

## **EMPLOYMENT ANALYSES**

(Sec. 46a-68-86)

March 2024

### **INTRODUCTORY NOTES**

This section was in compliance in the previous filing, and there were no proposals or recommendations.

As discussed in the October 17, 2023, technical assistance meeting with CHRO AA Supervisor Neva Vigezzi and HRO Trainee Jase Olavarria, two new Faculty job categories are added in EEO 2 to this year's analysis: Clinical Faculty and In-Residence Faculty.

Clinical Faculty titles are used in the Schools of Pharmacy, Nursing and Law for non-tenure track appointments to provide clinical instructions and supervision on site. Employees in these titles, after serving a probationary period of one year, are eligible for annual appointments up to a maximum of five one-year appointments. Beginning with the seventh year, these employees receive multi-year between three and five years.

In Residence Faculty titles are used for non-tenure track appointments paralleling each of the four regular faculty ranks. Faculty members in these titles may be asked to conduct all aspects of the faculty role, teaching, research, and service, and must meet the same professional criteria as the tenure track faculty, as specified in the By-Laws of the University of Connecticut. Their appointment may include serving as the Principal Investigator on sponsored research projects. After a probationary period of one year, employees in these positions are eligible for annual appointments up to a maximum of five one-year appointments. Beginning with the seventh year (i.e., upon the completion of an initial successful probationary year plus five one-year appointments) these employees are awarded three-year or five-year contracts.

Additionally, a new category for analysis was created for the University Staff Professional 1 (USP 1) title. The University Staff Professional (USP) titles are Management/Confidential with levels 1-5. University Staff Professionals 2 and 3 have been analyzed in separate categories due to exceeding twenty-five employees in each title. USP 1 was grouped with USP 4 and 5 in the USP All Other category in previous *Plans*. As USP 1 is the lowest level of this series, analyzing this title with the highest levels is inaccurate. The qualifications, recruitment and potential applicant pools for these titles are dissimilar. Thus, creating a separate category for the USP 1 allows for an accurate and meaningful analysis.

In this section, a comprehensive review of the employment process was completed to identify policies and practices that perpetuate barriers to equal employment opportunity. For each instance of underutilization in an occupational category or position classification employing a significant number of persons for which a separate availability base was calculated, as found in Section 46a-68-84, separate employment analyses were conducted to target the cause of the imbalance.

(1) In the Employment Process Analysis, the increase or decrease of the number of persons employed in an occupational category or position classification employing a significant number of persons from the previous reporting period was determined. Hiring, termination, and other personnel activities were considered.

Employees are given the opportunity to update their self-identified race, ethnicity, and gender, voluntarily using the federally mandated two-part question and race categories. Through the self-service module of CORE-CT, employees may update their demographic, veteran, and disability information at any time. Any workforce race/gender changes, because of employee updates to data or through typical audit processes, are entered as data corrections. Comments are added to each chart in the Employment Process Analysis, explaining these corrections.

Under the One UConn initiative, numerous departments across the University of Connecticut and UConn Health work and have responsibilities across both campuses. Departmental needs and budgetary considerations necessitate the move of employees between University of Connecticut and UConn Health workforces. As in previous *Plans*, these employee movements between campuses are reported as Campus Location Change and noted in both *Plans*. In this *Plan*, two white females in the University Staff Professional Other Titles category moved from UConn Health to the University of Connecticut Storrs campus and are noted as such.

In this *Plan* year, several employees moved between categories all in the same UCPEA classification level. These moves cannot be considered a promotion as they are in the same UCPEA classification and cannot be considered as a “promotion within” as they are moving out of and into categories that are analyzed separately. The changes are indicated as a “Lateral Move into Category.”

Information is provided about reductions in the workforce.

(2) In the Applicant Flow Analysis, applicants were tracked through the process of hiring or promotion. The step during which these applicants were no longer considered candidates for employment was determined. This analysis was performed for appointments to all job titles in an occupational category, employing a significant number of persons.

Some appointments or “hires” had no applicant pools, *e.g.*, reclassifications, promotions of incumbents, *etc.* In order to maintain the integrity of the data base, each employment action such as hires, reclassifications, moves from part-time to full-time, or promotions is counted as one (1) throughout the Applicant Flow Analysis in the applicable lines, *i.e.*, “Intra-Agency”, “Total Applicants”, “Total Qualified Applicants”, “Total Interviews”, “Offered Position”, and “Total Increases”.

