ACADEMIC HIRING TOOLKIT

2019-2020AY

ACADEMIC PERSONNEL OFFICE

OFFICE OF EQUAL EMPLOYMENT AND AFFIRMATIVE ACTION

JULY 1, 2019

Academic Hiring Toolkit 19-20AY
Summary of Changes
October 24, 2019
Page 1 of 1

Changes to the toolkit are highlighted throughout the document. The list below includes substantive changes to the toolkit for 2019-2020 academic year. "Clean-up" and/or cosmetic changes and typographical errors have been updated accordingly and are not included in this summary. For questions or more information, please send an email to academicpersonnel@ucr.edu.

1. **Best Practices in Hiring (page 5)**
   The following paragraph was added: Academic Personnel has produced a handbook that contains best practices for all aspects of recruitment starting with search committee formation and the advertisement and progressing through the second interview visit: https://academicpersonnel.ucr.edu/sites/g/files/rcwecm1261/files/2019-01/Best%20Practices%20in%20Hiring.pdf

2. **Planning and Adhering to Deadlines (pages 9-10)**
   The following language highlighted was revised: **When making an offer to a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult with the** International Students and Scholars office **(ISS) at the time the offer is being considered to be assured that the requirements for PERM Labor Certification Application processing deadlines are met.**

3. **After the Search (page 13)**
   The following language was added: Depending upon Departmental practice, the search committee Chair's role may end upon the completion of the initial screening of candidates, or it may extend to making a recommendation to the Department Chair following candidates' visits.

4. **Conflict of Interest Disclosure Form (page 26)**
   This form has been revised and modified for clarification purposes:
   Members have an obligation to address both the substance and the appearance of conflicts of interest and, if they arise, to disclose them to other members of the committee for ruling and appropriate action.

   One does not have to do anything improper to have a conflict of interest; it may be strictly situational.

   In the event of a conflict of interest, the committee member with whom the conflict of interest exists must disclose the conflict to the search committee. Depending on the nature of the conflict, it may be appropriate to:
   a) Not to vote on a particular candidate
   b) Not participate in discussion of a particular candidate
   c) a and b
   d) Leave the room during discussion of a particular candidate
   e) remove themselves from the search committee

5. **Academic Recruitment Checklists (page 26)**
   The checklists and cover sheets have been updated and modified accordingly; refer to Checklists and Forms (Link)

6. **Academic Recruitment Templates (page 26)**
   All appointment letters have been updated and modified accordingly; refer to Checklists and Forms (Link)

Table of Contents

I.   ACADEMIC EMPLOYMENT POLICIES AND PROCEDURES

The Hiring Toolkit serves as a reference guide only and is not meant to replace any system wide and/or campus policy. While practices may vary by College/School/Unit, users of the toolkit must continue to refer and adhere to system wide/campus policy.

The University of California Academic Personnel Manual (APM) includes policies and procedures pertaining to the employment relationship between an academic appointee and the University of California. APM 200 to APM 420 pertains to appointment and promotion policies. APM 500 to APM 570 pertains to recruitment policies.

For academic appointees covered by a Memorandum of Understanding (MOU), the APM applies only to the extent provided for in the MOU. For information on current employment contracts, use the following website: http://ucnet.universityofcalifornia.edu/labor/bargaining-units/index.html.

For members of the Health Sciences Compensation Plan (HSCP), refer to APM 670 and UCR School of Medicine Health Sciences Compensation Plan.

The CALL is a source for campus Academic Personnel procedures that pertain to personnel reviews (appointments, merits, promotions, appraisals, career review, quinquennials). For Non Senate appointees, refer to the Dean's office for local policies and procedures.

- CALL for Senate Members
- Librarian CALL, AUL CALL, Curator/Archivist CALL (see Librarian CALL)

The UC Affirmative Action Guidelines for Recruitment and Retention of Faculty describes both mandatory and voluntary affirmative action programs, consistent with law and University policy, which may be undertaken to promote equal employment opportunity and diversity in the context of academic employment practices.

The UC Nondiscrimination and Affirmative Action Policy Regarding Academic and Staff Employment affirms the policy of the University not to engage in discrimination against or harassment of any person employed or seeking employment with the University. In addition, it is the policy of the University to undertake affirmative action, consistent with its obligations as a Federal contractor.

The UCR Affirmative Action Recruitment Guidelines for Academic Positions guide users through the local recruitment policies to ensure equal employment opportunities within the academic hiring process. It includes information on **Guideline One** and **Guideline Two** searches.

The UCR Academic Recruitments Search and Search Waiver Requirements describe the search waiver requirements for UCR.

The Delegation of Authority chart provides information on the final authority on academic review actions.

Academic Senate Bylaw 55 contains material governing voting rights and other issues related to considerations of academic personnel procedures including appointment. Please refer all questions related to interpretation and implementation of Bylaw 55 to the Academic Senate.

AP Recruit provides for secure online academic employment recruitment management, supporting the entire workflow from development of the search plan, application, reference gathering, reviewing by the Search Committee, and, finally, recording shortlist candidates and selecting a hired candidate. Reports are built-in to the system, providing a mechanism through which the University of California's Office of the President ensures all campuses meet their requirements as equal opportunity employers. AP Recruit also ensures the security and integrity of all candidate, reference, and related recruitment data.

The eFilePlus System is used to manage the review of the Appointment file for a successful candidate. For more information, click on the following link: http://academicpersonnel.ucr.edu/efileplus/ .

UC Family Friendly Practices and Policies assist faculty and other academic appointees in balancing the needs of work and family.

UC Diversity Statement and UCR Principles of Community describe the University's commitment to diversity and regard for mutual respect and equal treatment.

UC Smoke and Tobacco Free Policy and UCR Smoke and Tobacco Free Policy were adopted to improve the health and safety of all students, staff, faculty, patients and visitors. The policy prohibits the use of cigarettes, e-cigarettes, cigars, snuff, water pipes, pipes, hookahs, chew, and any other non-combustible tobacco products.

II.   GENERAL PRINCIPLES

A. Best Practices in Hiring
Academic Personnel has produced a handbook that contains best practices for all aspects of recruitment starting with search committee formation and the advertisement and progressing through the second interview visit:
https://academicpersonnel.ucr.edu/sites/g/files/rcwecm1261/files/2019-01/Best%20Practices%20in%20Hiring.pdf

B. Quality
The University of California, Riverside is committed to achieving academic excellence through faculty diversity and equal opportunity. A fair hiring process designed to promote diversity and equity must begin with the identification of the best possible candidates, must proceed with a careful selection process, and must end with the successful hiring of the best qualified academic appointee.

To preserve and foster the quality of the University as one of the nation's leading public institutions, it is imperative that peer review committees evaluate the contributions of all faculty in view of the critical need for equity and excellence, as outlined in APM 210-1-d:

"The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities."

C. Equal Employment Opportunity/Affirmative Action

It is an explicit goal of UCR to achieve a diverse community of faculty, other academic appointees, staff, and students. This objective must be applied in vigorous and comprehensive recruitment efforts that are designed to attract a qualified and talented diverse pool of candidates.

The University undertakes affirmative action to assure equal employment opportunity for minority groups, women, for individuals with disabilities, and for protected veterans. Affirmative action does not require hiring "preferences" for members of underrepresented groups, nor are preferences appropriate under law. UC's policy has been, and continues to be, to select the individual who possesses the qualifications to perform the duties of the position most effectively.

UCR's Affirmative Action Recruitment Guidelines for Academic Positions must be followed. All academic job solicitations and advertisements must contain the following Equal Employment Opportunity (EEO) Tagline:

> The University of California is an Equal Opportunity/Affirmative Action Employer. All qualified candidates will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veteran status, or any other characteristic protected by law.

