

ASSIGNMENT OF RESPONSIBILITY AND MONITORING

(Section 46a-68-81)

March 2021

This section was in compliance in the previous filing of the University's *Plan*.

Subsection (a)

In accordance with statutory requirements, the appointing authority is accountable for promoting and enforcing diversity and affirmative action policies and ensuring compliance throughout the organization. President Katsouleas is the current chief executive officer of the University and is responsible for carrying out and enforcing all policies and regulations adopted by the Board of Trustees for the operation of the University.

As a Research I Institution of higher education, the University employs a Provost and Executive Vice President for Academic Affairs (Provost) who serves as the chief academic officer. During this Plan year, Dr. John Elliott served as the Interim Provost and Executive Vice President for Academic Affairs until May 28, 2020. Dr. Carl Lejuez began his term as Provost and Executive Vice President for Academic Affairs (Provost) on May 29, 2020. The Deans of the Schools and Colleges, and the Vice Provosts, report directly to the Provost. The President and the Provost retain ultimate responsibility for the development, implementation, and monitoring of the University's *Affirmative Action Plan*, and hold their senior staff accountable for achieving progress and for the success of the *Plan*.

Subsection (b)

President Katsouleas assigned responsibility for operational achievement of the University's *Affirmative Action* goals to Elizabeth Conklin, Associate Vice President of the Office of Institutional Equity (OIE) who served until July 31, 2020. Sarah Chipman was appointed as Interim Associate Vice President of OIE August 1, 2020. President Katsouleas has vested in her the authority, duties, and responsibilities necessary for the development, implementation, and monitoring of the *Affirmative Action Plan*.

President Katsouleas and his Chief of Staff and General Counsel Nicole Gelston and Michael Kirk, Senior Advisor to the President, held regular meetings with the Associate Vice President of OIE and the Interim Associate Vice President of OIE, to discuss issues of human and inter-group relations, review operational and administrative activities affecting the *Plan*, identify obstacles in meeting goals of the *Plan*, nondiscriminatory employment practices, the legal authority for affirmative action, and the President's commitment to affirmative action. The President reviews and is regularly briefed on the University's *Affirmative Action Plan* and continuing programming efforts.

Subsection (c)

The Associate Vice President of OIE Elizabeth Conklin, was designated as the Equal Employment Opportunity Officer for the University and reported directly to the appointing

authority until July 31, 2020. Currently, Sarah Chipman, the Interim Associate Vice President of OIE, is designated as the Equal Employment Opportunity Officer for the University and reports directly to the appointing authority as of August 1, 2020. As evidenced by the organizational charts, the Associate Vice President and Equal Employment Opportunity Officer reported to President Katsouleas, and currently the Interim Associate Vice President and Equal Employment Opportunity Officer reports to President Katsouleas, the appointing authority. Please see **EXHIBIT 1** for the organization charts.

Associate Vice President, Elizabeth Conklin, reported directly to Presidents Katsouleas on all matters concerning the *Plan*, affirmative action, discrimination, and equal employment opportunity. Currently the Interim Associate Vice President, Sarah Chipman, reports directly to Presidents Katsouleas on all matters concerning the *Plan*, affirmative action, discrimination, and equal employment opportunity. The Interim Associate Vice President, Sarah Chipman, has access to all records and personnel necessary for the effective performance of duties. As the designated Equal Employment Opportunity Officer, Sarah Chipman is responsible for the development, maintenance, and monitoring of the University's *Affirmative Action Plan*.

As part of OIE's ongoing efforts to assist search committees and hiring managers in the development and execution of effective recruiting strategies, OIE researches, initiates, and maintains contact with various recruiting resources focused on underrepresented populations. The External Communication section of this *Plan* discusses OIE's specific efforts. OIE staff maintains a list of organizations, associations, professional networks, and trade publications that search committees may utilize during the recruiting phase of searches. Please see **EXHIBIT 6**, in the *External Communication and Recruitment Strategies* section for the list. OIE also provides individualized assistance to search committees as requested.

During the *Plan* year, the Associate Vice President and Equal Employment Opportunity Officer and currently the Interim Associate Vice President and Equal Employment Opportunity Officer regularly communicates with the University population, and advises the President and University leadership of developments in affirmative action law, civil rights, and social equity policy. The President and designated administrative staff are notified of all complaints investigated and adjudicated by OIE's EEO Investigators.

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

1. Training staff responsible for personnel functions in the various schools and colleges about affirmative action aspects of the search process;
2. Partnering with the Office of Human Resources on new employee orientation activities;
3. Developing and conducting mandated Diversity Awareness and Sexual Harassment Prevention Training for all University employees at the Storrs and Regional Campuses;
4. Developing and conducting training on inter-group relations, cross-cultural conflict, and cultural competence in the University setting;

5. Developing and presenting mandatory search committee training for faculty and staff searches, and monitoring the recruitment, evaluation, and hiring process;
6. Maintaining relationships with state and federal civil rights agencies;
7. Maintaining relationships with internal and external University communities; and
8. Preparing State and Federal AA/EEO reports and statistical information.

Subsection (d)

As discussed in detail in previous approved *Plans*, the feasibility of an employee advisory committee was considered by University leaders. It was determined that the uniqueness of a Research I institution's work environment 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 and work environment.

In 2016, The Office for Diversity and Inclusion (ODI) was created with a mission to advocate for access and equity across all University units, to welcome and celebrate the experiences of individuals regardless of background through innovative educational programs, and to transform campus climate to build a more welcoming and inclusive community.

[The Diversity Council](#) is a key component of the work of ODI. This council, established in May of 2016, is composed of faculty, staff, and students across all academic and administrative units on campus. This Council is specifically 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. Additionally, the Council supports 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 also acts in an advisory capacity to University leadership on various issues including increased recruitment and retention of underrepresented groups among students, faculty, and staff. Finally, the Diversity Council utilizes analysis and assessment to monitor progress on diversity initiatives and works to identify and disseminate best practices for the successful coordination and execution of diversity programs across the University.

Five subcommittees of the Diversity Council 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.

Subsection (e)

Members of the [Diversity Council](#) are identified by name and position. The 32-person Council was led by Interim Chief Diversity Officer Dana Wilder, until July 26, 2020. Franklin Tuitt, began his term as Chief Diversity Officer on July 27, 2020 and now is the chairman of the Diversity Council. Sarah Chipman, the Interim Associate Vice President of OIE is a member of the Council. The Diversity Council includes five white males, ten white females, two black males, five black females, one Hispanic male, six Hispanic females, and three Asian females. The Diversity Council meets quarterly, while the subcommittees meet regularly, with 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. Please see **EXHIBIT 2** for the Diversity Council membership list.

Subsection (f)

Affirmative action duties are among the factors considered in the performance evaluations of all employees to whom such duties are assigned, and are one factor influencing the award of promotion, merit, and other benefits of employment subject to Chapters 67 and 68 of the Connecticut General Statutes. New program assessment and resource allocation models, which include diversity and affirmative action objectives, are also key components in evaluating achievement and performance.

Subsection (g)

No employee is treated punitively, coerced, intimidated, or retaliated against for discharging duties related to diversity and affirmative action. 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).

Subsection (h)

The following section discusses University offices and personnel with responsibilities related to developing or implementing the *Plan*.

Office of Institutional Equity

OIE ensures University's commitment to affirmative action, diversity, multiculturalism, and social equity through functions that play educational, support, and compliance roles at the University. OIE's work is focused on administrating the University's non-discrimination policies as well as ensuring compliance with state and federal laws and regulations related to equal employment and affirmative action. OIE advises senior administration on institutional civil rights and social equity policies and issues. The Associate Vice President and currently Interim Associate Vice President reports on these issues to the President and to the Provost and Executive Vice President of Academic Affairs. OIE is charged with compliance functions 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 awareness and sexual harassment prevention;
5. reporting and publishing the University'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 Employment Equity staff in OIE substantively reviews search files for faculty and staff (classified and unclassified) at the pre-interview and pre-offer stages of the search process for compliance with AA/EEO regulations. At the pre-interview stage, the review ensures that proactive recruitment strategies were implemented by search committees and hiring departments. Additionally, the review ensures that disposition reasons for applicant ranking are qualification related, objective, and specific.

The staff provides search committee training to search committees and administrators covering subjects such as the University's search process, 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 University 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 consultations about options for action and relief, and/or to managers' calls for disparate treatment analyses of intra-office conflicts. OIE's investigators thoroughly investigate discrimination complaints, make determinations regarding violations of University non-discrimination policies, and follow statutory requirements regarding recommendations for remedial action when there is evidence of policy violations.

American with Disabilities Act (ADA) Compliance

The Office of Institutional Equity monitors the University's compliance with the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act. The Associate Vice President and currently Interim Associate Vice President of OIE serves as the University's ADA Coordinator and Section 504 Coordinator. These statutes prohibit discrimination on the basis of disability in any service, program, or activity. In particular, OIE has responsibility for:

- resolving allegations of discrimination based on disability;

- overseeing and ensuring University compliance with all relevant laws and regulations related to the ADA and Section 504;
- providing consultation, information, and referral to appropriate resources for disability-related issues; and
- providing training regarding the ADA and Section 504.

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 University employees. A report on training and attendance is provided in the *Internal Communications* section of this *Plan*. OIE also provides 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 the University's progress and compliance with affirmative action and equal employment opportunity regulations

The Employment Equity staff, in compliance with §46a-68, prepares the University's annual *Affirmative Action Plan for Employment (Plan)* for submission to the Commission of Human Rights and Opportunities (CHRO). The *Plan* is also published in its entirety on the OIE [website](#) in an effort to apprise the University community of the progress of the annual Affirmative Action programming and compliance activities. Additionally, as a federal contractor, the University 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. The EEO & Search Compliance staff prepare both Plans annually.

Title IX Compliance

The Associate Vice President of OIE, Elizabeth Conklin, was designated as the University's Title IX Coordinator until July 31, 2020. Currently Interim Associate Vice President of OIE, Sarah Chipman, is designated as the University's Interim Title IX Coordinator as of August 1, 2020. OIE's Title IX staff monitor and track the University's compliance with Title IX, provide training and education relating to Title IX, and ensure that complaints of sex discrimination, sexual harassment, and sexual violence are investigated and addressed appropriately by the University. Additionally, OIE works with the Division of Athletics and its consultants to monitor progress and activities relating to the University's Title IX – Gender Equity in Athletics Compliance Plan.

Office of Human Resources

The Office of Human Resources (OHR), 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. OHR provides leadership in the development, implementation, and administration of sound human resources policies, procedures, and programs, which support the University's education and research mission. OHR consists of the following operating units: Administration, Employee Benefits and HR Services, Compensation, Absence Management, Workforce Solutions, Human Resources Information Systems and Data Management, Employee Engagement and Wellness, and HR Communications.

Search and Hire Services

The Workforce Solutions Unit (WS) provides consultation services to the University community in the areas of recruitment, search, and hiring process for unclassified positions governed by the University's Board of Trustees and classified positions governed by the State Personnel Act. The Workforce Solutions Unit reviews and provides guidance on job descriptions and advertising materials to ensure job specifications and qualifications are free of discriminatory bias and to ensure that qualifications are bona fide, and that occupational qualifications are based on the primary duties of the job. The Workforce Solutions Unit advises departments on advertising and recruitment strategies, with an emphasis on targeted affirmative action media; participates in recruitment activities to attract under-represented groups into noncompetitive classified positions; and provides assistance on developing minimum and preferred qualifications that target a diverse population of applicants. The Workforce Solutions Unit also develops methods for tracking and reporting on diversity recruitment efforts.

Classification and Compensation

The Workforce Solutions Unit is responsible for the administration of the classification and compensation systems used at the University, including both professional and statewide-classified merit systems. The Workforce Solutions Unit is responsible for evaluating position classification, maintaining the integrity of the classification systems and providing guidance to hiring administrators on appropriate compensation strategies.

