment prevention) for all University employees; coordinates other education programs on an ongoing basis regarding civil rights and diversity, intergroup relations, conflict resolution and discrimination case management.

**D. Title IX Coordinator, Americans with Disabilities Act (Title I) Coordinator, Age Act Coordinator, Section 1557 Coordinator**

Serves as the institution's statutory compliance coordinator with regard to designated federal non-discrimination laws, including Title IX of the Educational Amendments of 1972, Title I of the Americans with Disabilities Act, the Age Discrimination Act of 1975, and Section 1557 of the Patient Protection and Affordable Care Act for Storrs, all Regionals, and UConn Health.

**Title IX**

- As Title IX Coordinator, coordinates the University's response to reports of sexual assault and sexual harassment, including serving as the Chair of the University's Title IX Committee.
- Working closely in partnership with a wide range of University constituencies, including students, staff, faculty, community members, administration and public safety, serves as the University's senior administrator with overall responsibility for providing vision and leadership around Title IX compliance efforts across the Institution (all campuses, including UConn Health).
- Working closely with upper level administration and Human Resources/Labor Relations, manages Title IX investigations and institutional response where Respondent (alleged perpetrator) is a University employee, contractor or vendor.
- Generates and analyzes sexual assault reports and institutional response to sexual assault reports in order to determine campus trends and provide leadership on ameliorative and preventative measures, including campus-wide training and education initiatives.
- Works closely with upper level campus administrators and University counsel to ensure Clery Act compliance with respect to sexual assault reporting.

**Title I of the Americans with Disabilities Act/Section 504 of the Rehabilitation Act**

- Serving as the University's ADA Coordinator and Section 504 Coordinator, ensures institutional compliance with the ADA and other disabilities regulations (state and federal).
- Oversees the institution's interactive accommodations process with respect to all requests for accommodations, including Storrs, all Regionals, and UConn Health.
- Responsible for training of campus community regarding the Americans with Disabilities Act, including ensuring that the University is following best practices as articulated by

courts in the Second Circuit and Connecticut, as well as Congressional guidance under the 2009 Americans with Disabilities Act Amendments Act (ADAAA).

- Works closely with campus community members involved in ADA Compliance (Title I-IV), including serving as a Co-Chair of the Institution's ADA Committee, to ensure institution-wide compliance with the ADA.
- Serves as the Designated Person pursuant to OCR regulations for the purposes of student appeals of ADA accommodations process (Title II of the ADA, Section 504 of the Rehabilitation Act).

#### Age Discrimination Act

- Serves as the Chair of the University's Age Discrimination Act Committee, working closely with a broad range of community members in analyzing complaints or requests from underage students regarding participation in various University-related activities.

#### Section 1557 of the Patient Protection and Affordable Care Act

- Serves as the institution's Section 1557 Coordinator, working closely with a broad range of community members in ensuring that all UConn covered healthcare entities comply with that Act's broad prohibition of discrimination and access mandates.

#### **E. Management Responsibilities**

- Provides administrative and program leadership for the Office of Institutional Equity, including Storrs, Regionals and UConn Health.
- Hires, trains, supervises and evaluates the performance of Unclassified and Classified staff, graduate students, law student externs, and student interns; ensures diversity of staff; provides opportunities for professional development of staff; determines staffing needs and priorities. Manages the budget and determines budgetary needs and priorities.

## **Manager, University Search Compliance**

### **SUMMARY**

Under the administrative review of the Associate Vice President (AVP) of the Office of Institutional Equity, manages the University's search compliance unit which is responsible for the development and implementation of University policies and procedures related to ensuring compliance with all Affirmative Action and Equal Employment Opportunity rules and regulations. At the direction of the AVP, develops, implements and evaluates goals and objectives related to affirmative action, equal employment opportunity, and University-wide search compliance.

### **JOB RESPONSIBILITIES**

1. Is responsible for hiring, supervision, training, and evaluation of the Search Compliance Team's staff.
2. Establishes goals and provides ongoing supervision and guidance to assigned staff; has primary responsibility for resolving personnel problems.
3. Collaborates closely with the AVP in developing and implementing goals and objectives consistent with the Office of Institutional Equity's mission and statutory obligations.
4. Implements decisions on behalf of the AVP regarding personnel and departmental policies, procedures or practices.
5. Develops, implements and evaluates policies, programs, goals, objectives, and services related to compliance with Affirmative Action and Equal Employment Opportunity rules and regulations as well as University policies governing the search and recruitment process.
6. Responsible for the preparation of the University's state and federal Affirmative Action Plans; ensures all state and federal reporting requirements are fulfilled and serves as a liaison to external consultants and oversight agencies including the OFCCP regarding affirmative action plan compliance.
7. Advises University executives, managers, and search committees on matters related to affirmative action and equal employment opportunity compliance including applicable rules and regulations, the search process, and workforce diversity goals and initiatives.
8. Collaborates closely with University offices including the Vice Provost for Diversity and the Department of Human Resources on various programs and initiatives related to affirmative action and equal employment opportunity.
9. Assist AVP in training University executives, managers, and search committees in affirmative action and equal employment opportunity rules and regulations as well as University policies as they apply to the University's search and hire process.

10. Analyzes and interprets data and information to identify patterns and problem areas and assists the AVP in monitoring activities surrounding the recruitment, hiring, and retention of faculty and staff; prepares reports and evaluations of the University progress towards meeting affirmative action and diversity goals for the offices of the President, Provost and Executive Vice President for Academic Affairs, Chief Operating Officer, and other executives and senior managers; and develops policy and procedures to resolve problem areas.
11. Responsible for special projects which may be on-going or short-term and which require project planning and coordination.



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## **AFFIRMATIVE ACTION SPECIALIST**

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### **SCOPE OF POSITION**

This position is responsible for independently performing a full range of tasks in the preparation, review, evaluation and monitoring, of all aspects of the of the Agency's Affirmative Action Plan.

### **SUPERVISION RECEIVED:**

Reports directly to the Executive Director of Diversity and Equity.

### **SUPERVISION EXCERSIED:**

As assigned by the Executive Director.

### **EXAMPLES OF DUTIES:**

Compiles and analyzes statistical affirmative action and employment data; prepares the Agency's affirmative action plan; generates statistical reports and information for agency users; develops, updates, administers and monitors the affirmative action program; evaluates efforts made by agency to comply with affirmative action administrative regulations; prepares detailed evaluation of proposed affirmative action plan and summarizes into report form; analyzes trends in workforce representation; conducts analysis of agency workforce in relation to population data; identifies problem areas and makes recommendations to Executive Director; works closely with Human Resources and other agency departments to obtain and provide information; provides technical assistance and advises staff and acts as a resource on affirmative action requirements; assists in planning and presenting programs on affirmative action issues; maintains and updates computerized and non-computerized information; prepares reports and correspondence; performs related duties as required.

