

California State Polytechnic University, Pomona

Academic Senate Report

AS-3043-223-FA

Review of Policy 1311

Academic Senate Action:

Adopted:	April 26, 2023
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Final Disposition:

Transmitted to President:	April 28, 2023
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RECOMMENDATION:

The Academic Senate recommends the adoption of the proposed Policy 1311, Recruitment and Appointment Procedures for Tenure-Line Faculty.

**(PROPOSED) CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA
POLICY NO: 1311**

RECRUITMENT AND APPOINTMENT PROCEDURES FOR TENURE-LINE FACULTY

1. INTRODUCTION

The California State University is committed to fostering a vibrant community of diverse students, faculty, staff, and administrators. As part of this commitment, the CSU seeks to recruit, retain, and engage a highly talented and diverse faculty who will advance the CSU mission.

Faculty are at the core of Cal Poly Pomona achieving its academic mission. Therefore, it is crucial that the faculty recruitment and selection process align with the mission and goals of the CSU and Cal Poly Pomona, and that principles of fairness and equity be integral in all aspects of the search and selection. It is the policy of Cal Poly Pomona to recruit a well-trained and diverse faculty and to increase under-represented groups within the tenure-track faculty.

Embodying Cal Poly Pomona's core institutional values of diversity and inclusivity is the responsibility of every member of our community. Therefore, every individual and office engaged in the faculty recruitment and selection process is expected to practice equal employment, mitigation of bias, and make deliberate and intentional efforts to recruit a robust and diverse pool of applicantsⁱ. Applicants, different from jobseekers who have simply applied for a position, are individuals who meet the minimum requirements for the posted position.

In addition to setting forth our commitment, mission, and expectations, as stated above, this policy also outlines the role of the various offices, committees, and elements critical to tenure-track faculty recruitment and selection. Any faculty recruitment and selection guidelines or procedural documents must align with the commitment, mission and expectations set forth in this policy.

This policy sets forth, the role of various University offices, committees and designated officials, critical tools of the recruitment and selection process, and an overview of the stages of the recruitment and selection process.

2. ROLE OF UNIVERSITY OFFICES AND DESIGNATED OFFICIALS**Provost and Vice President for Academic Affairs**

The Provost and Vice President for Academic Affairs is responsible for managing the human, physical, technology, and fiscal resources of the Division of Academic Affairs, in alignment with Cal Poly Pomona's vision, mission, core values, and strategic priorities. As such, the Provost has overall responsibility for faculty searches, including the approval of faculty searches, and after consultation with Deans and on behalf of the President, formal tenure-line faculty appointments. In the best interest of the University, decisions regarding search allocations should occur in the middle

of the Spring term preceding the academic year during which the search will occur.

College Dean

The dean is responsible for ensuring excellence in teaching, research and creative activities, service, and other professional development of the faculty within the College. To achieve these goals, the dean has responsibility for oversight of the faculty search and selection process and works in ongoing partnership and consultation with the department and search committee in the selection of faculty. The dean will also consult with other campus partners including the Provost, Faculty Affairs, and the diversity officer. The dean has responsibility for ensuring that searches comply with all relevant University policies, procedures, and guidelines. The dean, in consultation with the search committee, makes recommendations for tenure-line appointments to the Provost. If the consultation process between the dean and department faculty search committee does not result in an agreed-upon recommendation, the department search committee may appeal to the Provost.

Department Chair and Department Faculty

Each department shall elect by majority vote a faculty search committee (peer review committee) composed of tenure-line faculty members. In compliance with the CBA Section 12.22.a, a majority vote of each department to elect probationary faculty to a search committee counts as the request to include probationary faculty. Presidential approval of this policy constitutes allowing probationary faculty to serve on the search committee; the president may revoke this acceptance at any time.

The department chair and department faculty have a shared responsibility, along with the dean, to establish the position description and criteria. The department chair has the responsibility for ensuring that the search committee is constituted and that there is a search committee chair and an equity advisor.

Faculty Search Committee (Peer Review Committee)

Acting as the department peer review committee (as defined by the CBA 12.22.a), the elected search committee is responsible for establishing the search protocol, creating a recruitment package (in consultation with the dean), conducting the search, engaging in ongoing consultation with the dean, and making a recommendation on selection.

In the event the department chooses to act as a committee of the whole for the search, each member will be held to the same expectations as an elected search committee.

