

ASSIGNMENT OF RESPONSIBILITY AND MONITORING

(Section 46a-68-81)

September 2020

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

Subsection (a)

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 (*Plan*).

Subsection (b)

Dr. Agwunobi designated Elizabeth Conklin as the Equal Employment Officer for UConn Health and assigned her the responsibility for the operational achievement of UConn Health's Affirmative Action Plan. Elizabeth Conklin is the Associate Vice President of the Office of Institutional Equity (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 through July 31, 2020. As of August 1, 2020, Sarah Chipman was appointed the Interim Associate Vice President of the Office of Institutional Equity (OIE) (both Storrs and UConn Health office), as well as the Interim ADA Coordinator and Title IX Coordinator for UConn Health, Storrs and the regional campuses. Sarah Chipman is also designated as the Equal Employment Officer.

In her role, Associate Vice President Conklin met regularly with Dr. Agwunobi to discuss issues of human and inter-group relations, review of operational and administrative activities affecting the *Plan*, identification of obstacles in meeting goals of the *Plan*, nondiscriminatory employment practices, the legal authority for affirmative action and Dr. Agwunobi's commitment to affirmative action. Please see **Exhibit #1** for meeting dates. Associate Vice President Conklin also presented to the UConn Health Board of Directors on June 17, 2019 and on September 16, 2019.

Subsection (c)

As the designated Equal Employment Officer through July 31, 2020, 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. As of August 1, 2020, Sarah Chipman, has the 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 **Exhibit #2** for the organization chart through July 31, 2020. Please see **Exhibit #3** for the organization chart as of August 1, 2020.

As part of the Office of Institutional Equity's ongoing efforts to ensure awareness of and progress toward affirmative action program goals, Elizabeth Conklin regularly communicates with the UConn Health population and advises Dr. Agwunobi 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.
3. Developing online search committee training for faculty and staff searches, and the Management Development Training Program;
4. Developing and providing 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.

Subsection (d)

University and UConn Health leaders considered the feasibility of an employee advisory committee. 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 May 2016, former President Herbst established a University Diversity Council chaired by the Chief Diversity Officer.

The Diversity Council 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.

Subsection (e)

Members of the [Diversity Council](#) are identified by name and position. The 32-person Council, led by the Interim Associate and Chief Diversity Officer, a black male includes five white males, nine white females, two black males, five black females, one Hispanic male, five Hispanic females, four Asian females and one two or more race female. The Chief Administrative Officer (black female) who is also the Interim Vice President of Human Resources represents UConn Health on the Council. 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.

Subsection (f)

UConn Health employees performing affirmative action and equal employment opportunity duties are evaluated and monitored in their performance of such duties. 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. UConn Health Policy on Rules of Conduct expressly prohibits such retaliation. 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 UConn Health offices and personnel with responsibilities related to developing or implementing the *Plan*.

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 is responsible for reviewing 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's non-discrimination policies, which have been drafted to provide protections aligned with current law. OIE addresses 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 conducts neutral investigations, pursuant to its [complaint procedures](#), regarding allegations of discrimination and/or discriminatory harassment and ensures the equitable resolution of complaints. Where investigations reveal the presence of discriminatory or harassing behavior, OIE is responsible for making recommendations that are designed to mitigate the effects of discriminatory conduct.

American with Disabilities Act (ADA) Compliance

The Office of Institutional Equity (OIE) monitors UConn Health's compliance with the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act. The Associate Vice President of OIE serves as UConn'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
- 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 UConn Health employees. A report on training and attendance is provided in the *Internal Communication* section of this *Plan*. OIE provides customized training to individual departments or groups of employees or students seeking further guidance or training around discrimination and/or harassment issues. OIE also presents tailored training, 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 Employment Equity 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) in an effort to apprise the 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. The Employment Equity staff prepares both Plans annually.

Title IX compliance

The Associate Vice President of the Office of Institutional Equity, Elizabeth Conklin, is designated as UConn Health's Title IX Coordinator through July 31, 2020. As of August 1, 2020, Sarah Chipman, the Interim Associate Vice President of the Office of Institutional Equity, 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 (DHR), 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 collaborates 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 the 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 June 1, 2019 to May 31, 2020.

Office of Institutional Equity

The Office of Institutional Equity (OIE) operate as one office and maintains separate office locations at UConn Health and Storrs. OIE staff have responsibilities across both locations.

Elizabeth Conklin, Associate Vice President, Title IX Coordinator & ADA Coordinator (through July 31, 2020)

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 (through July 31, 2020)

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%

Sarah Chipman, Interim Associate Vice President, Title IX Coordinator & ADA Coordinator (appointed as of August 1, 2020)

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%

Robert Camilleri, Associate Director, Investigations (through December 31, 2019)

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 (until December 31, 2019)

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, Associate Director, Investigations (as of January 1, 2020)

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%

Ann Randall, EEO Investigations Specialist

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 (through November 6, 2019)

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%

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 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%

Dorian Lord, EEO & Search Compliance Specialist

Assists 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. 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

Assists 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. Develops state and federal affirmative action plans and AA/EEO related projects.

Percentage of time devoted to affirmative action duties: 100%

Kimberly Caprio, Title IX 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 identifying and addressing 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, 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%

Lauren Donias, Title IX & 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.

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

Commented [PH1]: Is this HR's updated narrative?

Karen Buffkin, Interim 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, 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%

Swapna Das, 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. Coordinates the new employee onboarding and first day orientation process.