### **MINIMUM QUALIFICATIONS**

**KNOWLEDGE, SKILLS AND ABILITY:** Knowledge of the elements of affirmative action programs; knowledge of relevant laws, regulations and guidelines; strong analytical and computer skills and proficiency with databases, data retrieval systems, and statistical analysis software; ability to develop, maintain and implement affirmative action plans; excellent oral and written communication skills, including public speaking ability; strong interpersonal skills and ability to build effective working/networking relationships with agency departments and state/federal agencies;

### **EXPERIENCE AND TRAINING:**

**General Experience:** Seven (7) years of professional work experience with responsibility for affirmative action, workforce analysis, or a related field involving statistical analysis and research.

**Substitution Allowed:** A Bachelors Degree may be substituted for four (4) years of the general experience.



## **EEO and Search Compliance Specialist (UC Professional 6)**

### **JOB SUMMARY:**

This position is critical to the University's efforts to comply with federal and state employment laws. Position works with the policies, goals and objectives established by management, and provides program support for Affirmative Action, workforce diversity and inclusion program goals. Ensures accuracy of workforce profile data for the purpose of planning, publication, benchmarking, program evaluation and compliance with government regulations

### **CHARACTERISTIC DUTIES AND RESPONSIBILITIES**

1. As assigned, act in a supervisory and/or team leader capacity related to office functions and program goals.
2. Perform complex quantitative analyses related to unit functions and reporting activities.
3. Develop, support, and/or lead workshops and training sessions related to Affirmative Action programs and the search process.
4. Conduct research regarding substantive and procedural issues related to Affirmative Action, Diversity, and the search process.
5. Produce electronic and hard copy publications related to the unit's various functions, mission, and performance.
6. Coordinate and manage all aspects of OIE review and evaluation of the unclassified recruiting and hiring process including processing search paperwork and records; review for accuracy, completeness, and compliance with State and Federal regulations, and University and departmental regulations, policies and procedures; and identify and follow up to resolve problems.
7. Oversee the preparation and updating of the University's Affirmative Action Plan with responsibility for collecting and organizing pertinent information, drafting all quantitative and qualitative sections, and preparing for distribution
8. Design, implement, and coordinate methods and procedures for gathering, reporting, and distributing data and information supplied to management for the purposes of planning, program goal setting, and responding to internal and external inquiries.
9. Synthesize, analyze, and update data from various University and government sources (including but not limited to labor market studies, population and census data, higher education institutions' research, etc.). Generate periodic and special reports; surveys, forecasts, and trend analyses; provide information and statistics in response to authorized requests from on and off campus users.
10. Analyze and interpret search and workforce data and information to identify patterns and problem areas. Make procedural recommendations to the Director and Assistant Director to resolve these problems. Establish procedures and meet critical deadlines for systematically collecting and updating required information in order to complete projects in timely and accurate manner.

11. Review, edit, and present narrative reports regarding search activity and secure additional information from search administrators to ensure narrative descriptions comply with current standards of review. Produce final drafts of search narrative reports and embed the same in reports, including but not limited to the Affirmative Action Plan.
12. Serve as liaison between OIE and University departments including Human Resources, Payroll, Budget, and others. Establish effective professional rapport and work collaboratively with other University employees and administrative/academic units that impact the University's search process and Affirmative Action programs, including but not limited to representatives from Human Resources, Payroll, Budget and Finance, and Information Technology units
13. Maintain and update computerized and non-computerized data files. Produce daily, weekly, and other scheduled reports and updates. Assist in the design, modification, and documentation of computerized files, forms, and general system requirements.
14. Learn and utilize new computerized programs to accomplish assigned tasks.
15. Participate in external meetings and/or deliver presentations regarding the University's workforce and compliance efforts.
16. Maintain close contact with University search administrators, internal personnel, and external government agencies and contacts (including other university and college administrators) to obtain and assure accuracy of information, and to provide information and assistance as needed. Respond accurately to requests for information, demonstrating strong interpersonal and customer-service skills, as well as strong problem-solving and troubleshooting abilities
17. Keep abreast of developments and trends that may require new studies or modification of current projects. Participate in professional development conferences and workshops.
18. Adapt day-to-day work schedule to the requirements of business priorities and urgent special requests, and work evening and weekend hours to meet business commitments.
19. Responsible for various administrative duties including document management, record-keeping activities, workflow management, and other duties as assigned.
20. Performs related duties as required.

## **Director of Investigations & Deputy Title IX Coordinator**

### **JOB DESCRIPTION SUMMARY**

Under the administrative review of the Associate Vice President (AVP) of the Office of Institutional Equity, manages the University's internal discrimination complaint caseload, which may directly result in disciplinary action, and provide strategic leadership for case management across all campuses (including Storrs, Regional and UConn Health), in accordance with portfolio of the AVP. Ensure that all investigation findings and OIE decisions are consistent with legal standards of review accepted within Second Circuit and Connecticut courts. At the direction of the AVP/Title IX Coordinator, develop, implement, and evaluate goals and-objectives related to affirmative action, equal employment opportunity, and other related diversity matters.

Participate in advising University executives and managers on matters related to affirmative action and diversity policy; and investigating and reporting the status of relevant matters to the offices of the President, Provost and Executive Vice President for Academic Affairs, Chief Operating Officer and other executives and senior managers. Formulate and implement policies and procedures, participate in collective bargaining negotiations and activities, promote activities consistent with the unit's charge to support the University's diversity goals, and monitor compliance with civil rights laws, including but not limited to Title VI, Title VII and Title IX and related investigations concerning employee and vendor conduct.

Assist AVP in training University executives and managers in proper discrimination complaint intake, provide guidance regarding investigative activities, and facilitate resolutions that comport with state and federal law. Assist with diversity and sexual harassment prevention training in accordance with state and federal statutes and regulations.

Assist AVP in monitoring activities surrounding the recruitment, hiring, and retention of faculty and staff; and preparing evaluations of faculty and staff performance in meeting affirmative action and diversity goals.

Assist AVP in managing and evaluating the unit's professional and support staff, and collaborate with the AVP in developing and implementing goals and objectives consistent with the unit's mission and statutory obligations. Has authority to implement major decisions on behalf of the AVP regarding personnel and departmental policy decisions.

Train University executives and managers on proper response to disclosures of discrimination and harassment, provide guidance regarding maintaining an environment free from discrimination, harassment and retaliation while OIE is undertaking investigative activities, and assist in facilitating resolutions that comport with state and federal law. Assist AVP with diversity and sexual harassment prevention training in accordance with state statutes. Assist AVP in monitoring activities surrounding the recruitment, hiring, and retention of faculty and staff; and preparing evaluations of faculty and staff performance in meeting affirmative action and diversity goals.