Using the EO tagline in its entirety (long version) is a best practice supported by OP. If character or spacing is a great concern, hiring departments may opt to use one of the two short versions below:

1. The University of California is an Equal Opportunity/Affirmative Action/ ADA/Veterans Employer
2. EEO/AA/ADA/Vets Employer

D. Immigration and Right to Employment

The Immigration Reform and Control Act of 1986 requires that all employees hired after November 7, 1986 must provide to their employer original documents as evidence of identity and authorization for employment in the United States. To comply with the law, the University must verify the identity and employment authorization of each person they hire, complete and retain a Form I-9, Employment Eligibility and Verification, for each employee, and refrain from discriminating against individuals on the basis of national origin or citizenship. The employee must sign a government Form I-9, under penalty of perjury, to attest that the documents are genuine and relate to the employee. The department or other

authorized official (e.g. Notary Public for remote hires) must examine the documents and complete and sign Part 2 of the Form I-9, under penalty of perjury, to attest that the documents have been examined, appear genuine, relate to the individual, and that to the best of the employer's knowledge, the individual is authorized to work in the United States. In order to host, hire, or compensate non-U.S. citizens, the University of California must observe all regulations imposed by the federal government. The University assists in preparation of the proper visa entrance documents as the government-approved hosting institution. However, federal regulations establish that the individual must assume the primary responsibility for any visa petition for legal admission to the United States. For instructions in completing the Form I-9 refer to the M-274 Employers Handbook.

As a federal contractor, UC must provide additional certification when new and existing employees are assigned to a qualified federal contract/subcontract that contains the Federal Acquisition Regulation (FAR) clause, referred to as the E-Verify clause. E-Verify, is an electronic employment eligibility verification system used to verify the employment eligibility of employees performing work under a covered federal contract.

This process is triggered when an Academic employee is awarded a research grant/federal contract that contains the FAR/E-Verify clause. Central Human Resources receives a Notice of Award from Research and Economic Development (RED), processes the E-Verify and in rare case, may request additional employment eligibility verification.

For more information visit the U.S. Citizenship and Immigration Services (USCIS) website at: www.uscis.gov. For UCR's campus policies and procedures, refer to Campus Policy Number 650-28.

E. Recordkeeping and Confidentiality

Full documentation must be maintained for each search to satisfy the requirements of various agencies, which may post-audit any recruitment, particularly in the face of a complaint by any unsuccessful candidate. Departmental records (e.g. department notes, agendas, letters, and interview materials) must be retained for at least four years (See UC Retention Schedule). Interview materials are defined as follows (Vice Provost Memo):

1. Written Justification of the interview outcome for each candidate
   a. Interview Notes for each candidate from each search committee member and/or
   b. Notes from faculty discussion regarding each interview candidate
2. Itinerary for each interview candidate

Confidentiality Rules of conduct should be adopted in order to maintain confidentiality of the recruitment and appointment process. Certain materials of a search (e.g., extramural letters of reference) are governed by University regulations and laws concerning confidentiality (see APM 160). At the department's discretion, non-senate members of the Search Committee, including graduate students, may have access to confidential materials. Any such access is governed by the same confidentiality safeguards that govern faculty. Review of materials must be done without regard to the candidate's race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veteran status, or other characteristics protected by applicable federal and state law.

F. Access to Recruitment Records for Academic Personnel

Candidates have a right to access recruitment records about themselves that have been collected pursuant to a search. This right of access applies to confidential and non-confidential documents in their academic personnel recruitment. Prior to disclosure, records may be redacted in accordance with University policy to protect the confidentiality of designated academic review letters and to protect the privacy of other individuals. Requested records may be withheld until the search or selection process is concluded.

For Senate searches, requests for search related records by candidate should be forwarded to the Academic Personnel Office (APO) by completing a Request for Access to Recruitment Records Form.   APO will redact the information in accordance with University policy and provide a copy directly to the candidate making the request.

For Non Senate searches, requests for search related records by candidates should be forwarded to the Dean's Office by completing a Request for Access to Recruitment Records Form   The Dean's Office will redact the information in accordance with University policy and provide a copy directly to the candidate making the request.

G. Conflict of Interest

Search Committees must discuss conflict of interest at their first meeting and all members should sign that they have read the following statement – forms available from staff supporting the search and signed forms to be kept in the office handling the search.

The University's Statement of Ethical Values and Standards of Ethical Conduct requires that all members of the University community "take appropriate steps, including consultation if issues are unclear, to avoid both conflicts of interest and the appearance of such conflicts." Even if there is no technical violation of law or University policy, the appearance of a conflict of interest can create reputational risks for the individual and the institution.

The intent of the General Guidelines on Conflict of Interest is to foster equitable treatment of all candidates, avoid conflicts of interest and prevent the appearance of partiality in employment practices, including recruitment and selection.

A conflict of interest occurs when a search committee member has, or appears to have, a familial, personal, professional, commercial or financial relationship with a candidate that may compromise, or appear to compromise, a fair and equitable recruitment and selection process and outcome.

A conflict of interest exists whenever a search committee members' interests or activities have the potential - real, or perceived - of:
- Compromising the search committee members' judgment;
- Biasing the nature or direction of the recruitment and selection;
- Influencing the search committee member's decision or behavior; or
- Resulting in personal or a family member's gain or advancement at the expense of the University.

A conflict exists by virtue of a relationship that could result in an undue influence on the search committee members' professional judgment. One does not have to do anything improper to have a conflict of interest; it may be strictly situational.

In the event of a conflict of interest, the committee member with whom the conflict of interest exists must disclose the conflict to the search committee and to the Assistant Vice Provost for Academic Personnel (AVPAP) in writing. The search committee and the AVPAP will determine if the committee member with whom the conflict exist should either:
   a. remove themselves from the search committee; or
   b. recuse themselves from deliberations related to the candidate with whom the conflict exists.

Disclosure of the conflict and the decision made to eliminate the conflict (removal or recusal) should be noted in AP Recruit.

All committee members are responsible and accountable for ensuring appropriate handling of real or apparent conflicts of interest.

For additional guidance in effectively managing conflict of interest, contact EEAA (affirmativeaction@ucr.edu).

For the policy governing employment of near relatives, refer to APM 520.

H. Overqualified Candidates

In the event that a Senior candidate applies for a Junior position and the department is interested in pursuing their candidacy, the Department Chair should contact the Dean to discuss whether the application can appropriately be considered further. The Dean should consult with the Vice Provost for Academic Personnel and/or the Office of Equal Employment and Affirmative Action, concerning the equal employment opportunity and affirmative action implications of such further consideration before making a decision.

III. ACADEMIC RECRUITMENT PROCESS

The UCR Academic Recruitment Process document is intended to help academic and research departments navigate the Senate Faculty and Non-Senate Academic Appointment recruitment process.

A. Role of the Vice Provost for Academic Personnel (VPAP), Office of Equal Employment and Affirmative Action (EEAA) and the Divisional Academic Senate.

The Vice Provost for Academic Personnel (VPAP) is designated by the Chancellor and the Provost and Executive Vice Chancellor (PEVC) to develop and implement academic review procedures for the Riverside campus (APM 220-80-c). The VPAP facilitates all Academic Personnel actions on behalf of the Chancellor and the (Chancellor's designee) via the Academic Personnel Office (APO). All items must be submitted to APO via the appropriate Dean's Office and be addressed to the Chancellor. The VPAP is designated by the Chancellor

and PEVC to review and approve all academic search plans. Refer to the [Delegation of Authority](#) chart for information on the final authority on academic review actions.