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%

Janice Coco, 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%

Assignment of Responsibility and Monitoring

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, 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%

Erick Diaz, Labor & Employee Relations Associate (Attorney)

Provides general advice and guidance to deans, directors, department chairs, administrators, faculty and supervisors regarding the interpretation and application of the various collective bargaining agreements and University policies that govern University employment. Provides guidance on various collectively bargained personnel issues such as discipline and dismissal, promotion and reappointment, family leave, leave without pay, sabbatical leaves and many others. Under the supervision of the Director or Assistant Director, this position may assist units with complex labor relations issues. Supports labor negotiations with various collective bargaining units. Coordinates and manages research efforts on labor relations issues in higher education. Identifies best practices and makes recommendations to bargaining teams. Conducts grievance conferences with departments and union officials; drafts written findings to resolve grievances and to preserve the integrity of labor agreements. Facilitates mediation processes as well as harmonious working relationships among parties in grievances and contract disputes. Advises supervisors on how to conduct employment related investigations; assists supervisors with employee performance issues and provides direct assistance with more complex, institutional impacting investigations. Assists in developing and delivering training programs to ensure effective implementation and administration of collective bargaining agreements

Percentage of time devoted to affirmative action duties: 60%

Diane Ferguson, Labor Relations Specialist

Interprets and administers pertinent laws, regulations, policies and procedures; administers and interprets collective bargaining contracts; conduct investigations into workplace issues; represent UConn Health at grievance meetings, labor-management meetings, contract negotiations, etc.; mediate and resolve disputes; provide consultation and training to managers in all areas of labor relations; perform related duties as required

Percentage of time devoted to affirmative action duties: 60%

Jessica Hajdasz, 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%

Robin Perregeaux, 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 and Interim Director, 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. Leverages Equal Employment Opportunity/Affirmative Action Plan/compliance strategies and goals to ensure Equal Employment Opportunities compliance and diversity goal achievement.

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%

Dayna Ahern, 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

Assignment of Responsibility and Monitoring

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

Dana Wilder, Interim 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%

In addition to the individuals listed with specific affirmative action duties, responsibility for affirmative action and equal employment opportunity reflected 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 significant 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 Sharon Gordon, Dean, School of Dental Medicine through January, 2020 and Interim Dean Stephen Lepowsky, School of Dental Medicine dedicate significant efforts 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 UConn Health.

Subsection (i)

UConn Health has established internal program evaluation mechanisms to continually audit, monitor and evaluate programs in our affirmative action program. The Chief Executive Officer

Assignment of Responsibility and Monitoring

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, 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 2019 *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 *Plan* 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.

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. 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. Additionally, Elizabeth Conklin:

1. 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 #3.**
2. 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.
3. Met with Human Resources to discuss employee training initiatives and collaborations in diversity recruitment, the search process, and sexual harassment.
4. Presented to School of Medicine associate deans and department heads on topics related to proactive and innovative recruitment strategies, objective applicant evaluation, and identifying and minimizing inherent bias in applicant evaluation.

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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. Attended Campus Planning, Design and Construction capital projects meetings on a monthly basis to provide guidance for conformance with the Standards for Accessible Design under the Americans with Disabilities Act.
2. Participated in ongoing discussions of ADA compliance issues, strategies, and education initiatives with the UConn Health Access and Accommodations Committee.
3. Collaborated with the Coordinator of Interpreting Services to identify staff members to train and assist in providing auxiliary aids and services for patients who are deaf or hard of hearing.
4. Participated as a Member of the UConn Center for Excellence in Developmental Disabilities (UCEDD) Consumer Advisory Council to assist in the development of the UCEDD five-year strategic plan.

During this *Plan* year, UConn Health was successful in making several diverse hires in several challenging areas.

In the Executive/Management job groups:

- One Black female hired as the Chief Administrative Officer
- One Hispanic male hired as Director of Patient Access

In the Faculty job groups:

- One Hispanic male hired as Associate Professor
- One Black male, one Hispanic female, ten Native American males, and six Native American females hired as Assistant Professors
- One Hispanic female, two Native American males, and two Native American females hired as Instructors

In the Nursing job groups:

- Three Black females, one Hispanic male, two Hispanic female, two Native American females, and seven white males hired as Nurses
- One Black male, one Black female, one Hispanic male hired as Nurse Anesthetists

In the Clinical job groups:

- One Native American hired as a Pharmacist
- One Hispanic female hired as a Mental Health Clinician
- One Black male, one Native American male, and one Native American female hired as Physician's Assistants

In the Technical job groups:

- One Hispanic male and three Hispanic females hired as Ophthalmology Technicians
- Two Black females and thirteen Hispanic females hired as Medical Assistants
- One Black female and one Hispanic female hired as Phlebotomists
- One black female hired as a Diagnostic Radiation Technician

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 #5 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.**

Associate Vice President Conklin meets with Dr. Agwunobi to review and discuss the Affirmative Action Plan and the Executive Summary annually. As of August 1, 2020, Sarah Chipman, Interim Associate Vice President will meet with Dr. Agwunobi to review and discuss the Affirmative Action Plan and Executive Summary annually. The *2020 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, new hires and applicants 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 #6 for the Executive Summary.**

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 18 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.

Associate Vice President Elizabeth Conklin and Chief Executive Officer and Executive Vice President for Health Affairs Dr. Andrew Agwunobi Meeting Dates

Meeting Dates:

June 7, 2019

August 12, 2019

October 7, 2019

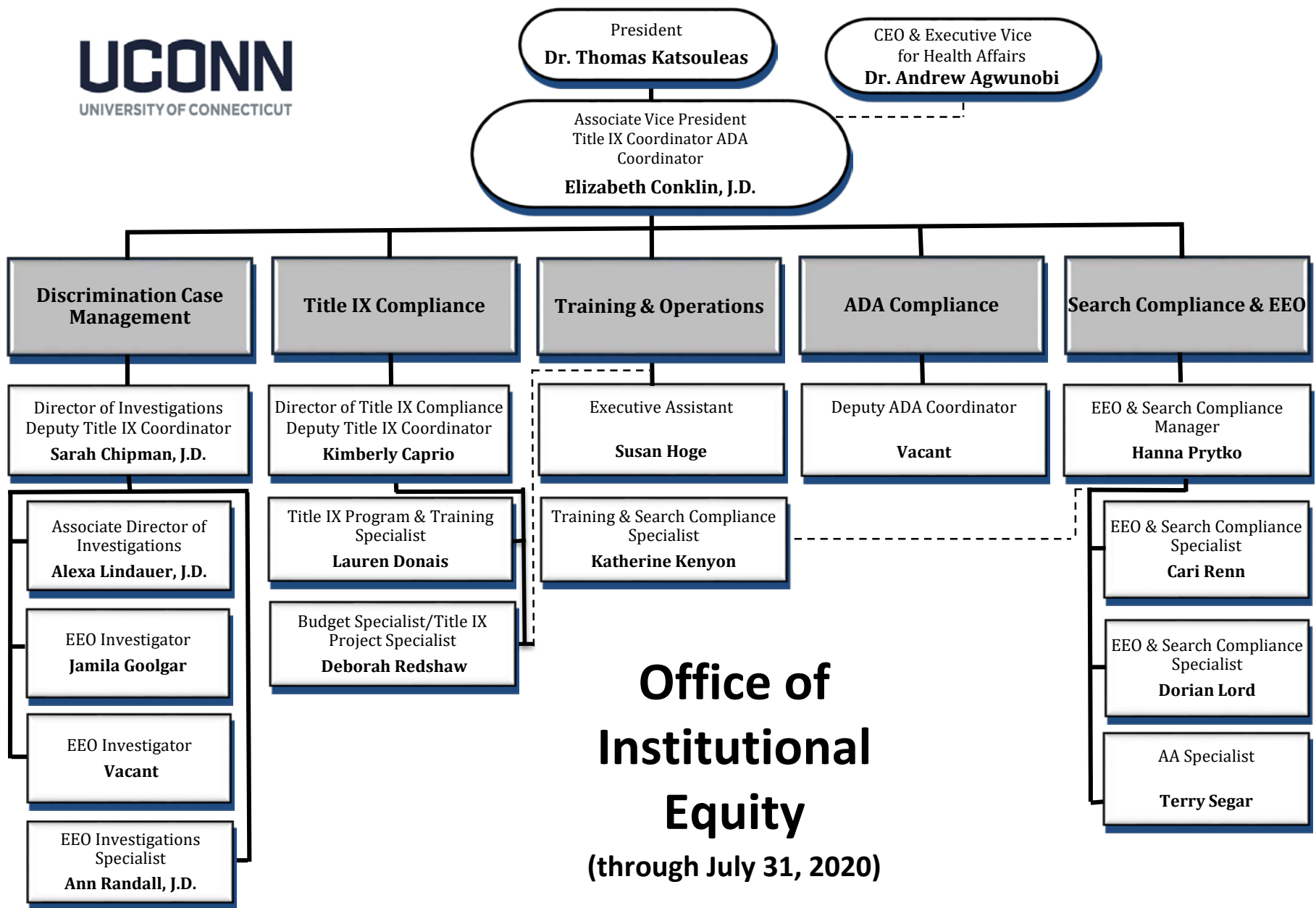
December 3, 2019

January 8, 2020

February 21, 2020

April 3, 2020

April 22, 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.

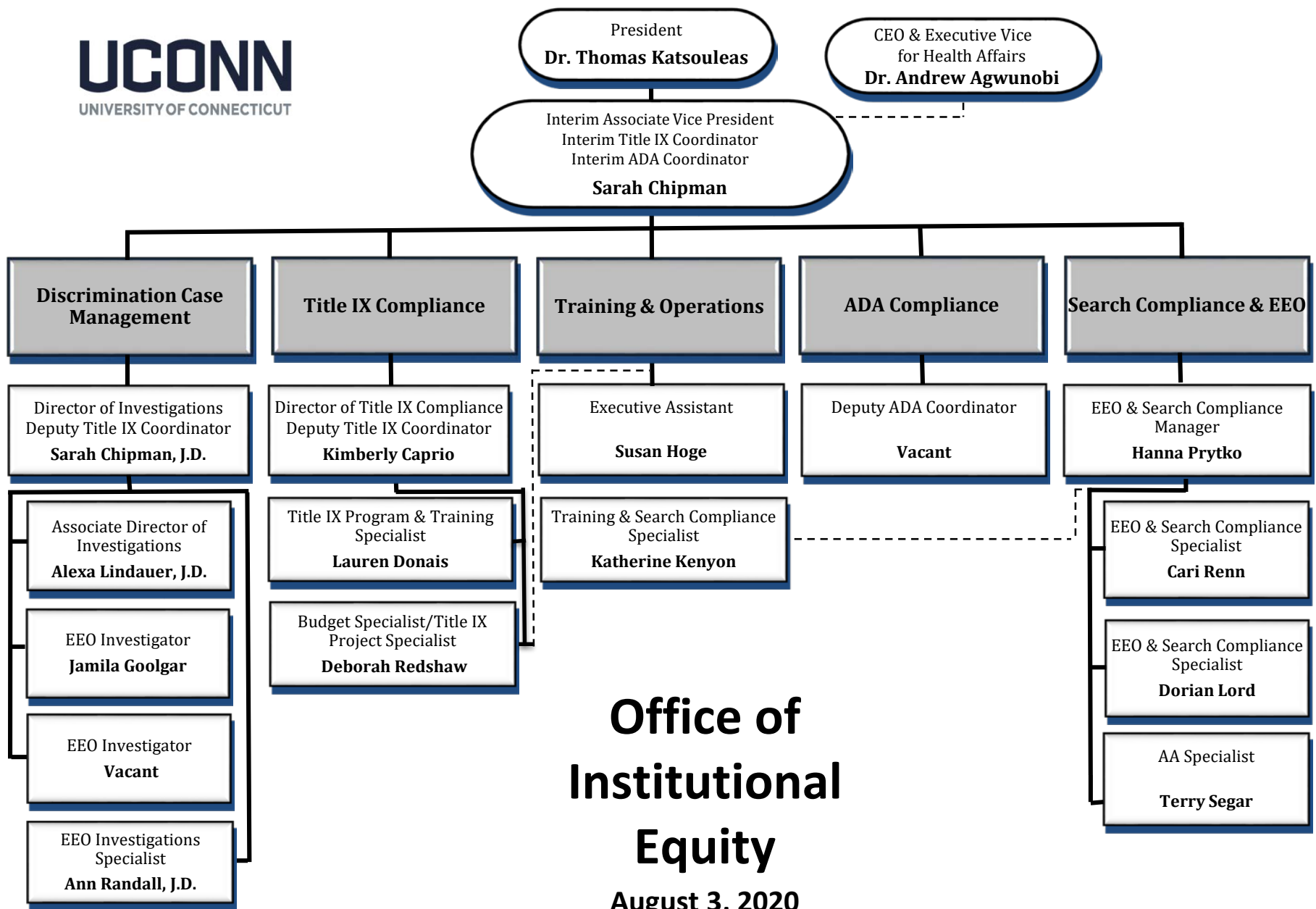
Members of the Diversity Council will also work to identify and disseminate best practices around the successful coordination and execution of diversity programs and initiatives across the University.

