

# UC Davis Academic Personnel Manual

## Recruitment

### Section UCD-500, Academic Recruitment Guidelines

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Responsible Department: Academic Affairs

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[Exhibit A, Sample Departmental Sequential Checklist for Academic Recruitments](#)

[Exhibit B, Academic Appointments Exempt from Search Requirements](#)

[Exhibit C, Guidelines for Interview Questions](#)

[Exhibit D, Nondiscrimination and Affirmative Action Policy Statement for UC Publications Regarding Employment Practices](#)

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## I. Purpose

The University of California, Davis, is committed to the pursuit of excellence in all its endeavors-- educational, cultural, scholarly, and administrative. A university, because of its dual responsibility as a repository of knowledge and as a forum for the examination of new and old ideas, is especially dependent on the diversity of its academic work force in the fulfillment of its mission. Diversity in disciplinary training, academic interests, areas of specialization, and teaching and research approaches and styles are widely accepted as necessary and desirable in an academic institution. Diversity by ethnicity and gender is no less important in ensuring that the University's work force brings a full range of backgrounds and perspectives to bear in addressing its teaching, research, and service responsibilities. Every recruiting department and every recruitment committee is responsible for conducting a vigorous search, which should help ensure that qualified women and minorities are well represented in the applicant pool. The procedures outlined in this section are intended to help recruiting departments conduct an inclusive search that will identify an outstanding candidate with the promise for continued excellence. These procedures also facilitate consistent review of the recruitment process and systematic documentation of compliance with Universitywide and campus recruitment policies, and Federal equal employment opportunity regulations.

Note: The term "person of color" is used throughout this document to refer to the four major ethnic minority groups of American Indian; Asian, Native Hawaiian, or Other Pacific Islander; Black/African American; and Hispanic or Latino. This current language is preferred as we move through the 21st century when persons of color will comprise a majority of the U.S. and California population. These group descriptors use language that is currently both most appropriate and most desired by members of those communities. Official campus documents that report demographics by ethnicity will continue to use language consistent with Federal and State reporting requirements.

## II. Responsibilities

This section outlines general roles and responsibilities of key individuals in the academic recruitment process. Section IX below provides specific information about duties.

- A. Provost/Vice Provost--Academic Affairs--responsible for academic recruitment policies and procedures, including the development and implementation of orientation meetings, in conjunction with the dean, for faculty in departments where active recruitment is occurring.
- B. Dean--responsible for college's/school's overall leadership to achieve the academic mission and to ensure equal employment opportunity, and for assessing and approving the search plan and

the interim and final recruitment reports, in accordance with applicable policies and UC Affirmative Action Guidelines for Recruitment and Retention of Faculty (<http://www.ucop.edu/acadadv/fgsaa/affirmative.html>).

- C. Department chair--responsible for department's overall leadership to achieve the academic mission and to ensure equal employment opportunity and for communicating the information and guidelines presented in this document to recruitment committee chairs.
- D. Recruitment committee chair--responsible for developing the search plan and conducting an inclusive, equal opportunity recruitment. The recruitment shall be conducted according to the University policy on academic recruitment ([APM-500](#) and UCD-500) and the UC Affirmative Action Guidelines for the Recruitment and Retention of Faculty.
- E. Affirmative action unit coordinator--provides expertise and serves as a resource to assist the dean and the recruitment committee chair in developing and conducting an inclusive, equal opportunity recruitment according to [APM-500](#), UCD-500, and the [UC Affirmative Action Guidelines for the Recruitment and Retention of Faculty](#); assesses data that are provided by the Vice Provost--Academic Affairs reflecting past academic recruitment and annual hires by gender and ethnicity for compliance with Federal affirmative action regulations; provides analysis to the dean and recruitment committee chair.

### III. Sample Departmental Sequential Checklist for Academic Recruitments

The Sample Departmental Sequential Checklist for Academic Recruitments ([Exhibit A](#)) is provided to assist departments in assuring that all necessary steps of the recruitment process are completed. Units may develop their own checklists.

