IDENTIFICATION OF
PROBLEM AREAS
Sec. 46a-68-87
Identification of Problem Areas

Under Section 46a-68-87(a) of the Affirmative Action Regulations of the Connecticut State Agencies, Western Connecticut State University ("WCSU" or "University") has established an examination where within an occupational category, position classification within an occupational category employing a significant number of persons or position classification for which a separate availability base is calculated has experienced an increase or reduction in workforce. The University has examined its personnel policies and practices to identify those non-quantifiable aspects of the employment process which may impede or prevent the full and fair participation of protected race and sex group members in the employment process. Where applicable, the University shall address the following aspects of employment:

(1) Employment Applications

For positions in the Executive/Administrative, Faculty, and Professional/Non-Faculty categories, candidates apply by sending a resume, cover letter, and a list of professional reference(s) as part of one application package. This process enables prospective candidates to present extensive information about their candidacy to search committees ("committees"), thereby enabling committees to review candidates with alternative experience or qualifications, where possible. Position advertisements state that WCSU may consider an equivalent combination of credentials and/or experience to meet the specified qualifications, as determined by (either or all) the Chief Human Resources Office (or an assigned designee with the Human Resources Department), Chief Diversity Officer and the hiring authority along with the search committee.

The University implemented procedure to solicit demographic data/information in which applicants are asked for this information via email. Applicants may voluntarily decline to provide the requested information, but this electronic process has led to a tremendous increase in applicant participation. Additionally, the use of a search consultant for varied "executive" searches ensured 100% of applicants responded to the University’s request for demographic data/information as the consultant highly encouraged applicants to respond to all of the University’s requests for Affirmative Action data information. In the Professional occupational category, there have been a few searches that are for grant funded positions that require this information. Therefore, the Chief Diversity Officer will actively address these specifics with applicants in the University’s requests for Affirmative Action data information.

Since September 2017, the Office of Diversity and Equity has utilized the "University Search Plan" (see attached documentation) to map out networking and recruitment opportunities to increase the number of applications for positions in the Executive/Administrative, Faculty, and Professional/Non-Faculty categories. With this new endeavor, the University has created a wider-net of applicant (minority) publications to apply for available positions, and will continue to report the outcomes in the Applicant Flow Analysis in the Affirmative Action Plan reporting period.
Since September of 2021, WCSU employment applications are no longer utilized to collect and document information necessary for an applicant of employment and does not request discriminatory data or other known information deemed discriminatory by law. To comply with Public Act 21-69, WCSU no longer accepts resumes during the initial application process for identified occupational categories unless submitted through JobAps. All application materials are now received by WCSU by the time specified on the job opening for the position. Late applications may not be submitted and will not be considered. Exceptions are rare and limited to documented events that incapacitate a candidate during the entire duration of the job posting time period. It is the candidate’s obligation and responsibility to request an exception and provide a legally recognized justification to accommodate such exception.

In conjunction with the State of Connecticut Department of Administrative Services, the University utilizes JobAps [hyperlink: https://www.jobapscloud.com/CT/] is an state electronic centralized repository system to collect and examine the application and employment process and to collect an applicant’s email address, commercial driver’s license information, as well as any additional information from applicants in the Clerical/Secretarial, Service/Maintenance, Skilled Trades and Protective Services occupations.

(2) Job Qualifications

Executive/Administrative

The positions in this occupational category are unclassified and highly specialized in that each one is a one-of-a kind position and involves major areas of higher education administration. Recruitment for these positions can be difficult because extensive qualifications are required. The educational expectation is usually a doctorate and/or specialized terminal degree.

This requirement may reduce the number of underrepresented group candidates. However, in addition to recruiting within various professional affinity organizations, the University does advertise for and considers comparable alternative credentials and experience to improve access. Additional impediments to recruiting for this category are some of the employment conditions imposed on the Management & Confidential Employees by the Connecticut State Colleges and Universities (“CSCU”). These conditions include the inability to confer academic rank or tenure to non-teaching administrators. Loss of tenure is a critical issue to those who move from the teaching academic ranks to the administrative ranks.

Administrators want to have the ability to move between the two different employment classes as their careers move on an upward trajectory. In 2013, we were pleased that CSCU changed their policy and revoked a three (3) month non-continuation notice policy which had been imposed in 2006. This meant that with proper notification, after the first year of employment, executives and administrators could be terminated with ninety (90) days’
notice. This employment condition, combined with the lack of tenure and the high cost of living in Fairfield County, has made recruiting very difficult for the University, particularly as they are conditions over which the University has no control. The cost of living is a very difficult obstacle. The use of CSCU salary ranges and the State of Connecticut use are consistent across the state. However, the cost of living differs greatly from Fairfield County to Willimantic County. It is difficult to find satisfactory solutions within the boundaries of the State. We are able to offer some relocation assistance to Management/Confidential and instructional faculty from underrepresented minority groups but that does not counteract the day-to-day demands.

Faculty

Job requirements for faculty members are usually demanding. The applicants must possess doctorates or have all requirements for their doctorates completed except for their dissertations ("All but Dissertation" status) or other terminal degrees in order to meet accreditation standards for the School and/or discipline.