Advising, Training and Education

The Office of Human Resources offers a comprehensive training and development program available to all University employees. The Office offers bi-weekly staff and annual faculty orientations to educate employees on the University's policies and procedures, including the University General Rules of Conduct.

OHR administers the tuition reimbursement/waiver programs for University employees and oversees various training and professional development programs, including in-state service training, Interaction and Leadership program, and Caring about UConn. OHR also supports the

performance management process by providing training and advice to supervisors to ensure performance is managed consistently and fairly.

Office of Faculty and Staff Labor Relations

The Office of Faculty and Staff Labor Relations (OFSLR) oversees faculty and staff labor relations for all University campus locations, including UConn Health. OFSLR negotiates and administers collective bargaining agreements for faculty (AAUP), non-teaching professional staff (UCPEA/AFT-CT), graduate assistants (GEU-UAW), and the newly formed bargaining unit for the post-doctoral research associates (UAW-Postdocs). The Executive Director of Employee Relations also handles the negotiations for the faculty at UConn Health (AAUP-UCH) and the University Health Professionals (UHP). The office also assists the State of Connecticut Office of Labor Relations with the negotiation of statewide collective bargaining agreements that cover the University's classified employees, such as public safety (police and fire), maintenance, and clerical personnel. OFSLR also provides on-site administration of these statewide agreements.

The OFSLR provides the University community with direction and guidance on effectively managing relationships with the numerous labor organizations that represent the University's workforce. This office collaborates with the Office of Human Resources, and the University administration, to ensure that personnel actions comply with University-specific and statewide collective bargaining agreements. OFSLR, through the Executive Director, is responsible for maintaining human resources policies and actively participates in developing and enforcing workplace policies and procedures and supporting the University's ongoing compliance with the laws and regulations that govern the employment relationship.

OFSLR assists departments and labor unions with conflict resolution, grievance processing and the adjustment of other workplace disputes governed by collective bargaining agreements. In the event that workplace disputes cannot be resolved informally, OFSLR represents the University in labor arbitration and/or unfair labor practice hearings. Further, the OFSLR's Labor and Employment Attorneys provide representation to the University in other administrative proceedings including matters pending before the Connecticut Commission of Human Rights and Opportunities (CCHRO), the U.S. Equal Employment Opportunities Commission (EEOC) and the Connecticut and United States Departments of Labor (DOL or USDOL). OFSLR's attorney members work under the direction of the Executive Director and under the general direction and authority of the Office of the General Counsel. OFSLR also serves as the University's liaison to the Connecticut Attorney General for employment-related litigation matters that involve the University and/or its officials.

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 programming and initiatives relating to diversity, equity and inclusion. ODI proactively and collaboratively develops and implements plans, programs, and activities that educate and motivate members of

the University community to embrace diversity and inclusion as core values to be collectively practiced in the University. ODI works strategically with appropriate University units responsible for compliance relating to non-discrimination policies and promoting and implementing equity and diversity programs in support of a working and learning environment free of discrimination, harassment, and retaliation.

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 October 1, 2019 to November 30, 2020.

Office of Institutional Equity

Elizabeth Conklin, Associate Vice President, Title IX Coordinator & ADA Coordinator until July 31, 2020

The University's designated Equal Employment Opportunity Officer. Reports to the President on policy issues, discrimination complaints, and all matters related to administration of the Affirmative Action Program. Advises the President, Provost 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'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 until July 31, 2020 Interim Associate Vice President, Title IX Coordinator & ADA Coordinator, and Director of Investigations as of August 1, 2020

The University's designated Equal Employment Opportunity Officer. Reports to the President on policy issues, discrimination complaints, and all matters related to administration of the Affirmative Action Program. Advises the President, Provost 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's commitment to creating and maintaining a campus environment free from all forms of sexual violence, harassment, exploitation, and intimidation.

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

Percentage of time devoted to affirmative action duties: 100%

Alexa Lindauer, EEO Investigator (until January 2, 2020)

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 University policies and procedures. Assists in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. Assists with diversity, as well as sexual harassment prevention and related training, in accordance with University training mandates and state and federal statutes.

Percentage of time devoted to affirmative action duties: 100%

Alexa Lindauer, Associate Director of Investigations (as of January 3, 2020)

Supervises EEO investigations and manages 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

Percentage of time devoted to affirmative action duties: 100%

Jamila Goolgar, EEO Complaint Specialist)

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 University policies and procedures. Assists in developing, implementing, and evaluating goals and objectives related to affirmative action and equal employment opportunity matters. Assists with diversity, as well as sexual harassment prevention and related training, in accordance with University 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 Investigators and Director of Investigations in their investigations of complaints of discrimination and discriminatory harassment involving University employees and coordination of requests for accommodation under the Americans with Disabilities Act. Coordinates State and University mandated Diversity and Sexual Harassment Prevention training for University employees.

Percentage of time devoted to affirmative action duties: 100%

Joshua Rucker, Deputy ADA Coordinator (until November 6, 2019)

Ensures University 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 University 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 the University 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 University's EEO & Search Compliance unit, which is responsible for the development and implementation of University policies and procedures related to ensuring UConn's 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 the University and UConn Health, producing various reports for monitoring workforce diversity goals and ensuring all state and federal reporting requirements are met. Provides guidance on the search process, search training, and AA/EEO related projects.

Percentage of time devoted to affirmative action duties: 100%

Dorian Lord, EEO & Search Compliance Specialist

Responsible for the maintenance and accuracy of search files and related records that are essential to the operation of the office and the University's efforts to comply with Federal and State record-keeping requirements. Provides assistance to hiring managers and search committees in matters relating to the search process and works collaboratively with University departments and external auditors regarding compliance in the search process. Develops state and federal affirmative action plans and AA/EEO related projects.

Percentage of time devoted to affirmative action duties: 100%

Cari Renn, EEO & Search Compliance Specialist (as of November 15, 2019)

Responsible for the maintenance and accuracy of search files and related records that are essential to the operation of the office and the University's efforts to comply with Federal and State record-keeping requirements. Provides assistance to hiring managers and search committees in matters relating to the search process and works collaboratively with University departments and external auditors regarding compliance in the search process. Develops state and federal affirmative action plans and AA/EEO related projects.

Percentage of time devoted to affirmative action duties: 100%

Katherine Kenyon, Training & Search Compliance Specialist

Assists in the day-to-day implementation, management, and dissemination of OIE's training and education portfolio, working with OIE staff members, University partners, and subject matter experts to establish, modify, update, expand, and deliver OIE's training and education portfolio. Assists hiring managers and search committees in matters relating to 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%

Kim Caprio, Deputy Title IX Coordinator and Compliance Specialist

Works with the Title IX Coordinator to ensure the University'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 the identification and addressing of any patterns related to sex discrimination and/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 the University'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%

Deborah Redshaw, Title 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, sexual violence prevention, and education efforts to ensure the University's commitment to creating and maintaining a campus environment free from all forms of sexual violence, harassment exploitation, and intimidation. As 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%

Lauren Donais, Title IX Program & Training Specialist

Assists the Title IX Coordinator in carrying out OIE's Title IX prevention and programming responsibilities, which include coordinating, designing, and conducting related University-wide education, awareness, and prevention programs and campaigns to students and employees across all campuses. Researches and assists with the administration of Title IX prevention programs, committee participation and leadership, and community outreach. Assists in the development and review of University-wide policies and procedures that further institutional civil rights objectives related to Title IX and identifies best practices and current trends with regard to Title IX and sexual misconduct programming and education.

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, assists the AVP with supervising personnel, and manages personnel records/procedures functions.

Percentage of time devoted to affirmative action duties: 100%

Office of Human Resources

Christopher Delello, Chief Human Resources Officer

As a key member of the University's leadership team, the Chief Human Resources Officer provides overall strategic HR vision and leadership for the University at Storrs, Farmington, and the regional campuses. Reporting to the Executive Vice President for Administration and Chief Financial Officer, the Chief Human Resources Officer collaborates with the President, Provost, and Vice Presidents of the University to develop strategies related to human capital management and leadership development. The Chief Human Resources Officer provides leadership in policy development and implementation and advises the administration on various human resources and labor relations issues, including methods for supporting diversity objectives.

Percentage of time devoted to affirmative action duties: 80%

Human Resources Operations

Aliza Wilder, Executive Director of Human Resources Operations

Under the administrative review of the Chief Human Resources Officer, plans, administers, and participates in the evaluation of the University's diverse human resource programs; provides leadership in policy development and implementation; and advises the administration on various human resource issues, including methods for supporting diversity objectives. Oversees internal HR operations to ensure effective and efficient service to constituents.

Percentage of time devoted to affirmative action duties: 80%

Michelle Fournier, Manager of Compensation

Provides leadership and guidance to the University Administrators on compensation matters as it relates to recruitment, hiring, workforce and market assessments, and classification. Assists administrators with developing compensation strategies for recruitment and workforce management.

Percentage of time devoted to affirmative action duties: 80%

Jessica Van Alstyne, Director of Benefits and HR Services

Under the administrative review of the Executive Director of Human Resources Operations, is responsible for the team providing front-line service and information to faculty, staff, and the key general public related to benefits, employment, retirement and other departmental activities.

Facilitates key responsibilities for the recruitment and onboarding of staff, including background checks, benefits enrollment, and support for new employee orientation. Provides sound guidelines and advice on human resources policies related to employee benefits and retirements by interpreting and clarifying State Statutes, policies, procedures, and contract language.

Percentage of time devoted to affirmative action duties: 60%

Ryan Bangham, Absence Management Manager

Under the administrative review of the Executive Director of Human Resources Operations, is responsible for providing information and guidance to managers, supervisors, and employees regarding ADA Workplace Accommodation, Leave Administration, Worker's Compensation and related compliance issues. The Manager is charged with processing and facilitating all requests for employee workplace ADA accommodations. The Manager also oversees the leaves of absence program, including FMLA, personal, military, educational, and other types of leaves, as well as workers' compensation.

Percentage of time devoted to affirmative action duties: 100%

Susan McMahon, Human Resources Assistant

Under the general direction of the Director of Benefits, administers employee tuition benefit programs and the various union professional development programs.

Percentage of time devoted to affirmative action duties: 50%

Meagan Luchon, Human Resources Assistant

Under the general direction of the Director of Benefits, administers employee tuition benefit programs and the various union professional development programs.

Percentage of time devoted to affirmative action duties: 50%

Patricia Geissler, Training Program Coordinator (until July 1, 2020)

Administers employee tuition benefit programs and the various union professional development programs.

Percentage of time devoted to affirmative action duties: 60%

HR Leadership & Effectiveness

Renee Boggis, Director of Human Resources Leadership and Effectiveness

Under the administrative review of the Chief Human Resources Officer, collaborates with and assists the Chief Human Resources Officer in the planning, administration, and evaluation of the University's diverse human resources programs. Provides leadership and guidance to the department's leadership team to ensure successful implementation of HR strategies, programs, and procedures, while driving continuous improvements and fostering shared learning across the Department.

Percentage of time devoted to affirmative action duties: 80%

Jenny Cassells, Employment Specialist

Provides advanced guidance to the University community in employment, advertising, classification and compensation, and performance management strategies. Assists search administrators with procedures and strategies for recruitment. Counsels employees on career development and transition.

Percentage of time devoted to affirmative action duties: 80%

Shannon Page, Employment Specialist

Provides advanced guidance to the University community in employment, advertising, classification and compensation, and performance management strategies. Assists search administrators with procedures and strategies for recruitment. Counsels employees on career development and transition.

Percentage of time devoted to affirmative action duties: 80%

Rebecca Myshrall, Employment Specialist

Provides advanced guidance to the University community in employment, advertising, classification and compensation, and performance management strategies. Assists search administrators with procedures and strategies for recruitment. Counsels employees on career development and transition.