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 Korbelt
Mona Lucas
Maria Martinez
Katherine Martin
Merlita Murphy
Avolyn Nieves
Ajhanai Newton

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



Managerial Employee Evaluation

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

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 and manage toward those needs and requirements?

☐ Exceptional ☐ Highly Successful ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

3. People Management and Relationships

Assess the incumbent's effectiveness in influencing, mentoring and coaching. Does he/she establish and communicate performance expectations and accountabilities and evaluate annually? Does the incumbent show respect for, listen to and involve others in making decisions? Does the incumbent resolve conflict constructively?

☐ Exceptional ☐ Highly Successful ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

4. Leadership

Assess the incumbent's ability to provide effective leadership in his/her operation. Does the incumbent articulate a clear sense of purpose and direction? Does he/she pursue continuous improvement in everything he/she does? Does he/she inspire and motivate others? Are accomplishments recognized and celebrated? Is he/she able to make tough and timely decisions? Does the incumbent work collaboratively with others in the system?

☐ Exceptional ☐ Highly Successful ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

5. Planning and Operations Management

Assess the incumbent's ability to manage the business and administrative aspects of your operation. Does he/she develop and implement goals, strategies and work plans to achieve objectives? Does the incumbent manage resources in an effective and timely manner, including fiscal, people, facilities, equipment and other resources?

☐ Exceptional ☐ Highly Successful ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

6. Creativity, Continuous Improvement and Management of Change

Assess the incumbent's willingness to seek out, analyze, develop, apply and transfer new ideas and concepts. Does the incumbent understand the need for change and foster change and adjust activities accordingly? Does the incumbent encourage others to be open to the application of new processes and new technologies?

☐ Exceptional ☐ Highly Successful ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

7. Affirmative Action

Assess the ability of the incumbent to demonstrate knowledge of the UCHC Affirmative Action Plan and affirmative action goals as they apply to manager's organization. Communicate and demonstrate commitment to affirmative action and equal employment opportunity to employees. Design, implement and monitor an action plan for goal achievement building using both external and internal sources of qualified goal candidates.

☐ 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



AFFIRMATIVE ACTION EXECUTIVE SUMMARY 2020

UConn Health
OFFICE OF INSTITUTIONAL EQUITY



2020 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
TOTAL WORKFORCE	4
WORKFORCE BY CATEGORY	6
2020 NEW HIRES	8
APPLICANTS	9



Hiring and Promotional Goals

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.

Goal Achievement

Total Goal Achievement: 27.8

- ◆ 116 of the 418 hires met hiring goals
- ◆ The Faculty category had the highest goal achievement of 46.9%
- ◆ 44.8% of all goals were met with white female hires
- ◆ Females comprised 71.6% of goal hires
- ◆ 35.3% of goals were met by minority* hires compared to 36.1% in 2019

*includes Black, Hispanic, Asian and Native American

Category	Hires	Goals Met	2020 %	2019 %
Executive Managerial	20	3	15.0	22.2
Faculty	49	23	46.9	36.1
Professional	165	32	19.4	31.2
Secretarial/Clerical	111	21	18.9	11.9
Tech/Paraprofessional	82	34	41.5	47.5
Qualified Craft Worker	0	0	0.0	0.0
Service/Maintenance	15	3	20.0	25.0
Total	418	116	27.8	30.6

Accomplished



The Office of Institutional Equity convened a working group to examine existing materials around sexual harassment. OIE published updated materials including website content, brochures, and updated information and best practices within trainings, including 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, in collaboration with the Audit and Management Advisory Services completed a final UConn Health Americans with Disabilities Compliance Review. The audit objectives were to evaluate the existence and adequacy of UConn Health policies, procedures, and communications for compliance with ADA regulations and guidance in building and program accessibility, clinical operations, effective communication, emergency preparedness, employment, parking and transportation, and website accessibility. The report concluded that UConn Health had well-established ADA compliance structure for job seekers and employees.



The Office of Institutional Equity and the Department of Human Resources planned a meeting to identify standard processes and best practices in recruitment and hiring for the 2019-2020 academic year. OIE reviewed all searches from the *Plan* for recruitment efforts, applicant evaluation outcomes and compiled a comprehensive spreadsheet, identifying resolutions search process issues and potential process modifications. OIE and Human Resources will schedule a meeting to discuss implementation of the identified opportunities for collaboration and standardization once it is feasible during the pandemic.

