

Recruitment and Retention of Academic Personnel

Tips on Faculty Recruitment for
Search Committee Chairs

Objectives

- UC commitment to excellence and diversity
- Proactive, effective, “best practices” recruitment
- Practical tools
- Resources for consultation

Assumptions

- **We are problem solvers using a network of resources**
- **Responsibility for high quality recruitment is shared**
- **Academic planning is key**
- **Search follows academic plan and promotes equal opportunity**

The Big Picture

- **Our roots as a Land Grant Institution**
- **The University of California as a Public Institution in Today's Society**
- **The Value of Excellence and Diversity**

Framework for How We Approach Faculty Recruitment

Three Key Principles

- **Academic Imperative – an institution of learning**
- **Economic Imperative – disseminating information for State's economic well-being**
- **Legal Imperative – Equal Opportunity, State and Federal law**

Legal Issues

- **Federal and State Legislation and mandates**
- **Proposition 209 and Regent's Resolutions**
- **The definition and use of goals**
- **ADA and reasonable accommodation**

STEP 1 – ACADEMIC PLAN

What Happens...

- Develop 5-7 year academic plan

Best Practices

- Outline programmatic strengths and target areas for development
- Develop FTE priorities
- Consider potential opportunities for collaborative efforts

Why?

- So you know where you're going, how to get there, and what you need to complete this task
- Academic Imperative

STEP 2 – POSITIONS

What Happens...

- Positions released as Assistant Professor, Step III
- 80/20% Target (from Faculty Recruitment Task Force)
- Upgrade requests
- TOE - Targets of Excellence
- President's Post Doctoral Fellowship Program
- Allocation of FTE from Dean to Department

STEP 2 – POSITIONS

Best Practices

VP—Academic Personnel meets with Search Committee Chairs

- **Dean maintains flexibility in authorization of FTE**
- **Upgrade in rank based on programmatic reasons and must not impair diversity in pool**
- **Each college has a FTE allocation process involving the Department academic planning process**

STEP 3 - SEARCH COMMITTEE

What Happens . . .

once FTE and search are authorized

- A. Department Chair recommends Search Committee for Dean's approval**
- B. Search Committee and staff support meet with Dean's Office for direction**
- C. Dean provides support to Department Chair, Search Committee and staff support via regular communication throughout the process on progress, issues, and questions**

STEP 3 – SEARCH COMMITTEE

A. Search Committee Selection

Best Practices

- **Knowledgeable about the position**
- **Diversity (may include members from outside the Department)**
- **May vary in size, i.e. 3-7 members**
- **Includes members who will monitor the Affirmative Action efforts of the Search Committee**

Why?

- **A good committee influences the quality of the search**
- **Legal and Academic imperatives**

STEP 3 - SEARCH COMMITTEE

B. Search Committee and staff support meet with Dean's Office

Best Practices

- **Discuss, clarify and agree on expectations of: Recruitment Goals, Search Process, Search Plan Components and Draft**

Why?

- **This is important so that everyone has the same expectations for the position and the process**
- **Opens communication and provides for future consultation, as required**
- **Legal, Academic, and Economic Imperatives**

STEP 3 – SEARCH COMMITTEE

C. Dean's Office Communication

Best Practices

- **If you're not sure about something, ask!**
- **Be proactive and open in communication; your Dean's Office provides a valuable source of experience and information**

Why?

- **To help insure there are no surprises along the way**
- **Insure that you are meeting the Legal and Academic imperatives**

STEP 3 - SEARCH PLAN

What Happens...

Key Components of the plan:

- Position Description
- Recommended FTE & Appointment Level
- Availability of Space & Resources
- Search Committee members
- Affirmative Action Self-Analysis
- Selection Criteria
- Selection Process
- Advertising

STEP 3 - SEARCH PLAN

Best Practices

- **Position Description**: Broader definitions attract larger pools of candidates who will meet the criteria and Department's needs
- **Recommended FTE & Appointment Level**: Any upgrades to the position must be completed now
- **Availability of Space & Resources**: Do you have what the position requires?
- **Search Committee Members**: List the members, and indicate who will Chair
- **Affirmative Action Self-analysis**: Figures are obtained from the Dean, but the analysis is done by the Department

STEP 3 - SEARCH PLAN

Best Practices – Selection Criteria

Selection Criteria must:

- Be specific
- Be directly related to the position description
- Be assessable and quantifiable based on the application materials
- Reflect requirements of the title

STEP 3 - SEARCH PLAN

Best Practices – Selection Process

A well-written process will:

- **Insure fairness and promote consultation**
- **Describe how candidate files are to be reviewed, including assessment and ranking procedures**
- **Describe the Search Committee's role**
- **Describe faculty involvement in developing a list of interviewees**
- **Describe the interviews process**
- **Describe the determination process of the top-ranked candidate(s)**

STEP 3 - SEARCH PLAN

Best Practices – Advertising

An Effective Advertising Section will:

- **Describe outreach efforts**
- **Reflect commitment to the diversity of the campus**
- **Encourage colleagues to refer potential candidates**
- **Include notices to other universities**
- **Encourage networking at professional conferences or meetings, targeting groups that represent women and minority members**
- **APM UCD 500 requires that you advertise the position to internal potential candidates, i.e., Unit 18 appointees, those finishing their Ph.D.s, Post Docs; we recommend you send each of these potential candidates a form letter inviting them to apply**

STEP 3 - SEARCH PLAN

Why?