Percentage of time devoted to affirmative action duties: 80%

Victoria Meacham, Employment Specialist

Provides advanced guidance to the University community in employment, advertising, classification and compensation, and performance management strategies. Assists search administrators with procedures and strategies for recruitment. Counsels employees on career development and transition.

Percentage of time devoted to affirmative action duties: 80%

Briana Williams, Human Resources Associate

Provides services to the University community in employment, advertising, classification, and compensation. Assists search administrators with procedures and strategies for recruitment. Provides guidance on the administration of the classified bargaining union contracts and state merit rules and regulations, specifically as they relate to job postings, vacancies, and other employed-related areas.

Percentage of time devoted to affirmative action duties: 60%

Johannah Gorgone, Human Resources Business Partner

Under the administrative review of the Director of HR Leadership and Effectiveness, provides comprehensive HR services to University leaders in areas including workforce planning, human resources policy and management, and other related human resource functions. HR Business Partners are also responsible for interpreting collective bargaining agreements, guiding managers in the resolution of day-to-day and complex employee relations issues, and identifying training needs for functional business areas and opportunities for individual manager coaching.

Percentage of time devoted to affirmative action duties: 60%

Office of Faculty & Staff Labor Relations

Karen Buffkin, Executive Director of Employee Relations and Labor & Employment Attorney

Under the administrative review of the Associate Vice President and Chief Human Resources Officer, provides strategic leadership and direction for the University's employee and labor relations and collective bargaining functions. Oversees the University's official responses to CHRO and EEOC discrimination complaints. Under the general oversight of the University's General Counsel, also provides advice and counsel to the University community on various legal

issues associated with the employment relationship and ensures the proper representation of the University's interests in employment-related proceedings and litigation. Serves as the University's Chief Labor Negotiator in collective bargaining with University-specific bargaining units.

Percentage of time devoted to affirmative action duties: 80%

Keith Hood, Director of the Office of Faculty & Staff Labor Relations

Under the administrative review of the Executive Director of Employee Relations, provides strategic leadership and direction for the University's labor relations and collective bargaining functions. Also provides advice to the University community on various legal issues associated with the employment relationship and ensures the proper representation of the University's interests in employment-related proceedings.

Percentage of time devoted to affirmative action duties: 80%

Kelly Bannister, Associate Director and Labor & Employment Attorney

Responsible for contract administration and grievance handling for the American Association of University Professors, the unit representing faculty and related professionals. Assists the Director in managing collective bargaining contract administration. Handles grievance and related labor employment proceedings, advises on performance evaluations, conducts disciplinary investigations, and defends the University's interests in grievances. Under the general oversight of the Executive Director, also provides advice and counsel to the University community on various legal issues associated with the employment relationship and ensures the proper representation of the University's interests in employment-related proceedings and litigation and before administrative bodies such as CHRO and the Labor Board.

Percentage of time devoted to affirmative action duties: 60%

Allison Cutler, Labor Relations Associate and Labor & Employment Attorney

Responsible for contract administration and grievance handling for all classified bargaining units and the UCPEA Unit representing non-teaching professionals. Advises on performance evaluations, conducts disciplinary investigations, and defends the University's interests in grievances. Under the general oversight of the Executive Director, also provides advice and counsel to the University community on various legal issues associated with the employment relationship and ensures the proper representation of the University's interests in employment-related proceedings and litigation.

Percentage of time devoted to affirmative action duties: 60%

Kristen Brierley, Labor Relations Associate and Labor & Employment Attorney

Responsible for contract administration and grievance handling for the UCPEA Unit representing non-teaching professionals and recently formed unit of Postdoctoral Research Associates in the UAW - Postdocs. Advises on performance evaluations, conducts disciplinary investigations, and defends the University's interests in grievances. Under the general oversight of the Executive Director, also provides advice and counsel to the University community on various legal issues associated with the employment relationship and ensures the proper representation of the University's interest in employment-related proceedings and litigation.

Percentage of time devoted to affirmative action duties: 60%

Office for Diversity and Inclusion

Dana Wilder, Assistant Vice President for Diversity and Inclusion and Interim Chief Diversity Officer until July 26, 2020

Plans, develops, administers, and evaluates the University's diversity programs and works to advance University-wide efforts to recruit, develop, retain, and engage a diverse community of faculty, staff, and students with varied backgrounds and perspectives. Works with units that are responsible for equity and diversity programs to support a campus environment that is free of discrimination, harassment, and retaliation.

Percentage of time devoted to affirmative action duties: 80%

Franklin Tuitt, Vice President for Diversity and Inclusion and Chief Diversity Officer as of July 27, 2020

Plans, develops, administers, and evaluates the University's diversity programs and works to advance University-wide efforts to recruit, develop, retain, and engage a diverse community of faculty, staff, and students with varied backgrounds and perspectives. Works with units that are responsible for equity and diversity programs to support a campus environment that is free of discrimination, harassment, and retaliation.

Percentage of time devoted to affirmative action duties: 80%

Jonelle Reynolds, Director of Diversity and Inclusion Initiatives

Develops and facilitates inclusion programs and initiatives while sustaining partnerships across the University and beyond. Develops programming that provides support to ODI's efforts to cultivate a more diverse and inclusive academic community for all students, faculty, and staff, as well as furthering the University's strategic priority of inspiring and developing student leaders to live and work in an increasingly diverse global community. Coordinates the Native American Cultural Program (NACP), which provides support, advocacy, and resources to both Native American students and students interested in the Native American culture through partnerships with UConn faculty, staff, and cultural centers, as well as with the local community and local tribes.

Percentage of time devoted to affirmative action duties: 80%

Additional University Personnel

In addition to the individuals listed with specific affirmative action duties, President Katsouleas holds the ultimate responsibility to ensure that the University's affirmative action and equal employment opportunity objectives are accomplished. The President and members of their senior administrative team including Nicole Fournier Gelston, Chief of Staff, and Michael Kirk, Senior Advisor to the President devote substantial time and efforts to ensure affirmative action and equal employment opportunity are instilled in all aspects of the operation of the University. Regarding the academic operations, Carl Lejuez, Provost and Executive Vice President for Academic Affairs, dedicates significant time to monitoring all academic functions related to employment, promotion, retention and recruitment to make certain they are conducted in accordance of affirmative action principles and policies.

Additional personnel at the Vice President/Provost, Dean, Department Head and Search Committee level spend a significant portion of their time on Affirmative Action. Vice Presidents/Provosts, Deans, and Department Heads are responsible for monitoring and applying Affirmative Action and Equal Employment Opportunity in searches and promotions they oversee, and in creating an inclusive environment free from discrimination within their departments.

Specifically, Vice Presidents/Provosts and Deans are responsible for charging their respective search committees with their objective for the search. This charge will include 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 President and Provost to ensure these objectives are accomplished. The President has specifically designated the Associate Vice President of OIE as the person responsible for working towards and achieving Affirmative Action and Equal Employment Opportunity at the University.

Subsection (i)

The University of Connecticut has established internal program evaluation mechanisms to continually audit, monitor, and evaluate programs in the University's affirmative action program. The President (the appointing authority), the Provost and Executive Vice President for Academic Affairs (Provost), and the Associate Vice President of OIE (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, the University considered the following:

1. Conducting an ongoing review and evaluation of the University'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; and
3. Reviewing the affirmative action plan 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.

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

1. Conducting an ongoing review and evaluation of the University'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 2021 *Plan* was an integral part of ongoing discussions throughout the *Plan* year. The Associate Vice President for OIE has continued to review goal achievement on a regular basis and has presented verbal and/or written reports to the President and Provost. At regular meetings of the leadership team, the President frequently requires direct reports to summarize their respective divisions' progress on affirmative action and diversity goals. These meetings were in addition to the regular meetings between the President's Chief of Staff and the University'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.

Interim Associate Vice President Chipman presented at Dean and Department Head meetings during the *Plan* year to support and advance hiring initiatives, and held regular meetings throughout the *Plan* year with the Provost and his staff regarding aggressively advancing affirmative action, particularly in the context of the recruitment and hiring process.

In this *Plan* year, OIE continued to collaborate with the Office of Human Resources (OHR) to maintain the process for review and approval of searches. The search procedures include a requirement that each hiring department leader certify to OIE that each search meets good faith, affirmative action, and diversity standards. All searches undergo an in-depth review prior to interview and hire of applicants. Hiring departments are required to submit information regarding recruitment, qualifications, and applicant evaluation to OIE, prior to interviewing and hiring applicants, using the on-line application systems, Recruiting Solutions (until November 30, 2019) and PageUp (launched December 2, 2019).

Both systems included many features including the ability to identify search committee members, search and organize applicant records, track communication with applicants, and compile aggregate applicant pool data. Additionally, both Recruiting Solutions and PageUp provide OIE with a portal to view data and documentation for an affirmative action review and to intervene in a search that is deficient. Search files maintained in Recruiting Solutions have been archived and currently the PageUp system houses the official search record for the University and contains all detailed information regarding each job search and hiring process.

During the 2021 *Plan* year, the University was able to make several significant hires of underrepresented and diverse candidates. Following national searches recruiting diverse applicant pools, a black male was hired as a Vice President of Diversity and Inclusion and a black female as Dean of the Law School. Additionally, other Executive Management positions were filled by a white female as the Associate Vice President in Controller Department, a black male as Associate Vice President of ISS Administration an Asian male as Associate Vice President in Technology Communication and Industry Relations.

Focused recruitment efforts resulted in several notable hires of black and Hispanic faculty in fields where diverse candidates are historically underrepresented. Black females were hired

as a Professor in Human Development and Family Sciences and in Social Work Instruction and Research Department. Also, black females were hired as Associate Professor in Educational Psychology Leadership, Educational Leadership, and in the Anthropology Department. Two Hispanic males and five Hispanic females were hired as Assistant Professors in Plant Science and Landscape Architecture, Business Faculty and Outreach, Economics, Philosophy, Kinesiology, English, and Social Work Instruction and Research. Additionally, a Hispanic male was hired as an Associate Professor in the Psychological Sciences Department.

White females were hired as Assistant Professors into traditionally male dominated fields of Computer Science and Engineering, Management, Digital Media and Design, and Natural Resources and Environment. Additionally, a white female was hired as an Associate Professor in the Physics Department.

The Department of Public Safety continued to successfully recruit and hire diverse candidates. A black female, Asian male, and white females were hired as Police Trainees and one Hispanic male and two white females filled Building and Grounds Patrol Officer positions.

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

In an academic institution, Deans are central leadership figures who establish goals, monitor progress, and set the tone and direction for their respective academic divisions and units. During the 2021 *Plan* year, the Provost continued to hold the Deans (his direct reports) accountable for progress and achievements relative to affirmative action, compliance, and diversity. As in past years, the Provost embedded diversity into the performance evaluations of his direct reports and mandated that Deans take a more proactive approach to increase hires into under-represented populations in their respective units. Leaders of academic departments (hiring managers), in turn, were instructed to monitor the hiring process within their own units and certify that appropriate EEO/AA standards had been applied throughout the hiring process. As a supplementary accountability mechanism relative to faculty hires, the Provost included formal approval by the Provost's office prior to offer approval by OIE and OHR. Further, academic hiring managers were required to provide detailed rationale for the hire and rejection of finalists. The additional scrutiny ensured a proactive approach toward diversity and affirmative action goals.

As in prior *Plan* years, the University continues to vest more responsibility in the Deans, Directors, and other key leaders to achieve affirmative action goals in the workforce. In addition, the University's search and hiring procedures include a series of checks and balances to ensure that the law and spirit of affirmative action is applied throughout the recruiting and selection phase of searches. OIE reviews all search files prior to interviews, and before offers are extended, and withholds approval if the search documentation indicates procedural deficiencies or a lack of good faith effort.