### IV. Recruitment

The dean's office and, when appropriate, the Office of the Vice Provost--Academic Affairs, are prepared to offer advice concerning the development of recruitment strategies.

#### A. Position description

Describe the position and qualifications of the individual being sought. This description must be clear, explicit, and detailed. Subsequent recruitment shall be limited to the position as described, and the stated qualifications must provide the basis for the selection criteria used in the final decision.

#### B. Recruitment above assistant professor level

Recruitments for positions above the assistant professor level require approval of the dean and the Vice Provost--Academic Affairs. Positions above assistant professor would typically involve leadership responsibilities where only more senior faculty would have the appropriate experience, or would be in highly specialized areas where senior faculty predominate. Requests should discuss programmatic reasons for potential tenured level appointments and address the possible impacts on faculty renewal and on the diversity of the applicant pool at more advanced levels. Requests may be denied or modified if sufficient programmatic justification does not exist, if the proposed tenured level recruitment would significantly reduce the diversity of the applicant pool, or if a tenured appointment would have a negative effect on faculty renewal strategies of increasing faculty size and reducing average age.

C. Appointment of recruitment committee

The department chair recommends a slate of potential recruitment committee members to the dean, making an effort to recommend a committee that represents a diverse cross-section of the faculty and includes members who will monitor the affirmative action efforts of the recruitment committee. Every effort should be made to ensure that women, persons of color, or persons with disabilities with relevant disciplinary interests have an opportunity to serve on the recruitment committee. Consideration should also be given to comprising the committee so as to reflect the cultural diversity of the broader community. The dean may add or change members. The dean appoints the recruitment committee.

D. The search plan

A written search plan is required for all recruitments for faculty and other academic positions (exceptions may be made as outlined in [Exhibit B](#)). The search plan specifies the steps that will be taken by a department or an interdepartmental recruitment committee to ensure that the vacancy will attract the most qualified and diversified pool of applicants and that the selection process is impartial and fair to all applicants. Any changes in recruitment objectives may require a new search plan and must be reported to the dean immediately. Each search plan must include the following elements:

1. Selection criteria

Describe the essential requirements for the position, including educational background, research specialty, and an elaboration of the particular expertise and demonstrated accomplishments desired. Describe the desired experiences or abilities to incorporate attention to the impact of race and gender in teaching, research, and/or service (see [Exhibit C](#)).

2. Evaluation/ranking process

Based on established selection criteria, each recruitment committee should determine and describe the system for evaluating and ranking candidates. Include the names and departmental affiliations of recruitment committee members in the search plan.

3. Workforce self-analysis

a. Include a statement describing the demographic profile of the department's faculty, including the numbers of women and persons of color in academic positions, based on data provided by the Vice Provost--Academic Affairs.

b. If a placement goal exists (as documented in data provided by the Vice Provost--Academic Affairs), indicate the goal and define strategies to attract highly qualified candidates including candidates who are women and persons of color. Such strategies might include:

- 1) Contacting disciplinary professional organizations, including women's or ethnic minority caucuses of those associations, to help identify candidates.
- 2) Advertising in journals with a wide professional audience, including outlets determined to have high circulation among minority caucuses in the recruitment field.

- 3) Contacting persons associated with graduate programs in related fields on this campus and throughout the United States.
  - 4) Departmental training in affirmative action and equal opportunity hiring.
  - 5) Coordination with subject area librarians for information on disciplinary associations, including sources to reach women professionals and professionals of color in the stated disciplines.
- c. If there is no utilization analysis that includes the particular title under recruitment, use availability data (provided by the Office of the Vice Provost--Academic Affairs) to determine whether recruitment efforts have been sufficient.

It is important that self-reviews and proposed strategies for achieving equal opportunity reflect discussion by the department and not just by the recruitment committee.