Search committees seek applicants who meet not only the minimum qualifications but also the preferred qualifications. The quality of the applicants’ credentials significantly impacts the selection of the final candidates. Setting high levels of educational and experiential qualifications may limit the number of applicants who are members of underutilized groups. Competition to recruit minority candidates is intense. Collective bargaining salary caps, high course loads, and limited research funds all impact the University’s ability to recruit. However, the University has considered candidates who have not yet obtained their terminal degree, contingent upon receiving the appropriate degree by the time appointment has been offered. Department members who attend professional conferences and workshops are also encouraged to conduct interest discussions with potential candidates.

Professional/Non-Faculty

The Professional/Non-Faculty category consists of administrative faculty members who support all aspects of the University in divisions such as Student Affairs, Finance and Administration, Academic Affairs, and University Computing.

The job qualifications for each administrative faculty position are set out in a job description reviewed by the State University Organization of Administrative Faculty (SUOAF/AFSCME) union and management. All positions require a minimum of a Bachelor’s degree, with many positions requiring a Master’s degree and several years of relevant administrative experience.

The recruitment and selection process mandated by the SUOAF/AFSCME collective bargaining agreement requires that any vacancy or promotional opportunity must be posted internally so that bargaining unit members of the Connecticut State University System are afforded the opportunity to apply for the opportunity before external recruitment can be initiated. The bargaining unit member must communicate their interest to Human
Resources within ten (10) working days of the vacancy notification. This process facilitates upward mobility but can result in a limited pool of candidates.

Or (or around) November 2017, the Department of Administrative Services for the State of Connecticut implemented the use of JobAps, the new applicant recruitment system to improve the State’s hiring process with classified positions. The Chief Diversity Officer, in collaboration with the representatives of the Human Resources Department actively train search committees on the use of this new system and its functionality in administrative searches. The review of applications and credentials/qualifications for classified positions has been changed to permit for equitable review of applications through this new system. Civil service certification lists are no longer commonly used upon the implementation of this new system.

Clerical

Job qualifications and specifications are set by the State of Connecticut’s Department of Administrative Services for these positions. Candidates are often selected from SEBAC and/or re-employment lists. Recruitment for clerical positions is often difficult because it is defined by the regulatory framework within which recruitment and selection must be conducted. Until recently, the state certification examinations were held only in Hartford, making it inconvenient for potential local applicants who lacked transportation to get to the examination, but would be able to utilize mass transit for commuting to local job opportunities. The addition of more testing sites by DAS has begun to ease this difficulty.

Technical/Paraprofessional

Positions within this category are specialized and require experience and/or education in specific types of work. Candidates for these positions must be on the appropriate state certification list at the time of appointment to the position. It can be difficult to effectively target recruitment efforts towards underrepresented group members with the intent of advising them on how to apply for and take the appropriate state certification examination as the vacancies occur rarely and the examinations are given even more infrequently.

Skilled Crafts

The stringent qualifications for positions in this category may prevent some underutilized class members from applying for employment opportunities if they lack the requisite skills. Management makes information available to its employees regarding education, skills, and experience needed for each job in the career ladder. In addition, the Connecticut Employee Union Independent bargaining agreement requires that each vacancy shall first be filled by transfer from within the agency then filled by promotion from within the agency. Any employee who is seeking a transfer or promotion to another position within the agency shall be given preference over new hires unless he/she is not qualified to perform the job. Affirmative Action/EEO gains through external hires are compromised when vacancies within this category are generally filled by transfer or promotion.
Salary rates are an important factor that impacts the University’s recruitment efforts in this category. Salary rates in this occupational category are not competitive with the local job market. Consequently, local minority skilled crafts workers are able to earn more in the private sector than at the University. Therefore, where possible, the University uses in-house training opportunities to develop internal pools of minority group members.

Service Maintenance

As with the Skilled Crafts classification the Connecticut Employee Union Independent bargaining agreement requires that each vacancy shall first be filled by transfer from within the agency then filled by promotion, based on seniority, from within the agency. Any employee who is seeking a transfer or promotion to another position within the agency shall be given preference over new hires unless he/she is not qualified to perform the job. Affirmative Action/EEO gains through external hires are compromised when vacancies within this category are generally filled by transfer or promotion. These contractual requirements can serve to limit the University’s ability to recruit minority group members for positions in this category.

Protective Services

The recruitment of females, especially minority females, into positions traditionally held by males, such as Police Officer, is difficult statewide. Additionally, at the University level, salary rates are not competitive with the local market. Consequently, many females and minority group members are able to earn more through salary and overtime with municipal and county agencies. However, Department members who attend professional conferences and workshops are encouraged to conduct interest discussions with potential candidates.

(3) Recruitment Practices

Western Connecticut State University (“WCSU” or “University”) has a sound and extensive affirmative action recruitment structure and is attentive to expanding its recruitment sources. During the reporting period, the University has implemented new procedures with the use of search committee participants to recruit at conferences, events and/or publicized areas for potential applicants that target women, minorities, disabled individuals, and/or veterans. The University continuously strives to increase the affirmative action applicant flow and has developed a recruitment base for all race/sex groups, persons with physical disabilities, veterans, and older persons. Recruitment strategies include memberships in organizations with minority memberships and/or affiliations, professional websites that target women and minorities, disabled individuals, and/or veterans, posting notices on the University’s website as well as the State of Connecticut Department of Administrative Services website, including the use and executed actions of JobAps (see page one for more explanation), and mailing of E-alert notices to candidates on the State of Connecticut JobAps submission(s) [hyperlink: https://www.jobapsccloud.com/CT/].
(4) Personnel Policies

WCSU personnel policies are designed to ensure fair and equal treatment.