Future

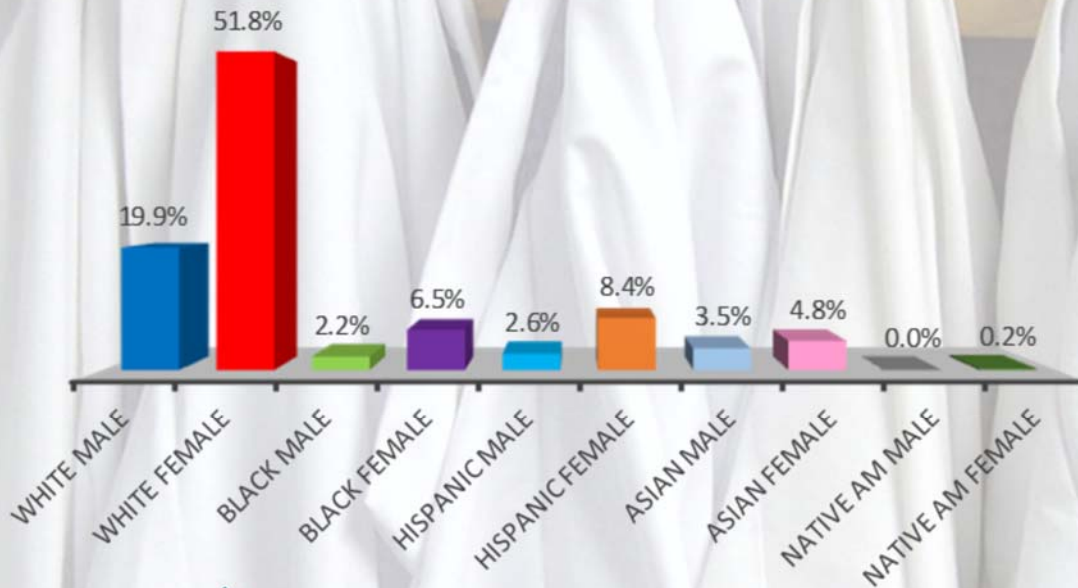


The Office of Institutional Equity will collaborate with the Department of Human Resources to review and revise the current online Search Committee Training for employees. The update will include information about AA/EEO compliance in the search process and strategies to reduce implicit bias in the evaluation process and updates to the search and hire process. UConn Health's proactive approach in reviewing the training will address potential discriminatory issues by enhancing the training content with current best practices and standardizing the online training format across all UConn campuses.



The Office of Institutional Equity, Patient Experience Department, and Human Resources created a committee to develop a training for UConn Health employees regarding managing discrimination from patients, families and guests. This new training will describe procedures when a patient or guest is acting in a discriminatory or harassing manner towards an employee. The plan for the training includes testimonial videos from UConn Health employees sharing their experiences with discriminatory or harassing conduct from patients or guests, an overview of procedures, and hypothetical questions and situations. The goal of the training is for employees to learn tools and strategies to enable them to perform their job free from discrimination or harassment by patients or guests.

Total Workforce: 3343



71.9% Female and 28.1% Male

947 minority employees = 28.3%

White females are 51.8%, the largest group

The composition of the workforce has not changed significantly from the previous reporting period.

Compared to 2019:

- ◆ The 2020 workforce increased from 3270 to 3343.
- ◆ Hispanic increased from 10.3% to 11.1 and Black increased from 8.2% to 8.7%.
- ◆ Asian remained the same at 8.3%.
- ◆ White decreased from 72.8% to 71.7%.
- ◆ Female increased from 71.3% to 71.9%.
- ◆ Total minority* workforce increased from 27.2% to 28.3%.

*Includes Black, Hispanic, Asian and Native American

Executive

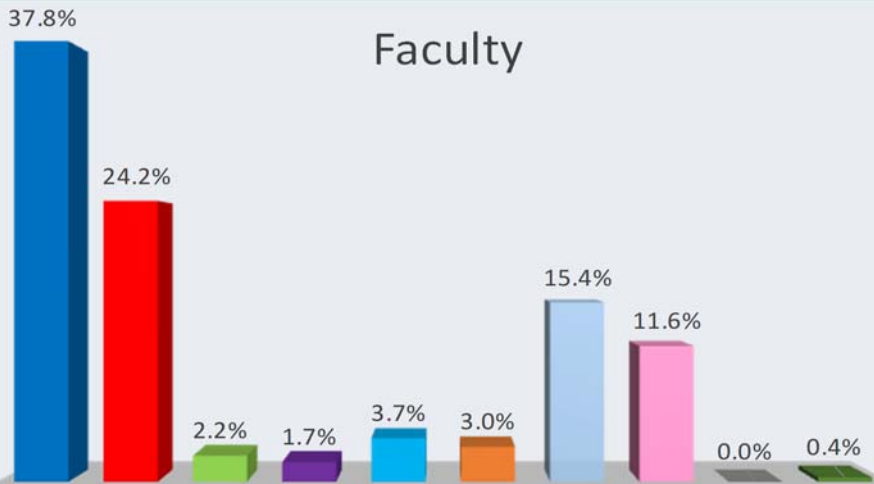


Total: 178

White Male: 47
 White Female: 113
 Black Male: 2
 Black Female: 11
 Hispanic Male: 0
 Hispanic Female: 4
 Asian Male: 1
 Asian Female: 0
 Native Am Male: 0
 Native Am Female: 0

71.9% Female (128)
 28.1% Male (50)
 9.9% minority (18)

Faculty



Total: 534

White Male: 202
 White Female: 129
 Black Male: 12
 Black Female: 9
 Hispanic Male: 20
 Hispanic Female: 16
 Asian Male: 82
 Asian Female: 62
 Native Am Male: 0
 Native Am Female: 2

40.8% Female (218)
 59.2% Male (316)
 38.0% minority (203)