The Office of Equal Employment and Affirmative Action ([EEAA](#)) (formerly Office of Faculty and Staff Affirmative Action, OFSAA) is responsible for ensuring that every aspect of the academic recruitment and selection process conforms to established legal requirements and University guidelines relating to equal employment opportunity, affirmative action, and non-discrimination. In this role, the EEAA reviews and routes search plans for approval by the VPAP, conducts analyses of recruitment pool statistics, and monitors external outreach recruitment efforts. EEAA serves as a resource to hiring departments seeking guidance for best recruiting practices.

The [Academic Senate Office](#) works in concert with the University administration, which is responsible for the finances and organization of the institution. The senate has a dual role of authority in the educational aspects of the University and advice to the administrators in the overall operation of the University.

B. The Recruitment

1. Planning and Adhering to Deadlines
In order to conduct the most effective and successful recruitment for faculty members and non-senate academic appointees, it is important to begin recruitment early, to conduct the search and selection procedures efficiently, and to expedite the appointment process once the successful candidate has been identified.

Department Chairs (or designee) should work with their Dean (or designee) to establish academic hiring plans which meet the needs of the department, college/school, and campus.
Department Chairs then consult departmental faculty on developing position descriptions for potential hires. These are normally voted on by the faculty and forwarded to the Dean. (Applies to [Guideline One](#) searches only). Departments should establish realistic time lines for the process in order to adhere to recruitment and appointment deadlines.

a. Recruitment Deadlines & Guidelines
- April 1 is the deadline for hiring faculty from another campus of the University of California (APM 510-16-c. **Guidelines on intercampus recruiting must be strictly followed**. ([APM 510-80](#)).
- April 30 is the deadline for offers of employment effective the following academic year to a tenure-track or tenured faculty member at any institution which is a member of the [Association of American Universities](#) ([APM 500-16-c](#)).
- April 30 is the deadline for offers of employment effective the following academic year to a tenure-track or tenured faculty member from another California State institution ([APM 501](#))
- If these deadlines will not be met, the Department Chair must inform the VPAP through the appropriate channels so that an extension can be requested from the appropriate institution.
- **When making an offer to a non-resident alien (i.e. not currently a US Citizen or a Permanent Resident), the department is strongly encouraged to consult**

with the International Students and Scholars office (ISS) at the time the offer is being considered to be assured that the requirements for PERM Labor Certification Application processing deadlines are met.

For Library searches, the University Librarian (UL) in collaboration with the Assistant/Associate University Librarian works with the supervisor or department to establish the hiring plan which meets the needs of the department/organization.   The proposed position announcement is reviewed by the Librarians Association of the University of California-Riverside Division (LAUC-R) Committee on Personnel before being approved by the University Librarian. APM 510 does not apply to library recruitments. Assistant/Associate University Librarian and curator searches omit the LAUC-R step.

For Non-Senate searches, academic deadlines are established based on the college/school/organizational unit policies.

2. **Allocation of Academic Positions**

    a. Standard Senate Academic Positions
    - Deans receive requests for faculty positions from the departments. Practice varies from one unit to another.
    - Deans approve positions based upon the department's academic plans. Deans request the authority to search for faculty positions from the PEVC. At this time, lines vacated by separated or retired faculty and/or new full-time equivalent (FTE) lines are negotiated with the PEVC.
    - Deans inform departments that they may begin the recruitment process for the specified position for the current academic year.

    b. Library Searches
    - University Librarian (UL) receives request for library academic positions from Department Heads via the appropriate Assistant/Associate University Librarian.
    - UL approves request based upon need/funding/open provisions if this is a replacement position. For new positions, the UL makes the request through the annual budget process.
    - Recruitment process begins.

    c. Non-Senate Academic Positions
    - Allocation of funding for a non-senate appointment is determined by each Dean, according to established college/school procedures. (Refer to Guideline Two searches under Affirmative Action Recruitment Guidelines for Academic Positions)

3. **Search Plan Preparation & Submission**
    The recruitment plan must be managed via AP Recruit. For more information refer to the following resources: (1) Search Plan Template and (2) Search Plan Quick Guide.

The Search Plan must be approved before recruitment begins and cannot be altered after approval. Any revisions to the plan must be reviewed and approved by EEAA and VPAP. No action may be initiated on academic searches prior to approval of the search plan. The Search Plan must document how the committee will actively recruit women and under-represented racial and ethnic minority groups as well as protected veterans and individuals with disabilities. For assistance or more information, contact EEAA at affirmativeaction@ucr.edu.

a. Senate Academic Positions
   The proposed search plan for each faculty position should be prepared in accordance with the campus Affirmative Action Recruitment Guidelines for Academic Positions and submitted via AP Recruit to the Dean, to EEAA and the VPAP for review and approval

b. Library Searches
   The proposed search plan for each library position should be prepared in accordance with the campus Affirmative Action Recruitment Guidelines for Academic Positions and submitted through the University Librarian (UL), to EEAA and to the VPAP for review and approval.

c. Non-Senate Academic Positions
   For each academic vacancy to be filled under Guideline Two, prepare and submit a Search Plan via AP Recruit to the Dean to EEAA and to the VPAP for approval. For more information, refer to Guideline Two procedures from Affirmative Action Recruitment Guidelines for Academic Positions as well as the UCR Academic Recruitments Search and Search Waiver Requirements .

4. **Role of Search Committee and Role of the Department**
   The Search Committee is responsible for conducting the preliminary work of creating a diversified pool of qualified candidates, and screening candidates for the position. Practice varies from one unit to another as to the specific role of the Search Committee in relation to the faculty as a whole. For example, some units have the Search Committee define the short list, solicit letters of recommendation, etc. whereas in others the faculty as a whole selects the short list from an initial screening by the Search Committee. Whatever the variation, there are two "absolutes" that must be respected:
   - Each unit must maintain a consistent practice from one search to another in the same academic year.
   - Whatever role the Search Committee plays in the process, faculty voting rights on the appointment of a faculty member must be maintained, as defined in Bylaw 55. [Note: This does not apply to non-senate academic searches.]

   For Library searches, the Search Committee is responsible for conducting the preliminary work of creating a diversified pool of qualified candidates and narrowing the candidates to a short list. The Search Committee defines the short list; the department analyst solicits letters of recommendation as soon as the short list is approved by EEAA.

The following reference guides are available for the Search Committee under AP Recruit: Training: Search Report User Guide

As of July 7, 2017, all search committee members are required to complete two (2) educational activities before a search can move forward.

The following must be completed for Searches for Ladder Rank Faculty and Searches for Other Academics.
"Equal Employment, Affirmative Action and the Academic Hiring Process" (online) – all search committee members must take the online tutorial in the Learning Management System (LMS). It is located under "Recruitment and Selection".

The following must be completed for Searches for Ladder Rank Faculty.
"Promoting Faculty Diversity" (in-person) – completion of "Equal Employment, Affirmative Action and the Academic Hiring Process" is a pre-requisite for attendance.

For more information, see the memo from the VPAP dated July 27, 2017: http://cnc.ucr.edu/AP Recruit/search_committee_training.pdf. For most current training dates, contact academicpersonnel@ucr.edu. For Frequently Asked Questions, click on this link.

    a. Search Committee Initial Set-up
- The Search Committee is nominated by the Department Chair (or equivalent) and approved by the Dean (or equivalent). (This process may vary by College/School. Some Colleges require prior approval of the Search Committee. Other Colleges/Schools may approve the committee make up when the Search Plan is submitted via the Dean to EEAA and the VPAP for approval.)
- The Search Committee should consist of 3 to 7 members.
- The Search Committee should represent a broad diversity of gender, race, perspectives, expertise and backgrounds as far as possible and preferably a member from another department.
- Designate one member as the Affirmative Action Compliance Officer or AACO (equivalent to the Committee Editor) and one member as the Committee Chair. Both roles may not be served by a single committee member and neither by the Department Chair unless an exception is granted by the VPAP based on compelling circumstances.
- Any familial relationship or other conflict among the committee members that might influence or have the appearance of influencing a recruitment outcome must be disclosed in the search plan, and is subject to review and action (see Conflict of Interest section).

