

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA
POLICY NO: 1311**

**RECRUITMENT AND APPOINTMENT PROCEDURES FOR
TENURE-LINE FACULTY**

INTRODUCTION

Since 1964, the Federal government has passed legislation and issued executive orders designed to achieve equality of employment and end discrimination in hiring. The California State University is currently governed by Executive Order 883, "System-wide Guidelines for Nondiscrimination and Affirmative Action Programs in Employment," as well as other federal and state laws. Cal Poly Pomona is required to establish uniform policies and procedures that ensure a fair and open hiring practice and a work environment that is free of sexual, racial and other forms of discrimination. Affirmative action at Cal Poly Pomona is based on a proactive commitment to engage in activities that will result in quality education and equity for all individuals.

The faculty recruitment process plays a vital role in helping the University meet these objectives by recruiting and retaining a well-qualified and diverse faculty in response to the changing demographics of the state and local communities served by the University. Search committees involved in faculty recruitment have the power to make substantive changes to the academic environment. Principles of fairness and equity play an integral role in all personnel decisions. Decisions are expected to be based upon an applicant's knowledge, abilities, and achievements as well as the individual's potential to contribute to the academic endeavor of the University. In addition, the principles of equal employment opportunity should be prime considerations.

The Diversity Office is responsible for reviewing and monitoring all searches for the University and serves as a resource to search committees. Along with the Diversity Office, the College/School Deans, the College Diversity Committees, if constituted, and Department Chairs share ultimate responsibility with the President for a successful University affirmative action program by ensuring that everyone involved in the recruitment process adheres to the University's affirmative action guidelines.

The faculty recruitment guide and the following summary is intended to provide the overall framework of policies and procedures to guide faculty committees, departments, Deans, and others in achieving the University's goal of managed change and the recruitment and retention of a well-qualified and diverse community of teacher-scholars.

All appointments to tenure-line (both probationary and tenured) positions shall follow this process. Informal discussion between parties to resolve differences is encouraged. Conducting a search in a timely and efficient manner is essential to the process of recruiting well-qualified faculty. Timing is critical if interviews and offers of employment are to be made in a competitive manner.

(Some disciplines, for example, require that interviews take place in August.) Delayed

searches may face the prospect of a pool that has been depleted of the most qualified individuals. A principal consideration of this policy is to inform search committees of the main processes involved in a search and to keep committees and administrators within a reasonable timeline.

I. ROLES IN CONDUCTING A SEARCH FOR TENURE-LINE FACULTY

A. Role of the Department Faculty

The Department faculty members are responsible for establishing the position(s). The Department Chair is responsible for making a request to the Dean to conduct a search for the tenure-line position(s) in accordance with the criteria established by the faculty members of the department. The elected search committee is responsible for establishing the search protocol and conducting the search. The Department Chair reviews and forwards the Affirmative Action Compliance Report (AACR) prepared by the search committee with appropriate recommendation to the Dean.

Departments shall request the opening of a tenure-line position at a time of year appropriate to the traditional hiring calendar within that discipline. Departments are advised to have their packages completed at least six months before the anticipated date by which the search committee will choose the finalists to allow sufficient time for a successful search.

Note: In the event that there is no Department Chair, the chair of the search committee assumes the role of the Department Chair for the purpose of the search.

B. Role of the Dean

The Dean is responsible for the quality and performance of the faculty in the college/school to ensure excellent quality academic instruction and excellence in research and other professional development activities of the faculty. To achieve these goals, the Dean has the responsibility for oversight of the search process, including budgetary decisions related to searches and hires. The Dean is responsible for ensuring that faculty search committees comply with University policies and adhere to the University's affirmative action guidelines. The Dean makes recommendations for tenure-line appointments to the Provost.

C. Role of the Office of the Provost and Vice President for Academic Affairs

The Provost and Vice President for Academic Affairs is responsible for the overall staffing and budget in Academic Affairs and shall approve, based on requests from Deans, the initiation of all tenure-line faculty searches. The Provost

has overall responsibility for searches and, after consultation with Deans and on behalf of the President, shall make all formal tenure-line faculty appointments.