Manage and evaluate the investigative unit's professional and support staff, and collaborate with the AVP in developing and implementing goals and objectives consistent with the unit's mission

and statutory obligations. Has authority to implement major decisions on behalf of the AVP regarding personnel and departmental policy decisions, particularly in the AVP's absence.

### PRIMARY ACCOUNTABILITIES

Develop and implement case management strategy, monitor patterns and recommend appropriate changes to policy.

#### Case Management

- **Internal Discrimination Complaints.** Conduct and oversee investigation activities, and prepare and review memoranda of findings and recommendations for resolution in accordance with current state and federal law and University policy. Prepare supporting documents, and consult with the Office of Faculty and Staff Labor Relations, Human Resources and the Attorney General's Office, to ensure that appropriate disciplinary, personnel and other remedial actions are taken.
- **External Discrimination Complaints.** Relative to complaints filed against the University in external state and/or federal agencies or in state and/or federal court, and in accordance with existing statutes and regulations surrounding Affirmative Action Officer roles in external investigations, conduct and oversee investigations and prepare documentation to assist in response to complaints where OIE decides, in collaboration with the appropriate University offices, to move forward on conducting a University investigation. Recommend remedial action, discipline, or a defensive stance, when appropriate. Coordinate with legal counsel in Human Resources, Office of General Counsel, Office of Faculty and Staff Labor Relations and the Attorney General's Office relative to responses to complaints, and interact with state and federal civil rights enforcement agents as needed. Attend hearings, fact-finding conferences, and other related meetings as required or assigned.
- **Maintains OIE's discrimination case database.** Supervise preparation and maintenance of statistical, demographic, and subject matter data necessary to respond to inquiries regarding the University's discrimination complaint management system and annual Affirmative Action Plan.
- **Authorized to review, develop, as assigned, policies and procedures that further institutional civil rights and affirmative action objectives regarding supervisory/non-supervisory employee conduct, collective bargaining agreements, and all employment actions (including recruiting, hiring, retaining, evaluating, and terminating employees).** Conduct legal research, and regularly update knowledge and awareness of trends and laws related to discrimination issues at institutions of higher education. Serve as liaison and representative to University and external committees and professional associations.

#### Employment Systems

- **Monitors employment systems to ensure compliance with relevant federal and state regulations (including CT General Statutes (Sections 46a-68-31 to 46a-68-74 and Sections 46a-68j-21 to 46a-68j-43 and 46a-68k-1 to 46a68k-8).**

#### Supervision of Staff

- **Supervises OIE investigation staff, including hiring, training; evaluation, and disciplinary activities.** Supervise investigators and case management staff, develop and implement case

management strategy including oversight of investigative activities and preparation of documents and memoranda, monitor patterns and recommend appropriate changes to policy.

### Training

- Assist the AVP in ensuring that diversity training and sexual harassment prevention curriculum complies with state/federal mandates.
- May prepare, present, and/or oversee diversity training and sexual harassment prevention training for supervisory and non-supervisory employees of the University.
- Perform other duties as assigned by the AVP.

### TYPICAL INVESTIGATIVE ACTIVITIES

- Synthesize allegations to determine appropriate charges, and determine if allegations and preliminary findings call for suspension or administrative leave of parties (based on CHRO guidelines and case law) pending closure of investigation. Develop investigative strategy. Provide updates and advise parties, direct supervisors, senior management, and parties' advocates (legal counsel or union representatives) on investigative process.
- Conduct witness interviews, review personnel files, supervisory files and disciplinary history of relevant parties, Analyze witness statements, make credibility assessments, record findings of fact, and communicate with parties' and witness' advocates while protecting the integrity of the record and confidentiality of the investigation.
- Draft and present Memoranda of Findings and appropriate supporting documents related to resolution of each matter, including but not limited to sworn statements, requests for information, and correspondence with external civil rights enforcement agencies and parties' and witness' advocates (legal counsel or union representatives).
- Where there is no finding of discrimination, provide guidance to all parties on legal definitions of discrimination and other options for resolving conflict.
- In cases where there is a finding of discrimination, apply statutory and common law requirements in recommending resolutions that mitigate harm to complainants and deter future offenses as required by statutes and applicable regulations. Incumbent interfaces with Human Resources, Labor Relations, union representatives and opposing counsel to craft memoranda supporting progressive discipline, reprimand, termination, stipulated agreements, pre-determination conciliation agreements, and other methods of resolution.

## **Associate Director of Investigations (University Staff Professional)**

### **Summary**

Reporting to the Associate Vice President of the Office of Institutional Equity (OIE) and the Director of Investigations, supervise EEO investigations and manage the University's internal discrimination complaint caseload and matters which may directly result in disciplinary action. Act as an impartial, neutral investigator throughout all aspects of the investigation process, and ensure that all investigation activities and OIE decisions are consistent with University policies and procedures, and that all investigation activities are conducted in a well-documented, prompt, fair and thorough manner. At the direction of management, assist in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. As assigned, assist with diversity, sexual harassment prevention and related training in accordance with University training mandates and state and federal statutes.

### **PRIMARY ACCOUNTABILITIES**

#### **Case Management**

At the direction of the OIE Associate Vice President and the Director of Investigations, supervise EEO investigators' investigation activities from inception to resolution, and review draft memoranda of findings and recommendations for University leadership. Lead investigations and assist other investigative staff with conducting discrimination, harassment and retaliation investigations. Prepare supporting documents and materials as necessary. Consult with the Office of Faculty and Staff Labor Relations, the General Counsel's Office and other University offices as necessary concerning investigation activities and findings. Respond to inquiries from members of the University community regarding matters related to University discrimination and harassment policies.

Assist in maintaining OIE's discrimination case database that shall include access to confidential information which may be used in collective bargaining. As directed, assist with preparation and maintenance of statistical, demographic, and subject matter data necessary to respond to inquiries regarding the University's discrimination complaint management system and annual Affirmative Action Plan.

#### **Typical Activities:**

- Intake inquiries and complaints, and assess for appropriate response. Provide consultation and education to members of the University community regarding discrimination, harassment and/or retaliation concerns, and available resources for support and assistance in addressing and resolving concerns.
- Develop investigative plans, which include deciding which witnesses to interview, outlining which questions to ask, and planning which documents to request and how to acquire said documents. Assist EEO investigators in developing and implementing investigation plans.
- Assess allegations to determine whether interim measures are required, and if so, ensure the appropriate implementation of such measures.