Candidates interviewing for high-level managerial positions are asked to respond to inquiries regarding their competence and achievements in diversity, including their ability to work in a

diverse environment. Job postings for positions in management, faculty, and staff have included achievements related to diversity issues as a factor in application evaluation.

As described above, executives and managers have continued to utilize a mixture of the following techniques in reviewing their managers and supervisors: staff and individual meetings; periodic memoranda; information gathered during the search process; reports generated by OIE and within their units; monitoring of discrimination and sexual harassment complaints; monitoring of job descriptions within their responsibility; and consultations with hiring departments during searches. Also, please refer to items (4) and (6) below for additional information about the types of materials used for evaluating executive and managerial performance.

All of the above activities and mechanisms demonstrate strong commitment to affirmative action and diversity and reaffirm the expectation that senior managers will be evaluated and held responsible for progressing in this area.

3. Reviewing the affirmative action plan at least annually with the Equal Employment Officer and 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 President's Chief of Staff throughout the *Plan* year, Associate Vice President Conklin and currently Interim Associate Vice President Chipman apprise the President of progress toward goals and objectives established in the *Plan*. Furthermore, Associate Vice President Conklin and Interim Associate Vice President Chipman identify specific problems and provide recommendations for any necessary corrective action.

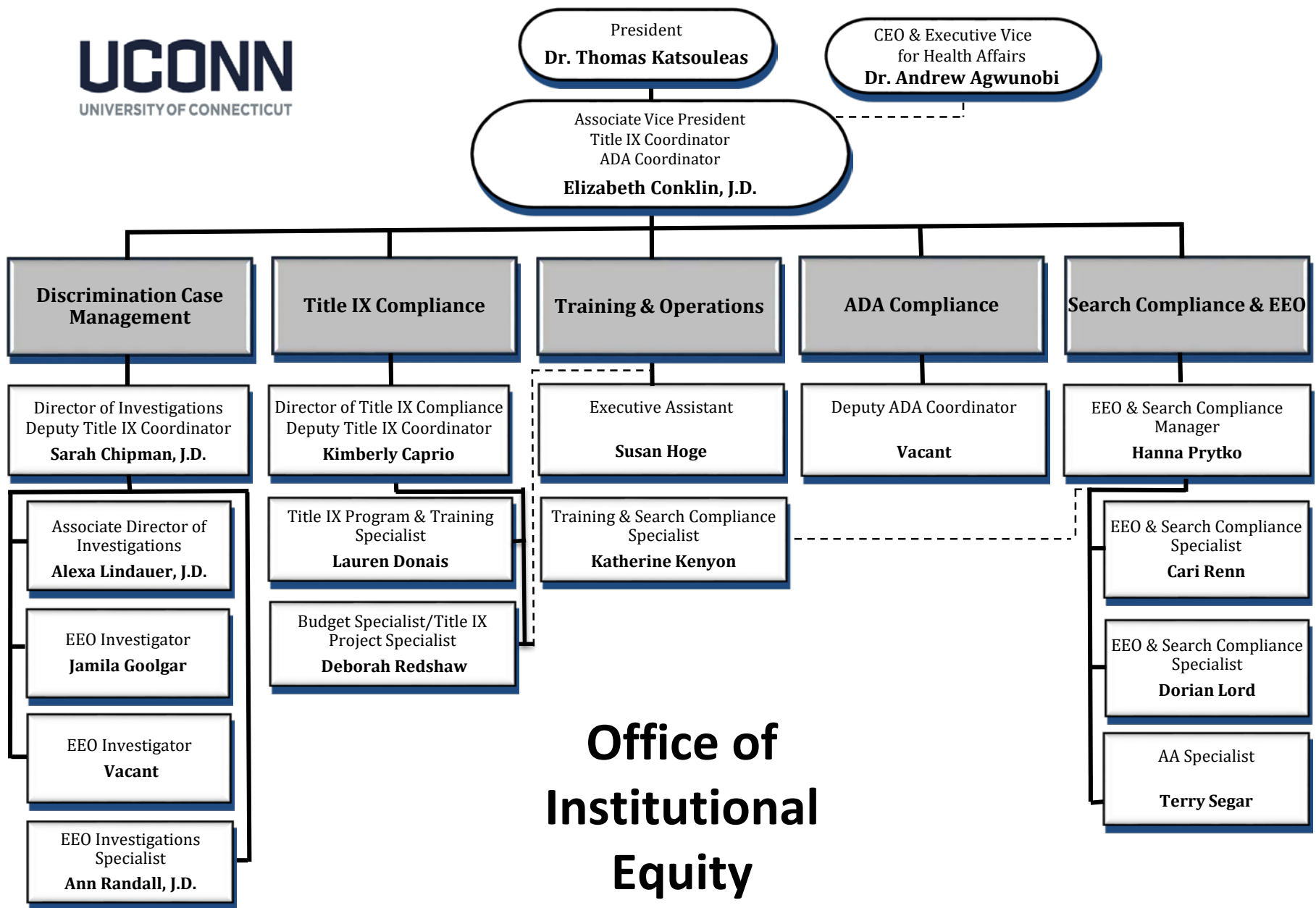
Associate Vice President Conklin and Interim Associate Vice President Chipman provide the President and Provost an *Affirmative Action Plan Executive Summary* for review and discussion. The *2021 Executive Summary* provides an analysis of hiring goal achievement, an evaluation of the program goals, and an explanation of the new goals set for the new *Plan* year. Additionally, this *Executive Summary* includes quantitative representation of the workforce, new hires and applicants based on the affirmative action *Plan* year. The President and Provost consistently requested information regarding those hiring departments that show improvement and take note of those that are succeeding and those that appear to be stagnant. 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 3** for a copy of the *2021 Executive Summary*.

The President receives regular briefings regarding all complaints investigated and/or adjudicated by the EEO Investigators of the Office Institutional Equity. The President and Provost (for matters relating to academic operations) are notified of all decisions regarding complaints and receive copies of all Findings and Recommendations. These regular meetings routinely include discussions of trends with respect to both hiring and discrimination complaint activity.

The President, the Associate Vice President for OIE, and the Interim Associate Vice President for OIE reviews the *Plan* prior to its submission to the Commission on Human Rights and Opportunities (CHRO). Additionally, OIE submits periodic updates regarding progress on various elements of the *Plan*, including goal achievement, to the President, Provost and Executive Vice President for Academic Affairs, and other senior executives.

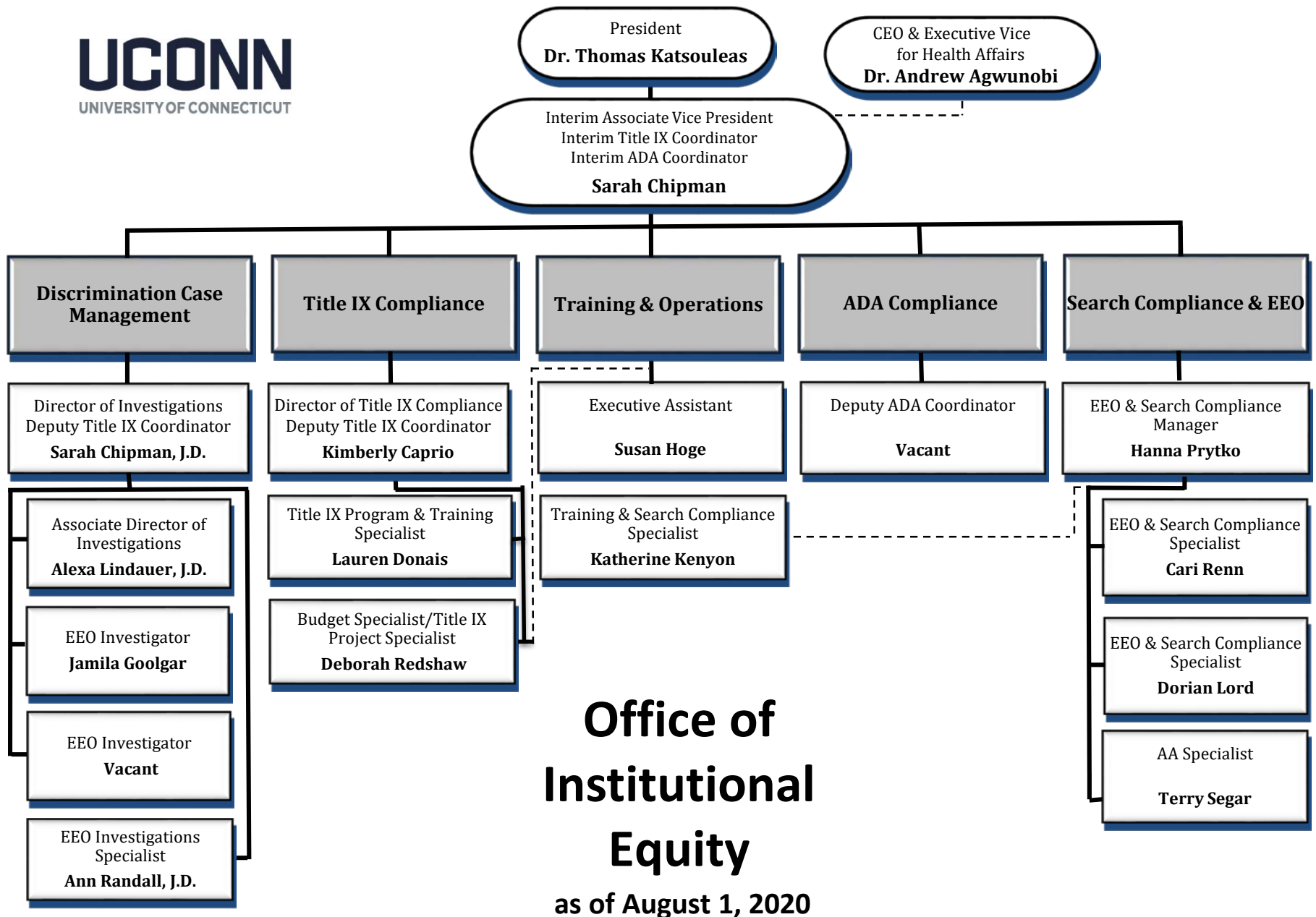
All employee groups are free to comment on any aspect of the *Plan* or program, according to their interests. OIE requests that comments and inquiries regarding the *Plan* be submitted no later than September 30 of each year, so that these matters can be referenced in the respective year's *Plan*, as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

After completing the *Plan* in accordance with 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.



Office of Institutional Equity

until July 31, 2020



**Office of
Institutional
Equity**
as of August 1, 2020

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.

Facilitated by Interim Associate Vice President and Chief Diversity Officer, Dana Wilder, the Council is composed of faculty, staff, and students across all academic and administrative units on campus. The council also supports 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.

Membership

Jennifer Akosa
Zahra Ali
Jill Anderson
Sarita Arteaga
Stuart Brown
Elizabeth Conklin
Mike Enright
Alice Fairfield
Maria-Luz Fernandez

Michael Gilbert
Lucy Gilson
David Henderson
Teresa Johnston
Kim Kim
Donna Korbel
Mona Lucas
Maria Martinez
Katherine Martin
Merlita Murphy
Avolyn Nieves
Ajhanai Newton

Noemi Maldonado Picardi
Jose Luis Ramos
Hans Rhynhart
Roxanne Roy
Cathy Schlund-Vials
Marie Smith
Adrianne Swinney
Mei Wei
Aliza Wilder
Edvin Yegir



2020

AFFIRMATIVE ACTION EXECUTIVE SUMMARY

UNIVERSITY OF CONNECTICUT

OFFICE OF
INSTITUTIONAL
EQUITY

University of Connecticut

2021 AFFIRMATIVE ACTION PLAN

Overview and Highlights

The Office of Institutional Equity (OIE) has completed the University'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
- workforce 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.

Plan Approval

The University's history of approvals has been based on CHRO's acceptance that the University 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.