The Associate Vice President for Faculty Affairs serves as a resource to departments, search committees, and Deans to ensure compliance with University policies related to tenure-line searches and appointments.

D. Role of the Diversity Officer

The Director of Diversity and Compliance will serve as the Diversity Officer for faculty searches unless otherwise designated by the President.

The focus of the Diversity Officer or designee is to provide an ongoing review of the search process to promote equal employment opportunity and adherence to sound human resource practices.

The responsibilities of the Diversity Officer or designee are as follows:

1. To participate in the recruitment process from its initial stages to completion, and to inform the search committee of affirmative action practices and procedures necessary to ensure equal employment opportunity, including considerations regarding valid selection procedures and appropriate interview techniques.
2. To ensure that the recruitment efforts are far-reaching and include efforts that attracts a diverse pool of qualified candidates.
3. To collect diversity data and to assess the extent to which recruitment efforts have been successful in attracting a diverse pool of qualified candidates.
4. To work with the search committee to ensure that all candidates are given fair consideration based on the criteria stated in the official position announcement.
5. To render a decision as to the need to address any problems related to the conduct of the search.

II. ESTABLISHING THE POSITION

A. Memo requesting opening of recruitment

A description of the requested position(s) must be approved by the majority vote of the tenured and probationary faculty. To ensure this concurrence of the department faculty, a majority of the faculty shall approve a memo stating the position including sub-discipline, qualifications, and expected rank.

The transmittal of this memo from the Department Chair to the Dean will formalize the request for a search. A copy of the memo shall also be transmitted to the Provost and the AVP for Faculty Affairs.

This memo shall include:

1. Position justification (why needed, whether it is a new or replacement position, how it fits the department's short and long-term goals, etc.).
2. Request for recruitment funds (publicity, travel, release time, etc.).
3. Summary of consultation with faculty.
4. Current number of tenured and probationary faculty in the department and number of lecturers (FTEF) hired in at least the past academic year.

The Dean must acknowledge receipt of this memo and inform the department of the decision date in writing within 5 working days.

- B. Memo from Dean to the department approving/disapproving the search.

After consultation with the Provost, the Dean can respond to the memo requesting the opening of the recruitment process in one of three different ways:

1. A memo stating that the search, as defined by the memo requesting the opening of the recruitment process, is approved;
2. A memo stating that the search, as defined by the memo requesting the opening of the recruitment process, is approved with specific conditions. Each condition should be clearly articulated; or
3. A memo stating that the search, as defined by the memo requesting the opening of the recruitment process, is disapproved. Reasons why the search is disapproved should be clearly articulated.

In each case, copies of the memo shall be sent to the Provost and the Diversity Officer.

The department may appeal the decision of the Dean to the Provost.

III. PREPARATION FOR THE SEARCH

- A. A search committee consisting of probationary and tenured faculty is elected by the majority vote of the probationary and tenured department faculty. All department faculty members shall have the opportunity to nominate candidates for the search committee. The search committee shall consist of a minimum of three members.
- B. Search Committee Composition and Duties: The search committee should have appropriate representation for the sub-discipline or specialty in which an appointment is being sought. The department shall make a good faith effort to include faculty from under-represented groups in the search committee. If there are not enough tenured and probationary faculty members from underrepresented

groups within the department, the department faculty may elect members from related disciplines.

Although the Unit 3 Collective Bargaining Agreement [CBA] requires that the search committee assumes the responsibility of reviewing and recommending individuals for appointment, all tenured and probationary faculty members shall have access to the candidates' application files and shall be invited to participate in the interview process. Each member of the search committee, as well as anyone having access to the candidates' files, is responsible for maintaining strict confidentiality.