    Committee Charge
- Must ensure equal employment opportunity
- Be proactive in identifying diverse, qualified candidates, and ensure that the candidate pool reflects the diversity of the available workforce
- Must ensure that the recruitment process is accessible to all qualified candidates

- Must adhere to the evaluation criteria stated in the position description, and evaluate candidates according to job related criteria
- Must treat every candidate with the same respect and dignity
- Must maintain the highest standards of professional conduct and take appropriate steps to avoid conflicts of interest
- Must maintain confidentiality throughout and after the recruitment process concludes.

b. Search Committee Chair Responsibilities
   Before the Search
   - Ensure that the position announcement and search plan are developed appropriately
   - Ensure compliance with legal requirements and University policies
     - ✓ Broad and inclusive search
     - ✓ Fair and consistent evaluation process
     - ✓ Confidentiality
     - ✓ Retention of recruitment records, (including interview materials (written justification of the interview outcome for each candidate and itinerary for each interview candidate) these records must be uploaded in AP Recruit (see VPAP memo dated 5/22/15)
   - Establish the ground rules governing the Search Committee's work
     - ✓ Job advertisement & recruitment strategy
     - ✓ Evaluation criteria

   During the Search
   - Ensure appropriate individuals are informed, consulted, and appropriate approvals are received
   - Ensure appropriate follow-up is performed to complete the recruitment and selection process
   - Engage in active recruiting
   - Keep candidates informed of the status of the appointment process
   - Assess any conflict of interest issues and ensure adherence to guidelines
   - Ensure that the committee creates a short list
   - Ensure that complete documentation of the search process is kept (including interview materials (written justification of the interview outcome for each candidate and itinerary for each interview candidate) these records must be uploaded in AP Recruit (see VPAP memo dated 5/22/15)

   After the Search:
   - Depending upon Departmental practice, the search committee Chair's role may end upon the completion of the initial screening of candidates, or it may extend to making a recommendation to the Department Chair following candidates' visits.
   - Ensure that all records associated with the search are complete in AP Recruit including interview materials (see VPAP memo dated 5/22/15)

c. Affirmative Action Compliance Officer (AACO) Responsibilities

- Ensure outreach recruitment efforts that are effective in reaching the broadest pool of diverse candidates
- Ensure all committee members sign Conflict of Interest Disclosure Form (link) at the start of the search. The signed form must be uploaded in AP Recruit under Documentation.
- Review the Diversity Report periodically to ensure that the candidate pool is sufficiently diverse; broaden search for inclusiveness, if needed
- Ensure that files are complete before being opened to the Search Committee for review. Voting varies by department – refer to departmental voting rights and by-laws.
- For Library searches, completeness of each file is determined before the candidate is notified of that fact. Ensure that the campus recruitment compliance procedures are followed
- Contact EEAA for resource assistance and to clarify role and ask questions.

    d. Committee Member Responsibilities
- Actively search for candidates
- Must be aware of job-related criteria relevant to the position
- Must adhere to the evaluation criteria stated in the position description, and evaluate candidates according to job related criteria and standards, without regard to stereotypes or presumptions regarding ability, disability or demographic and cultural traits.
- Carefully review and assess files
- Make selection recommendations

5. Job Announcement and Advertisement

The job announcement is published through AP Recruit. Candidates apply to the job posting through AP Recruit and their applications are managed within the system.

The position announcement should be broad enough to cover foreseeable contingencies in the event there is flexibility regarding the sub-field.

These are the requirements on language for the job announcement and advertisement:
- eligible rank(s), department(s) (include location if different from campus), start date, and area(s) of specialization
- educational and demonstrated experience requirements (Note: When All But Dissertation (ABD) candidates will be considered, this must be included in the plan, e.g. Degree required by time of appointment by July 1, 2016 or Candidates must be ABD or have met the requirements for the Ph.D.)
- statement of teaching and research requirements (Note: This does not apply to library searches and certain non-senate academic searches.)
- statement that salary is commensurate with education and experience
- include contact information for the recruitment name/title and address to direct pertinent application materials, such as curriculum vitae; placement file including letters from referees/references; samples of research work; etc. (Note: This does not apply to library searches.)

- for Library searches, include a letter discussing interest and relevant experience, a current resume/curriculum vitae, and contact information for at least three professional references.
- due date for final application, initial application review and application changes
- Equal Employment Opportunity (EEO) tagline
- In addition to the EEO tagline, the following two paragraphs must be included in the body of the advertisement, but may be combined with other items. This applies to advertisements placed in journals, on college, department, society or personal websites, as sent out to departments at other universities, and the copy reproduced in AP Recruit (see VPAP memo):
    a. UCR is a world-class research University with an exceptionally diverse undergraduate student body. Its mission is explicitly linked to providing routes to educational success for underrepresented and first-generation college students. A commitment to this mission is a preferred qualification.
    b. Advancement through the faculty and non-senate academic ranks at the University of California is through a series of structured, merit-based evaluations, occurring every 2-3 years, each of which includes substantial peer input. Note: This may be omitted when not applicable to the search such as for temporary lecturer positions.

    Refer to the PEVC and VPAP memo dated 3/20/15 for more information.

Frequently Asked Questions (FAQs) regarding this new requirement are available on the AP Recruit information site at the following link: http://cnc.ucr.edu/AP Recruit/faqs_additions_to_advertisements3.20.2015.pdf

For Guideline One searches, the Search Committee can begin their initial review of applicants eight weeks following the posting of the advertisement. At least one advertisement must be placed in a web-based, paper-based, or electronic national professional journal in order to conform to visa policy procedures. All completed applications received by the initial review date (for IRD searches) or close date (for OCF searches) must be considered. For IRD searches, should the applications reviewed by the initial review date not yield an acceptable pool, a secondary review date must be established within APRecruit. If a secondary review date is established, all applications received by the secondary review date must be considered. See below for recruitment period[1].
For Guideline Two searches, the initial review of applicants must not occur until four weeks following the posting of the advertisement. For additional information refer to Affirmative Action Recruitment Guidelines for Academic Positions.

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[1] Recruitment period is defined as the period from the date the position announcement/advertisement is mailed or posted online until the closing date for submission of applications. All completed applications received by the initial review date (and any secondary review date) must be considered and any dates mentioned are to be upheld.

6. **Forming the Pool**

   During the recruitment process, it is important for Deans, Department Chairs, and Search Committees to expand their efforts to attract a wide diversity of candidates into the recruitment pool. To assist in this process, EEAA has a variety of resources that may be useful in identifying potential candidates and expanding the pool of qualified candidates. Search Committee chairs and those responsible for monitoring affirmative action are encouraged to use these resources during the search process. For assistance, contact EEAA at affirmativeaction@ucr.edu.

7. **References and Extramural Evaluations**

   It is strongly recommended that Departments maintain a written description of their process for identifying individuals who should be solicited. To ensure a fair process, it is important that departments document their review practices, including the process for identifying external reviewers and what materials are to be sent to them. These documents must be uploaded in AP Recruit.