Report Highlights

GOAL ACHIEVEMENT	2
PROGRAM GOALS	3
2020 WORKFORCE	4
WORKFORCE - 10 YEAR	5
2020 NEW HIRES	8
APPLICANTS	9

HIRING AND PROMOTIONAL GOALS

A hiring or promotional goal is set when underutilization has been identified for a race/gender group in a job category/title. For each job category/title, a Utilization Analysis is conducted to compare the University's workforce to the availability in the relevant labor market. Availability is determined through an analysis of statistical data from sources such as the US Census, IPEDS, NCAA, and the Department of Labor. Availability is determined for each job group by weighting the sources in accordance with its significance to that job category/title. When the percentage of a race/gender group in the University workforce is less than the availability in the labor market, hiring goals are set.

Promotional goals are set in lieu of or in addition to hiring goals, based on the historical pattern of filling specific positions.

Because of the constantly changing labor market and University workforce, goals are updated annually.

Goal Achievement

Category	Hires	Goals Met	2020 %	2019 %
Executive Managerial	9	2	22.2	28.6
Faculty	88	45	51.1	48.2
Professional	167	39	23.4	21.0
Secretarial/Clerical	2	0	0.0	0.0
Tech/Paraprofessional	0	0	0.0	0.0
Qualified Craft	12	1	8.3	12.5
Protective Services	17	3	17.6	28.6
Service/Maintenance	32	9	28.1	25.0
Total	327	99	30.3	25.3

Total Goal Achievement: 29.7%

Note: New Career Path* titles are not included in the hires for goal achievement as not goals were not set in the previous Plan.

- ♦ The Faculty category had the highest goal achievement of 51.1%
- ♦ 37.4% of the goals met were by White males hires - 27 hires.
- ♦ Females comprised 52.5% of goal hires
- ♦ 27.3% of goals were met by minority** hires

*Career Paths is the new classification system for UCPEA covered employees implemented by Human Resources in July 2020.

**includes Black, Hispanic, Asian and Native American

GOALS ACCOMPLISHED

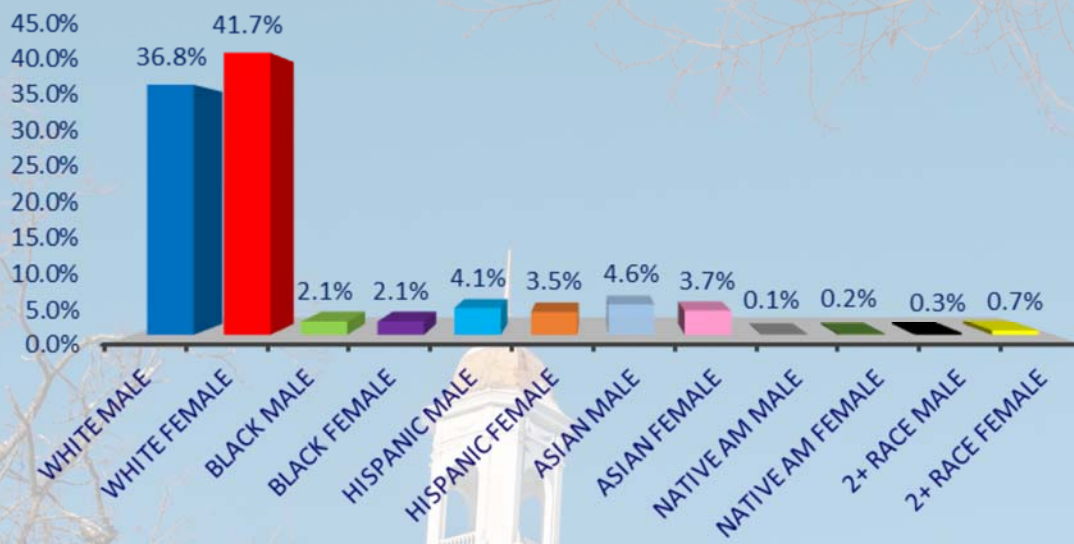
- The Office of Institutional Equity (OIE) established a working group that updated materials around sexual harassment including website content, brochures, and updated information and best practices within trainings. Specifically, information covered in these updated materials included definitions of sexual harassment, brief case studies to illustrate examples of sexual harassment, accessibility of information, where and how to report incidents of sexual harassment, and extensive discussion of the University's commitment to a working environment free from all forms of discrimination and harassment including sexual harassment. All materials were developed to be clear, easy to understand, and easily accessible.
- The Office of Institutional Equity's Training and Education team developed an on-line search committee training to allow employees working remotely to fulfill the training requirement prior to serving on a search committee. This self-paced training covers topics of Affirmative Action and Equal Employment Opportunity compliance, the University search process, best practices for recognizing and minimizing implicit bias, recruitment, interviewing and applicant evaluation.
- The Office of Institutional Equity collaborated with the Office of Human Resources on an enhanced New Employee Orientation (NEO) Module. In the new NEO program, OIE staff deliver a presentation to all new employees including an overview of OIE's role at the University along with information about Affirmative Action and Equal Employment Opportunity compliance, training obligations including Sexual Harassment Prevention and Diversity Awareness Training, and the University's Policy Against Discrimination, Harassment, and Related Interpersonal Violence.

GOALS PLANNED

- The Office of Institutional Equity (OIE) will reconstruct the online version of the mandatory search committee-training workshop to include additional modules and updated information on inherent bias and search procedures. Due to the addition of a new software program for searches and updated research on inherent bias and recruitment initiatives, there is a demand for a retrain for all University employees on a search committee. OIE will begin the process of offering the new online module as part of the retraining initiative.
- The Office of Institutional Equity (OIE), in collaboration with the Office for Diversity and Inclusion (ODI), will update and enhance the mandatory Diversity Awareness training. The training will have a focus on concrete ways to engage in the workforce respectfully. The collaboration will involve enriching the current content of resources, policies, and conduct expectations. The Diversity Awareness training will also include additional information on topics of intersectionality, implicit bias, and other critical diversity topics.

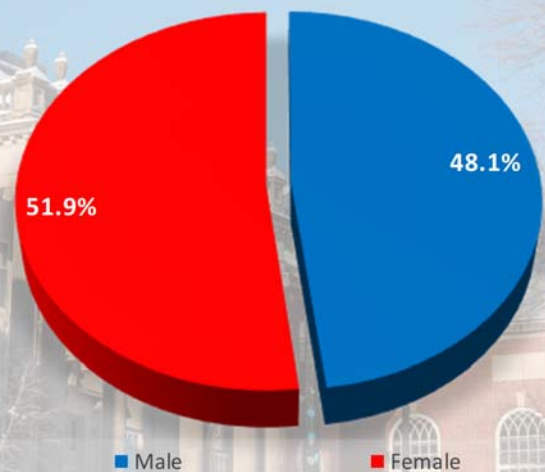
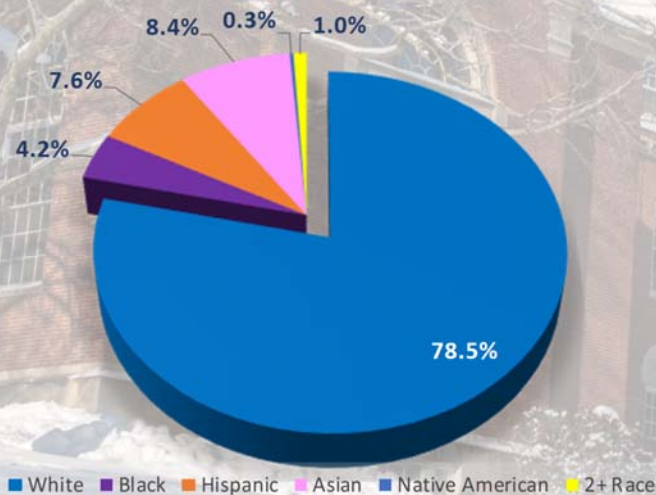
THE WORKFORCE

Total Workforce: 4218



Total Minority* = 21.5%
increased from 20.8% (2019)

Female = 51.9%
Male = 48.1%



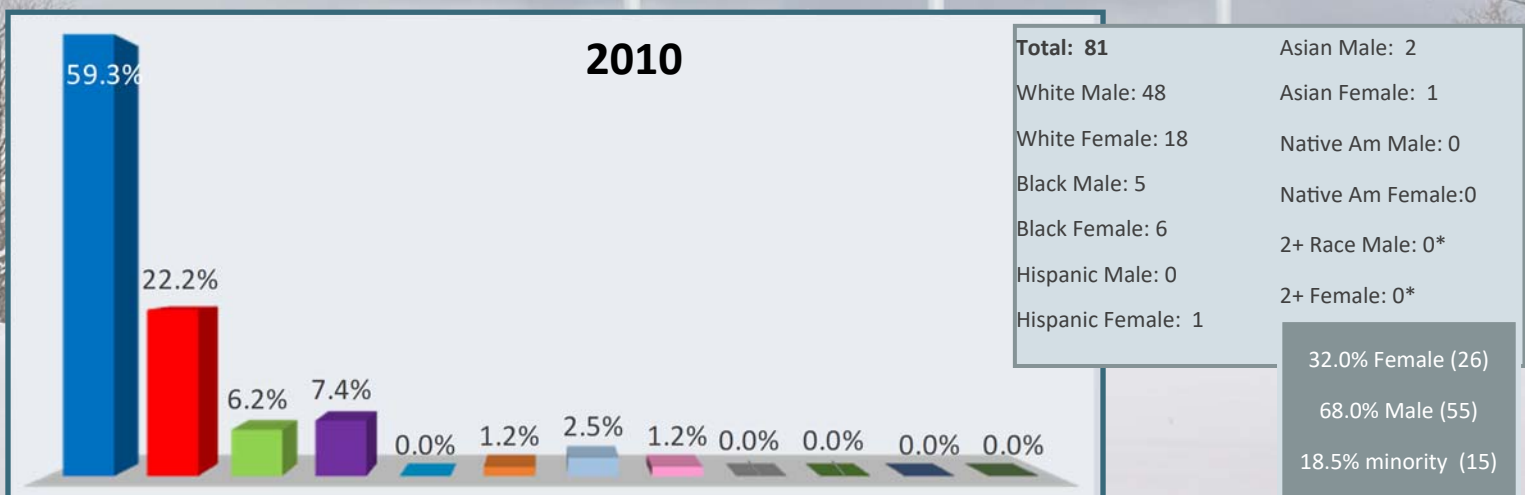
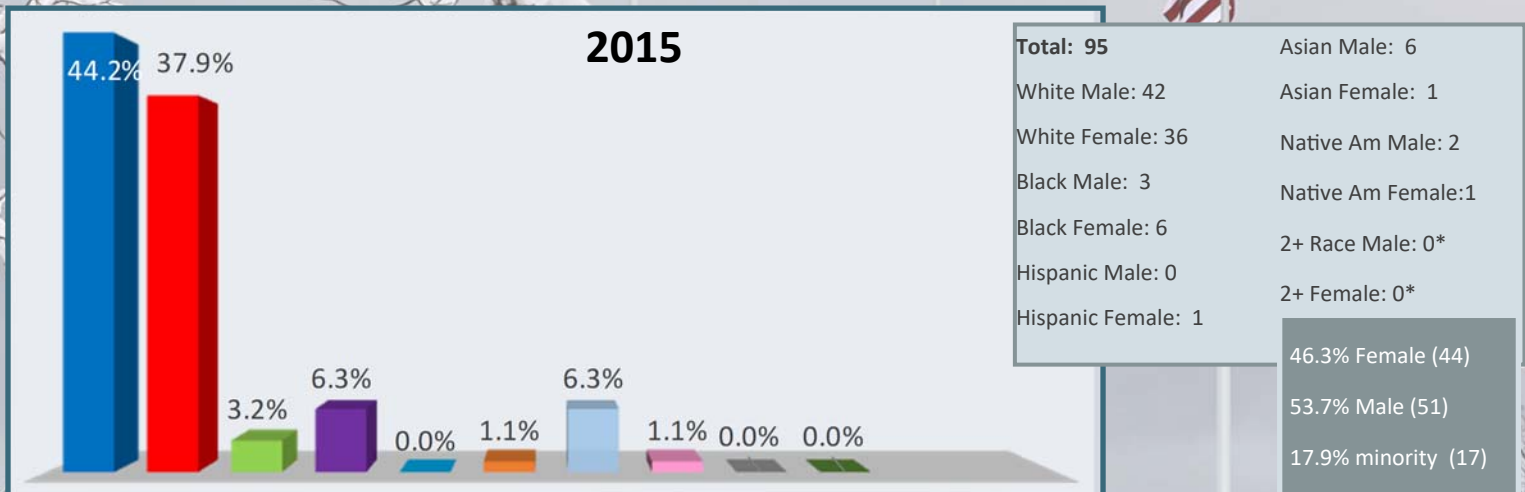
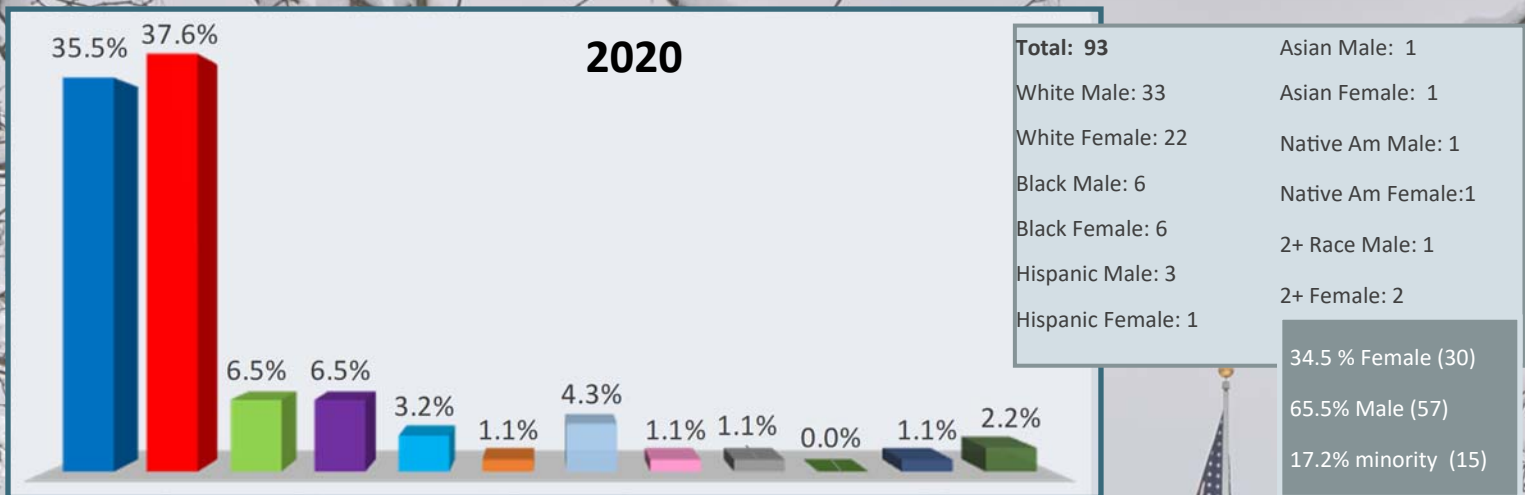
Current vs Previous Workforce