To ensure the search process is in alignment with the commitment, mission, and expectations of this policy:

- A. Search committee members shall participate in campus designated search committee trainings, and are expected to fully participate in all aspects of the search process, including attendance at all committee meetings, evaluate all files, and participate in all interviews.
- B. Search committees must consist of a minimum of three members (preferably no less than five) and shall be diverse with representation from academic ranks, subdisciplines or specialties, and historically under-represented groups among others, as practicable and bearing in mind issues of cultural taxationⁱⁱⁱ, probationary faculty workload, and other equity concerns. The subdiscipline(s) in which an appointment is being sought should also be

represented. To ensure diverse search committees, the department may elect members from other departments.

- C. Probationary and tenured faculty are eligible to serve on search committees.
 - 1. Search committee members must be available throughout the length of the search process.
 - 2. Faculty participating in FERP must be eligible to serve throughout the length of the search process.
- D. Except for the department chair, all search committee members are eligible to be elected for the role of search committee chair or Equity Advisor.
 - 1. Department chairs may serve on a search committee as a member but shall not serve as search committee chair, except upon request to the dean.
 - 2. A search committee member shall not serve as both the search committee chair and the equity advisor.
 - 3. Ideally the search chair should be tenured, have experience in collaborative committees, the ability to lead, and served on a previous faculty search committee.
- E. Search committee elects a chair by majority vote.
- F. Search committee elects an equity advisor by majority vote.
- G. The department shall submit the search committee membership to the dean for review to ensure alignment with the expectation of this policy.

Should the dean determine misalignment with this policy, the dean will require and explain the need for reconsideration of the search committee membership to align with the expectations of the policy.

Recruitment and selection consultation between search committees and deans are expected to focus on jobseekers' ⁱⁱ and applicants' knowledge, abilities, achievements, and their potential to contribute to Cal Poly Pomona's mission and vision of an inclusive polytechnic university in alignment with the criteria set forth in the job description and announcement.

The search committee shall consult with the tenured and probationary faculty in the department but the authority for appointment recommendations shall originate from the search committee. Deliberations and recommendations shall be based on qualifications outlined in the position description. The search committee shall summarize the outcome of the department faculty consultation in its recommendation to the dean.

Search Committee Chair

The search chair is responsible for facilitating the search process. The responsibilities of the search chair include but are not limited to: communicating with the search committee, the department chair, the diversity officer, the dean, and AVP of Faculty Affairs as needed, corresponding with candidates, overseeing the interviews, general oversight of the search process to ensure compliance with policy, and overseeing the development and dissemination of the search package.

Equity Advisor

The equity advisor is elected by majority vote of the search committee. The equity advisor works with the search chair to support the fair and equitable recruitment and evaluation of faculty candidates. Should there be committee questions or specific concerns related to fair and equitable recruitment, as needed the equity advisor may reach out to Faculty Affairs and the diversity officer for support.

Diversity officer

The focus of the University designated diversity officer is to facilitate — through active and ongoing partnership with the Provost, dean, and search committee — broad, diverse and qualified applicant pools, and an equitable selection process. The diversity officer or other designee will provide ongoing engagement and review of the search process to promote extensive and diverse outreach, ensure all jobseekers are given fair consideration based on the stated criteria, and to interrupt bias.

Faculty Affairs

Faculty Affairs provides administrative support to the search and selection process. In consultation with the dean and designated diversity officer, Faculty Affairs is responsible for review and approval of search packages, search committee training, posting of positions, and ensuring compliance with equal employment opportunity and affirmative action. This includes review of the Full Search Package, and the collection of demographic data.

3. CRITICAL TOOLS OF RECRUITMENT & SELECTION

Below is a brief description of two critical tools of recruitment and selection. These tools are required elements of recruitment & selection as they support equal employment, affirmative action, mitigation of bias, and robust and diverse outreach.

Full Search Package

The purpose of the Search Package is to define the full parameters of the search, including timelines, outreach, job description, selection criteria (the minimum and preferred qualifications), rubrics for objective assessment of the selection criteria, method of collection of assessment materials, job announcement, and documentation of decision making.

Applicant Tracking System (ATS)

In order to retain all information, documents, and decision making related to search and selection, the University adopted Applicant Tracking System (ATS) will be the official system of record. All search related information, documentation, and final dispositions of each jobseeker must be made and retained in the University adopted ATS.

4. OVERVIEW OF THE STAGES OF RECRUITMENT & SELECTION

The typical search process has five phases: position request, pre-recruitment, recruitment, selection, and appointment.