   Each reviewer should be explicitly advised of the rank being recommended and of the University's criteria and expectations for the proposed level. See Section IV for letter templates.
   University of California Confidentiality Policy must be communicated in writing to all letter writers (solicited and unsolicited).

Series	Number of Letters Requested	List
Assistant Professor (including acting titles), LPSOE[1]	3-5	All Referee Names are provided by the Candidate
Associate Professor and Full Professor, LSOE[2]	6-12	At least half from Department's List
Assistant Professional Researchers*	3-5	All Referee Names are provided by the Candidate
Associate and Full Professional Researchers*	6-12	At least half from Department's List
Assistant/Associate/Specialists*	3	Referee names or reference letters (non-confidential, non-solicited) are provided by the Candidate. The practice may vary by department/college/school; requirements must be confirmed with the Dean's office or designee. If letter is solicited (confidential), UC's Confidentiality Policy must be included.
Project Scientists*		
Academic Coordinators*		
Academic Administrators*		
Lecturers		

[1] Lecturer or Senior Lecturer with Potential for Security of Employment
[2] Lecturer or Senior Lecturer with Security of Employment
*For non-senate searches, extramural evaluation can vary by series and requirements must be confirmed with the Dean's office or designee.

For senate searches at associate or full professor, department solicits letters from 3-5 referees suggested by the candidate, and from 3-5 referees suggested by the department and/or Chair for candidates on the short list. The timing may vary by department/college. Some departments may opt to solicit letters only after the candidate has been interviewed and is seriously being considered for appointment. If so, consistency of practice should be adopted. In suggesting referees, it is desirable to include not only the best qualified persons in the field or sub discipline but also some not closely affiliated with the candidate or their work.

Solicited letters of reference must be from highly qualified persons possessing both disciplinary expertise and established reputations. Avoid seeking too many referees having close (i.e. major professor, departmental colleague, long-term research collaborator) associations with the candidate. Inclusion of some references from individuals familiar with the UC system can be useful. Letters of reference should come from individuals at equal or higher rank to the proposed appointment.

For all appointments, extramural letters must come forward with the appointment file.

8. **Selection Process**

The selection process typically involves several stages: identifying candidates that do not meet the basic qualifications, identifying candidates that meet the basic qualifications and selecting a pool of 8-10 with the best qualifications, identifying a small number (typically 3-5) for interview, and selecting the best candidate to hire. For senate faculty, departmental voting and Dean's approval practice varies from one unit to another. Although practices may vary, the faculty voting rights on faculty appointments, as defined in Bylaw 55, must be maintained.

Candidates that do not meet the basic qualifications – candidates' qualifications must be measured against criteria that have been established for the position per the search plan. It is important to use the most objective criteria possible and to retain notes on the decision-making process. These records must be uploaded in AP Recruit. (See: UC Retention Schedule)

Narrowing to the short list – at this stage the candidates' areas of expertise are evaluated against the department's needs, extramural letters are carefully examined, and so on. The application should be complete and all required documents, including the minimum number of required letters of reference, (or minimum number of letter writer names, depending on advertisement) should have been received. It is important to use the most objective criteria possible and to retain notes on the decision process. These records must be uploaded in AP Recruit. (See: UC Retention Schedule)

Off-campus interviews, such as those at a convention or other virtual/online interviews such as can be conducted using Skype or Zoom, should only be used to screen candidates and not as a substitute for on-campus interviewing. Candidates who are discovered at conferences, conventions, meetings, or other off-campus events should be encouraged to apply to open recruitments through APRecruit. Only applicants that have applied through APRecruit can be considered for a position. Pre-approval of the list of candidates to be

interviewed off-campus for the purpose of pre-screening is not required by EEAA. For guidance or more information, contact EE/AA at affirmativeaction@ucr.edu.

The short list must be reviewed and approved by EEAA before candidates are invited for campus visits.

Some colleges/schools require that the short list be approved by the Dean before review with EEAA and before inviting candidates to campus. Consult with the appropriate Dean's office for clarification. In all cases, the short list creation, review, and approval process is managed through AP Recruit.

9. **Inappropriate Interview Questions**

Inappropriate interview questions can give rise to claims of illegal discrimination. To avoid inappropriate and possibly illegal questions, interviews should focus on job-related information such as knowledge, experience, skills, abilities, and other attributes that candidates can bring to the position. During interviews, search committee members may NOT ask questions that are directly related to a candidate's race, color, national origin, religion, sex, sexual orientation, gender identity, pregnancy, disability, ancestry, marital status, age,   citizenship, service in the uniformed services, and other characteristics protected by law.

10. **Campus Interview**

In the interest of fairness, each interview visit should be similar in structure and schedule. The Search Committee typically takes an active part in the design and planning of each visit. Departmental practice varies somewhat, but typically the schedule includes interviews with the Search Committee as well as with individual faculty members, and at least one seminar or Colloquium presentation. For maximum visibility and sharing of collegial information, all Colloquia presented by prospective candidates should be announced in writing via campus email and a copy of the announcement must be uploaded in AP Recruit. The Dean or designee meets with each candidate.

Enhance the formal interview process by including a campus tour or social events. The candidate can also meet with other units outside the department, including, but not limited to: Vice Chancellor for Research, Benefits Office, ISS, and Directors of Centers/Institutes.

Information on the University's Faculty Home Loan program (http://www.ucop.edu/loan-programs/) should be shared with the candidates. It is also beneficial to the candidate to receive an information packet containing information not only about the hiring unit, but also about the college or school, about UCR, and about the Riverside region.

For Library searches, once the short list has been approved by EEAA, the Search Committee drafts an interview schedule for the UL's review/approval. The Search Committee takes an active part in the design and planning of each visit. Typically, the interview schedule includes interviews with the Search Committee as well as with relevant departments, librarians, and the Librarians Association of UC – Riverside Division (LAUC-R), and a presentation or instruction session. For maximum visibility and sharing of collegial information, all presentations by prospective candidates are

announced via email to all library employees and a copy of the announcement must be uploaded in AP Recruit. The UL meets with each candidate. Usually a library/campus tour is included in the schedule. Candidates are provided an informational electronic packet, which includes interview schedule, travel & hotel confirmations, UC, City of Riverside and surrounding Inland Empire, UCR libraries, LAUC-R, APM, /MOU as appropriate, housing benefits and retirement information.

11. **Final Selection**

The final selection process for an individual position begins only after the last candidate's visit is completed. The unit should have procedures to receive input from those with whom the candidates have met during their visits. Units differ in the role that the Search Committee plays in the process of narrowing the selection to a final choice. **Although practices may vary, the faculty voting rights on faculty appointments as defined in Bylaw 55 must be maintained.** There must be a yes/no vote on the selected candidate. It is permissible for the faculty to select one or more backup candidates from the interviewed group in the event that the first choice declines the position. Again, there must be a yes/no vote on any backup candidate(s). The Dean (or designee) is contacted by the Chair (or designee) who seeks approval to contact the top candidate for the position. For Library searches, the final selection process begins only after the last candidate's visit is completed. The Search Committee uses a standard evaluation sheet developed prior to the interviews to receive input from those who have met with the candidates during the visit. The Search Committee will check references and prepare a list of the finalists, noting their strengths and weaknesses. A packet is prepared for the UL with the unranked or ranked list of finalists, as requested by the UL at the beginning of the search and supporting data, and the corresponding candidate files. The UL reviews the packet and decides whether and to whom to make an offer.

Communication with candidates for non-senate academic positions can vary and requirements must be confirmed with the Dean's office or designee.