- Provide updates and advise parties, direct supervisors, senior management, and parties' advocates (legal counsel or union representatives) on investigative process. Execute investigative plans by leading witness interviews, reviewing personnel files, supervisory files and disciplinary history of relevant parties. Analyzing witness statements, making credibility assessments, recording findings of fact, and communicating with parties and witness advocates while protecting the independence, integrity, and privacy of the investigation.
- Draft and present memoranda of findings and appropriate supporting documents related to the resolution of each matter. At the direction of the Director of Investigations, assist EEO investigators in drafting and editing memoranda and investigative reports.
- Consult with parties and/or management as necessary concerning options for resolving conflict.
- Provide education and guidance concerning the University's non-retaliation policy during and after investigation for all parties involved in the complaint and investigation.
- Interface with University offices including the Department of Human Resources, the Office of Faculty and Staff Labor Relations, and union representatives relative to informal conflict resolution, remedial action/training, interim measures prior to and during investigations, investigation activities, outcomes and further response as needed following investigations.
- May consult with members of search compliance unit and other stakeholders on matters related to faculty and staff recruiting and hiring activities.

### **Policy Development**

Assist management in the development and review of University-wide policies and procedures consistent with current law and policy concerning discrimination, affirmative action and diversity objectives regarding employee conduct. Regularly update knowledge and awareness of trends and laws related to discrimination issues at institutions of higher education. At the direction of the OIE Associate Vice President, serve as liaison and representative to internal and external committees and professional associations.

### **Training**

Assist the OIE Associate Vice President in ensuring that diversity training and sexual harassment prevention curriculum complies with state and federal mandates. Assist the OIE Associate Vice President in preparing, presenting, and/or overseeing diversity training and sexual harassment prevention training and other related trainings for supervisory and non-supervisory employees, as well as students, of the main campus in Storrs, regional campuses and UConn Health.

**Perform other duties as assigned by the OIE Associate Vice President and/or Director of Investigations.**

## **Equal Employment Opportunity Investigator (University Staff Professional 2)**

Reporting to the Associate Vice President of the Office of Institutional Equity (OIE) at UConn and the Director of Investigations, the Equal Employment Opportunity Investigator will investigate complaints of violations of University policy based on discrimination and prepare investigative reports for investigations conducted at all UConn campuses. Position to be based at the main campus in Storrs and/or at OIE's UConn Health office in Farmington, Connecticut. Act as an impartial, neutral investigator throughout all aspects of the investigation process, and ensure that all investigation activities and OIE decisions are consistent with University policies and procedures. At the direction of management, assist in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. As assigned, assist with diversity, sexual harassment prevention and related trainings in accordance with University training mandates and state and federal statutes.

### **Primary Accountabilities:**

#### **Case Management:**

In accordance with University policies and procedures, lead independent and unbiased employment discrimination investigations, and draft memoranda of findings and recommendations for University leadership. Prepare supporting documents and materials as necessary. Consult with the Office of Faculty and Staff Labor Relations, the General Counsel's Office, and other University offices as necessary concerning investigation activities and findings. Respond to inquiries from members of the University community regarding matters related to University discrimination and harassment policies.

Assist in maintaining OIE's discrimination case database that shall include access to confidential information which may be used in collective bargaining. As directed, assist with preparation and maintenance of statistical, demographic, and subject matter data necessary to respond to inquiries regarding the University's discrimination complaint management system and annual Affirmative Action Plan.

#### **Typical Activities:**

Intake inquiries and complaints, and assess for appropriate response. Provide consultation and education to members of the University community regarding discrimination, harassment and/or retaliation concerns, and available resources for support and assistance in addressing and resolving concerns.

Develop investigative plans, which include deciding which witnesses to interview, outlining which questions to ask, and planning which documents to request and how to acquire said documents.

Assess allegations to determine whether interim measures are required and if so, ensure the appropriate implementation of such measures.

Provide updates and advise parties, direct supervisors, senior management, and parties' advocates (legal counsel or union representatives) on investigative process. Execute investigative plans by leading witness interviews, reviewing personnel files, supervisory files and disciplinary history of relevant



parties. Analyzing witness statements, making credibility assessments, recording findings of fact, and communicating with parties and witness advocates while protecting the independence, integrity, and privacy of the investigation.

Draft and present memoranda of findings and appropriate supporting documents related to the resolution of each matter.

Consult with parties and/or management as necessary concerning options for resolving conflict.

Provide education and guidance concerning the University's non-retaliation policy during and after investigation for all parties involved in the complaint and investigation.

Interface with University offices including the Department of Human Resources, the Office of Faculty and Staff Labor Relations, and union representatives relative to informal conflict resolution, remedial action/training, interim measures prior to and during investigations, investigation activities, outcomes and further response as needed following investigations.

May consult with members of search compliance unit and other stakeholders on matters related to faculty and staff recruiting and hiring activities.

#### Policy Development:

Assist management in the development and review of University-wide policies and procedures consistent with current law and policy concerning discrimination, affirmative action and diversity objectives regarding employee conduct. Regularly update knowledge and awareness of trends and laws related to discrimination issues at institutions of higher education. At the direction of the OIE Associate Vice President, serve as liaison and representative to internal and external committees and professional associations.

#### Training:

Assist the OIE Associate Vice President in ensuring that diversity training and sexual harassment prevention curriculum complies with state and federal mandates. Assist the OIE Associate Vice President in preparing, presenting, and/or overseeing diversity training, sexual harassment prevention training, and other related trainings for supervisory and non-supervisory employees and students on the Storrs campus, regional campuses and UConn Health.

Perform other duties as assigned by the OIE Associate Vice President and/or Director of Investigations.

# **Administrative/Program Assistant 2**

(Internal Job Description)

## **PURPOSE OF CLASS:**

Accountable for providing administrative support for the Office of Institutional Equity (OIE) at UConn Health (UCH).

## **SUPERVISION RECEIVED:**

Reports to the UCH OIE Associate Director of Investigations.

## **DUTIES/RESPONSIBILITIES:**

1. Assists with monitoring implementation of OIE budget at UCH.
2. OIE UCH Office management including ordering equipment, supplies etc.
3. Receives incoming calls, directing them to appropriate OIE staff.
4. Greets visitors to OIE, directing them to appropriate OIE staff.
5. Processes invoices, vouchers for reimbursement, special orders, travel, etc. for UCH OIE staff on request.
6. Coordinates and maintains materials for Resource Center, IT shared folder, Web Site & posting of policies.
7. Coordinates printing of brochures, flyers, etc.
8. Schedules office meetings, activities, committee meetings on request from OIE staff.
9. Sorts and distributes incoming mail.
10. Scan and upload documents to LegalFiles.
11. Perform related duties as required.

## **MINIMUM QUALIFICATION REQUIRED**

### **KNOWLEDGE, SKILL AND ABILITY:**

Knowledge of the office systems and procedures; knowledge of business communications; knowledge of department policies and procedures; oral and written communication skills; interpersonal skills; ability to operate office equipment, including computers; ability to prepare reports.

### **EXPERIENCE AND TRAINING:**

Three (3) years of experience in office support or secretarial work.