Staff



Total: 2631

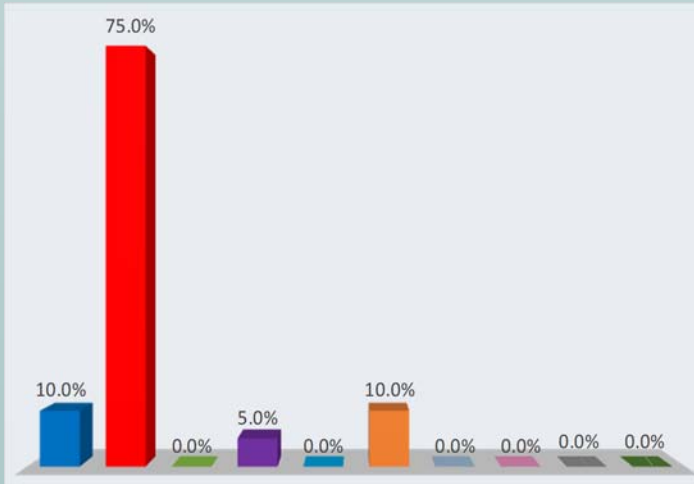
White Male: 415
 White Female: 1490
 Black Male: 59
 Black Female: 198
 Hispanic Male: 68
 Hispanic Female: 262
 Asian Male: 35
 Asian Female: 97
 Native Am Male: 1
 Native Am Female: 6

78.0% Female (2053)
 22.0% Male (578)
 26.4% minority (726)

■ White Male ■ White Female ■ Black Male
■ Black Female ■ Hispanic Male ■ Hispanic Female
■ Asian Male ■ Asian Female ■ Native American Male
■ Native American Female

Data as of May 31, 2020

Executive

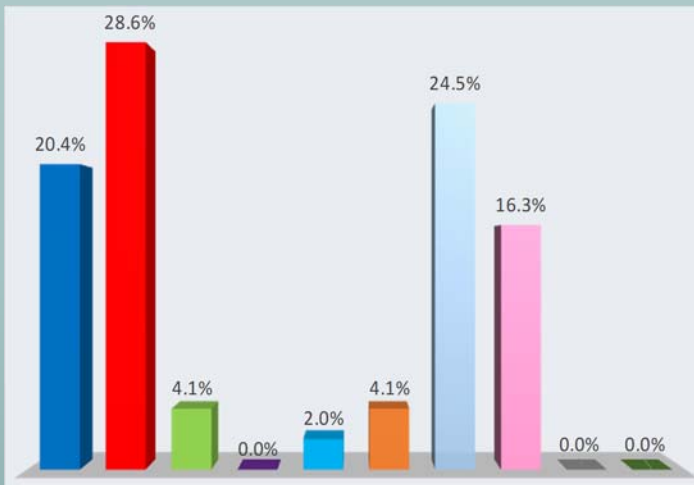


White Male: 10.0% (2)
 White Female: 75.0% (15)
 Black Male: 0.0% (0)
 Black Female: 5.0% (1)
 Hispanic Male: 0.0% (0)
 Hispanic Female: 10.0% (2)
 Asian Male: 0.0% (0)
 Asian Female: 0.0% (0)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)

20 new hires

- 90.0% female (18)
- 10.0% male (2)
- 40.0% minority (3)

Faculty

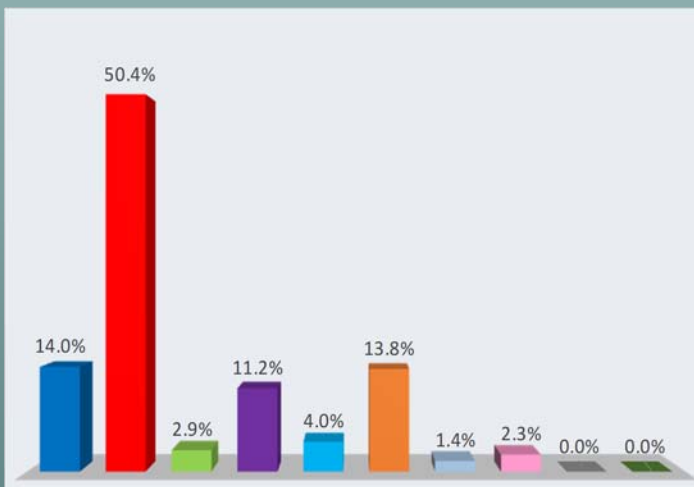


White Male: 20.4% (10)
 White Female: 28.6% (14)
 Black Male: 4.1% (2)
 Black Female: 0.0% (0)
 Hispanic Male: 2.0% (1)
 Hispanic Female: 4.1% (2)
 Asian Male: 24.5% (12)
 Asian Female: 16.3% (8)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)

49 new hires

- 49.0% female (24)
- 51.0% male (25)
- 51.0% minority (25)

Staff



White Male: 14.0% (49)
 White Female: 50.4% (176)
 Black Male: 2.9% (10)
 Black Female: 11.2% (39)
 Hispanic Male: 4.0% (14)
 Hispanic Female: 13.8% (48)
 Asian Male: 1.4% (5)
 Asian Female: 2.3% (8)
 Native Am Male: 0.0% (0)
 Native Am Female: 0.0% (0)

349 new hires

- 77.7% female (271)
- 22.3% male (78)
- 35.5% minority (124)

■ White Male ■ White Female ■ Black Male
■ Black Female ■ Hispanic Male ■ Hispanic Female
■ Asian Male ■ Asian Female ■ Native American Male
■ Native American Female

Data as of May 31, 2020

Executive

Applied: 386

- White Male: 90
- White Female: 183
- Black Male: 16
- Black Female: 33
- Hispanic Male: 6
- Hispanic Female: 25
- Asian Male: 17
- Asian Female: 10
- Two+ Race Male: 3
- Two+ Race Female: 3
- Total Female: 254
- Total Male: 132