AP Recruit Search Report
In all cases, the final selection must be entered in AP Recruit. Additionally, a Search Report is required to be submitted for review and approval 30 calendar days after a search is completed (hire is finalized, search is cancelled or search has failed). Search Plans for the following Academic Year will not be processed for approval until all previous years (14-15AY or later) completed recruitments have an approved Search Report on file and have been concluded. For additional information, refer to AP Recruit: Training: Search Report User Guide .

Interaction with Selected Candidate
(Note: Refer to most current Delegation of Authority Chart for final approval authority.) The candidate should be notified by the Department Chair (or designee) that they have been selected as the candidate of choice and is being recommended for appointment. **Nothing binding may be communicated to the candidate either verbally or in writing prior to the Chancellor's approval**. For delegated actions, nothing binding may be communicated to the candidate either verbally or in writing prior to the designee's final approval.

Any negotiations with the candidate can begin only after a positive vote from the faculty and approval of the Dean (or designee). For Assistant Professor appointments this may be the formal vote on the complete appointment file. For Associate or Full Professor appointments this is not the formal vote on the complete appointment file, but only a vote of support from the faculty to enter into negotiations with the candidate. **Although practices may vary, the faculty voting rights on faculty appointments as defined in Bylaw 55 must be maintained.**

The Department Chair (School Dean or designee) should communicate with the candidate outlining the specifics of the department's recommendation, including details about the start-up package as negotiated with the Dean (or designee). Any unusual salary or incentive issues should be discussed by the Dean [or equivalent] with the PEVC before being offered to the candidate. See Section IV for a start-up letter (formerly initial complement) template and appointment letter template for delegated actions.

For Library searches, the Associate University Librarian (AUL) provide the University Librarian with the name(s) of viable Candidate(s) identified and reason(s) for selection. The University Librarian decides to which Candidate to offer the position; that decision is communicated
in writing to the Library Human Resources Director. Refer to the Librarian CALL for complete guidelines. Any unusual salary or incentive issues should be discussed by the UL with the Vice Provost for Academic Personnel before being offered to the candidate. Refer to most current Delegation of Authority Chart for final approval authority.

Start-Up (formerly Initial Complement) Guidelines
The initial complement agreement has to be worked out between the Department Chair (or designee) and the Dean (or designee), after the Department Chair (or designee) has a discussion with the candidate about their research needs and teaching interests. There are rules governing the initial complement levels that vary among colleges/schools, and the Dean (or designee) holds these resources or access to these resources. There may be additional funding support available for diversity initial complement packages for appointments; consult with your Dean (or designee) as appropriate. For information on the maximum start-up costs for faculty in the laboratory and health sciences during an intercampus transfer, refer to the memo dated May 25, 2017 from Susan Carlson, UCOP, Vice Provost for Academic Personnel and Programs: http://www.ucop.edu/academic-personnel-programs/_files/1718/1718-issuance-cvr-ltr.pdf

Senate Academic Positions
For Assistant Professor Steps IV and above and Acting Assistant Professor Steps III and above: The practice varies, but some Colleges require the Department Chair to draft a tentative offer and send it to the Dean. In this case, the Dean finalizes the formal tentative offer letter, Both Chair and Dean sign it and it is then sent electronically to APO for approval before sending it to the candidate. In other colleges the Dean drafts the tentative offer after the complement agreement has been worked out between the Department Chair (or designee) and the candidate and it is then communicated to the Dean. This letter, again signed by both Chair and Dean, must include standardized language for tentative offer letters (see Section IV for templates).

The practice varies, but some Colleges require that the candidate sign off on the tentative offer. In all cases, the candidate should agree at least verbally to the tentative conditions of employment before an appointment file leaves the department.

In the case of a senior appointment, agreement to terms is typically obtained before a complete and balanced set of extramural letters are solicited for the file. Once the extramural letters come in, the appointment file is prepared at the department level.

Interaction with Non-Selected Candidates
Candidates who were not on the interview list must receive a communication indicating that they are no longer under consideration.

Communication with non-selected candidates may vary and requirements must be confirmed with the Dean's office or designee.

See Section II for policy on access to records for academic positions.

C. The Appointment File

Chairs and departments (or equivalent) are charged to assemble a detailed file and conduct a thorough review of all materials, including the candidate's research publications and letters received from extramural referees. The review of the appointment file is managed through the eFilePlus System.

1. Appointment File Process

Senate Academic Positions
The Department Chair is responsible for preparing the faculty appointment file in accordance with campus appointment file requirements (see checklist under Section IV) and system-wide policy in APM 210. The Department Chair's responsibilities during departmental review are outlined in APM 220-80-e. When the appointment file is complete (in some departments/colleges this process takes place when the department initially votes to enter into negotiations with the candidate), the Department Chair convenes a meeting of departmental faculty, ensuring compliance with Bylaw 55. In order to remain competitive, the appointment file shall be made a priority item.

Review Bodies for Professor Series
(Note: Refer to Delegation of Authority Chart for final approval authority)

Rank	Step	Dept	Dean	CAP	Senate Ad Hoc Committee	VPAP	PEVC	Chancellor
Acting Assistant Professor	I-II	☐	☐	*N/A	*N/A	N/A	N/A	N/A
Acting Assistant Professor	III and above	☐	☐	☐	Optional	☐	N/A	N/A
Assistant Professor	I-III	☐	☐	*N/A	*N/A	N/A	N/A	N/A

Assistant Professor	IV-VI	☐	☐	☐	Optional	☐	N/A	N/A
Associate Professor	I-V	☐	☐	☐	Optional	☐	☐	N/A
Professor	I-IX	☐	☐	☐	Optional	☐	☐	N/A
Professor	Above Scale	☐	☐	☐	Optional	☐	☐	N/A

* The Committee on Academic Personnel (CAP) waived its right of review and use of ad hoc committees; however the Committee may opt to reinstate its participation in the review of Acting Assistant Professor I-II and Assistant I-III appointments at the conclusion of any given academic year.

Library Searches
The Library HR Office, under the direction of the University Librarian is responsible for preparing the appointment file in accordance with the Librarian CALL.

Non-Senate Academic Positions
Appointment files for non-senate appointees must follow the established procedures for each College/School.

2. **Appointment File Requirements**

Senate Academic Positions
Department Chair ensures that the file addresses the review criteria upon which the candidate will be evaluated. The review criteria for appointment files is the same as that for merit and promotion reviews for ladder rank faculty, as outlined in The CALL Section II-A-5 and in APM 210.

It is critical that the Department Chair review the reference letters for the candidate to ensure that more letters are not necessary.

See Section V for Appointment File Checklist.

Library Searches
See the Librarian CALL.
Non-Senate Academic Positions
Appointment files for non-senate appointees must follow the established procedures for each College/School. See Section V for Appointment File Checklist.

D. The Appointment

Senate Academic Positions
Acting under authority delegated by the Regents and the President of the University of California, the Chancellor has the authority to approve all tenured and non-tenured faculty appointments. Refer to the Delegation of Authority Chart for actions that have been re-delegated.

For appointments approved by the Chancellor, the notification of appointment decision is provided to the Deans' offices immediately by APO. Appointment letters are prepared by APO and mailed directly to the candidate with a copy provided to the appropriate Dean(s), Department Chair(s), Academic Senate (senate@ucr.edu). Candidates are requested to accept the appointment by signing a copy of the appointment letter and returning the signed copy to APO. Upon receipt of the signed acceptance letter, APO provides a copy to the Dean(s) and Department Chair(s). This signed acceptance letter permits the departmental payroll officer to process the appointment in the payroll system and the Academic Senate to make the appointee eligible for Senate rights and privileges. Signed acceptance letters are also provided to the Academic Senate (senate@ucr.edu), and Real Estate Services (yvonne.lujan@ucr.edu and trisha.marcinko@ucr.edu). For Financial Planning & Analysis (FP&A) send a copy of the start-up letter (unsigned) and appointment letter (signed) along with the FP&A Central Funding Form to facultyapptletter@ucr.edu.

