

SANTA CLARA UNIVERSITY POLICY ON RECRUITMENT AND APPOINTMENT TO FACULTY

Since faculty of high quality are essential to the success of the University, their recruitment is one of the most important responsibilities of the faculty. Excellence in teaching, scholarship, and service all hinge upon the ability of the faculty to recruit new members who are outstanding in their fields and who have the qualities that will enable them to contribute to the achievement of the University's mission and goals. This document describes the policies and procedures for the effective exercise of this important faculty responsibility.

General Responsibilities

Although faculty recruitment is a collaborative effort involving both faculty and administrators, faculty play the central role. They must be willing to participate in departmental activities related to recruitment. These include advising the chair concerning the need to initiate a search, defining the position in light of essential university and college initiatives and priorities, particular areas of expertise required, and potential sources of new faculty; serving on departmental search committees, interviewing candidates, and providing the chair with an evaluation of the qualifications of each candidate interviewed.

The department chair, with the advice of department faculty and, in appropriate cases, with advice from faculty in related disciplines, is responsible for compiling a justification for the search which he or she will submit to the dean when asking for approval to initiate a search. When written approval is granted, the chair, with the advice of the faculty, will write a recruitment plan which is submitted to the dean. In addition, the department chair, in consultation with senior faculty, is responsible for appointing a search committee; for soliciting the recommendations of faculty regarding the candidates and conveying these to the dean along with his or her own recommendations; and, after approval from the dean, for making the final offer to the prospective faculty member.

The dean, in consultation with the department chair, is responsible for obtaining from the Provost written authorization to initiate a search to replace a full-time faculty member or to fill a new position. The dean is also responsible for reviewing the recruitment plan, interviewing candidates, reviewing the recommendations of the department, making his or her own recommendation to the Provost, and obtaining from the Provost approval of a final offer to the selected candidate.

The Provost, with the advice of the appropriate dean and department chair, is responsible for authorizing all full-time faculty replacement positions and new positions, approving the initiation of a search, interviewing candidates as appropriate, and approving the terms of the final offer made to the selected candidate.

Justification of Position

Before initiating a search for new faculty, the department chair, with the advice of the department faculty, must provide a written justification of the need for a replacement or for a new position. The written justification should be submitted to the dean who will convey it to the

Provost together with his or her own recommendation. The justification should take into account the needs of the University, college or school, and department, and should include:

1. Past, present, and estimated future enrollment patterns.
2. A faculty profile consisting of the desired area of expertise, areas of expertise of the existing faculty, forecasted retirements, percentage of tenured members, and other pertinent information.
3. A description of program needs that clearly indicates the importance of the faculty position to present and future programs.

Criteria for Selection

The University relies on the expert and considered judgment of the faculty to evaluate the qualifications and suitability of all candidates. Evaluation of candidates is a complex judgment that involves weighing several factors, including scholarship potential, teaching abilities, areas of expertise, current departmental strengths and weaknesses, ability to achieve collegial relations within the department and University, the availability of financial resources, and the needs and mission of the department, college, and University. The University's Affirmative Action Plan goals will also be considered a criterion in selecting candidates. Of primary importance is the candidate's potential to meet the criteria for promotion and tenure, which require "superior accomplishment" in (1) teaching, (2) scholarly or artistic work and other professional accomplishments, and (3) service to the University, the profession, and the community.

When more than one candidate is judged to have the potential to meet the tenure criteria, these qualified candidates may then be evaluated in terms of other factors. The importance of the faculty's responsibility to weigh and balance these factors carefully cannot be sufficiently stressed.

A factor that merits special attention in the recruitment process is the University goal to "nurture a diverse community rooted in mutual understanding and respect." Such a community, broadly conceived, is one enriched by diverse viewpoints and backgrounds. It is also one in which equality and equity prevail regardless of race, color, ethnicity, religion, gender, national origin, or other factor protected by law. In accordance with the University's commitment to a diverse and inclusive community, faculty members should aggressively seek to recruit a diverse applicant pool from the outset of the process of defining the position.

To maintain continuity with the University's Jesuit origins and traditions, it is also critical that the faculty attempt to recruit members of the Jesuit order, an increasingly scarce resource. The same criteria used to evaluate the primary qualifications of non-Jesuits must be used to evaluate the primary qualifications of Jesuit candidates. However, membership in the Jesuit order should be considered a significant positive factor whenever a Jesuit is among the most qualified candidates.

Recruitment Plan

Once authorization for a new faculty member is obtained, the department should develop a recruitment plan in consultation with the dean. The plan should indicate: 1) where and when the vacancy will be announced, 2) members of the search committee, 3) strategies for building a diverse pool of qualified candidates, and 4) dates for interviewing candidates. The department

chair is responsible for ensuring that a recruitment plan is written and submitted to the dean for approval before the formal search begins and for ensuring that the subsequent recruitment of qualified faculty is consistent with the requirements of the University's Affirmative Action Plan.