The total workforce increased from 4179 to 4218, an increase of 0.9%.

- Hispanic increased from 7.4% to 7.6%.
- Black remained the same at 4.2%.
- Asian decreased from 8.5% to 8.4%.
- 2+ Races increased from 0.7% to 1.0%
- Native American increased from 0 to 0.3%
- White decreased from 79.7 to 78.5%.
- Female increased from 51.4% to 51.9%.
- Total minority* workforce increased from 20.8% to 21.5%

*includes Black, Hispanic, Asian, Native American and Two or more Races

WORKFORCE ANALYSIS—EXECUTIVE—PAST AND PRESENT

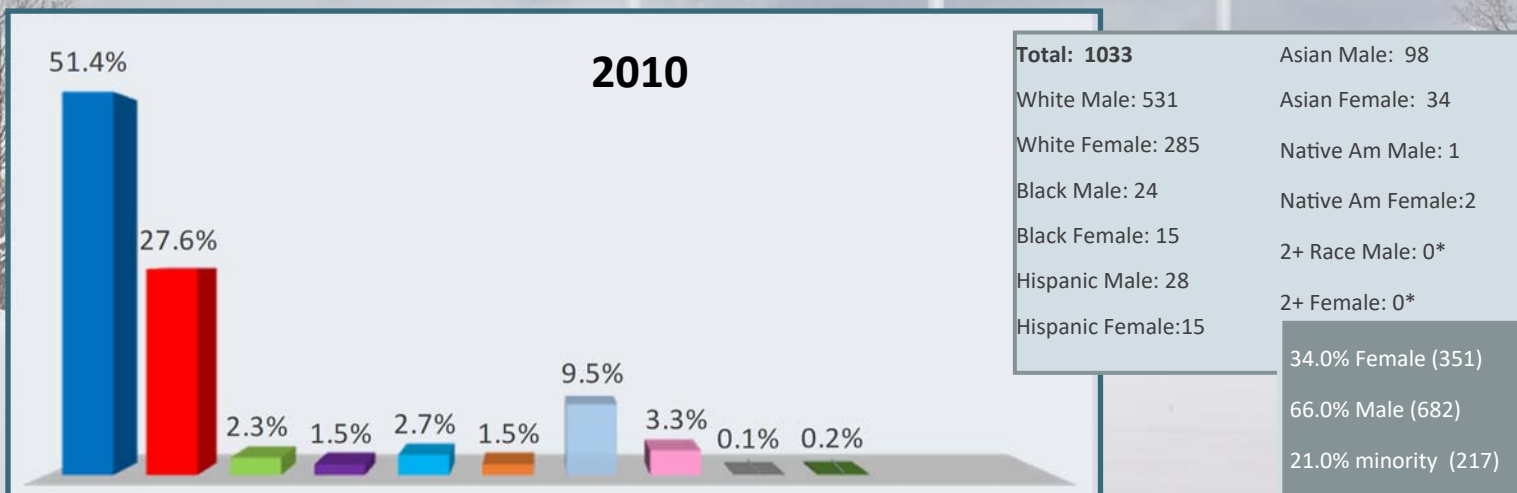
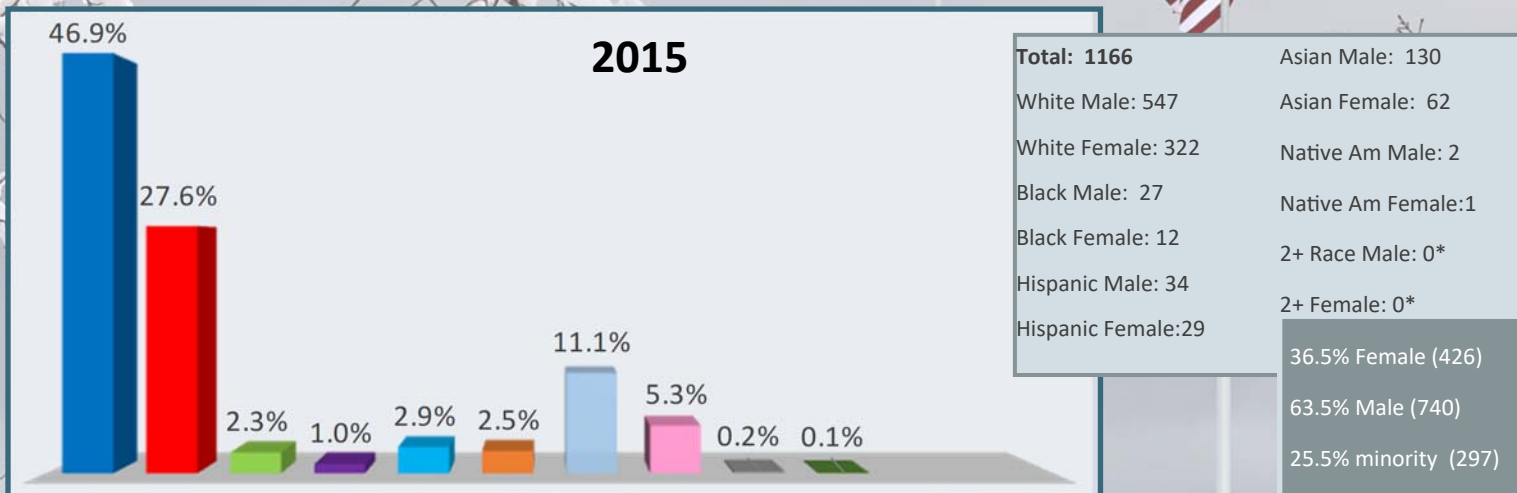


■ White Male
■ Black Female
■ Asian Male
■ Native American Female
■ White Female
■ Hispanic Male
■ Asian Female
■ 2+ Race Male
■ Black Male
■ Hispanic Female
■ Native American Male
■ 2+ Race Female

*2+ race data not collected at this time

Data as of November 30, 2020

WORKFORCE ANALYSIS—FACULTY—PAST AND PRESENT

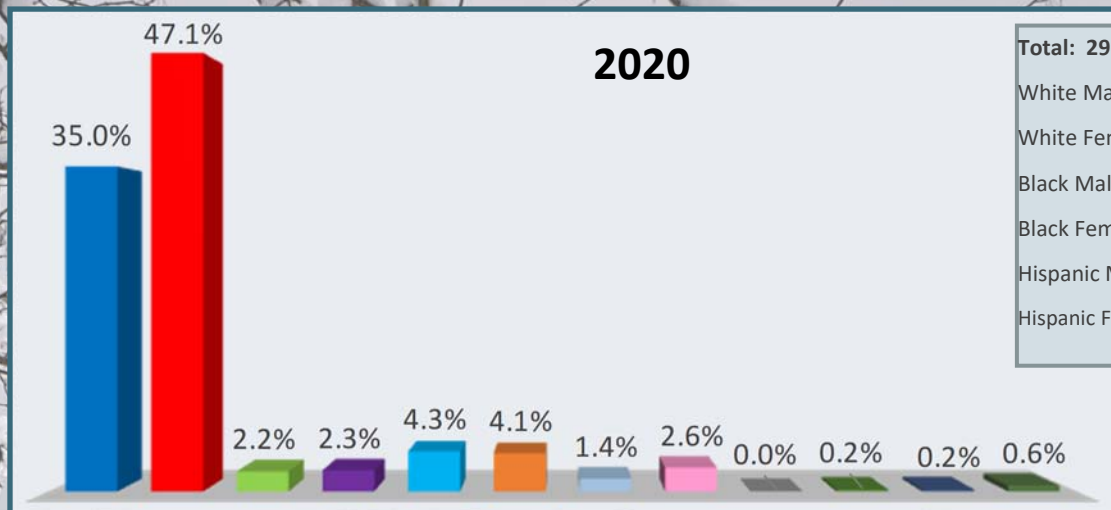


■ White Male ■ White Female ■ Black Male
■ Black Female ■ Hispanic Male ■ Hispanic Female
■ Asian Male ■ Asian Female ■ Native American Male
■ Native American Female ■ 2+ Race Male ■ 2+ Race Female