## **Paralegal and Legal Administrator (University Educational Assistant)**

### **Job Description Summary**

Provide a broad range of legal research and case management support to OIE Director and unit case managers, assist with integration and efficient operation of the major organizational components of OIE, with particular emphasis on the Discrimination Complaint Management System. Further, assist OIE in facilitating achievement of the University's diversity initiatives, goals and objectives.

### **Primary Accountabilities**

- Perform legal research for pre-litigation matters. Assist in preparing formal *Responses* to external complaints, and composing *Memoranda of Findings and Recommendations* for internal complaints. Assist with intake and investigation activities, and research personnel records and employment history when needed.
- At the direction of the Director, serve as liaison to external agencies and other University departments. Serve as liaison with the offices of the President, Provost, Vice Presidents and Vice Provosts, and Deans. Participate in collective bargaining agreement activities and negotiations to ensure compliance with affirmative action regulations and principles, and ensure that resulting agreement provisions coincide with affirmative action regulations and principles and best practices. Exercise personal judgment in resolving problems in order to minimize the need for OIE Director involvement. Assure the confidentiality of sensitive information.
- Build effective working/networking relationships with state and federal civil rights enforcement agencies and relevant professional associations, including the National Federation of Paralegal Associations. Active participation in relevant organizations required to stay abreast of trends in discrimination laws, complaint management in higher education environments, and legal research.
- Assist in developing and updating University policies and procedures related to the University's discrimination complaint management system, diversity, sexual harassment prevention and awareness. Conduct legal research, and regularly update knowledge and awareness of trends and laws related to discrimination issues at institutions of higher education.
- Assist with setting and implementing standards for filing systems, including OIE's new case docketing and tracking system (review data accuracy, formatting, reporting, etc.), and monitor staff compliance with these standards.
- Perform other functions or special projects in support of the Director, including work as project

manager for special assignments, and preparation of monthly, quarterly and annual reports to University Executives.

- Periodically evaluate office management and filing systems, then suggest and oversee process improvements. At the direction of the OIE Director, assist with Search File Administration, conduct research related to applicant availability pools, and perform other duties as assigned.
- Assist in developing, implementing, and coordinating diversity and affirmative action programs (primarily focused on workforce development and environment, and employment practices), to ensure compliance with state and federal guidelines and with University policies.

## Deputy Title IX Coordinator

### Job Summary

The Deputy Title IX Coordinator plays a significant role in the University's coordinated response, prevention and education initiatives pursuant to Title IX and related statutes and regulations and as part of UConn's ongoing commitment to create and maintain a campus environment free from all forms of discrimination and harassment, including sexual harassment, sexual assault, intimate partner violence, and stalking. Reporting to the Associate Vice President for the Office of Institutional Equity/Title IX Coordinator, the Deputy Title IX Coordinator will assist the Title IX Coordinator in carrying out the University's response and prevention responsibilities which include, but are not limited to: data collection; trend analysis; drafting and submission of reports; conducting climate checks; training and education efforts; committee participation and leadership; and community outreach. The Deputy Title IX Coordinator additionally will supervise the Title IX Compliance Specialist and assist in supervising the Title IX Project Specialist.

### Duties and Responsibilities:

- Maintain case files for each matter reported to OIE involving sexual harassment, sexual assault, intimate partner violence and/or stalking.
- Assist in case management where a non-student is accused of misconduct against a student.
- Track cases of sexual misconduct reported to the university and report systemic problems related to disclosures, reports and complaints.
- Participate in multi-office collaborative conversations regarding appropriate institutional response to reports and disclosures.
- Work closely with campus colleagues to oversee and, when appropriate, implement remedial measures (including No Contact Letters).
- Conduct climate checks in cases where circumstances compel as an appropriate institutional response. Manage all steps and documents related to such climate checks, including in some cases, witness interviews, document review, and production of written memoranda describing climate check process and findings for review by appropriate institutional stakeholders.
- Supervise the preparation and maintenance of statistical, demographic, and subject matter data related to Title IX complaints and trends, including but not limited to the drafting of an annual report submitted to the state legislature.
- Assist as assigned by the Title IX Coordinator in the development and review of University-wide policies and procedures that further institutional civil rights objectives related to Title IX.
- Prepare and update written prevention and response materials, including the University's Title IX website ([www.titleix.uconn.edu](http://www.titleix.uconn.edu)); brochure on sexual harassment, sexual assault, stalking and intimate partner violence; posters; training documents, and more.
- Participate in University-wide education, awareness and prevention programs and campaigns as assigned by the Title IX Coordinator.
- Continually identify best practices and current trends with regard to Title IX and sexual misconduct; monitor modifications to current federal guidance and state legislation.
- Participate as a member of the University's Community Resource Teams, Title IX Compliance Committee, and other Committees as assigned by the Title IX Coordinator.
- Perform other duties as assigned by the Title IX Coordinator.

## **Title IX Compliance Specialist**

As part of UConn's ongoing commitment to create and maintain a campus environment free from all forms of discrimination and harassment, including all forms of sexual harassment and violence, the position of Title IX Compliance Specialist plays a significant role in the University's coordinated response, prevention and education initiatives pursuant to Title IX and related statutes and regulations. Reporting to the Deputy Title IX Coordinator, the Title IX Compliance Specialist is responsible for supporting OIE Title IX investigations (employment and graduate student) and climate checks, and tracking all data, trending and reporting related to all University Title IX investigations of sex discrimination, sexual assault, sexual harassment, stalking, and intimate partner violence. The Title IX Compliance Specialist performs a wide range of functions regarding Title IX compliance in conjunction with assisting the Deputy Title IX Coordinator and Title IX Coordinator with carrying out the University's response and prevention responsibilities. Finally, where possible, the Title IX Compliance Specialist also will be called upon to provide day-to-day administrative assistance for all areas of focus within OIE.