The Chief Human Resources Officer is charged with conducting a final review of all personnel policies and procedures prior to implementation in order to ensure that no policy or procedure impedes or prevents the full and fair participation of protected race/sex group members, persons with physical or other disabilities, veterans, and older persons in the employment process and work force. The Chief Diversity Officer and the Chief of Human Resources Officer review personnel policies and procedures to ensure validation and made modifications where appropriate. Those personnel policies that are determined by collective bargaining obligations may be changed only through that process.

(5) Orientation

All new hires receive an employment orientation from Human Resources Department as part of the employment process. This entails an orientation on all pertinent aspects of the individual’s employment at Western Connecticut State University (“WCSU” or “University”). Members from the Human Resources Department provides all new employees the New CSCU web-based training portal, employee guide to employment related university policies, the employee benefits handbook, as well as a copy of one or more of the appropriate Collective Bargaining Agreement, as it is applicable. Hiring Managers/Supervisors provide new employees with a separate departmental/divisional/office orientation to the work location, department/divisional staff and other areas. All pertinent Affirmative Action/EEO policies are regularly provided to new and continuing employees through the University’s Human Resources Department/Office of Diversity and Equity website, general poster(s) and signage throughout the University and quarterly scheduled cultural diversity training.

(6) Training

The University fosters and encourages employees to participate in training programs which will assist in their job responsibilities and their professional growth. To that end, the University provides in-house training in computer skills, blood borne pathogens, and supervisory skills, as well as makes available information on in-service training offered by the State of Connecticut Department of Administrative Services. An increasing number of trainings are offered through on-line resources. This increases the ability of the University to make training more accessible to a broader audience. Through programs such as tuition reimbursement, tuition waivers, and collective bargaining agreements, employees have the opportunity to pursue other training options including college courses. All training is provided to all occupational categories in a non-discriminatory manner. There are no discriminatory or access barriers with attendance at training events. Seminars, workshops, and other training aspects of the University are available throughout the academic year and
are widely publicized. Mandatory training for sexual misconduct and cultural diversity trainings are also widely disseminated and publicized to all employees.

(8) Counseling

Counseling is available to all employees from either the Office of Diversity & Equity and Human Resources staff on an ongoing basis. The Office of Diversity and Equity as well as the members of the Human Resources Department are easily accessible to employees for this purpose as is the staff of Career Services. Personal counseling services are available through the Employee Assistance Program (EAP). More specific information is available in Section N, Element No. 14, Career Mobility.

(9) Discrimination Complaint Process

All employees have access to grievance procedures through their collective bargaining agreement and/or the Connecticut State Colleges and Universities (“CSCU”) Personnel Policies. Fair and equitable treatment is the objective of the grievance procedures. The Office of Diversity & Equity and Human Resources staff work closely to accomplish these objectives. Additionally, all employees are provided with a copy of the University’s Discrimination Complaint Procedures. These documents are also available in the Office of Diversity & Equity and are also been posted on the website at www.wccu.edu/diversity.

(10) Evaluation

Performance appraisals are required for all University positions, in accordance with State of Connecticut Human Resources system. Performance appraisals are posted and available under Section III re: Evaluation Forms on the Human Resources Department website at http://www.wccu.edu/hr/forms/WCSU_HRForms.asp.

Union contract provisions provide that performance evaluations less than satisfactory may be grieved.

The performance of unclassified Management/Confidential staff are evaluated on an annual basis. Based on the Human Resource Policies for the Connecticut State Colleges and Universities, the appropriate University President and Chief Executive Officers will review the performance appraisals. Information about performance appraisals can be found at: http://www.ct.edu/files/pdfs/hr-policies-management-confidential.pdf

(11) Layoffs

During the reporting period, the University did not experience any layoffs.
(12) **Termination**

Since May 2019, the Office of Diversity & Equity has begun to accept electronic/online exit questionnaires/surveys from separated employees in order to gain firsthand knowledge of the reasons employees are ending their employment with the University. During the reporting period, there were no exit interview conferences with separating employees regarding the reason(s) why an employee was separating from employment and if the action was due to discriminatory treatment.

During this reporting period, the primary reason(s) given by many employees were the uncertainty of economic/personal conditions in the State, promotional opportunities elsewhere and/and changes to State retiree benefits. The University will continue its exit interview practice in order to assure that disparities do not exist in this area.

As a (completed) program goal, the Office of Diversity and Equity has been reviewing a series of electronic/online exit questionnaires/surveys (see attached documentation) to execute this task with separating employees.

Information about electronic/online exit questionnaires/surveys can be found at:
http://wcssedu/diversity/exit-interview-questionnaire/

This project was completed in (or around) April 15, 2019 as evaluated.

(b) The University has undertaken an examination for each occupational category or job title examined in subsection (a) of this section, the University’s Affirmative Action Plan listed all non-quantifiable elements of the employment process that were identified as a problem area.