*2+ race data not collected at this time

Data as of November 30, 2020

WORKFORCE ANALYSIS—STAFF—PAST AND PRESENT

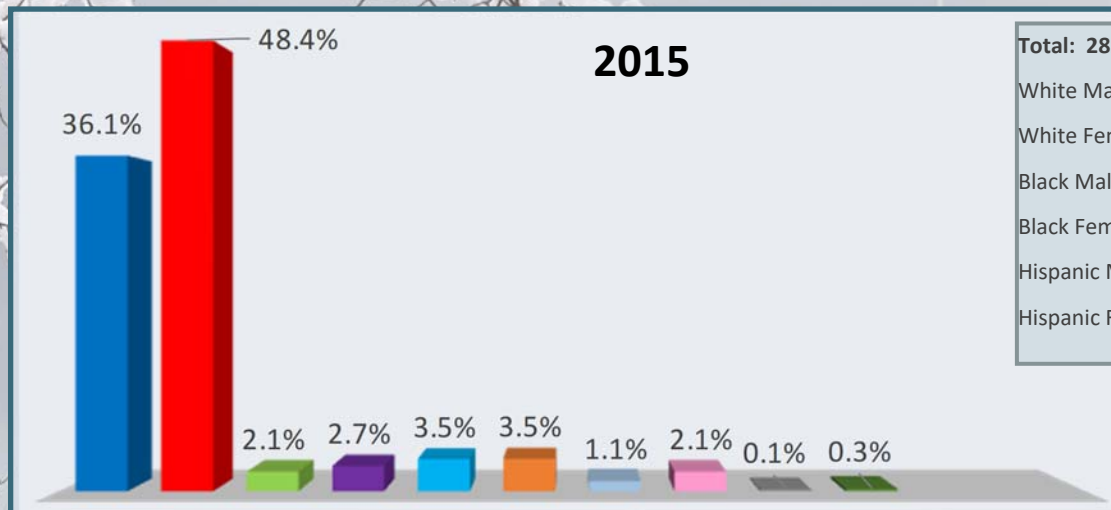


Total: 2967

White Male: 1038
White Female: 1398
Black Male: 64
Black Female: 67
Hispanic Male: 128
Hispanic Female: 122

Asian Male: 41
Asian Female: 76
Native Am Male: 1
Native Am Female: 6
2+ Race Male: 7
2+ Female: 19

56.9% Female (1688)
43.1% Male (1279)
17.9% minority (531)

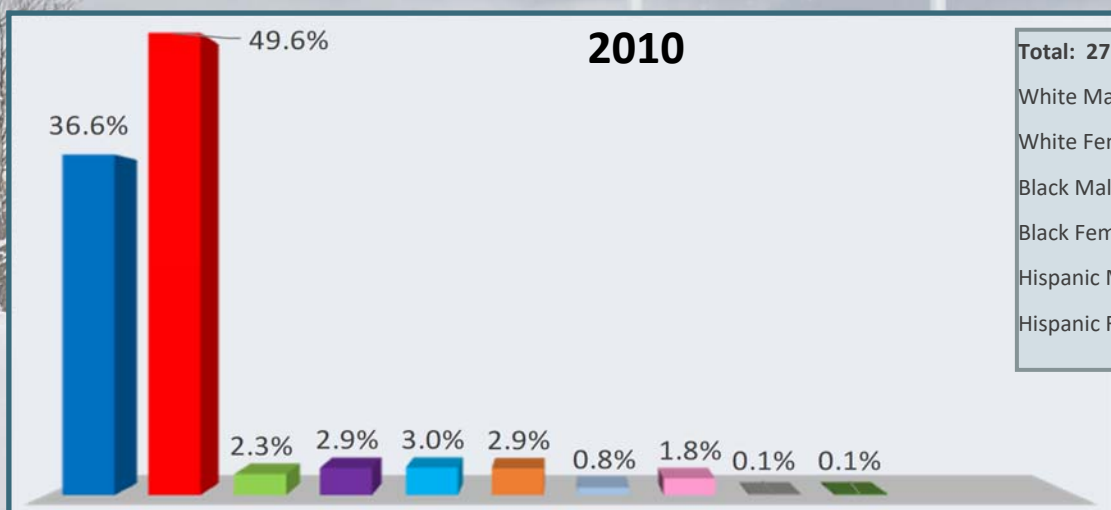


Total: 2827

White Male: 1021
White Female: 1369
Black Male: 60
Black Female: 77
Hispanic Male: 98
Hispanic Female: 99

Asian Male: 31
Asian Female: 60
Native Am Male: 4
Native Am Female: 8
2+ Race Male: 0*
2+ Female: 0*

57.1% Female (1613)
42.9% Male (1214)
15.5% minority (437)



Total: 2711

White Male: 992
White Female: 1344
Black Male: 61
Black Female: 79
Hispanic Male: 80
Hispanic Female: 78

Asian Male: 22
Asian Female: 48
Native Am Male: 3
Native Am Female: 4
2+ Race Male: 0*
2+ Female: 0*

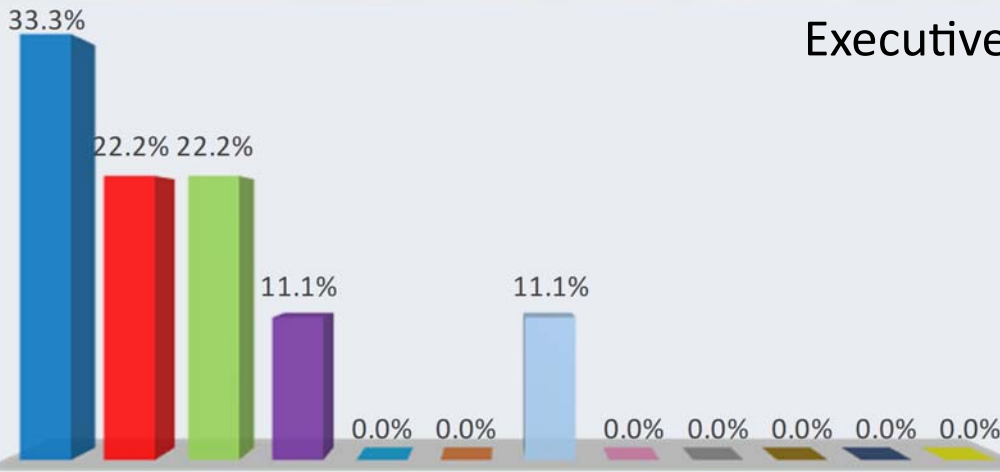
57.3% Female (1553)
42.7% Male (1158)
13.8% minority (375)

■ White Male
■ Black Female
■ Asian Male
■ Native American Female
■ White Female
■ Hispanic Male
■ Asian Female
■ 2+ Race Male
■ Black Male
■ Hispanic Female
■ Native American Male
■ 2+ Race Female

*2+ race data not collected at this time

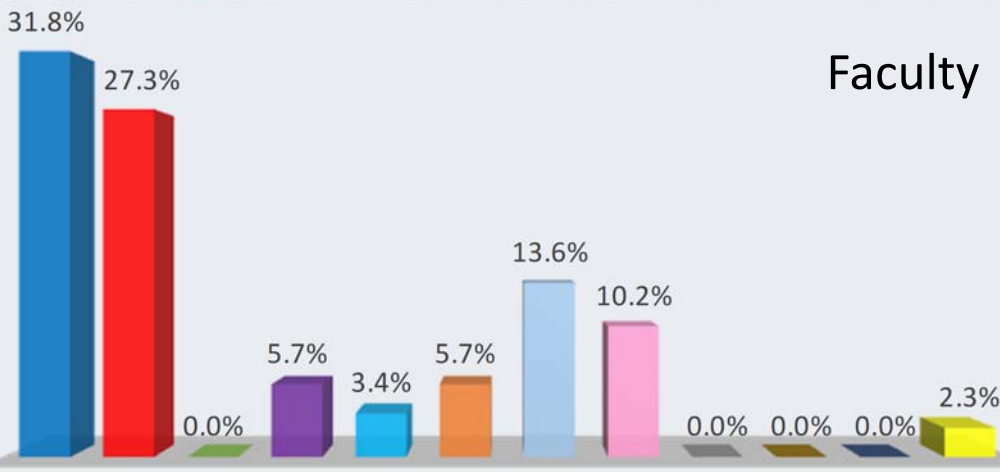
Data as of November 30, 2020

Executive

**Total: 9**

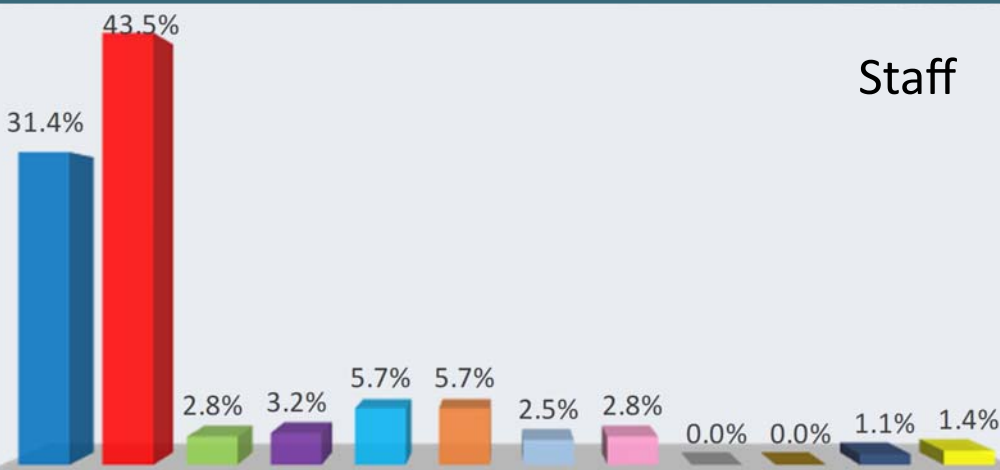
White Male: 33.3% (3)
 White Female: 22.2% (2)
 Black Male: 22.2% (2)
 Black Female: 11.1% (1)
 Hispanic Male: 0.0% (0)
 Hispanic Female: 0.0% (0)
 Asian Male: 11.1% (1)
 Asian Female: 0.0% (0)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)
 2+ Race Male: 0.0% (0)
 2+ Race Female: 0.0% (0)

Faculty

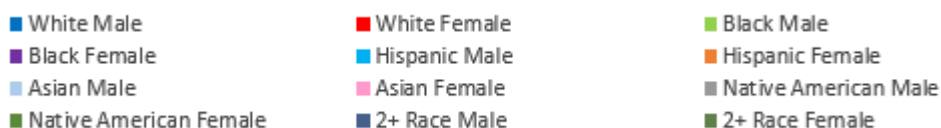
**Total: 88**

White Male: 31.8% (28)
 White Female: 27.3% (24)
 Black Male: 0.0% (0)
 Black Female: 5.7% (5)
 Hispanic Male: 3.4% (3)
 Hispanic Female: 5.7% (5)
 Asian Male: 13.6% (12)
 Asian Female: 10.2% (9)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)
 2+ Race Male: 0.0% (0)
 2+ Race Female: 0.0% (0)

Staff

**Total: 283**

White Male: 31.4% (89)
 White Female: 43.5% (123)
 Black Male: 2.8% (8)
 Black Female: 3.2% (9)
 Hispanic Male: 5.7% (16)
 Hispanic Female: 5.7% (16)
 Asian Male: 2.5% (7)
 Asian Female: 2.8% (8)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)
 2+ Race Male: 1.1% (3)
 2+ Race Female: 1.4% (4)



Executive

Applied: 364

- White Male: 100
- White Female: 52
- Black Male: 23
- Black Female: 23
- Hispanic Male: 7
- Hispanic Female: 5
- Asian Male: 18
- Asian Female: 7
- 2+ Race Male: 2
- 2+ Race Female: 2
- Unknown: 125

- Total Female: 89
- Total Male: 150

Qualified: 145

- White Male: 34
- White Female: 15
- Black Male: 12
- Black Female: 8
- Hispanic Male: 3
- Hispanic Female: 1
- Asian Male: 7
- Asian Female: 3
- 2+ Race Male: 2
- 2+ Race Female: 0
- Unknown: 60