For appointments approved by the Dean, the notification of appointment decision is provided to the department offices immediately by the Dean's office. Appointment letters are prepared by the Dean's office and mailed directly to the candidate with a copy to the Department Chair and APO. Candidates are requested to accept the appointment by signing a copy of the appointment letter and returning the signed copy to the appropriate Department Chair(s). The Department Chair forwards the signed copy to the Dean's Office. Upon receipt of the signed acceptance letter, the Dean's analyst provides APO, Academic Senate, and Real Estate Services with a signed copy (see email addresses above). For FP&A send a copy of the start-up letter (unsigned) and appointment letter (signed) along with the FP&A Central Funding Form to facultyapptletter@ucr.edu. This signed acceptance letter permits the departmental payroll officer to process the appointment in the payroll system and the Academic Senate to make the appointee eligible for Senate rights and privileges. The original appointment file, original signed accepted formal offer letter, and other documents required should be sent to APO no later than **four weeks** after the offer has been accepted. An annual post audit of appointments may be done in consultation with the Committee on Academic Personnel (CAP).

Department Chairs should communicate to all new faculty their date of hire and explain the relationship between their service period and pay period.

Library Searches
The University Librarian (UL) has the authority to approve appointments. For guidelines and procedures, refer to the Librarian CALL. For actions that have been delegated to the UL, refer to the Delegation of Authority Chart.

Non-Senate Academic Positions
The Dean has the authority to approve all non-senate appointments. Refer to the Delegation of Authority Chart for actions that have been re-delegated.

The notification of appointment decision is provided to the department offices immediately by the Dean's office. Appointment letters are prepared by the Dean's office.   In some Colleges the appointment letters are returned to the Department to mail to the candidate, in other colleges the appointment letters are mailed directly to the candidate with a copy to the Department Chair and APO. Candidates are requested to accept the appointment by signing a

copy of the appointment letter and returning the signed copy to the appropriate Department Chair(s). The Department Chair forwards the signed copy to the Dean's Office. Upon receipt of the signed acceptance letter, Dean's analyst provides APO with a signed copy. This signed acceptance letter permits the departmental payroll officer to process the appointment in the payroll system.

Notification of appointment may vary and requirements must be confirmed with the Dean's office or designee.

IV.   ADDITIONAL ACADEMIC RECRUITMENT PROCEDURES

For assistance or more information with the search types below, contact EEAA at affirmativeaction@ucr.edu or APO at academicpersonnel@ucr.edu.

A. Procedures for College-Wide Searches

A College search is conducted when a Dean determines a position will be designated as a college position. This may happen when an interdisciplinary center or an institute is involved or when several departments may be searching for similar positions, as reflected in their departmental hiring plans. The Dean identifies potential research space or spaces for the hire before the search begins.

The Dean selects the chair and members of the college Search Committee, trying to find a balance reflective of the departments/disciplines involved. The members of the committee will be from the pertinent area of research being recruited and will include members from potential home departments.

Special attention should be given to those elements that will allow for a broad coverage of disciplines and input from the department to which the candidate may eventually belong. These include:
- The Chair of the Search Committee, in consultation with the entire Search Committee, will develop or expand on an existing, approved position description, a college cover letter, and an advertisement plan. The position description should be broad to cover several sub-disciplines.
- Once the application files are complete, the committee meets to develop the short list.
- The short list of candidates, as determined by the Search Committee, is provided to the Dean who approves it and sends it to relevant departments and EEAA for approval, consistent with normal search guidelines. If the list of candidates is changed, it must be re-reviewed through these steps. Interested college faculty are then invited to review these files in advance of the interviews and to provide comments to the Search Committee.
- Following all interviews, the Search Committee provides the Dean with a list of acceptable or ranked-ordered candidates, having taken into consideration any comments from college faculty.
- The candidate(s) will indicate a preference for a home department and that department conducts the second interview. The Dean notifies the relevant Department Chairs if a joint appointment is anticipated and the Chair of the Search Committee which candidate(s) will be invited to the campus for a second visit (if applicable).

- Before initiating negotiations, the proposed rank and step for appointment must be agreed upon by the Dean and the Department Chair as well as a preliminary compensation and start-up package discussed and space designated. The principal negotiator is either the home Department Chair or the Dean, as determined by the Dean.
- The Department Chair will prepare the appointment file, including a yes/no faculty vote on appointment, to be forwarded to the Dean.

B. Procedures for Campus-Wide Searches (External)

A Campus search is conducted when the Provost and Executive Vice Chancellor & Provost (PEVC) determines a position will be designated as a campus position.

The PEVC appoints the chair and members of the Search Committee after consultation with the Academic Senate. The members of the committee will be from the pertinent disciplinary areas being recruited and will include members from potential departments, in which tenure will be held.

Special attention should be given to those elements that will allow for a broad coverage of disciplines and input from the department to which the candidate may eventually belong. These include:
- The Chair of the Search Committee, in consultation with the entire Search Committee, will develop or expand on an existing, approved position description, a cover letter, and an advertisement plan.
- Once the application files, are complete, the committee meets to develop the short list.
- The short list of candidates, as determined by the Search Committee, is sent to the PEVC who approves it and sends it to the relevant Dean(s) and EEAA for approval, consistent with normal search guidelines. If the list of candidates is changed, it must be re-reviewed through these steps. When the short list is approved, relevant departments are encouraged to review these files and to provide comments to the Search Committee.
- The Search Committee is then responsible for inviting the short list of candidates to campus for their first interview, coordinating their visit, and securing references and all relevant information about these candidates.
- The Search Committee provides the PEVC with a list of acceptable candidates after the initial interviews are completed, having taken into consideration any comments from the faculty at large.
- The PEVC notifies the relevant Dean, Department Chairs and the Chair of the Search Committee which candidate will be invited to the campus for a second visit. The candidate will indicate a preference for a home department and that department conducts the second interview. At this stage a pre-read occurs by CAP to establish a preliminary rank and step in the professoriate.
- The PEVC will conduct negotiations with the candidate, in consultation with the relevant Dean and Department Chair, and get agreement on a tentative offer including space, initial complement, administrative stipend, and clarification of the administrative duties.

- When a tentative offer has been developed, the Dean drafts and sends it to the PEVC for approval. The Dean sends the finalized tentative offer letter that will go to the candidate.
  - ✓ The practice varies, but some colleges require that the candidate sign off on the tentative offer. In all cases, the candidate should agree at least verbally to the tentative conditions of employment before an appointment file leaves the department.
  - ✓ In the case of a senior appointment, agreement to terms are typically obtained before a complete and balanced set of extramural letters are solicited by the Department Chair for the file.
- Once the outside letters come in, the appointment file is prepared at the department level and Bylaw 55 must be adhered to (a yes/no vote on the appointment by eligible faculty).
- The appointment file is forwarded to the Dean, who then forwards it to APO.
- Final decision on the appointment rests with the Chancellor.

C. Procedures for Campus-wide Searches (Internal)

The PEVC announces the internal search as a call for applications or nominations via Scotmail. In the call, the PEVC provides a position description, the selection process (i.e., a procedure for selection of the final candidate, interviews, names of the selection committee etc.) and a deadline for applications.