(3) Personnel Evaluation Analysis was conducted and information on all matters that involve performance evaluations or appraisals is provided by occupational category.

Faculty evaluations are prepared in accordance with the Promotion, Tenure, and Reappointment Procedures (“PTR”). The Provost, Individual Deans, and Department Heads manage Faculty members’ evaluation process and maintain documentation on-site. Guidelines for Faculty

evaluations are outlined in the Promotion, Tenure, and Reappointment Procedures, and are accessible to all through the website <https://provost.uconn.edu/faculty-and-staff-resources/promotion-tenure-reappointment/>. Please see Exhibit 2 of the *Organizational Analysis* section.

Procedures for Professional Staff, including those related to the University of Connecticut Professional Employees Association (UCPEA), are set forth in the UCPEA contract, Article 21. Please see **Exhibit 1** of this section for the contract language.

## Article 21

### EVALUATION

#### 21.1

For the purpose of promoting, maintaining, and enhancing excellence in job performance, each department shall provide for evaluations of each UCPEA employee at least once a year. Such evaluations shall permit the continuing assessment of the quality of the individual's performance relative to the required duties described in his/her official job specifications and internal departmental job description (if applicable).

#### 21.2 Evaluation Procedures

- a. The evaluation period shall be May 1<sup>st</sup> to April 30<sup>th</sup> of each year.
- b. Management may require employees, or employees may volunteer, to provide an annual report of activity and achievement to be used as a source of information for evaluations. If management makes such a requirement, they must do so in advance of the period for which they want the reporting. Employees shall be given a minimum of two weeks' notice for providing the requested reports. Final reports for an evaluation year must be submitted by April 15<sup>th</sup> for consideration in the evaluation process.
- c. For the purpose of documenting and appraising the employee's performance during the period, as well as for providing suggestions for improvement, each supervisor of UCPEA staff, including supervisors in UCPEA positions, shall prepare a written evaluation with criteria appropriate to that department or work unit. While an evaluation may be done at any time during the evaluation year, one must be prepared and presented to each employee between April 15<sup>th</sup> and May 1<sup>st</sup> of each year.
- d. A cover sheet indicating appropriate demographic information and overall rating of performance that reflects the details of the evaluation shall accompany each evaluation. Ratings should be categorized as follows:
  - Outstanding
  - Very Good
  - Good
  - In Need of Improvement
  - Unsatisfactory
- e. The written evaluation and cover sheet shall normally be discussed with the employee within seven (7) calendar days of the time they are prepared. The employee shall normally sign the evaluation within seven (7) calendar days from receipt for the sole purpose of indicating that he/she has read it. Failure to sign may be considered cause for disciplinary action.
- f. An employee shall have the right to append to his/her evaluation a written statement presenting his/her concerns as they relate to the evaluation. This will be attached to the evaluation, become a permanent part of the record, and will be the final documentation associated with the performance evaluation.

g. In addition to the employee's signature, others shall include the immediate supervisor and the first supervisor outside the bargaining unit, provided they are not the same person. The employee shall be given a copy of the final signed document, and a copy shall be sent to HR by May 15<sup>th</sup>.

### **21.3**

Either party may request to review the evaluation form between January 1-31, 2023, and subsequently every other year during the month of January. The review process will not extend beyond the month of January. All changes shall be approached as a joint labor-management effort. Any changes the parties agree to make to the evaluation form will go into effect at the start of the following rating period (e.g., changes made in January 2023 would go into effect on May 1, 2023). No changes will go into effect without agreement from both parties. The evaluation form and any changes made thereto shall not be grievable or arbitrable.

### **21.4**

Upon the written request of an employee, a job template will be provided by the Administration.

### **21.5**

An employee may grieve only those evaluations that result in an overall unsatisfactory rating. If the overall unsatisfactory rating results in disciplinary action and the employee was notified of the discipline at the time of the rating, an employee may grieve under Article 22 (Dismissal or Other Disciplinary Action); however, they may not also file a separate grievance on the rating under this Article. During the Article 22 grievance, the unsatisfactory rating shall be incorporated into the grievance.

Collective Bargaining Agreement between The University of Connecticut Board of Trustees And The University of Connecticut Professional Employees Association (UCPEA) July 1, 2021 - June 30, 2025