#### 4. Search and selection process

Describe all efforts to be undertaken to attract a fully diverse applicant pool, including:

- a. Advertisement (see 5, below).
- b. Personal contacts.
- c. Recruitment trips to other institutions or organizations. Requests for additional funds for these purposes can be made to deans or the Vice Provost--Academic Affairs.
- d. Steps taken to solicit applicants and invite applications from qualified persons including women and persons of color (see 3.b, above). Requests for additional funds for these purposes can be made to deans or the Vice Provost--Academic Affairs.
- e. Role of the recruitment committee in conducting the search, including the process by which department members not on the recruitment committee can provide input.
- f. Describe the selection process to be used, including:
  - 1) The means to inform department members of the selection criteria to be used.
  - 2) The means to inform department members of the qualifications of potential candidates, and to solicit their input.
  - 3) The process to be followed throughout the recruitment, including department procedures for the selection of the interview pool and for final selection of the candidate.
  - 4) The process to be used to evaluate and rank applicants.

#### 5. Advertisements

- a. Include in all advertisements: a description of the position, the position title and level, the necessary qualifications and/or potential, required application materials, and the deadline for receipt of applications. Many advertisements are costly; in such cases, include the minimum statement that "UCD is an Equal Opportunity/Affirmative Action employer." In all cases where space permits, one of the alternative statements should be used (see [Exhibit D](#)).
- b. Due to issues of record confidentiality and rights of access, ask applicants to provide only names and addresses of references. The department will then follow procedures in Section [UCD-220, Exhibit B](#), in obtaining letters of reference.
- c. Include in the search plan:
  - 1) Copies of the position description and all position announcements or advertisements to be used.
  - 2) Names of publications in which advertisements will be placed.
  - 3) A list of colleges and universities to which position announcements will be sent.
  - 4) A list of groups, organizations, or individuals who will be asked to help publicize the position among members of underrepresented groups (e.g., professional organizations, journals or newsletters, specialized placement services).
- d. Post electronic copies and/or hard-copy position announcements in the department and on the department web site, and provide an electronic copy to the dean and Vice Provost--Academic Affairs to be included on the campus web site. An equal opportunity statement from [Exhibit D](#) should be used in electronic advertisements where cost is not a factor.
- e. Circulate position announcements to organizations that facilitate the employment of Vietnam-era veterans and of persons with disabilities.
- f. Ensure that non-ladder academic appointees within the department are informed of vacant ladder-rank positions. Special efforts should be made to encourage qualified women and people of color to apply.

## V. Selection of Candidates to be Interviewed

A short list of candidates is selected according to the approved search plan. Letters of recommendation may be used (see A, below) in selecting a final short list of candidates for interview.

### A. Letters of recommendation

#### 1. Solicited letters of recommendation

Letters may be solicited from persons suggested by a candidate in accordance with Academic Personnel Manual Section UCD-220. Note: Additional outside letters will need to be solicited for the successful candidate if required by appointment procedures.

2. Unsolicited letters of recommendation

Unsolicited letters of recommendation and letters written by persons who did not know that California law makes such letters available for review by the candidate are to be handled in one of the following ways:

- a. Return the letter to the sender, along with information on access to records indicating that it may be resubmitted. (Refer to Academic Personnel Manual Section [UCD-220, Exhibit B](#), for model statements.) Place a memo or copy of the University's cover letter in the candidate's file.
- b. Acknowledge receipt of the letter and indicate a date (generally two weeks) by which the department must be notified if the sender does not wish to have the letter retained in the candidate's file.

Unsolicited letters of recommendation are not to be used in reviewing the candidate's file until the steps above have been completed.

- c. Access to letters of recommendation

An applicant's request for access to his or her confidential letters of reference must be dealt with according to applicable policies and procedures ([UCD Policy and Procedure Manual Section 320-20](#)). The Office of the Vice Provost--Academic Affairs is available to provide guidance regarding appropriate action.