(c) The University has examined all aspects of the employment process itemized in subsection (a) of this section to identify whether any employment policy or practice may impede or prevent the full and fair participation of individuals with disabilities and older persons in the workforce. The University did not identify any employment policy and/or practice that adversely affected any minority group candidates, including any self-identified, physically disabled persons and/or older persons.
Section J
Element No. 10

IDENTIFICATION OF PROBLEM AREAS
Sec. 46a-68-87

(ATTACHMENTS AND DOCUMENTATION)
Western Connecticut State University
Position Action Form

The Position Action Form (PAF) is used to either establish a new position or to initiate a recruitment process in order to fill a current vacancy. The recruitment process cannot begin until the Human Resources Department receives the approved PAF. If you have any questions regarding the PAF please contact Ms. Peggy Boyle, Assistant Director of Human Resources – Recruitment at 203-837-8662 or via email at boylep@wcsu.edu.

Position Title: ____________________________ SUOAF Administrative Rank: ___

Department: ____________________________ Union/Group: ____________________________

Position Supervisor: ______________________ Title: ________________________________

Position #: __________________ Position Status: _____ Vacant _____ New Position

Previous Incumbent: ______________________

Appointment Type: _____ Permanent _____ Temporary _____ Tenure-Track _____ Special

Anticipated Starting Date: ______________ Work Schedule: __________________________

Number of Months per Year: _____ Hours per Week: _____ FTE: _____ (i.e.: 1.00, .75, .50)

Minimum Annual Salary: $______________ Maximum Annual Salary: $______________

Comments:

______________________________________________________________________________

______________________________________________________________________________

Required Approvals:

President’s Approval: ____________________________ Date: __________

Human Resources: ____________________________ Date: __________

Budget Office: ____________________________ Date: __________

Finance & Administration: ____________________________ Date: __________

Revised 10-2017
Integrated Postsecondary Education Data System (IPEDS)

Identification of Ethnicity & Race:

Employee's Name (Please Print): _____________________________________________

Employee's Signature: ______________________________________________________

What is your ethnicity? Chose either category below which best describes your ethnicity.

☐ Hispanic or Latino
☐ Not Hispanic or Latino

Hispanic or Latino is defined as a person of Cuban, Mexican, Puerto Rican, Cuban, South or Central American, or other Spanish culture or origin, regardless of race. The term "Spanish origin" can be used in addition to "Hispanic or Latino."

Identification of Race

What is your race? Mark one or more races to indicate what race you consider yourself to be.

☐ American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

☐ Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

☐ Black or African American: A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black or African American."

☐ Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

☐ White: A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
Office of Diversity and Equity (https://www.wcsu.edu/diversity)

You are here: Home / Office of Diversity and Equity (https://www.wcsu.edu/diversity) > AFFIRMATIVE ACTION

AFFIRMATIVE ACTION DATA QUESTIONNAIRE

Office of Diversity and Equity (https://www.wcsu.edu/diversity)

Name: 

Sex: 
Male  Female

Race or National Origin (check one):

- Black - (not of Hispanic origin) all persons having origins in any of the Black racial groups of Africa
- Hispanic or Latino - all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race
- White - (not of Hispanic origin) all persons having origins in any of the original peoples of Europe, North Africa or the Middle East
- American Indian or Alaskan Native - all persons having origins in any of the original peoples of North and South America, and who maintain cultural identification through tribal affiliation or community affiliation
- Asian - all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. The area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.
- Two or more race categories - all persons who identify with more than one of the above

Position for which you are applying:

How were you referred to us?

- Newspaper or Journal advertisement Specify which one(s)
- Professional Associations Specify which one(s)

Office of Diversity and Equity (https://www.wcsu.edu/diversity)
Human Resources  
New Hire Data Sheet – Part Time Employees

Employment Group: Check the category that applies to the position you are hired for *(chose one):*
- [ ] Adjunct Faculty  
- [ ] University Assistant  
- [ ] Student Employee  
- [ ] Graduate Intern  
- [x] Graduate Assistant

Department Assigned To: ________________________________

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>M.I.</th>
</tr>
</thead>
</table>

Prefix: [ ] Dr.  [ ] Mr.  [ ] Ms.  [ ] Mrs.  
Suffix: [ ] Jr.  [ ] Sr.  Other:

Social Security #: ________________________________

Date of Birth (MM/DD/YYYY) ________________________________

Gender: [x] Male  [ ] Female

[ ] Disabled*  [ ] Not Disabled

*Please contact WCSU’s Diversity Officer at ode@wcsu.edu if work accommodations are needed

Do you have Veteran Status or Disabled Veteran Status: [ ] YES  [ ] NO
If YES: Military Branch & Service Dates:

Marital Status: [ ] Married  [ ] Single  [ ] Divorced  [ ] Legally Separated  [ ] Widowed

Home Mailing Address: Street: ________________________________
                          City: ________________________________
                          State: ________________________________
                          Zip Code: ________________________________

Preferred Phone #: ________________________________

Email Address: ________________________________

Ethnicity*: [ ] American Indian/Alaskan Native  [ ] Asian  [ ] Black/African American  [ ] Hispanic/Latino

[ ] Native Hawaiian/Other Pacific Island  [ ] Not Specified  [ ] Two or more Races  [ ] White

* In compliance with federal and state regulations, Western Connecticut State University is required to collect and maintain data on the race, sex, and ethnicity. Your responses are strictly voluntary and will help in implementing Western’s Affirmative Action program.

Have you ever worked for the State of Connecticut before? [ ] YES  [ ] NO
If Yes, where?