A. Position request

The position request originates at the department level (or equivalent unit) outlining the needs of the search in a memo. If data to determine faculty searches are used to determine search allocations, the data shall be disseminated to the deans and department chairs by week 11 of the Fall semester.

Position request memo

A justification of the requested position(s) must be approved by the majority vote of the tenured and probationary faculty. The memo should be disseminated no later than week 15 of the Fall term from the department chair to the dean, formalizing the request for a

search, however a request can be submitted to the Dean at any time. A copy of the memo shall also be sent to the Provost and the AVP for Faculty Affairs. Department memos shall be considered in faculty search allocations.

This memo shall include:

- a. Position justification (why needed, whether it is a new or replacement position, how it fits the department's short and long-term goals, sub-discipline, etc.).
- b. Summary of consultation with faculty (i.e., vote outcome, signature page, etc.).

If the search request is not approved, the dean shall notify the affected departments and articulate the reasons for the disapproval. The department may appeal the decision to the Provost.

B. Pre-recruitment

Formation of the search committee: The search committee shall be formed prior to development of the Search Package materials.

The goal of recruitment and outreach is to develop as broad, deep, and diverse a pool of highly qualified applicants as possible. The Advertising and Outreach Plan should be designed with this in mind. The pre-recruitment phase includes the development and approval of the Full Search Package, implementation of the Advertising and Outreach Plan, and training of the search committee.

- a. Development and Approval of the Full Search Package.
- b. The Full Search Package includes the following:
 - 1) **Position description.** The position description shall determine the qualifications that will be used to evaluate candidates. 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 a simple majority vote of all probationary and tenured faculty of the department.
 - 2) **A robust Advertising and Outreach Plan.** Such a plan might include proposed advertisement for publication(s) consistent with the position description, a list of proposed diversity resources to be contacted, template correspondence, proposed travel for recruitment, etc. Departments shall decide how job advertising will be conducted and which resources to use, drawing on suggestions by Faculty Affairs.
 - 3) **Search Protocol.** This document consists of:
 - a) An 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 virtual interviews of candidates, if applicable

- e) References:
 - i) Number of reference letters required (if applicable)
 - ii) Required number of references that can be contacted (name, address, and telephone numbers) (minimum 3 shall be contacted)
 - iii) Questions for references checks
 - iv) When in the search process the candidate will be asked for permission to contact references, including others who may have information about the candidate
 - f) Resources to be consulted to verify application accuracy, if applicable
 - g) Tentative itinerary for finalist interviews
 - h) Criteria and procedures for interviewing finalists, including interview questions
- c. Approval of Full Search Package
- The Full Search Package will be submitted to the dean and Faculty Affairs for review and respond within 10 working days.

The search committee may amend the protocol by majority vote of the committee and with approval Faculty Affairs, in consultation with the dean.

- d. Training of the Search Committee
- 1) Search committee members shall participate in campus designated search committee trainings to review best practices, laws, and policies.

C. Implementation of Full Search Package:

Recruitment, Screening, and Recommendation

- a. Recruitment
- The search committee shall make efforts to implement the recruitment plan in order to recruit a large and diverse pool of applicants. Information is disseminated to various resources, contacts, and publications. Inquiries and correspondences should receive timely responses.

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 Compliance Statement) at the conclusion of the search.

- b. Screening
- The purpose of the screening and recommendation phase is to narrow the pool of jobseekers down to a group of applicants the search committee believes are best qualified for the position. The screening and recommendation phase includes:
- 1) Reviewing all Jobseekers
 - 2) Identifying Applicants

3) Recommendation of Semi-finalists and Finalists

To ensure ongoing equal employment and affirmative action compliance, this portion of the search requires timely, accurate, and full documentation. Such ongoing documentation includes:

- a. Ensuring all jobseekers are properly and timely dispositioned in the applicant tracking system.
- b. Collection and maintenance of proof of all job advertisements in the applicant tracking system.
- c. Collection and maintenance of selection notes (completed rubrics, summary of interviews, and outcome of deliberations) in the applicant tracking system.

Until the pool is approved, the search committee (as a whole) shall not evaluate the pool. However, individual committee members may review and evaluate the applications as soon as they are complete, after the Full Search Package is approved, and required trainings have been completed. 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, the applicant's wishes must be respected.

The screening process is as follows:

1. 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.

Jobseekers with incomplete files shall be notified by email about items not received and reminded of the deadline.