B. The on-campus interview: best practices

1. Once candidates for on-campus interviews have been contacted, the following information about the campus, college/school, and department resources should be made available before the visit:
  - a. University, college/school, and department magazines, newsletters, and brochures.
  - b. Summary data on the campus student, staff, faculty, and administration population characteristics. (<http://academicpersonnel.ucdavis.edu/facultystatistics.cfm>)
  - c. Copies of the UCD Principles of Community (<http://principles.ucdavis.edu/>) and related college/school or departmental material.
  - d. Policies on Work Life Balance (<http://academicpersonnel.ucdavis.edu/WL03-006.pdf>).
  - e. Partner Opportunities Program (<http://popprogram.ucdavis.edu>).
2. Colleges/schools and departments often have routine practices for conducting on-campus interviews. In addition to the practices and procedures outlined in the search plan, it is recommended that the recruitment committee use the Guidelines for Interview Questions ([Exhibit C](#)) in both planning and conducting the interview.

## VI. Reports

The University is required to maintain full documentation of each search to satisfy the requirements of government agencies, which have the option of post-auditing any recruitment. The Interim Recruitment Report on Applicant Pools ([Exhibit E](#)) and the Final Recruitment Report for Academic Appointments ([Exhibit F](#)) must accompany the departmental recommendation for appointment of the selected candidate.

Information on the ethnicity and gender of each applicant is obtained from the Confidential Applicant Survey form (available from Storehouse, Calcode 71461-188) that departments must send to each applicant. The information provided voluntarily by this means is used to determine the composition of the candidate pool and must be maintained separately from the applicant's file.

Departments must also ensure that each applicant receives notice of availability of the campus security report, as provided by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998. This notice is included with the Confidential Applicant Survey materials printed after November 2001. If the department chooses to employ a search firm to conduct a recruitment, it is the responsibility of the hiring department to ensure that full documentation is maintained in accordance with these guidelines.

A. Interim Recruitment Report

1. After assuring that there is a pool of adequately represented candidates, the department chair forwards the Interim Recruitment Report ([Exhibit E](#)) to the dean for assessment and approval prior to contacting candidates. If the applicant pool is not sufficiently representative of availability, the department chair scrutinizes the recruitment and selection to ensure that the approved selection criteria were properly and consistently applied in the review of candidates, that those criteria were consistent with the documented academic needs of the department, and that the recruitment and outreach efforts were appropriately broad. If selection problems are identified, the chair or the recruitment committee may either reopen the search to conduct additional outreach or revisit the pool of all qualified candidates and create a new short list according to appropriate selection criteria. If the applicant pool is not sufficiently representative as compared to availability and the applicant pool, and if the recruitment efforts are not expanded, the department chair submits a written justification for beginning the interview process.
2. The dean reviews and assesses the Interim Recruitment Report. If there is insufficient representation as compared to the availability, the dean scrutinizes the selection process to determine whether recruitment and outreach procedures were sufficiently broad. If not, he/she considers reopening the search with expanded inclusive recruitment efforts or terminating the search.
3. After the dean approves the Interim Recruitment Report, the department chair is notified that interviews may proceed.

B. Final Recruitment Report

1. The dean shall immediately review the Final Recruitment Report ([Exhibit F](#)) for compliance with recruitment policy and procedure. The formal review of the proposed appointment and the review of the Final Recruitment Report may occur simultaneously; however, in no case may an offer be made until the Final Recruitment Report has been approved by the final authority as described in B.2, below (refer also to Section UCD-220B).

2. The authority to approve the Final Recruitment Report follows the delegated authority for approval of academic appointments.
  - a. For appointment levels not redelegated to the dean (Assistant Professor IV and above), the recommendation for appointment must be accompanied by a Recruitment Report that has been approved by the dean. The Recruitment Report must have final approval by the Vice Provost--Academic Affairs.
  - b. For appointment levels for which the dean has delegated authority (Assistant Professor III and below), the Final Recruitment Report must have final approval by the dean. The approved Final Recruitment Report is forwarded with the appointment dossier to the Office of the Vice Provost--Academic Affairs.

**VII. Retention of Records**

Departmental records of each search shall be retained for three years.