1. Search committee elects a chair at the first meeting. The chair shall be a tenured faculty member of the department unless there are no tenured faculty members in the department. The chair of the search committee is responsible for the following:
 - a) Ensuring that each member of the search committee has been advised of law, CSU policy, and University policy which bear upon the search and nomination process.
 - b) Ensuring that all policies and procedures regarding the search are adhered to by the members of the committee.
 - c) Ensuring that the search is conducted in full compliance with law and University policy.
 - d) Acting as a liaison between the search committee and the Department Chair, Dean, Diversity Officer, and AVP for Faculty Affairs.
 - e) Preparing a complete recruitment package and sending a copy to the Diversity Officer to ensure EEO compliance.
 - f) Maintaining ongoing contacts/correspondence with candidates.
 - g) Maintaining ongoing contact with the Department Chair, Dean, Diversity Officer, and AVP for Faculty Affairs.
 - h) Arranging schedules for telephone or teleconference interviews and campus visits as appropriate.
 - i) Ensuring that campus visitations are handled properly and in a timely manner.
 - j) Ensuring timely notification to unsuccessful candidates.

- k) Performing other duties as necessary to complete a timely and successful search.
2. The search committee chair sends a memo to Dean, via the Department Chair, identifying search committee members and chair and the results of the vote. Copies are also sent to the AVP for Faculty Affairs and the Diversity Officer.
3. The Dean approves the composition of the search committee.
4. The search committee chair invites the Diversity Officer to a search committee meeting to inform the committee of affirmative action practices and to assist in developing strategies for attracting a diverse pool of qualified candidates.
5. Search committee establishes Applicant Tracking System (ATS).
6. Search committee develops recruitment materials for Recruitment Package.

While it is customary that recruitment packages are completed prior to advertising positions, the timing of advertising tenure-line positions may require that ads be developed and placed before the recruitment packages are completed. Ads and position descriptions must be approved by the Dean and the Diversity Officer, with copies sent to the AVP for Faculty Affairs.

7. A majority of the search committee must approve all materials in the Recruitment Package. In addition, all decisions and recommendations of the search committee must be made by a majority vote of all members of the committee.

IV. RECRUITMENT PACKAGE

- A. The recruitment package consists of the following:
 1. Position description. This shall be consistent with department's approved RTP criteria and anticipated needs, including the educational discipline(s), degree(s), skills, abilities, and professional potential. The position description shall be approved by the majority vote of all probationary and tenured faculty of the department.
 2. Proposed advertisement for publication(s) consistent with the position description.
 3. List of proposed publication(s), approximate date or issue(s) in which ad will

run, and estimated cost.

4. List of proposed academic, professional, industrial, and/or corporate contacts to whom recruitment materials will be sent and/or with whom personal contact will be made.
5. List of proposed diversity resources to be contacted, prepared in consultation with the Diversity Officer.
6. Sample letters to be used for recruitment communications.
7. Search Protocol, consisting of:
 - a. Approximate timeline, including application deadline
 - b. Procedure for determining when and how the second pool of candidates will be utilized, if applicable.
 - c. Screening criteria and preliminary evaluation method, if applicable
 - d. Questions for telephone interviews of candidates, if applicable
 - e. References:
 1. Number of reference letters required (minimum 3)
 2. Required number of references that can be contacted (name, address, and telephone numbers) (minimum 3)
 3. Questions for telephone references checks, if applicable
 4. At what point in the search process the candidate will be asked for permission to contact references, including others who may have information about the candidate
 - f. Contacts or other resources, such as the Internet, to be consulted including questions, if applicable
 - g. Tentative itinerary for finalists while on campus
 - h. Criteria and procedures for interviewing finalists, including interview questions

The search committee may amend the protocol by majority vote of the committee and with approval of the Diversity Officer, in consultation with the Dean.

- B. The search committee forwards the recruitment package to the Dean with a copy to the Diversity Officer and the AVP for Faculty Affairs.
- C. Within five working days, the Dean and the Diversity Officer review and approve/disapprove the package. The Dean and the Diversity Officer shall send separate memos to the Department Chair and the chair of the search committee, with copies to the AVP for Faculty Affairs, indicating their approval/disapproval of the recruitment package.

Once the Dean and the Diversity Officer have approved the recruitment package, the search is officially open.