- Once the nomination deadline has passed, the selection committee meets to develop the short list.
- The VPAP will provide the academic personnel files of each member of the short list to the PEVC. The PEVC chooses the final candidate after consultation with the Chancellor.
- The PEVC will conduct negotiations with the candidate and get agreement on administrative salary, other compensation matters and clarification of the administrative duties. These details are sent to APO.
- The APO will draft a letter for faculty appointments, copying the draft to Financial Planning and Analysis (FP&A), the direct supervisor of the position and the PEVC.
- The final letter will be sent to the candidate, the candidate's Department Chair, the candidate's new supervisor, APO, FP&A, SEAT (Strategic Executive Administrative Team), and PEVC.
- Final decision on the appointment rests with the Chancellor.

D. Procedures for Joint Appointments

Faculty members who hold an appointment in more than one department, will be considered to have a joint appointment. The faculty member will be expected to contribute to each department and will be reviewed by each department as part of the merit and promotion process.

When preparing a case for a faculty member who will be appointed in two or more departments, the
departments are encouraged to jointly gather and prepare the materials for the case or to share case
materials.

In cases requiring external letters the departments are encouraged to solicit letters jointly, or agree to share letters solicited independently. At a minimum, departments should work together to assure that they are not independently contacting the same individuals and that an appropriate mix of evaluators is being contacted.

In addition to the procedures for college-wide or campus wide searches above the process below describes the roles of Deans and Department Chairs in a Joint Appointment search. For CHASS, GSOE, and SPP refer to the Memorandum of Understanding (MOU) dated 4/5/17 and signed on 6/13/17: CHASS, GSOE, and SPP MOU.

- Deans recommend faculty from their respective Schools/Colleges to serve on the Search Committee and any outside members. Deans work together to finalize committee, assign committee roles, and determine who will lead the search. Dean from unit assigned to lead the search invites faculty (and any outside members) to serve on the committee. Lead AP Analyst is subsequently determined by default.
- Search plan including job advertisement is developed and approved by both Deans.
- Lead AP Analyst provides guidance to the Search Chair and Department Chairs as needed.
- Search plan is submitted for approval by lead AP Analyst via AP Recruit.
- Once approved, the job is published and faculty from the lead college/schools and the relevant departments from the secondary college/school are notified by the Search Committee Chair.
- Once a successful candidate it identified, the process follows the Appointment process in Section III C and D.

E. Cluster Hiring (link)

Cluster searches operate similarly to traditional searches, but there is additional coordination by the Office of the Provost to track progress and facilitate the work across units. A steering committee, comprised of faculty administrators in each college/school and chaired by the Associate Provost, has been tasked with the coordination. The steering committee also serves as a resource to the search committees for questions and concerns that may arise throughout the hiring process.

Also please note the following important items:
- Include "cluster hire" in the title of the recruitment in AP Recruit to alert the Vice Provost for Academic Personnel.
- Our faculty growth is increasing demand for certain types of space and shared equipment/facilities, some of which are already impacted. It is important for the committee to consider potential issues like these as your search progresses. Please elicit space/shared equipment/start-up requirements from all candidates who remain viable after the campus visit, and share this information with the relevant Deans along with your hiring recommendations at the conclusion of the search.

For more information or questions, visit the Cluster Hiring website: https://provost.ucr.edu/cluster-hiring or contact the Associate Provost: associateprovost@ucr.edu. Guidelines are available via the office of the Associate Provost.

V. UC RIVERSIDE ACADEMIC RECRUITMENT TOOLS

A. Additional Academic Recruitment Policies
1. Academic Personnel Definitions
2. Affirmative Action and Non-Discrimination in Employment, APM 035
3. Confidentiality Policy on Letters of Evaluation
4. Delegated Appointments for Assistant Professors
5. Endowed Chairs and Professorships, APM 191
6. Faculty Recruitment Allowance Program, APM 190-e
7. Off-Scale Policy
8. Intercampus Transfers APM 510
9. Librarian Contract
10. Removal/Moving Expense for Academic Positions, Campus Policy #650-31
11. Review and Appraisal Committees, APM 210
12. Service Period and Pay Period for Academic Year Appointees
13. University Professor, APM 260

B. Other Appointment Types
1. Administrative Appointments
2. Eminent Scholar (contact the Dean's office or designee)
3. Endowed Chair/Professorship
4. Professor of the Graduate Division
5. Target of Excellence (TOE) Program

C. AP Recruit Resources
6. AP Recruit User Guide
7. AP Recruit Information Page

D. Academic Recruitment Checklists (note: for Non-Senate checklists, contact the Dean's office or designee)
8. Checklist for Appointments with Dean's Final Decision Authority
9. Checklist for Appointments with VPAP, PEVC or Chancellor Final Decision Authority
10. Cover Sheet for Appointment with Dean's Final Decision Authority
11. Cover Sheet for Appointment with VPAP, PEVC or Chancellor Final Decision Authority
12. Checklist of Steps in the Academic Recruitment Process
13. Search Committee Checklist
14. Librarian (AUL, Curator) Appointment File Checklist (contact the University Library or refer to the Librarian CALL)

E. **Academic Recruitment Templates (see** APO **> Checklists and Forms >**
   Appointment Forms)
   1. Appointment Letter for Assistant Professor I-III and Acting Assistant Professor Step I and II (link) (contact the Dean's Office)
   2. Appointment Letter for Assistant Professor IV and above and Acting Professor Step III and Above (link) (contact the Academic Personnel Office)
   3. Appointment Letter for Lecturers & Senior Lecturers with SOE or PSOE (link) (contact the Dean's Office or Academic Personnel Office)
   4. Appointment Letter for Other Senate & Non Senate Titles (contact the Dean's Office or designee)
   5. Appointment Letter for the Library Searches (contact the University Library)
   6. Start-Up (formerly Initial Complement) Letter for Professorial Series (link) (contact the Dean's Office)
   7. Sample Solicitation Letter for Professorial Series   (contact the Dean's Office)
   8. Sample Solicitation Letter for Other Senate & Non Senate Titles (contact the Dean's Office or designee)
   9. Sample Solicitation Letter for Library Searches (contact the University Library)

F. **Academic Recruitment Forms**
   1. Conflict of Interest Disclosure Form (link)
   2. FP&A Central Funding Form (contact FP&A at facultyapptletter@ucr.edu)
   3. Request for Access to Academic Recruitment Records by Candidate (link)

G. **International Students and Scholars Information**
   1. Special Handling Labor Certification
   2. Outstanding Professor/Researcher Immigrant Position
   3. Program Electronic Review Management (PERM) Labor Certification

VI. **Contact Information**

Academic Personnel Office (APO)
2148 Hinderaker Hall
(951) 827-2933
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Bourns College of Engineering (BCOE)
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College of Humanities, Arts and Social Sciences (CHASS)
3413 Humanities & Social Sciences Building
(951) 827-3596
Website: http://chass.ucr.edu/

College of Natural and Agricultural Sciences (CNAS)
College Building North, Floors 2 & 3
(951) 827-6555
Website: http://cnas.ucr.edu/

Equal Employment and Affirmative Action (EEAA)
1201 University Avenue, Ste 208
(951) 827-5604
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Website: http://hr.ucr.edu/eeaa.html

Financial Planning and Budget (FP&A)
2144 Hinderaker Hall
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Website: http://apb.ucr.edu/

Graduate School of Education (GSOE)
1207 Sproul Hall
(951) 827-5225
Website: http://education.ucr.edu/

International Students and Scholars   (ISS)
321 Skye Hall (formerly Surge Building)
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Website: http://res.ucr.edu/

School of Business
Anderson Hall
(951) 827-6329
Website: http://soba.ucr.edu/

School of Medicine (SOM)
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Website: http://medschool.ucr.edu/

School of Public Policy (SPP)
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Website: http://spp.ucr.edu/

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