**VIII. Unsolicited Position Inquiries**

Individuals sending unsolicited inquiries to the Office of the Vice Provost--Academic Affairs, deans' offices, or departments will be sent a standard letter ([Exhibit G](#)) informing them that they must submit a formal application for an advertised position in order to be considered for appointment to the University.

**IX. Procedures**

Responsibilities	Action
Dean	1. Allocates position to department.
Vice Provost--Academic Affairs	2. Authorizes release of FTE for recruitment as outlined in the FTE release process ( <a href="http://academicpersonnel.ucdavis.edu/">http://academicpersonnel.ucdavis.edu/</a> ).
Department chair	3. Develops position description in consultation with department faculty.  4. As appropriate, requests authorization through dean from Vice Provost--Academic Affairs to recruit above assistant professor level.  5. Recommends slate of potential members of recruitment committee to dean.
Dean	6. Appoints recruitment committee, designating one member as chair.
Recruitment committee	7. PRIOR TO BEGINNING RECRUITMENT, meets with affirmative action unit coordinator to discuss information relative to affirmative action and search and selection process.  8. Develops search plan and submits to dean for approval.

Dean	9. Reviews and approves search plan and sends copy of approved advertisement to Vice Provost--Academic Affairs, to be posted on the campus web site ( <a href="http://academicpersonnel.ucdavis.edu/">http://academicpersonnel.ucdavis.edu/</a> ).
Recruitment committee	10. Implements search in accordance with approved plan, APM-500, UCD-500, and the UC Affirmative Action Guidelines for Recruitment and Retention of Faculty.  11. Informs the faculty of departmental affirmative action hiring goals and department's last five years' hiring record. This information is provided by the Office of the Vice Provost--Academic Affairs.
Department chair	12. AFTER ANNOUNCED APPLICATION DEADLINE, consults with affirmative action unit coordinator and recruitment committee chair to ensure that there is a pool of candidates with adequate representation.  If there is insufficient representation, the department chair reviews whether the recruitment and outreach procedures were sufficiently broad and, if not, considers reopening the search with expanded inclusive recruitment efforts.  13. PRIOR TO BEGINNING INTERVIEW PROCESS, forwards Interim Recruitment Report to dean for review and approval.
Dean	14. Reviews and approves Interim Recruitment Report, or requires additional activity to obtain a representative applicant pool, or terminates the recruitment.
Recruitment committee	15. Upon dean's approval of the Interim Recruitment Report, invites candidates to campus and coordinates candidate visits and interviews, involving department faculty as described in the search plan.  16. Recommends slate of qualified candidates to department faculty for consideration.
Department faculty	17. Identifies candidate(s) of choice. If more than one candidate is acceptable, ranks candidates in priority order.
Department chair	18. Conducts faculty vote on candidate(s) in accordance with <a href="#">Bylaw 55</a> and compiles appointment packet in accordance with policy.  19. Forwards Final Recruitment Report to dean.
Dean	20. Reviews and approves Final Recruitment Report.  Note: The formal review of the proposed appointment and the

	review of the Final Recruitment Report may occur simultaneously; however, in no case may an offer be made until the Final Recruitment Report has been approved by the final authority.
Department chair	21. Forwards appointment packet to dean.
Dean's office personnel	22. Processes appointment packet in accordance with policy and appointment procedure guidelines ( <a href="http://academicpersonnel.ucdavis.edu/ApptProcGuidelines.htm">http://academicpersonnel.ucdavis.edu/ApptProcGuidelines.htm</a> ).

**X. REFERENCES AND RELATED POLICY**

- A. UC Affirmative Action Guidelines for Recruitment for and Retention of Faculty.
- B. UC Academic Personnel Manual:
  - 1. [Section 035](#), Affirmative Action and Nondiscrimination in Employment.
  - 2. [Section 160](#), Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of.
  - 3. [Section 500](#), Recruitment/General Policy.
- C. UCD Policy & Procedure Manual:
  - 1. [Section 380-10](#), Affirmative Action in Employment.
  - 2. [Section 320-20](#), Disclosure of Information from Personnel Records.