Are you interested in receiving your paycheck via direct deposit? [ ] YES  [ ] NO
If Yes – Complete the Direct Deposit Form

Emergency Contact:

Relationship: ________________________________

Phone #: ________________________________

Address: ________________________________

Please sign below acknowledging that the information provided above is correct to the best of your knowledge.

______________________________  ________________________________  
Employee’s Signature  Date

Revised 04-2021
Recommendation for Hiring a Graduate Intern

For all appointments – Graduate Program Acceptance Confirmation, Resume & Job Description must all be submitted with this recommendation form.

Renewal _____ New Appointment _____

Department: ___________________________ Supervisor Name: ___________________________ Ext. ___________

Graduate Intern Name: ___________________________ Banner ID #: ___________________________

Mailing Address: ___________________________

Telephone #: ___________________________ Email Address: ___________________________

Appointment Term: Start Date: ___________ End Date: ___________

**Employee may not start working until approved by Human Resources.

Use if break in between semesters:
Second Appointment Term: Start Date: ___________ End Date: ___________

Weekly Hours: ___________ Stipend Amount: $ ___________

Org # (Required): ___________________________

Department Approval:

Approved (Financial Manager/Supervisor): ___________________________ Date ___________

Human Resources:

☐ Confirmation from Graduate Admissions   ☐ Resume   ☐ Job Description

☐ Returning  ☐ New Hire  Background Check Materials Submitted: ___________

Approved by Human Resources: ___________________________ Date: ___________

Finance & Administration - Budgetary Approval:

Fund: ___________________________ Org: ___________ PC#: ___________________________

Fiscal Affairs Verification: ___________________________ Date: ___________

Comments: ____________________________________________
Pre-employment Background Verification Policy
Connecticut State Colleges and Universities

Introduction/Purpose:

The Connecticut State Colleges and Universities System ("CSCU") is committed to providing a safe learning and working environment for its students, faculty and staff. Therefore, in order to ensure the hiring of employees of the highest integrity and to maintain a safe educational community, the CSCU System, comprised of its seventeen institutions and the System Office, will conduct pre-employment background investigations on all individuals for whom employment is to be tendered.

This policy sets forth the requirements and guidelines for performing such background investigations.

Scope:

Upon adoption by the Board of Regents for Higher Education, all full-time and part-time external candidates for employment with a CSCU institution or the System Office, as well as potential re-hires with a break in service of more than one year, shall undergo a pre-employment background investigation pursuant to this policy as part of the employment screening process. This policy covers all full-time and part-time employees, including University Assistants, Educational Assistants, Adjuncts/Lecturers and other temporary and contracted employees.

This policy shall also apply to the following student worker positions (including graduate assistant or graduate intern positions), beginning with hiring for the fall 2015 semester:
- Resident Assistants;
- Students assigned to the Public Safety Department;
- Students who handle DCL3 data as defined in the CSCU Data Management Standards (DCL3 is protected confidential data, which comprises identity and financial data);
- Students who have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budget; or
- Students deemed by the institution's chief human resources officer to be in safety- or security-sensitive positions.

It is understood that there is movement in the CSCU workforce between institutions (including the System Office) due to transfer and promotional opportunities, as well as dual employment situations. This policy applies to these situations as detailed below:

The following CSCU employees shall be covered by this policy:
- CSCU employees who apply for and are offered a transfer or promotional opportunity to a different CSCU institution and have not already undergone a background investigation.
Pre-employment Background Verification Policy at the Connecticut State Colleges & Universities

- CSCU employees who are candidates for transfer or promotion to a management/confidential professional position.
- CSCU employees who are candidates for transfer or promotion to positions that handle DCL3 data, have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budget.

The following CSCU employees shall not be covered by this policy:
- CSCU employees who apply for transfer or promotion within the same institution.
- CSCU employees who transfer to or become dually employed at a different CSCU institution and have already had a background investigation done at the former CSCU institution.
- Former CSCU employees who are rehired at the same or different CSCU institution after a break in service of less than one year and have already undergone a background investigation.

Policy:

No external employment candidate may begin work for an institution or the System Office until the appropriate screenings have been completed. The background investigation may reveal certain information that may disqualify the candidate from further consideration for the position. Special circumstances may, on occasion, require an applicant to start work before all pre-employment background checks are completed. Such exceptions may occur only with prior approval by the chief human resources officer at the institution, or the Vice President for Human Resources at the System Office. Written notification will be sent to the applicant that continued employment is contingent upon completion of a pre-employment background investigation acceptable to the institution or the System Office.

Elimination of a candidate from consideration for hiring on the basis of information revealed by the background investigation must be reviewed and approved by the chief human resources officer at the institution, or by the Vice President for Human Resources at the System Office. Access to the background investigation report shall be handled with the strictest confidence and be limited to the President and the chief human resources officer or their designees at the institution or the President of the Board of Regents for Higher Education or Vice President for Human Resources at the System Office or their designees.

Procedure:

The CSCU System shall select and contract with an approved background investigation vendor. All institutions and the System Office must utilize the approved designated background investigation vendor for pre-employment background investigations and shall comply with this procedure.
1. Notification & Authorization

Candidates will be informed during the pre-employment process that selection is subject to completion of a background investigation acceptable to the institution or the System Office. Applicants who have been designated as finalists for positions will be provided a disclosure and will be required to consent to a background investigation. Applicants will be required to provide information for use by the approved background investigations vendor. The institution’s or System Office’s chief human resources officer or designee will initiate all background investigations.