### **Duties and Responsibilities:**

- Maintain case files in OIE's case management system for each matter reported to OIE involving sexual misconduct
- Track cases of sexual misconduct reported to the University and report systemic problems related to complaints to the Deputy Title IX and Title IX Coordinators.
- Conduct meetings with students who walk in to OIE and explain OIE's role, provide resources, gather preliminary information and make referrals as needed.
- Prepare and maintain statistical, demographic, and subject matter data related to Title IX complaints and trends, including weekly reports, the drafting of annual state legislative reports and preparing such figures and data for widespread publication and distribution.
- Work closely with the Division of Student Affairs and the UConn Police Department on Title IX response, prevention and education initiatives.
- Assist with discreetly and sensitively scheduling meetings with students for OIE Investigators.
- Assist with the preparation of updated written Title IX materials, including the University's brochures on sexual harassment, sexual assault, stalking and intimate partner violence.
- Assist with conducting climate checks for student groups, affinity programs, and academic departments and presenting awareness and prevention programs for the University community.
- Participate in student Title IX and employment discrimination case meetings, prepare interview summaries and organize case information.
- Perform ongoing maintenance to UConn's sexual violence, relationship violence and stalking resource website, <http://www.titleix.uconn.edu/> including information relevant to UConn Health.
- Coordinate and organize committee meetings for University committees and other meetings as assigned by the Deputy or Title IX Coordinators
- Review updated federal guidance and state legislation to continually identify best practices with regard to Title IX and sexual misconduct.
- Track student and employee attendance in various education, awareness, and prevention programs and campaigns.
- Research and assist with the administration of Title IX prevention programming, including the creation, assembly and distribution of educational materials to the University community.
- Perform day-to-day office support functions which include but are not limited to: discreetly and sensitively scheduling meetings with students and employees for investigators, answering OIE main line, checking the OIE email, answering security intercom and greeting visitors.

- **Serve as a resource to all OIE staff on matters related to the administration of the Title IX program.**
- **Assist with hiring and supervision of OIE student employees.**
- **Active engagement on various University committees.**
- **Support as assigned for non-Title IX-related OIE matters, including submission of the University's Affirmative Action Plan, employment discrimination investigations, and administration of state-mandated diversity and sexual harassment trainings.**
- **Occasional support for OIE budget and OIE website, <http://www.equity.uconn.edu/>.**
- **Perform other related duties as assigned.**

## **Budget Specialist (UC Professional 5)**

### **JOB SUMMARY**

Under the direction of designated administrator, assists with the control and allocation of University budgets through the utilization and maintenance of computerized databases.

### **CHARACTERISTIC DUTIES AND RESPONSIBILITIES**

- Prepares computer generated financial reports which assist university officials in the monitoring and control of departmental budget allocations and expenditures. Prepares graphs and charts, as needed.
- Maintains computerized database of expenditures and usage of all university and branch utility consumption to be used for budget analysis and projections. Prepares monthly cost/usage reports for state agencies.
- Maintains computerized databases used for budget analysis and projections to ensure that the university does not exceed its expenditure authority in such areas as Personal Services.
- Supervises and coordinates assembly of annual budget documents for submission to the Board of Trustees and the state. Assists in the technical preparation of budget documents needed for meetings, workshops and conferences.
- Maintains and updates computer programs designed to account for the departmental budgetary accounting systems, including technical changes appropriate to establish the new year budgets.
- Maintains computerized database of annual position request file from all university departments.
- Provides technical supervision to administrative support staff.
- Maintains office inventory of data processing equipment; coordinates procurement and integration of data processing equipment and software into office operating systems; maintains and monitors data protection interference for all PC's.
- Independently composes, prepares and/or edits financial reports containing information which requires general knowledge of policies and procedures governing the operation of the department.
- Communicates with other university offices and/or outside agencies to clarify procedures and request information.
- May indicate clerical/student staff needs; participates in applicant interviews and recommends employee selection; may train, establish work schedules for and oversee work of clerical and/or student staff.
- Maintains and/or monitors fiscal records; may monitor and approve routine expenditures.
- Reviews budget procedures for efficiency and effectiveness and recommend changes to supervisor.



- **Transmits authoritative information and serves as a resource to students staff and others regarding routine policies and procedures.**

**Performs related duties as required.**

## University of Connecticut

### Deputy Americans with Disabilities Act (ADA) Coordinator

#### Job Description

The University of Connecticut is seeking an experienced professional to serve as the Deputy ADA Coordinator, providing leadership and assistance to the ADA Coordinator to assure compliance with the Americans with Disabilities Act (ADA), the Rehabilitation Act of 1973 and other relevant federal and state laws pertaining to individuals with disabilities.

The successful candidate will have a demonstrated knowledge of disability access services in a dynamic higher education environment. Responsibilities include collaborative leadership on disability issues and extensive knowledge and interpretation of disability legislation related to access and accommodations for students, employees and visitors. Reporting to the Associate Vice President for the Office of Diversity and Equity/ADA Coordinator, the Deputy will play an integral role in shaping and defining the direction of University compliance.

#### Primary Duties and Responsibilities:

- Serve as the University's Section 504 Coordinator.
- Monitor University compliance with state and federal disabilities-related legislation and regulatory guidance and implement plans for improvement in collaboration with other administrators, faculty and staff.
- Collaborate with university leadership to ensure adherence with legal requirements.
- Educate, train and guide the University community in understanding disability access, rights, and responsibilities including the dissemination of current policies and information reflecting best practice.
- Assist in the planning and coordination of University policies and procedures relating to disabilities compliance.
- Assure that appropriate processes are in place to respond to allegations of disability discrimination and non-compliance with federal and state law pertaining to individuals with disabilities.
- Provide oversight and leadership for all disability-related access and programming initiatives for faculty, staff and students.
- Consult with university leadership on electronic and information technology and website accessibility in the classroom (physical and online) and in outreach with the public consistent with best practices in higher education.
- Assist with advising on compliance with technical requirements under the ADA guidelines regarding building and facility accessibility and architectural changes.
- Develop appropriate policies, procedures and processes that respond to the needs of individuals with disabilities consistent with the university's mission, goals, operational needs, and/or academic requirements.
- In collaboration with university leadership and other university offices, provide guidance and assistance to managers, supervisors, and faculty in implementing accommodations related to employment, academic and/or residential requests.

- Provide guidance and assistance to campus departments in implementing accommodations and developing office practices with an emphasis on Universal Design.
- Maintain a working knowledge of changing regulations and policies regarding persons with disabilities, including FERPA, Section 504 of the Rehabilitation Act, and the Americans with Disabilities Act, including ADA standards and regulations for Accessible Design.
- Collaborate with University Planning, Architectural and Engineering Services (PAES) as well as Facilities Operations and Building Services to ensure compliance with the ADA and other relevant building standards for accessibility.
- Compile and prepare disability-related reports and guidance documents for the Associate Vice President for the Office of Diversity and Equity as well as other University leaders.
- Develop, coordinate and deliver trainings and programs for students, faculty, and staff regarding disability access, rights, and responsibilities.
- Develop and implement staff and faculty development programs related to campus access and instruction.
- Serve on institutional committees and tasks forces as needed.
- Provide consultation to the local community on disability issues.
- Participate in community, statewide or national committees, task forces and networks to promote disability access.
- Hire, train, and supervise consultants, as needed, to assist with compliance mandates.

## **Executive Assistant (University Educational Assistant)**

### **JOB SUMMARY**

Under the direction and general guidance of a manager, performs departmental functions of an administrative or technical nature, requiring a thorough understanding of an organization's operation. Preserves the confidentiality of administration by exercising discretion in performing assigned responsibilities.