- Total Female: 27
- Total Male: 58

Interview: 77

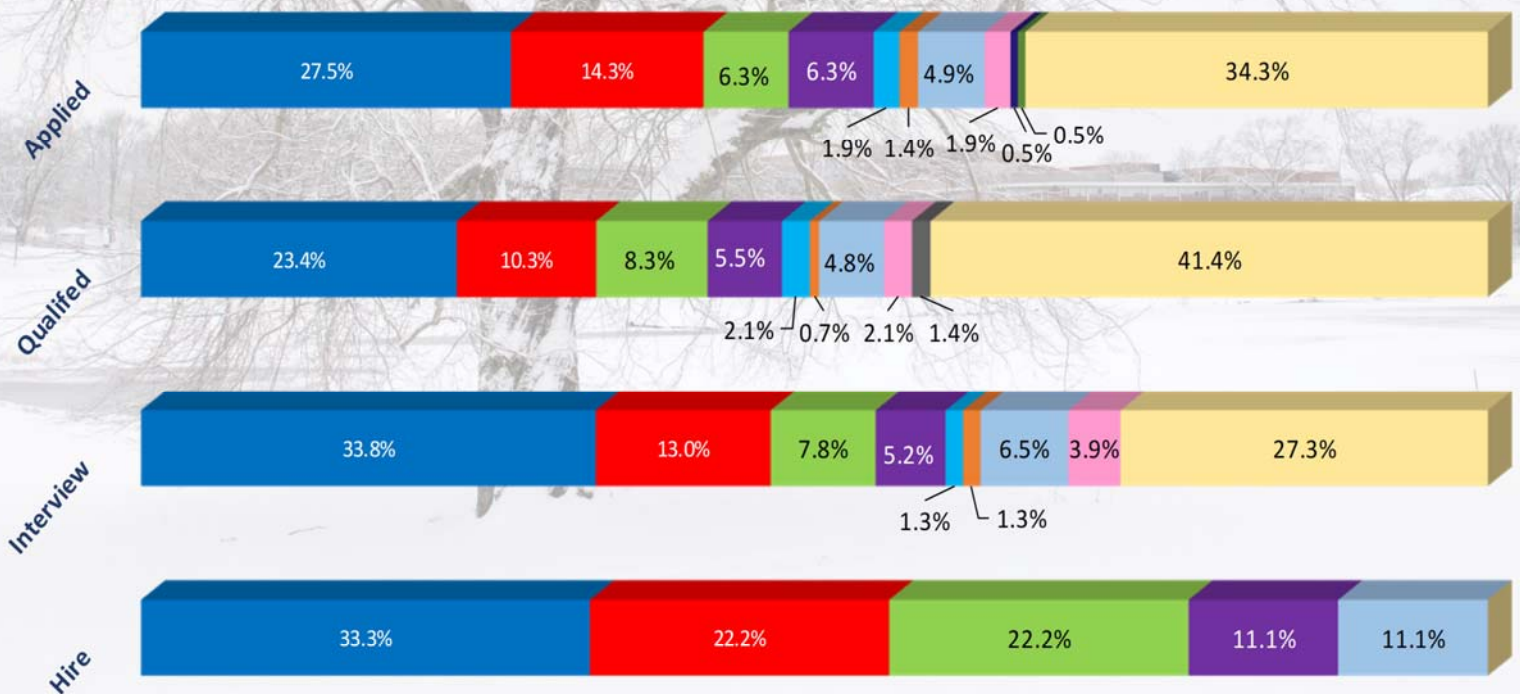
- White Male: 26
- White Female: 10
- Black Male: 6
- Black Female: 4
- Hispanic Male: 1
- Hispanic Female: 1
- Asian Male: 5
- Asian Female: 3
- 2+ Race Male: 0
- 2+ Race Female: 0
- Unknown: 21

- Total Female: 18
- Total Male: 38

Hire: 9

- White Male: 3
- White Female: 2
- Black Male: 2
- Black Female: 1
- Hispanic Male: 0
- Hispanic Female: 0
- Asian Male: 1
- Asian Female: 0
- 2+ Race Male: 0
- 2+ Race Female: 0
- Unknown: 0

- Total Female: 3
- Total Male: 6



■ White Male ■ White Female ■ Black Male ■ Black Female ■ Hispanic Male ■ Hispanic Female
 ■ Asian Male ■ Asian Female ■ 2+ Race Male ■ 2+ Race Female ■ Unknown

Faculty

Applied: 4707

■ White Male: 1208
 ■ White Female: 813
 ■ Black Male: 14
 ■ Black Female: 16
 ■ Hispanic Male: 41
 ■ Hispanic Female: 21
 ■ Asian Male: 1177
 ■ Asian Female: 684
 ■ 2+ Race Male: 45
 ■ 2+ Race Female: 26
 ■ Unknown: 662

 ■ Total Female: 1560
 ■ Total Male: 2485

Qualified: 2527

■ White Male: 617
 ■ White Female: 434
 ■ Black Male: 7
 ■ Black Female: 6
 ■ Hispanic Male: 29
 ■ Hispanic Female: 11
 ■ Asian Male: 680
 ■ Asian Female: 356
 ■ 2+ Race Male: 23
 ■ 2+ Race Female: 10
 ■ Unknown: 354

 ■ Total Female: 817
 ■ Total Male: 1356

Interview: 542

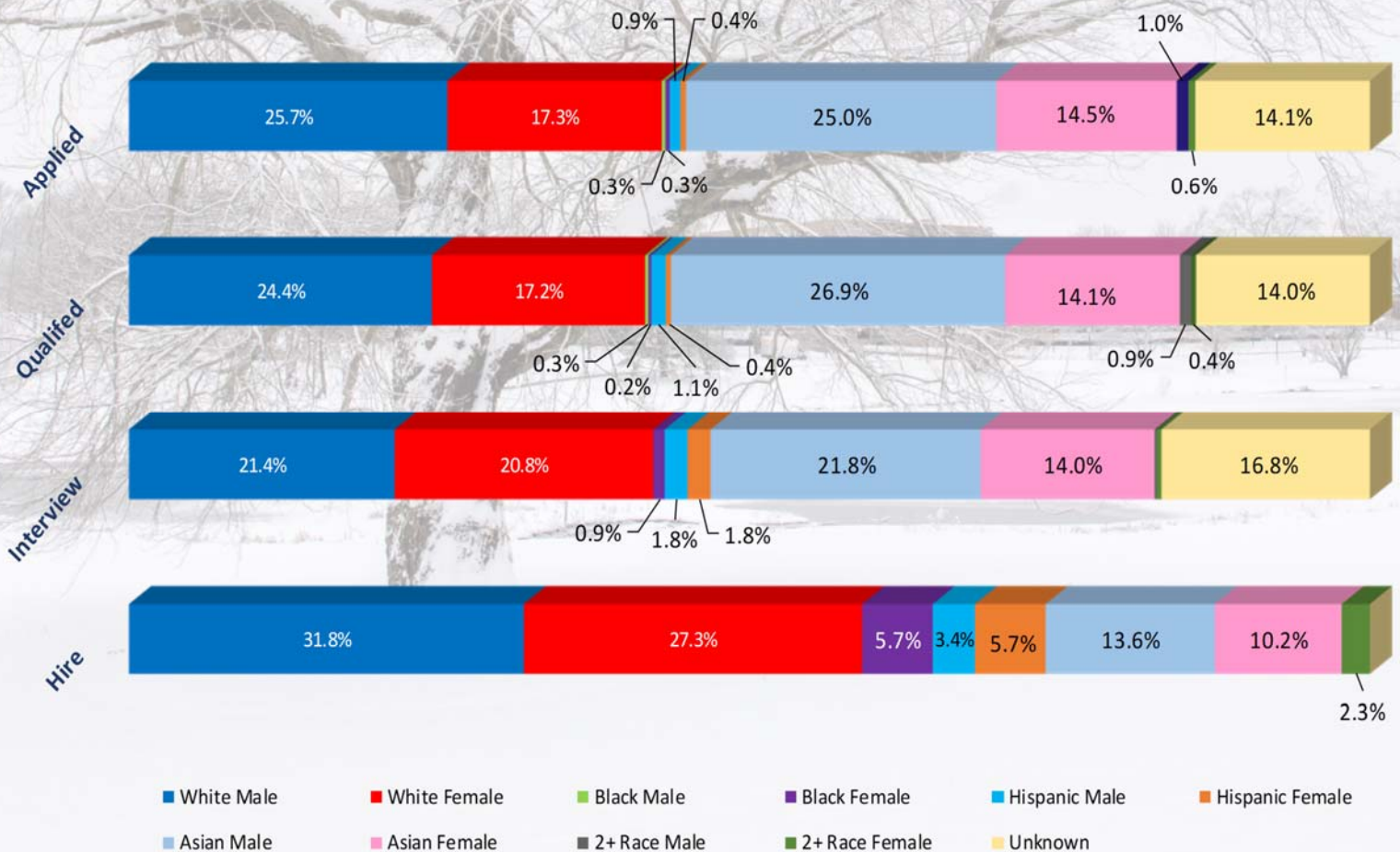
■ White Male: 116
 ■ White Female: 113
 ■ Black Male: 0
 ■ Black Female: 5
 ■ Hispanic Male: 10
 ■ Hispanic Female: 10
 ■ Asian Male: 118
 ■ Asian Female: 76
 ■ 2+ Race Male: 1
 ■ 2+ Race Female: 2
 ■ Unknown: 91

 ■ Total Female: 206
 ■ Total Male: 245

Hire: 88

■ White Male: 28
 ■ White Female: 24
 ■ Black Male: 0
 ■ Black Female: 5
 ■ Hispanic Male: 3
 ■ Hispanic Female: 5
 ■ Asian Male: 12
 ■ Asian Female: 9
 ■ 2+ Race Male: 0
 ■ 2+ Race Female: 2
 ■ Unknown: 0

 ■ Total Female: 45
 ■ Total Male: 43



Staff

Applied: 10041

■ White Male: 2972
 ■ White Female: 3143
 ■ Black Male: 591
 ■ Black Female: 527
 ■ Hispanic Male: 590
 ■ Hispanic Female: 529
 ■ Asian Male: 192
 ■ Asian Female: 285
 ■ 2+ Race Male: 130
 ■ 2+ Race Female: 106
 ■ Unknown: 976

 ■ Total Female: 4590
 ■ Total Male: 4475

Qualified: 2220

■ White Male: 658
 ■ White Female: 689
 ■ Black Male: 131
 ■ Black Female: 115
 ■ Hispanic Male: 121
 ■ Hispanic Female: 105
 ■ Asian Male: 67
 ■ Asian Female: 75
 ■ 2+ Race Male: 29
 ■ 2+ Race Female: 31
 ■ Unknown: 199

 ■ Total Female: 1015
 ■ Total Male: 1006

Interview: 1701

■ White Male: 562
 ■ White Female: 549
 ■ Black Male: 74
 ■ Black Female: 37
 ■ Hispanic Male: 107
 ■ Hispanic Female: 96
 ■ Asian Male: 36
 ■ Asian Female: 49
 ■ 2+ Race Male: 20
 ■ 2+ Race Female: 16
 ■ Unknown: 155

 ■ Total Female: 747
 ■ Total Male: 799

Hire: 283

■ White Male: 89
 ■ White Female: 123
 ■ Black Male: 8
 ■ Black Female: 9
 ■ Hispanic Male: 16
 ■ Hispanic Female: 16
 ■ Asian Male: 7
 ■ Asian Female: 8
 ■ 2+ Race Male: 3
 ■ 2+ Race Female: 4
 ■ Unknown: 0

 ■ Total Female: 160
 ■ Total Male: 123