2. Collecting Background Information

Before awarding the position, the institution or System Office will conduct the following Level I pre-employment background check of all candidates (for non-student worker positions):

Level I Screening

- Social Security Trace or SSN Validation: CBSV (Consent Based SSN Verification);
- Prior Employment Verification (prior 7-10 years);
- Education Verification (highest degree attained or highest education level if no degree attained);
- Professional Reference Checks;
- County/Statewide Criminal Search (where lived, worked, attended school – as obtained from disclosure form or Social Security Trace);
- Federal Criminal Search (where lived, worked, attended school – as obtained from disclosure form or Social Security Trace); and
- Multi-Jurisdictional Criminal Search (includes National Sex Offender).

Before awarding the position, the institution or System Office will conduct the following Level II pre-employment background check on all candidates for executive-level positions (Dean and above) and at the option of the institution or System Office other positions that direct a substantial operational unit as designated by the institution’s or System Office’s chief human resources officer or president:

Level II Screening for Executive-Level Positions

- Includes all elements of the Level I Screening; AND
- Motor Vehicle Record;
- State/Federal Civil Litigation;
- Credit Verification (in accordance with state and federal laws); and
- Media Search.
Before awarding the position, the institution or System Office will conduct the following Level III pre-employment background check on all candidates for the following student worker positions (including graduate assistant or graduate intern positions): (1) Resident Assistants; (2) Those in the Public Safety Department; (3) Those who handle DCL3 data as defined in the CSCU Data Management Standards; (4) Those who have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budget; or (5) other positions that are deemed by the institution's chief human resources officer to be safety- or security-sensitive positions:

**Level III Screening**  
**for Student Workers**

- Social Security Trace or SSN Validation: CBSV (Consent Based SSN Verification);
- County/Statewide Criminal Search (where lived, worked, attended school - as obtained from disclosure form or Social Security Trace);
- Federal Criminal Search (where lived, worked, attended school -- as obtained from disclosure form or Social Security Trace); and
- Multi-Jurisdictional Criminal Search (includes National Sex Offender)

In addition, candidates for designated positions may also be subject to the following types of screenings, depending on the requirements of the position:

**Position-Specific Screening**

- Motor Vehicle Record (for positions that require driving as part of the job);
- Credit Verification (for positions that have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budgets, in accordance with state and federal laws);
- Professional Licensing Check (for any positions that require a professional license); and
- International Screening – criminal search and credential verification, as needed.

Prior employment verification, education verification, professional reference checks and media searches may be conducted by the background investigations vendor or the institution/System Office at the option of the institution/System Office.

3. **Use of Background Investigation Results**

Listed below are examples of factors that may disqualify an applicant for employment. This list is not an all-inclusive list, but is provided merely as examples):

- Inconsistency of information provided by the candidate versus that obtained by the background investigation. (Examples might include, but not be limited to,
significant differences in prior employment dates, education obtained, or licenses held.)

- Omissions of significant information by the candidate. (Examples might include, but not be limited to, failure to disclose being dismissed for cause or loss of certifications qualifying the applicant for the position.)

- Unsatisfactory information uncovered by the background investigation. (Examples might include, but not be limited to the following: Felony or misdemeanor convictions related to the position applied for; unsatisfactory job performance on a prior job; poor attendance or disciplinary problems on a prior job; record of moving violations (for a job requiring driving an institution or state vehicle); credit history that would indicate an inability to manage finances or which would create undue personal financial pressure (for jobs handling management of significant financial resources).

4. **Fair Credit Reporting Act ("FCRA") Compliance:**

The FCRA and the regulations promulgated thereunder are intended to give a candidate for employment the opportunity to correct any factual errors in his or her consumer report, as defined in the FCRA, before an adverse employment action is taken. The candidate must be provided notice of any disqualifying information revealed by the consumer report, including, but not limited to, credit history information, and a reasonable period of time to correct discrepancies.

When the institution or System Office receives information in a consumer report that will potentially disqualify a candidate from consideration, the institution or System Office will comply with the following FCRA protocol:

- The candidate shall be sent a letter notifying him/her that the institution or System Office has received disqualifying information from the consumer report.
- To the letter shall be attached a copy of the report and a summary of the candidate's rights under FCRA and any relevant state required forms.
- The notification shall be sent to the candidate before any adverse employment action may be taken based on the consumer report.
- After five (5) business days, barring the receipt of any new information that changes or clarifies the consumer report and eliminates any discrepancies, the institution or System Office shall send the candidate a second letter rejecting his/her candidacy based on the disqualifying information generated by the consumer report.

Services of the approved background investigation vendor may be utilized to produce the adverse action notifications, or the institution or the System Office, may produce the notifications themselves.
5. **Record Retention:**

All information obtained, as part of a background investigation, shall be held in strictest confidence. Documentation of a successfully completed background investigation shall be retained for the appropriate retention period for employment records promulgated by the State of Connecticut and by institution or System Office personnel search policies and procedures. The detailed background investigation report shall be retained by the approved background investigation vendor in compliance with state and federal retention requirements and shall not be included in an employee’s personnel file. Unauthorized disclosure of information gathered through the background investigation will not be tolerated and may subject the discloser to disciplinary action.