- **Results in successful searches**
- **Ensures broad representation for decision-making and candidate selection**
- **Requires self-review of faculty composition**
- **Provides an excellent opportunity to diversify that composition**
- **Provides equal opportunity for all applicants**
- **Provides Dean with an overview of the Search Strategy**
- **Ensures all are in agreement in each of the areas**

**Remember, without an approved Plan,
you cannot Search!**

STEP 4 - SEARCH PROCESS

What Happens...

Position is advertised, and applications begin to arrive

Best Practices: (in consult with the Search Plan)

- Advertise the position as you outlined in the Search Plan
- Get a copy of each print ad, and review it for accuracy
- Acknowledge each application with a written reply, include a list of any missing materials (per Search Plan), a “please send by” date, and a Confidential Applicant Survey
- Begin an applicant database now
- Insert a candidate ranking form into each file
- Search Committee members begin application review

STEP 4 - SEARCH PROCESS

Best Practices:

(in consult with the Search Plan) cont.'d

- **Search Chair assesses quality, quantity and diversity of applicants weekly**
- **Staff Support: About a week before the “closing” date, begin the Interim Report**
- **If pool looks small, or lacks diversity, Search Chair should consult with Dean’s Office regarding options.**
- **Search Chair calls meeting of Search Committee; all files are reviewed according to Search Plan and Criteria; all Ranking Forms are complete**
- **A short list of interviewees is developed according to Search Plan, and reviewed/approved by faculty according to Search Plan**

STEP 4 - SEARCH PROCESS

Best Practices – Search Process

- In any recruitment there exists the potential for conflict of interest among voting faculty and/or search committee members with potential candidates.
- The faculty member should disclose that relationship.
- If the faculty member is unable to remain fair and impartial, he/she should consider recusing him- or herself from discussions about the affected candidate.

STEP 5 - INTERIM REPORT

Best Practices

- Short listed candidates are selected and justified on basis of Search Criteria **ONLY**
- Those not interviewed are deselected on the basis of Search Criteria **ONLY**
- Pool reflects availability data
- If pool doesn't reflect availability data, and/or isn't diverse, you may be asked to extend the search and make more effort to diversify pool
- Upon approval by Dean's Office, Search Chair or Department Chair may call the candidates selected for interview and the fun begins!

STEP 5 - INTERIM REPORT

Why?

- Documents your process and progress
- Academic Imperative
- Legal Imperative

STEP 6 - THE INTERVIEWS

What Happens...

- Staff organizes visit, schedules, seminars, loose ends

STEP 6 - THE INTERVIEWS

Best Practices

- **Make arrangements for candidate visit including: confirm dates, seminar topics, abstracts, technical requirements, soft and e-copy of CV, etc**
- **Let candidate make own travel arrangements**
- **Organize accommodations and DPOs**
- **Re-confirm arrangements with candidate**
- **Confirm interviews w/ Dean's Office, Department Chair, and specific search committee members; build interview schedule (most will be 1/2 hour)**
- **Send periodic updates on schedule to candidate**
- **Assign a faculty host for airport pick-up, dinner arrangements, etc**

STEP 6 - THE INTERVIEWS

Why?

- **Allows Department members/Search Committee the opportunity to determine if the candidate meets the Department's needs**
- **Allows the candidate to sell him/herself**
- **Allows the candidate to see the campus, department, surrounding area, etc**
- **This is an important component of the University's selection process**
- **Legal Imperative**
- **Academic Imperative**
- **Economic Imperative**

Dos & Don'ts When Meeting with Your Candidates

DON'T

- “What kind of name is ____?”
- “Do you have a spouse or partner?”
- “Do you plan to have children/Do you have childcare issues?”

Though these are casual meetings, remember the legal issues and protected areas. Revised UCD APM 500 includes guidelines for interviewing.

DO

- “Do you have work records under another name?” (or don't ask at all)
- “UC Davis has a partner opportunities program (POP) to assist partners of new faculty. If this program would be helpful for you, you can contact _____.”
- “UC Davis has policies for childbearing, child rearing and family care issues. If you need any information on these issues, you can reference them at _____.”

STEP 7 – SELECTION

What Happens...

“And the winner is ...” or “the winners are ...”