### **CHARACTERISTIC DUTIES AND RESPONSIBILITIES**

- Participates in determining methods of resolution on specific problems while consulting with manager on new or complex issues.
- Represents University officials with some authority to act on their behalf. Responds to inquiries regarding departmental policies and procedures and occasionally interpret such policies and procedures.
- Compiles information from a variety of sources. Prepares narratives and reports. Monitors and screens documentation and determine appropriate action, exercising judgment in course of action.
- Develops and oversee special projects as assigned.
- Participate in cooperative efforts to provide administrative and/or technical support to the Department Managers or Executives as needed.
- Assist with administering and evaluating comprehensive programs that enhance the mission of a department.
- May be responsible for reviewing or supervising the work of others for accuracy, completeness and compliance with regulations, policies and procedures.
- May assist in the compilation of data or information related to the collective bargaining process.
- Other related duties as required.

# **Exhibit #6**

## **MANAGERIAL/CONFIDENTIAL EMPLOYEE EVALUATION**

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### **GUIDELINES**

The Managerial and Confidential Employee Evaluation forms consist of three sections:

#### **Section I – Employee Self Evaluation**

This section of the performance process is optional, to be completed by the employee and returned to the Manager. Although the review is primarily the responsibility of the Manager, the annual review is structured to enable staff to participate in the assessment of his/her job performance.

#### **Section II – Supervisor's Evaluation**

This section is to be completed by the Manager in direct supervision of the employee. The section includes rating areas that must be completed or marked "N/A" (not applicable). The real value of the annual review lies in the communication between manager and employee concerning what has been done well, and where further growth should be directed. Summarizing the year's performance, providing constructive feedback on strengths and weaknesses, identifying accomplishments, and specifying corrective action and avenues for professional growth are key managerial appraisal tasks. It is always helpful to use the employee's self evaluation as a reference.

#### **Section III – Goals**

This section documents the goals and expectations for the upcoming review cycle and is a part of the discussion process (see below). Goals should be specific, measurable, attainable, relevant and tangible (SMART).

#### **The How Tos of Preparing for and Conducting the Performance Evaluation**

1. Review the prior year's goals which were discussed and agreed to at the previous year's review. Ask yourself what the employee did well, what compliments can be given, what areas need improvement, what activities have reflected well or poorly on their performance, if the employee successfully reached last year's goals and what you would like to see the employee accomplish in the coming year.
2. Meet with the employee and discuss the evaluation. The discussion should be private and touch upon the activities of the past year as well as goals for the upcoming rating period. The Manager should obtain the employee's signature on both the Section II & III – Supervisor's Evaluation and Goals and

## Managerial/Confidential Employee Evaluation - Guidelines

provide the employee with a copy. The signature of the employee indicates that the evaluation was reviewed and does not necessarily indicate their agreement with the assessment. A copy should also be kept for the department file.

- o If you have supervised the employee for less than six months, you should obtain performance information from the previous supervisor, if possible.

Before issuing a minimally successful or unacceptable overall rating for an employee, managers should review the service rating with Labor Relations at extension 8067.

### Helpful Tips:

- **Be specific** – give specific examples of what the employee did to achieve –or fall short of –the goal.
- **Give deadlines** – if you want to see improvement, give the worker a timeline to turn things around. If you expect something to be done by a certain date, say so.
- **Be honest** – if you avoid telling an employee about performance problems, the employee won't know that he or she needs to improve. Be sure to give the bad news, even if it is uncomfortable.
- **Be complete** - write your evaluation so that an outsider reading it would be able to understand exactly what happened and why.
- **Listen to your employees** - ask employees what they enjoy about their jobs and about working at UConn Health. Also ask about any concerns or problems they might have.

## Managerial Employee Evaluation

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### Section I – Employee Self-Evaluation

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

Title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Fiscal Time Period: \_\_\_\_\_

**Directions:** Complete Employee Self-Evaluation (maximum 2 pages).  
Submit to your supervisor/manager prior to performance evaluation.

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1. Briefly describe the major goals and objectives you have achieved this past year?
2. Was there something that you wanted to accomplish this year that you were unable to do? If so, what was it and what do you feel prevented you from accomplishing this?
3. Are there other factors, you believe should be considered in evaluating your performance, that have not been covered by this form?
4. What can your supervisor do to assist you in meeting your goals?
5. How would you rate yourself on demonstrating the following managerial competencies based on definition provided below?



- 5 - Exceptional:** Consistently **exceed standards** – Shows initiative in setting priorities that strongly support organizational mission and goals. Competencies and abilities are clearly recognized by peers as well as managers. This year's contribution clearly moved the organization forward.
- 4 - Highly Successful:** **Consistently met and often exceeds** standards – Demonstrates in-depth knowledge of all criteria. This year's contribution is clearly identifiable.
- 3 - Fully Successful:** Consistently met standards in most or all performance areas – Demonstrates knowledge in most or all job criteria. No major errors of execution or strategy. Good solid performer.
- 2 - Minimally Successful:** Does not consistently meet standards in one or more performance areas. Needs to demonstrate on-going ability to set priorities that reflect organizational mission and goals.
- 1 - Unacceptable:** Consistently deficient in meeting standards – Performance significantly below standards. Demonstrated incompetence in most critical areas.

Competencies/Performance Standards	Rating (1-5)
Job Knowledge	
Customer Satisfaction	
People Management and Relationships	
Leadership	
Planning and Operations Management	
Creativity, Continuous Improvement and Management of Change	
Diversity/Affirmative Action	

Employee's Signature

Date

# UConn HEALTH

HUMAN RESOURCES

## Confidential Employee Evaluation

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### Section II - Supervisor Evaluation

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

Title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Fiscal Time Period: \_\_\_\_\_

**Directions:** Rank employee's achievement based on definitions provided below  
(A second page may be added if additional space is needed for comments)

**Exceptional: Consistently exceeds standards** – Shows initiative in setting priorities that strongly support organizational mission and goals. Competencies and abilities are clearly recognized by peers as well as managers. This year's contribution clearly moved the organization forward.

**Highly Successful: Consistently met and often exceeds standards** – Demonstrates in-depth knowledge of all criteria. This year's contribution is clearly identifiable.

**Fully Successful: Consistently met standards in most or all performance areas** – Demonstrates knowledge in most or all job criteria. No major errors of execution or strategy. Good solid performer.

**Minimally Successful: Failed to meet standards in one or more performance areas** – Overall performance fails to meet expectations. Demonstrates incompetence in some critical areas.

**Unacceptable: Consistently deficient in meeting standards** – Performance significantly below standards. Demonstrated incompetence in most critical areas.

### 1. Job Knowledge

Assess the depth and breadth of knowledge the incumbent has acquired and applied in the performance of his/her assignment. Consider how aggressively the incumbent seeks pertinent new information and shares his/her knowledge with others.