6. **Use/Review Criteria:**

   a. **Criminal Convictions:** The institutions and the System Office will not knowingly hire applicants who have been convicted of job-related crime within the allowable reportable time period for reporting such offenses. This time period is normally seven (7) years. This also applies to those situations when the date of disposition, release, probation, or parole (whichever is most recent) relating to the crime occurred within the past seven (7) years.

   Pursuant to Connecticut General Statutes Sections 46a-79 and 46a-80, in determining whether conviction of a criminal offense will disqualify an applicant for a particular position, the following three factors will be considered:

   - The nature of the offense and its relationship to the position;
   - The degree to which the applicant has been rehabilitated; and
   - The length of time elapsed since conviction.

   Notification of rejection of employment will be sent via registered mail and will specifically describe the evidence presented and state the reason(s) for disqualification.

   b. **Pending Criminal Charges:** If the institution or System Office becomes aware that the applicant has criminal charges that are currently pending, but no court disposition has yet been made, the institution or System Office shall assess the criminal charges on a case-by-case basis to determine if the charges are job-related or would otherwise impact the potential employee’s ability to serve in the position.

   Pursuant to Connecticut General Statutes Section 46-80(d), no record of arrest that was not followed by conviction, or record of conviction that has been erased, shall be considered in connection with an application for employment.
c. **Accelerated Rehabilitation:** The institution or System Office is not prohibited from considering accelerated rehabilitation or other alternative dispositions when evaluating an applicant. The institution or System Office shall consider the accelerated rehabilitation as it would a pending charge.

d. **Motor Vehicle Records Check:** Motor vehicle records which evidence a revoked or restricted driver’s license, invalid driver’s license, or traffic violations (including, but not limited to, alcohol-related violations) shall be reviewed as they relate to positions requiring driving duties and in conjunction with all other factors disclosed by the background investigation.

e. **Credit History:** An applicant’s credit history shall be reviewed as it relates to jobs requiring financial responsibilities. An applicant’s credit history shall be considered in conjunction with all other factors disclosed by the background investigation and shall not be a solely determining factor in denying employment.

**Statutory/Administrative Regulation:**

- Fair Credit Reporting Act
- Connecticut General Statutes, Sections 31-51i, 46a-79, 46a-80, 46a-80(d), 46b-146, 54-760, 54-142a

**Responsible Function Area:**

Office of Human Resources
Welcome New Staff

Here is a quick checklist of things needed to prepare for new personnel coming onboard in your area. This is a list of things most new employees will need.

- Assign a location (desk, office, etc.) and have it cleaned by facilities. Order or make a sign to indicate the new employee’s name, title, room location.
- If furniture is needed (desk, chair, filing cabinet, etc.) arrange with facilities to set it up.
- Request phone line, phone, and/or voicemail. This requires a TSR form, which can be found at: https://www.wcsu.edu/technology/telecomm/TSR%20-%20Ver%2002.0.pdf
- Request necessary building access, keys, and/or pin codes to offices and buildings. This requires an Access Control form, which can be found at: http://www.wcsu.edu/westconnect/Access%20Request%20Form.xlsm
- Request a computer (desktop, laptop, tablet) and equipment (docking station, printer, etc.), along with any necessary software specific to your department. Requests can be made through ITI.


- WestConn account (Windows)
- Email
- WestConduit
- E-Learning (Blackboard)
- Banner Self-Serve
- Web Banner
- File Shares (K, X, H, N drives)
- Remote access

- If appropriate, order business cards for the new employee
- Collect and place office supplies for the new employee’s office
  - Pens
  - Notebooks
  - Paper
  - Pencils
  - Highlighters
  - Paper clips
  - Stapler
  - Tape Dispenser
  - Scissors
  - File Folders
- Campus Map
- Information on campus Dining Services, along with local dining locations
- Instructions for using phones, setting up and accessing voicemail, etc.
- Policies and procedures for your department
- List of pertinent people/offices and their locations so that the new employee is able to answer general questions
- Information on who to contact for computer, telephone, printer and copier issues
- Arrange for training on computers and WCSU systems
- Training on CORE-CT and payroll
- Locations and contacts for important offices or people
  - Union representatives
  - Mailroom
  - Police
  - Payroll
  - Human Resources
  - Admissions
  - Cashier
  - Financial Aid
  - Libraries
  - Department secretaries for departments they will need to work with frequently
- Information on where to get ID card
- Information on where to get staff parking hang tag and parking information
- Information on payroll/direct deposit
- Information on who to contact when calling out sick
- Information on Emergency Notification system and how to sign up for it.
Welcoming New Staff

There may be specific needs that different employees also need, based on their status. Here are a few things you'll want to review to see if your new employee needs any of these things:

- Training to make room reservations
- Authorization and training on purchasing (supplies or other purchases)
- Travel – paperwork and policies
- Contracts
- Forms and where to find them: Begin at the Faculty Handbook Table of Forms (https://www.wcsu.edu/facultystaff/handbook/forms.asp)
  - Food service
  - Student employment
  - Purchase requisition form
  - Disbursement form
  - Equipment Loan form
  - Mileage form
  - Personal Services Agreement & Honorarium Request form
  - Tuition Waiver form
- List of academic departments, locations, and contact #
- List of administrative departments, locations, and contact #
- How to place an order for textbooks
- Information about the University Senate

You may also want to consider the following:

- Give a campus tour (both campuses) during the first few days of work
- Tour the offices and introduce the employee to the staff of your offices/departments. This should also include the location of the dean/department chair or director/supervisor offices.
- Show the employee where restrooms are located, as well as vending machines and other areas of interest in your office area
- Special training specific to your area
  - Equipment training in facilities
  - Use of key boxes
  - AAUP
    - Academic Advising responsibilities
FROM THE WCSU OFFICE OF DIVERSITY AND EQUITY ("ODE")

Good day

Thank you for your service to Western Connecticut State University ("WCSU" or "University"). You are in receipt of this message from your employment separation, which is announced as of June 20, 2022.