2. Within five working days, Faculty Affairs 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. Faculty Affairs, 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 Faculty Affairs and the diversity officer, to determine the appropriate action to be taken.

3. After receiving approval of the pool, the search committee sorts the applications into groups:

- a. Applications that are complete by the deadline.

For those who meet minimum qualifications, the search committee evaluates each completed application package in its entirety.

For those who do not meet the minimum qualifications, the search committee sends notification letters indicating they will not receive further consideration.

b. Applications that are not complete by the deadline.

When there is an open deadline, 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.

In the case where there is not an open deadline, these candidates are sent notification letters indicating they will not receive further consideration.

4. When campus search committees find a temporary faculty unit employee who has applied for a tenure track position on their campus to be qualified, that employee should be interviewed (CBA 12.28).
5. If the protocol requires telephone or videoconference interviews to be conducted, the list of semi-finalists is sent to the dean and Faculty Affairs with the ATS. The dean and Faculty Affairs approve or disapprove the semi-finalist pool, in writing with rationale to the search committee chair, within 5 working days. The semi-finalist interviews shall be conducted by at least two committee members. The assessment (such as rubrics, interview summaries, etc.) of the interview, date and time of phone call or video conference, along with name of the candidate, shall be prepared.
6. The finalists (and alternates if any) are selected according to the protocol. The list of finalists (and alternates) is sent to the dean and Faculty Affairs with the ATS. All information for ATS must be provided, including specific reasons why unsuccessful candidates were not selected. The dean and Faculty Affairs 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 Faculty Affairs 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.

On-campus visits of finalists shall be scheduled, and interviews conducted per protocol.

All tenure-line faculty in the department shall have access to finalist application materials prior to on-campus visits. The materials must be redacted to remove confidential information, including personal contact information such as, home addresses, phone

numbers, and personal emails, for the candidate and references,

7. The following steps may be undertaken either before or after the on-campus visits by the candidates.
 - a. Degrees are verified (official sealed transcript from the institution granting the degree or foreign equivalent verification).
 - b. References are checked (minimum of 3). At least two committee members shall 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.

Recommendation

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 for the position. The search committee shall be allowed to submit the recommendation in ranked order and shall forward their preferred candidate(s) to the dean's office. The search committee chair shall verbally inform the tenure line department faculty of the recommendation and take steps to protect the confidentiality of the search process. The dean shall meet with the department chair and the search committee chair to review all documents and recommendations related to the preferred candidate(s). If the dean or Provost disagrees with the preferred candidate(s), the dean shall meet with the search committee to reach a resolution. If a resolution is not reached, the dean shall provide the search committee and the Provost with a written justification, explaining why the dean disagrees with the search committee, and the search committee may appeal to the Provost. The rationale of the dean and/or Provost for disagreeing with the search committee shall expressly appeal to the criteria and rubrics in the Full Search Package.

- a. Search committee chair compiles the final search material and forwards it to the department chair and dean. The final search material includes:
 1. Completed Compliance Statement
 2. Recommendation memo with service credit recommendation, initial date and terms of appointment, an objective discussion of the strengths and weaknesses of each of the finalists based on the qualifications listed in the position announcement, and recommendations about service credit.
 3. The ATS (applicant tracking form) and other recruitment data as indicated on the form, including documentation of all advertising and outreach efforts.
- b. The work of the search committee is now complete.

D. Appointment

Appointment portion of the search process is the time during which an offer is being made, negotiated, and finalized.

1. Dean's/director's written recommendation and all documents are forwarded to Faculty Affairs or equivalent office 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. The Provost, on behalf of the President, extends a formal written offer of employment.

- a. If the recommended candidate accepts, the search committee informs the other finalists that the position has been filled and the search is closed.
 - b. 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 dean in consultation with the department will determine the appropriate action to be taken.

ⁱ Applicant: a person who submitted a complete application package by the posting deadline AND meets the minimum qualifications for the position. An applicant is not a jobseeker, rather a person who is qualified for the role. The expectation of the faculty recruitment process is not to simply build a diverse jobseeker pool but to attract diverse applicants – individuals who meet the qualifications of the position.

ⁱⁱ Jobseeker: A person who submitted an application but does not meet the minimum qualifications for the position. All jobseekers must be given fair consideration based on the stated criteria of the position, to determine if they meet the minimum qualifications for the position.

ⁱⁱⁱ Cultural Taxation is a way of describing the unique burden placed on minoritized faculty to serve as ethnic representatives and as unofficial diversity consultants within the university setting.