V. THE SEARCH PROCESS

The search committee makes efforts to recruit a large and diverse pool of applicants. All prepared announcements and other publicity materials are sent out. Information is sent to all resources, contacts and publications. The search committee chair is responsible for responding to inquiries and correspondence in a timely manner.

Until the pool is approved, the search committee shall not evaluate the pool as a whole. However, individual committee members may review and evaluate the applications as soon as they are complete. Everyone having access to the candidates' application files must keep such information confidential.

Some applicants will want their candidacy to remain confidential until they become finalists. When an applicant requests this, his/her wishes must be respected. The search process is as follows:

- A. **Position advertisement:** The position is announced, using the approved recruitment package material. The search committee arranges with Faculty Affairs to create an online link to the position announcement, with an additional link to the application form. The search committee retains copies of all published position advertisements as they actually appear, and forwards them with the Affirmative Action Compliance Report (AACR) at the conclusion of the search.
- B. **Applicant Tracking System:** As search committee receives applications, it must follow the established ATS (Applicant Tracking System) to document various search activities.

The format for the ATS is the Applicant Flow Analysis [found in the Affirmative Action Compliance Report (AACR), form # F180400].

The support staff responsible for recordkeeping sets up files and procedures to collect the information as it arrives.

Note: The ATS columns for "Gender" and "Ethnicity" remain blank. This information is confidential and maintained separately from the application process by the Diversity Officer.

C. Incoming material logged and date stamped prior to review by search committee.

1. All search material to be stored in a secure and confidential place, separate from regular department files.
2. Record to be kept of each applicant's material. This usually includes curriculum vitae, application form, references, and general correspondence.

Completed Affirmative Action Data Forms (self-identifying Gender and Ethnicity) are to be forwarded to the Diversity Officer.

3. Telephone and email log kept of all contacts related to recruitment that are initiated by the search committee.
4. Closing dates, as stated in publicity, may be viewed in two ways:
 - a. All material must be received by application deadline for a candidate to be considered. No material is accepted after that date; or
 - b. All material must be postmarked by application deadline for a candidate to be considered. *Note on closing date: Search committees are encouraged to use the following language: "Position is open until filled." In addition, a date when initial review of applications will begin should be given. In this case the advertisement must contain a sentence such as either: To be included in the first review, completed applications must be received by ... or To be included in the first review, completed applications must be postmarked by...*
5. Two weeks prior to the closing date of the recruitment, all applicant files must be reviewed for completeness. A complete file will consist of the items specified in the position description, typically a cover letter, curriculum vitae, an application form, transcripts, and reference letters.

Applicants with incomplete files shall be notified by telephone/mail/email about items not received and reminded of the deadline.

Note: The support staff responsible for recordkeeping forwards list of applicants with contact information (e.g. email address) to the Diversity Officer at this time.

- D. At the close of the response period and before the search committee begins its initial screening, the search committee chair sends the ATS to the Diversity Officer with copies to the Dean.
- E. Within five working days, the Diversity Officer shall complete the review of the composition of the applicant pool to determine if it adequately represents the wider pool of underrepresented groups in the appropriate profession or discipline. The Diversity Officer, in consultation with the Dean, approves the applicant pool and reports the results of evaluation to the search committee chair and to the Dean.

If the pool is not approved, the Dean will work with the search committee, in consultation with the Diversity Officer, to determine the appropriate action to be taken.

- F. After receiving approval of the pool, the search committee sorts the applicant pool into three groups:
 1. Applicants with completed files that meet minimum qualifications. The search committee further evaluates these applicants.
 2. Applicants whose files are incomplete.

When there is an open deadline: (1) those candidates who previously have not been notified that their applications are incomplete shall be notified. Those applications that are completed after the deadline and meet minimum qualifications are placed in a second pool. (2) In the case where there is not an open deadline. These applicants are sent notification letters indicating they will not receive further consideration.
 3. Applicants whose files are complete but who do not meet minimum qualifications. These applicants are sent notification letters indicating they will not receive further consideration.