Search Committee

The search committee, which is appointed by the department chair, is responsible for advertising the position, recruiting and screening applicants, and recommending final candidates. Members of the search committee should be chosen with care and should include faculty who are keenly aware of the importance of faculty recruitment. Faculty on the search committee should be familiar with both the needs of the department and the criteria for selection of new faculty. The chair or the dean may meet with the search committee to discuss the criteria for selection of candidates or the qualities of the candidates in the pool. On its own initiative, or on the advice of the dean or the department chair, the search committee may in special cases choose to bring in members from outside the department to provide a different perspective. The search committee, in consultation with the EEO/Diversity Director, should inform itself about any constraints that might apply to the interview process.

The Search

The search should follow the approved recruitment plan. The search committee is responsible for writing the advertisement and placing it in appropriate outlets. The advertisement should clearly state the requirements of the position, including research and teaching competencies, whether the position is a tenure-track position, and any funding contingencies on which the position might depend. It should also state that the University is a Jesuit institution and must include an equal opportunity statement such as, "Santa Clara University is an equal opportunity and affirmative action employer." A copy of the advertisement must be sent to the dean for approval before being sent out.

The faculty vacancy should be advertised widely outside the University through professional journals, newsletters, professional associations and organizations, informal faculty networks and contacts, and direct calls to departments with recognized doctoral programs, including recognized programs with significant ethnic or gender diversity.

Depending on departmental practices, either the department chair will see to it, or will assign the chair of the search committee responsibility for seeing to it, that each applicant receives a prompt written acknowledgment of the application and an indication that further contact may be forthcoming. An applicant flow log will be kept in the department listing all applicants for the position and their demographic information in compliance with governmental record keeping and reporting requirements.

After appropriate preliminary screening, usually consisting of an initial review of all candidates' documents followed by interviews of selected candidates either at a professional conference or over the phone, the search committee will compile a short list of qualified candidates in rank order, with brief explanations of the ranking. This list, along with a curriculum vitae and other pertinent information on each of the persons on the list, should be submitted to the department chair.

The department chair, after reviewing the recommendations of the search committee and discussing the recommendations with the committee, will make his or her own recommendations in writing to the dean. The chair will indicate his or her judgment of the top candidates in order of preference.

The dean will review the recommendations of the department. As appropriate, the dean may meet with the chair or the search committee and may choose to review the complete applicant pool. The dean will then approve a short list of candidates for on-campus interviews.

On-campus Interview

As early as possible the search committee should invite to the campus those candidates who are on the short list approved by the dean.

The search committee may find it helpful to bring other department faculty into the interview process. In some cases, depending, for example, on the research specialty of the candidate, the search committee may choose to invite nondepartmental faculty in allied fields to interview the candidate.

Before the on-campus interview, the search committee should send the candidates materials that will help familiarize them with the University, such as the appropriate University bulletins, Statement of Purpose and goals, information on the character of Jesuit education at Santa Clara University, and any other materials the committee may deem suitable. During the interview the department chair should provide the candidate with added information on the nature and character of the institution including such intangibles as the institutional culture and expectations placed on the faculty in the areas of teaching and research. The aim should be to provide the candidate with enough understanding of the institution to enable him or her to make an intelligent and informed decision, should an offer be extended.

The search committee chair must designate one person to ask the following questions of every finalist before an offer is extended:

1. Can you, after an offer is extended, submit verification of your legal right to work in the United States?
2. Are you able to perform the essential duties of this position?

While on campus, candidates will ordinarily be interviewed by the faculty, dean, and Provost. Ordinarily, candidates should make a presentation based on their research activity and may also teach a class or present a seminar to students. The search committee is responsible for ensuring that those who interview the candidate or attend a presentation complete an appropriate evaluation form. Faculty who evaluate one candidate should also be present at, and evaluate the same presentation of, all other candidates. These forms should be reviewed by the search committee and should be made available for review by the dean and the department chair.

After all candidates have been interviewed, the search committee and department chair should convene the tenured and tenure-track members of the department, who will come to an agreement and then submit their recommendation to the dean. This should include a narrative statement describing the search, the applicant pool developed, and the reasons for recommending

the top candidate(s); it should be accompanied by resumes and whatever supporting documentation is thought to be helpful.

The dean will review the materials submitted by the department and submit his or her own recommendation to the Provost along with the materials submitted by the department.

After the search has been completed, the search committee or the department chair may want to extend the search further in order to expand the pool of candidates.

The Formal Offer

The department must guard against making, or appearing to make, an informal oral offer to a candidate prior to obtaining the approval of the Provost and the dean. The Provost will review the materials submitted by the department and the dean and will then convey to the dean his approval for (1) making an offer to a candidate, (2) the salary or salary range that will be part of the offer, and (3) any other details of the offer. After the Provost has approved the offer, the department chair or the dean will make the actual offer to the candidate.

Ordinarily the approval of the Provost must be obtained in writing. However, in special circumstances, the dean may obtain the approval of the Provost orally and the dean is then personally authorized either to make the offer or to authorize the department to make the offer.

Affirmative Action Report

After the appointment is made, the search committee will assemble all the records of the search. These records must include the recruitment plan, the narrative statement describing the search and supporting the recommendation, the applicant flow log, and all related documents. These records will be conveyed to the EEO/Diversity Director who will retain them for a period of at least three years.