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 2. Customer Satisfaction / Customer Service

Assess the incumbent's knowledge of customers' needs. Does he/she take a proactive stance in meeting and exceeding customer needs? Is he/she aware of customer needs and requirements?

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 3. Communications

Assess the incumbent's proficiency in oral and/or written (correspondence, reports, or memos) communication with co-workers, customers, or management. Exhibits good listening and comprehension; Keeps others adequately informed; Selects and uses appropriate communication methods

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 4. Accountability

Assess the incumbent's actions and behaviors that significantly contribute to both internal and external success. Creates a positive working environment. Responds to requests for service and assistance; Follows instructions, responds to management direction; Takes responsibility for own actions; Keeps commitments; Meets attendance and punctuality guidelines

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 5. Judgment

Assess the incumbent's willingness to make decisions; Exhibits sound and accurate judgment; Supports and explains reasoning for decisions; Includes appropriate people in decision-making process; Makes timely decisions

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 6. Affirmative Action

Assess the incumbent's ability to communicate and demonstrate commitment to affirmative action and equal employment opportunity to employees. Does he/she work effectively with people of diverse backgrounds and styles, deriving value from their differences?

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 7. Supervisory Ability (if applicable)

Assess the incumbent's ability to help subordinates not only to achieve their responsibilities but also to improve performance. Defines responsibilities and expectations; Sets goals and objectives; Conducts or provides input to performance feedback; Motivates for increased results; Recognizes contributions; Encourages training and development

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

**Overall comments regarding employee's performance:**

**How would you rate the overall performance?**

Exceptional    Highly Successful    Fully Successful    Minimally Successful    Unacceptable

\_\_\_\_\_  
**Employee's Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Supervisor's Signature**

\_\_\_\_\_  
**Date**

## Confidential Employee Evaluation

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### Section I – Employee Self-Evaluation

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

Title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Fiscal Time Period: \_\_\_\_\_

**Directions:** Complete Employee Self-Evaluation (maximum 2 pages).  
Submit to your supervisor/manager prior to performance evaluation.

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1. Briefly describe the major goals and objectives you have achieved this past year?
2. Was there something that you wanted to accomplish this year that you were unable to do? If so, what was it and what do you feel prevented you from accomplishing this?
3. Are there other factors, you believe should be considered in evaluating your performance, that have not been covered by this form?
4. What can your supervisor do to assist you in meeting your goals?
5. How would you rate yourself on demonstrating the following managerial competencies based on definition provided below?

- 5 - Exceptional:** Consistently exceed standards – Shows initiative in setting priorities that strongly support organizational mission and goals. Competencies and abilities are clearly recognized by peers as well as managers. This year's contribution clearly moved the organization forward.
- 4 - Highly Successful:** Consistently met and often exceeds standards – Demonstrates in-depth knowledge of all criteria. This year's contribution is clearly identifiable.
- 3 - Fully Successful:** Consistently met standards in most or all performance areas – Demonstrates knowledge in most or all job criteria. No major errors of execution or strategy. Good solid performer.
- 2 - Minimally Successful:** Does not consistently meet standards in one or more performance areas. Needs to demonstrate on-going ability to set priorities that reflect organizational mission and goals.
- 1 - Unacceptable:** Consistently deficient in meeting standards – Performance significantly below standards. Demonstrated incompetence in most critical areas.

Competencies/Performance Standards	Rating (1–5)
Job Knowledge	
Customer Satisfaction/Customer Service	
Communications	
Accountability	
Judgment	
Affirmative Action	
Supervisory Ability (if applicable)	

\_\_\_\_\_  
Employee's Signature

  
Date

# UConn HEALTH

HUMAN RESOURCES

## Confidential Employee Evaluation

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### Section II - Supervisor Evaluation

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

Title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Fiscal Time Period: \_\_\_\_\_

**Directions:** Rank employee's achievement based on definitions provided below  
(A second page may be added if additional space is needed for comments)

**Exceptional: Consistently exceeds standards** – Shows initiative in setting priorities that strongly support organizational mission and goals. Competencies and abilities are clearly recognized by peers as well as managers. This year's contribution clearly moved the organization forward.

**Highly Successful: Consistently met and often exceeds standards** – Demonstrates in-depth knowledge of all criteria. This year's contribution is clearly identifiable.

**Fully Successful: Consistently met standards in most or all performance areas** – Demonstrates knowledge in most or all job criteria. No major errors of execution or strategy. Good solid performer.

**Minimally Successful: Failed to meet standards in one or more performance areas** – Overall performance fails to meet expectations. Demonstrates incompetence in some critical areas.

**Unacceptable: Consistently deficient in meeting standards** – Performance significantly below standards. Demonstrated incompetence in most critical areas.

### 1. Job Knowledge

Assess the depth and breadth of knowledge the incumbent has acquired and applied in the performance of his/her assignment. Consider how aggressively the incumbent seeks pertinent new information and shares his/her knowledge with others.

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 2. Customer Satisfaction / Customer Service

Assess the incumbent's knowledge of customers' needs. Does he/she take a proactive stance in meeting and exceeding customer needs? Is he/she aware of customer needs and requirements?

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 3. Communications

Assess the incumbent's proficiency in oral and/or written (correspondence, reports, or memos) communication with co-workers, customers, or management. Exhibits good listening and comprehension; Keeps others adequately informed; Selects and uses appropriate communication methods

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 4. Accountability

Assess the incumbent's actions and behaviors that significantly contribute to both internal and external success. Creates a positive working environment. Responds to requests for service and assistance; Follows instructions, responds to management direction; Takes responsibility for own actions; Keeps commitments; Meets attendance and punctuality guidelines

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 5. Judgment

Assess the incumbent's willingness to make decisions; Exhibits sound and accurate judgment; Supports and explains reasoning for decisions; Includes appropriate people in decision-making process; Makes timely decisions

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 6. Affirmative Action

Assess the incumbent's ability to communicate and demonstrate commitment to affirmative action and equal employment opportunity to employees. Does he/she work effectively with people of diverse backgrounds and styles, deriving value from their differences?

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable

### 7. Supervisory Ability (if applicable)

Assess the incumbent's ability to help subordinates not only to achieve their responsibilities but also to improve performance. Defines responsibilities and expectations; Sets goals and objectives; Conducts or provides input to performance feedback; Motivates for increased results; Recognizes contributions; Encourages training and development

Exceptional  Highly Successful  Fully Successful  Minimally Successful  Unacceptable



**Overall comments regarding employee's performance:**

**How would you rate the overall performance?**

Exceptional    Highly Successful    Fully Successful    Minimally Successful    Unacceptable

\_\_\_\_\_  
**Employee's Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Supervisor's Signature**

\_\_\_\_\_  
**Date**