Qualified: 221

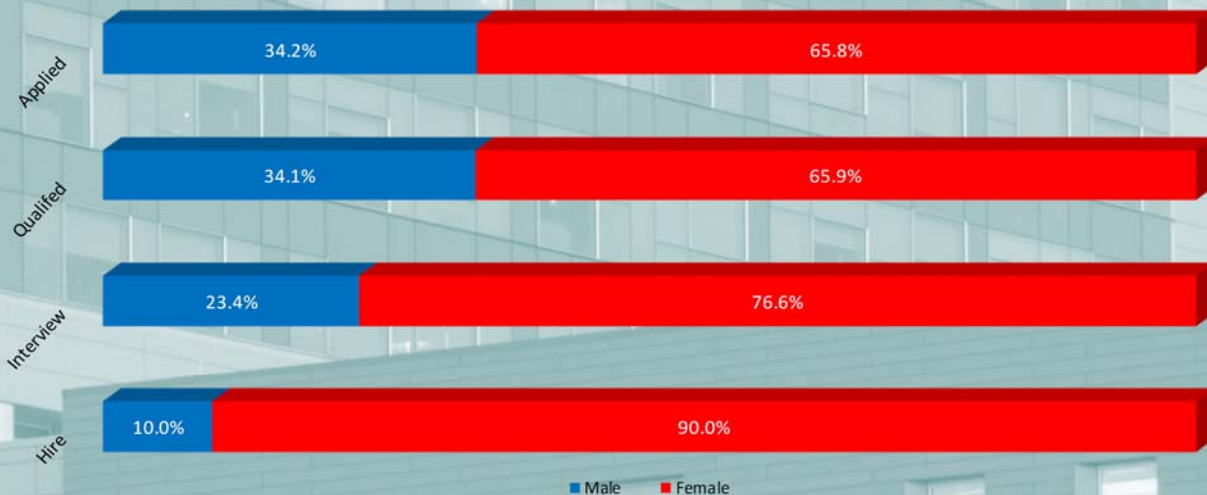
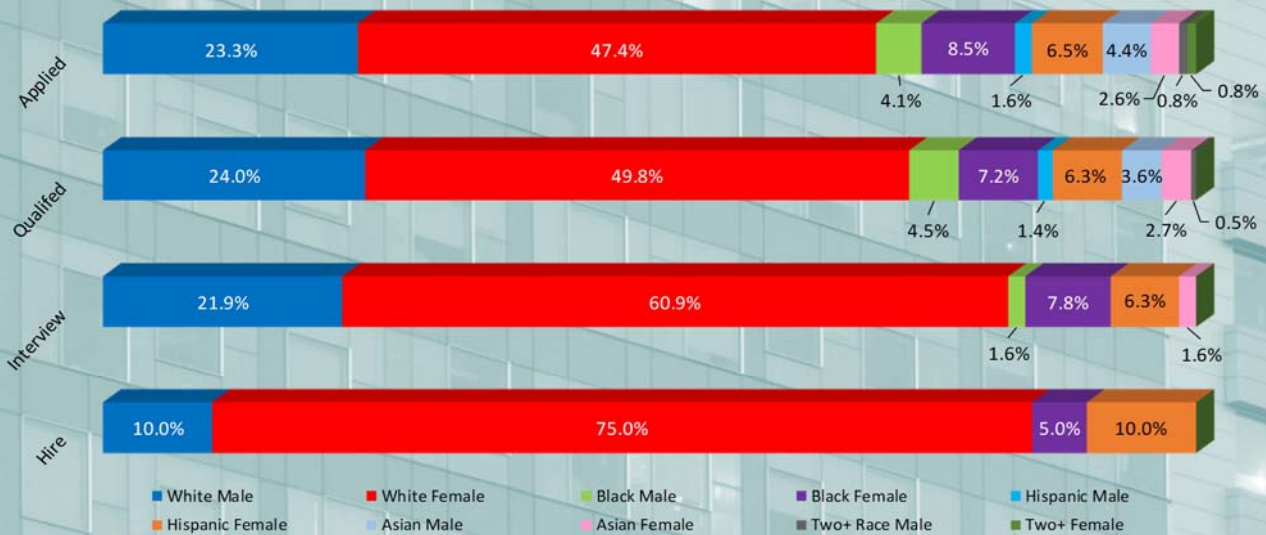
- White Male: 53
- White Female: 110
- Black Male: 10
- Black Female: 16
- Hispanic Male: 3
- Hispanic Female: 14
- Asian Male: 8
- Asian Female: 6
- Two+ Race Male: 1
- Two+ Race Female: 0
- Total Female: 146
- Total Male: 75

Interview: 64

- White Male: 14
- White Female: 39
- Black Male: 1
- Black Female: 5
- Hispanic Male: 0
- Hispanic Female: 4
- Asian Male: 0
- Asian Female: 1
- Two+ Race Male: 0
- Two+ Race Female: 0
- Total Female: 49
- Total Male: 15

Hire: 20

- White Male: 2
- White Female: 15
- Black Male: 0
- Black Female: 1
- Hispanic Male: 0
- Hispanic Female: 2
- Asian Male: 0
- Asian Female: 0
- Two+ Race Male: 0
- Two+ Race Female: 0
- Total Female: 18
- Total Male: 2



Faculty

Applied: 577

- White Male: 122
- White Female: 144
- Black Male: 7
- Black Female: 13
- Hispanic Male: 13
- Hispanic Female: 27
- Asian Male: 193
- Asian Female: 55
- Two+ Male: 0
- Two+ Female: 3
- Total Female: 242
- Total Male: 335