- G. If the protocol requires telephone interviews to be conducted, they shall be conducted by at least two committee members. A summary of the conversation, date and time of phone call, along with name of the candidate, shall be recorded.
- H. The finalists (and alternates if any) are selected according to the protocol. The list of finalists (and alternates) is sent to the Dean and Diversity Officer with the ATS. All information for ATS, **except Gender and Ethnicity**, must be provided, including specific reasons why unsuccessful candidates were not selected. The Dean and the Diversity Officer approve or disapprove the finalist pool, in writing to the search committee chair, within 5 working days. Reasons for failure to approve must be provided in writing to the chair of the search committee and the

Provost. If a consensus cannot be reached with the department search committee regarding the finalist pool, the department search committee may appeal to the Provost. The search committee chair, the Dean, and the Diversity Officer shall be notified of this determination within 5 working days.

Other candidates may be notified indicating that they will not receive further consideration, or they may be reserved for future consideration.

- I. The following steps may be undertaken either before or after the on-campus visits by the candidates.
 1. Degrees are verified (official sealed transcript from the institution granting the degree or foreign equivalent verification).
 2. References are checked. At least two committee members should be present at each reference check call. A summary of the conversation, date and time of phone call, along with name of contact person should be recorded.
 3. On-campus visits of finalists shall be scheduled and interviews conducted per protocol.

- K. The search committee, after deliberations and consultation with their department faculty, votes to select the candidate(s) and any alternate(s) it wishes to recommend to the department for the position. To be within the guidelines of article 12.22a of the CBA, the department agrees that all probationary and tenured faculty members will serve as an expanded search committee for the purpose of selecting the final candidates to recommend to the Dean to be hired.

- L. Search committee chair completes AACR (Affirmative Action Compliance Report) and forwards to Department Chair with appropriate recommendation memo (includes service credit, initial date and terms of appointment).
 1. An AACR includes the ATS and other recruitment data as indicated on the form.
 2. AACR also includes written comparative discussion of finalists. Must include reasons for recommending selected finalist and reasons other finalists are not being recommended.

- M. Within two working days, the Department Chair reviews and forwards AACR to Dean and the College Diversity Committee, if constituted, with appropriate recommendation memo. A copy of the AACR and the Department Chair's memo are also sent to the search committee chair.

The work of the search committee is now complete.

VI. APPOINTMENT PROCESS

- A. Dean meets with the Department Chair to review all documents and recommendations. If the Dean has a compelling reason not to agree with the department recommendation, the Dean will meet with the department to try to reach resolution. In the event that agreement cannot be reached, the department can appeal to the Provost. No verbal or written offers shall be made until the AACR is complete and approved.

- B. Dean's/Director's written recommendation and all documents are forwarded to the Diversity Officer for compliance review. The Dean's memo to the Provost shall include recommended rank, salary, service credit, initial date and terms of appointment and any special justification needed. A complete Tenure-Line Appointment Package will consist of the following items:
 - 1. Candidate's application, curriculum vitae, letter of interest, official transcripts, and three reference letters.
 - 2. Letter from search committee to department chair recommending the appointment.
 - 3. Letter from department chair to Dean recommending the appointment.
 - 4. Letter from Dean to Provost recommending the appointment.
 - 5. An academic appointment form, the "717".
 - 6. Affirmative Action Compliance Report.

- C. The Diversity Officer completes the compliance review and sends it to the Associate Vice President for Faculty Affairs. The AACR may (1) be determined to be in compliance with the University's affirmative action policies and procedures, (2) be found in substantial compliance, or (3) fail to meet the minimum standards for compliance. The Associate Vice President for Faculty Affairs then makes a recommendation to the Provost.

- D. The Provost, on behalf of the President, extends a formal written offer of employment.

- E. If the recommended candidate accepts, the search committee informs the other finalists that the position has been filled and the search is closed.
 - 1. If the initial offer is not accepted. Each alternate (if any) is extended an offer

until there is acceptance.

2. If no recommended finalist accepts the position, the College/School Dean in consultation with the Department will determine the appropriate action to be taken.