In an effort to obtain feedback and suggestion(s) to improve the working and/or academic environment, the WCSU Office of Diversity and Equity ("ODE") invites you to complete an online exit questionnaire/survey that welcomes your opinion(s) and feedback on your overall working experience with the university. Please click here to access and complete the WCSU Online Exit Questionnaire/Survey at your convenience. We are kindly asking for your cooperation in completing the online questionnaire/survey. You can skip any areas you do not feel comfortable responding to, but we encourage you to be open and honest with your responses.

Your feedback will help shape future initiatives in an effort to make WCSU a great place to work.

PLEASE NOTE: The information will be stored in a secure online environment which is strictly confidential. Your responses will only be viewed by either (or both) members of ODE and the Human Resources Department, and the overall results of this questionnaire/survey will be provided to the corresponding management team in a report format which will not enable the identification of any individual and/or individual response(s) unless you specifically indicate otherwise.

If you have any questions and/or concerns in completing the online exit questionnaire/survey, please do not hesitate to contact a member of the ODE team by telephone at (203) 837-8444 or by email at ode@wcsu.edu.

Thank you in advance for your participation and feedback.

Jesenia Minier, MPA
Chief Diversity Officer
ADA and Title IX Coordinator
Office of Diversity and Equity/Pride Center

181 White Street
PRONOUNS: SHE, HER, HERS - what's this?
Why do I include pronouns in my signature

www.wcsu.edu/diversity/
www.wcsu.edu/pridecenter/

In collaboration with the following institutional partners:

![Collaboration Logos]

The information contained in this email is privileged and confidential. This email and any files transmitted may contain confidential information as protected by the Family Educational Rights and Privacy Act (FERPA). If you are not the intended recipient, you are hereby notified that any disclosure, copying or distribution is strictly prohibited. Furthermore, if you are not the intended recipient, please notify me immediately by telephone or return email and completely delete this message from your system.
Exit Interview Questionnaire

Last Name | First Name | Middle Initial
---|---|---

Current Position | Department | Immediate Supervisor
---|---|---

Initial Employment Date | Last Day of Employment | Gender
---|---|---

[...]

Please indicate reason(s) below, which contributed to your decision to resign your current position:

- [ ] Salary
- [ ] Personal
- [ ] Return to School
- [ ] Relocation
- [ ] Military
- [ ] Job Advancement
- [ ] Benefit
- [ ] Job Eliminated/Termination
- [ ] Disabilities
- [ ] Academic/Work Climate
- [ ] Other (please explain below)

2. Was there a specific event or issue that prompted your resignation?

[ ] Yes

Filing a discrimination complaint:

3. Please rate the following regarding your current position:

<table>
<thead>
<tr>
<th>item</th>
<th>Excellent</th>
<th>Above Average</th>
<th>Average</th>
<th>Below Average</th>
<th>Very Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality of training received for your position.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Satisfaction and Enjoyment in your current position.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Working relationship with fellow employees.</td>
<td>[ ]</td>
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</tr>
<tr>
<td>Cooperation among different departments.</td>
<td>[ ]</td>
<td>[ ]</td>
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</tr>
<tr>
<td>Opportunity for advancement and promotion.</td>
<td>[ ]</td>
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</tr>
<tr>
<td>Appreciation and recognition for achievements.</td>
<td>[ ]</td>
<td>[ ]</td>
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</tr>
<tr>
<td>Wellness, overall workload for position.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
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</tr>
</tbody>
</table>

4. Please rate the following regarding management:

<table>
<thead>
<tr>
<th>item</th>
<th>Excellent</th>
<th>Above Average</th>
<th>Average</th>
<th>Below Average</th>
<th>Very Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Treats staff with respect and dignity.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
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</tr>
<tr>
<td>Values feedback and suggestions.</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>
Did you encounter any problems in your current position?

Yes

No

Either yes or no, how would you describe the academic or working environment at WCSU? In what ways did these environments contribute to either your satisfaction or dissatisfaction with the job? Please briefly explain:

Was the Office of Human Resources helpful during your employment? (Optional):

Yes

No

Either yes or no, please briefly explain:

In your perspective do you believe supervisors or administrators gave you an opportunity to voice any concerns?

Yes

No

Do you feel that you were treated equally by your coworkers and supervisors in regards to race, religion, gender, etc.?

Yes

No

Did you experience and/or witness any behavior or conduct that would be considered harassment or discrimination?

Yes

No

Based on your experience at WCSU, would you recommend this job to a friend, relative, etc.? 

Yes

No

Would you reapply if a future opportunity arose?

Yes

No

Contact Information (Optional)

Email:

Phone Number:

Please add any additional comments:

Date/Time:

Thank you for participating in the Exit Interview Questionnaire and telling us about your experience at Western Connecticut.