Qualified: 480

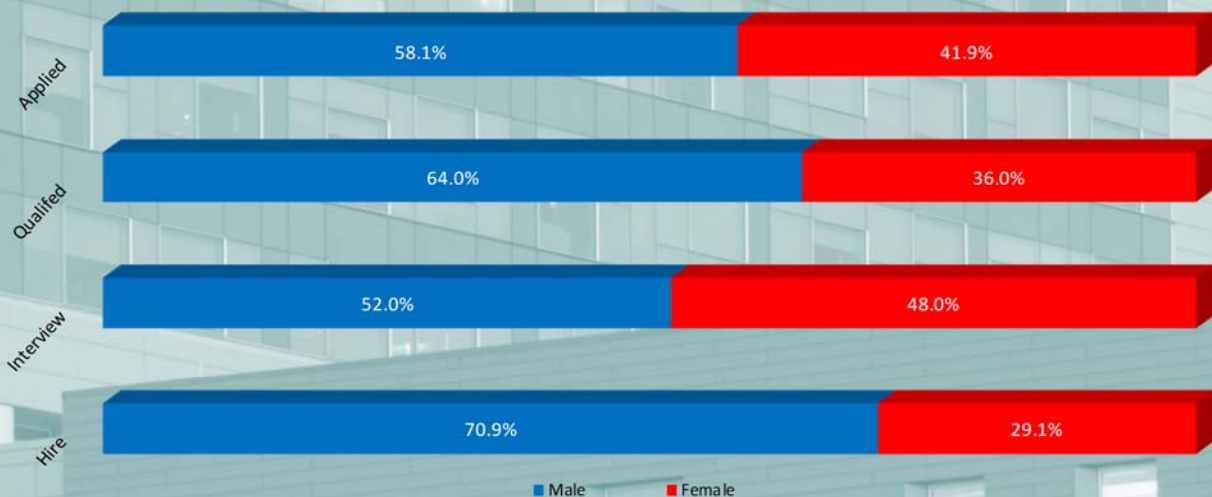
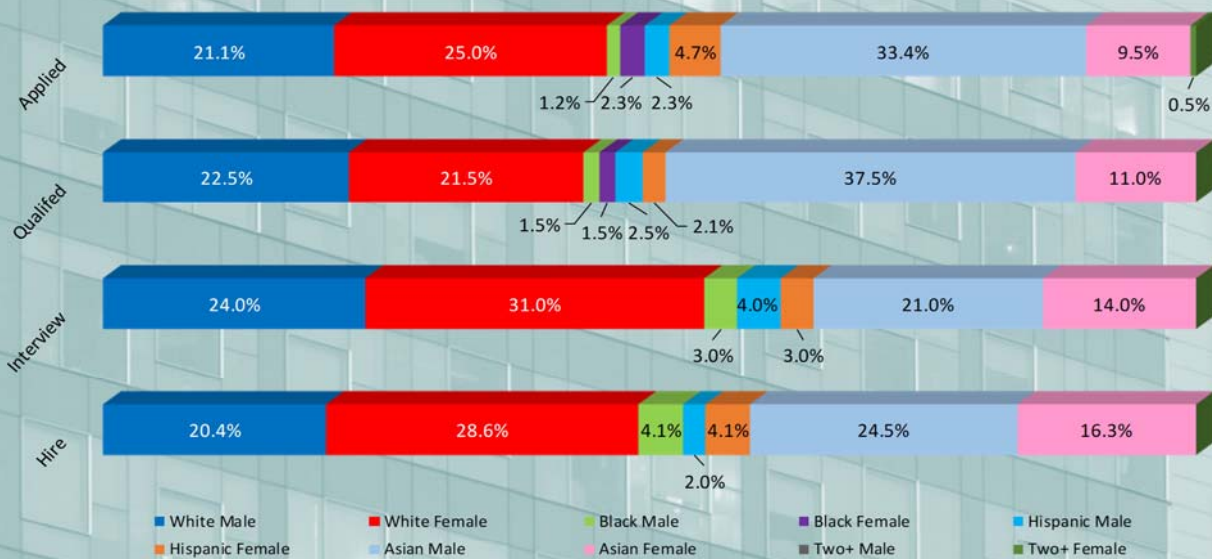
- White Male: 108
- White Female: 103
- Black Male: 7
- Black Female: 7
- Hispanic Male: 12
- Hispanic Female: 10
- Asian Male: 180
- Asian Female: 53
- Two+ Male: 0
- Two+ Female: 0
- Total Female: 173
- Total Male: 307

Interview: 100

- White Male: 24
- White Female: 31
- Black Male: 3
- Black Female: 0
- Hispanic Male: 4
- Hispanic Female: 3
- Asian Male: 21
- Asian Female: 14
- Two+ Male: 0
- Two+ Female: 0
- Total Female: 48
- Total Male: 52

Hire: 49

- White Male: 10
- White Female: 14
- Black Male: 2
- Black Female: 0
- Hispanic Male: 1
- Hispanic Female: 2
- Asian Male: 12
- Asian Female: 5
- Two+ Male: 0
- Two+ Female: 0
- Total Female: 16
- Total Male: 39



Staff

Applied: 10181

- White Male: 955
- White Female: 4481
- Black Male: 312
- Black Female: 1584
- Hispanic Male: 245
- Hispanic Female: 1620
- Asian Male: 155
- Asian Female: 435
- Two+ Male: 46
- Two+ Female: 348
- Total Female: 8468
- Total Male: 1713

Qualified: 6431

- White Male: 597
- White Female: 2879
- Black Male: 171
- Black Female: 982
- Hispanic Male: 167
- Hispanic Female: 1047
- Asian Male: 86
- Asian Female: 258
- Two+ Male: 21
- Two+ Female: 223
- Total Female: 5389
- Total Male: 1042

Interview: 1230

- White Male: 134
- White Female: 600
- Black Male: 26
- Black Female: 151
- Hispanic Male: 35
- Hispanic Female: 184
- Asian Male: 15
- Asian Female: 59
- Two+ Male: 1
- Two+ Female: 25
- Total Female: 1019
- Total Male: 211

Hire: 349

- White Male: 29
- White Female: 176
- Black Male: 3
- Black Female: 33
- Hispanic Male: 6
- Hispanic Female: 41
- Asian Male: 9
- Asian Female: 13
- Two+ Male: 0
- Two+ Female: 0
- Total Female: 271
- Total Male: 78