Best Practices

- Read Search Plan and follow your process!
- After interviews are complete, the Search Committee will proceed according to the process laid out in the Search Plan

➤ Here is one possible scenario:

Search Committee recommends a rank-order from the list of interviewees to the Unit Faculty; faculty might accept, or revise the rank-order and then recommend a different first and/or second choice candidate

STEP 7 - SELECTION

Best Practices (cont'd)

- **Decision is communicated to Dean via the Final Recruitment Report; justify first choice candidate in terms of Selection Criteria ONLY**
- **Provide a brief synopsis for each candidate not chosen (based upon the selection criteria only); submit all required attachments (remember those ad copies, and attach them here!)**
- **Upon Dean's approval of the FRR, and the candidate has been notified that s/he is the first choice, you can begin negotiations; negotiations are conducted by phone or email and confirmed in the Tentative Offer Letter (TOL)**

STEP 7 - SELECTION

Best Practices (cont'd)

- A TOL is written; colleges vary in this process
Check with your Dean to see what they prefer --
TOLs address the following issues: salary, appointment level, begin date, research support, start-up package, housing allowance, teaching load, Mortgage Origination Program (MOP), a “respond by” date, and removal reimbursement. There may be other issues depending on position/candidate/department. The Vice Provost recommends that the Dean co-sign the letter.
- Key components of TOLs insure nothing is missed in the negotiation phase. Also standardizes TOLs within units and within College so there isn't great disparity among peers.

STEP 7 - SELECTION

Why such a long selection process?

- **Review and approval processes are necessary to insure unit follows approved search procedures from beginning to end**
- **Unit and Dean consultation insures candidate is well-supported by peers**
- **Negotiations are specific and comprehensive**
- **Final Recruitment Report summarizes and provides paper backup of recruitment efforts from beginning to end**
- **LEGAL, ACADEMIC, ECONOMIC Imperatives**

Step 8 - Post Review

What Happens...

- **VP -- Academic Personnel post-reviews search plan, Interim and Final Recruitment Reports**
- **Summary data by School/College to Provost for her annual discussion with the Dean**

Step 8 - Post Review

Best Practices

- Search Committee diverse
- Applications read by more than one person
- Selection criteria and position announcement congruent
- Thoughtful analysis regarding goals and opportunities
- Widespread advertisement and proactive outreach
- Pool reflects availability data and if not, next steps are documented by the Dean
- De-selection documents clear and defensible
- Recommended candidates for interview met qualifications regarding specialty area

Step 8 - Post Review

Why?

- **Legal Imperative to conduct equal opportunity recruitments**
- **Academic Imperative to diversify the faculty**
- **Accountability of Deans (potential Economic Imperative)**

Step 9 – Record Keeping

What Happens...

- Candidate files are to be kept 3-5 years

Best Practices

- Consolidate recruitment records – 1 final copy
- Label files
- Remove extraneous notes

Why?

- Careful record keeping can be very valuable if a search has to be revisited due to questions that may arise
- Legal Imperative – required per UCD P&P 320-10

STEP 10 – Retention

What Happens...

- Exit Interviews
- Interviews with Newly Tenured Faculty
- Mentoring Junior Faculty
- Faculty Development Programs
- Accommodating Special Needs
- Monitoring Equity

STEP 10 – Retention

Best Practices

Exit Interviews –

- **Conducted by on- or off-campus resources**
- **Provides immediate feedback**
- **More honest information (i.e., climate, worklife, etc.)**
- **Develop statistics**

STEP 10 – Retention (continued)

Best Practices

Interviews with Newly Tenured Faculty

- **Conducted through VP–Academic Personnel**
- **Review statistics to use for future**
- **Possible mentors**
- **Develop statistics**

STEP 10 – Retention (continued)

Best Practices

Mentoring Junior Faculty

- **Successful tenured faculty to serve as mentors**
- **Provide info on informal campus support networks and resources**
- **Consider junior faculty observing in advancement process, then debrief with Department Chair**
- **Regular checking in and follow-up with mentor/mentee groups, for tracking on use in future plans**
- **Our office will be looking at some models**

STEP 10 – Retention (continued)

Best Practices

Faculty Development Programs

- **Encourage attendance at New Faculty Workshop**
- **New Faculty Brown Bag Series**
- **Encourage new faculty to attend receptions**
- **Faculty Development Awards Program**
- **Lab Safety (through Environmental Health)**
- **Sexual Harassment Prevention Training**
- **Work with VP -- Academic Personnel to share ideas for training**

STEP 10 – Retention (continued)

Best Practices

Accommodating Special Needs

- **Provide for parenting/family care leaves - per campus policy – make UCD family-friendly; and the Provost’s initiative, per UCD Directive 03-006, Work-Life Balance**
- **Consider if Active Service Modified Duty schedule will suit the situation**
- **Disabilities – work with Disability Management Services in conjunction with the Office of the VP -- Academic Personnel**

STEP 10 – Retention (continued)

Best Practices

Monitoring Equity

- **Departments need to be mindful on the pay being offered, being consistent**
- **Determine if there are inequities, how to resolve these issues**
- **If problem areas, consult with VP -- Academic Personnel**

STEP 10 – Retention (continued)

Why?

- Don't want all your hard efforts to be wasted
- Economic Imperative – costly to keep recruiting for the same position
- Legal Imperatives – maintaining the goals you have reached

For Additional Information

- Call Your Dean's Office
- Attend Annual Search Committee Chair Meetings
- Review UCOP Best Practices and APM UCD Section 500