

Hobart and William Smith Colleges
Faculty Recruiting and Hiring
Handbook 2014

The entire Hobart and William Smith Colleges community appreciates the investment of time and energy departments and programs put into the search process. Predictable, consistent and fair faculty recruiting and selection procedures are essential to fulfill the Colleges' commitments to diversity and equal opportunity, and to ensure that the Colleges, like any large organization, operate efficiently and in a manner that is both internally and externally transparent. While some of the procedures and requirements discussed in this Handbook may seem burdensome, please be assured that they all contribute to a well-documented, fair and thorough process of recruitment, selection and hiring. The purpose of any one component may be unclear, but if viewed as a whole, the process delineated here achieves our goal of clarity, consistency and fairness, while simultaneously pursuing the Colleges' policy of diversity and equal opportunity consistent with applicable law. As the Dean of Faculty and Provost is ultimately responsible for hiring decisions, the Provost's Office is committed to a hiring process that values the input and contribution of all those involved.

In working to create an intellectual environment that benefits students, faculty and staff, the Colleges must build an educational model that addresses the needs of a pluralistic and democratic society. As we work to establish this model, it is critical to remember the importance of establishing a campus community that reflects the diverse society in which we live. Our campus must make acknowledging and understanding differences in race, religion, gender, ethnicity, sexual orientation, and abilities a top priority. We concur with the statement by the American Council on Education that: "We learn from those whose experiences, beliefs, and perspectives are different from our own, and these lessons can be taught best in a richly diverse intellectual and social environment."¹ America has never been a homogeneous population or an insular one and we are committed to making our campus an inclusive community. In order to achieve this goal, we have prepared this Handbook on faculty recruiting and hiring.

Office of the Provost and Dean of Faculty

¹ *Statement on the Importance of Diversity in Higher Education Adopted by the Board of Directors of the American Council on Education* (June 2012). Available at <http://www.acenet.edu/news-room/Documents/BoardDiversityStatement-June2012.pdf>. The full statement is in Appendix A.

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² The contents of this Handbook draw heavily from material created by various individuals and committees associated with HWS and others. Special thanks are extended to Terri Conroy, Esq. and the members of the HWS Faculty Committee on Diversity, Equity and Social Justice for their contributions.

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Overview: the Search Process at HWS and its Goals

At HWS, the responsibility for faculty hiring is shared by faculty search committees and the Office of the Dean of Faculty and Provost (hereafter the Provost), with ultimate and final decision-making responsibility resting in the hands of the Provost. With the participation and guidance of the Committee on the Faculty's Committee on Diversity, Equity and Social Justice (DESJ)³, the Provost's Office has created this Handbook to assist search committees in carrying out their duties in a manner that is both efficient and consistent with the Colleges' policies. Each step in this process targets one or more essential aspects of the Colleges' policies and/or the legal requirements that relate to hiring decisions. These policies do not dictate who should be hired for any given position; rather, they provide guidance to ensure that the ultimate hiring decision is appropriate and consistent with the Colleges' goals of excellence, diversity, and equity.

The goals of the Colleges' hiring policies can be summarized as follows:

Fairness: *All* applicants should be treated the same to the extent possible and applicants with similar qualifications given the same opportunity to compete.

Consistency and efficiency: By implementing a predictable and consistent process, search committee members, candidates, and the Colleges community as a whole will be able to follow the process with a minimum of confusion. Standardized procedures will focus participants' attention on those aspects of the process that are directly related to their function, thereby facilitating the best hiring decision.

Managing legal risk: All screening and search committees and all interviewers act on behalf of the Colleges. Thus, what members of such committees say to and about candidates may bind the Colleges. The morass of legal requirements and prohibitions in the area of employment can be overwhelming even for seasoned practitioners of the law. For non-lawyers, especially, legal liability "traps" seem to arise at every step of the hiring process and can feel extremely constricting, if not outright threatening. For example, the Colleges might be held legally liable if: interviewers ask questions prohibited by law; interviewers invade applicants' privacy rights;

³ While the phrase "Affirmative Action" appears in various documents, Hobart and William Smith Colleges are not "Affirmative Action" employers, as the term is used in the law. Rather, the Colleges pursue a policy of equal opportunity and seek to promote academic and educational quality through diversity both in the faculty and student body.

relevant facts are misrepresented; or if a hire turns out to be a threat to others (“negligent hiring”). A major goal of this Handbook is to provide search committee members with clear guidelines by which they may tailor their conduct so as to reduce the legal risks associated with hiring decisions.

To this end, accurate and thorough record-keeping and consistent and transparent processes used by *all* search committees help the Colleges ensure that a fair, efficient and equitable hiring decision is made. Procedures have been designated to facilitate the best hiring decisions while managing the attendant legal risks. Scaling, numerical ratings and handwritten notations on the interview sheets (as used in the enclosed forms) provide required “documented” support to ultimate hiring decisions, even years later when the people who participated in the decision-making process may no longer be with the Colleges.

Keeping full and accurate records of the hiring process is particularly crucial in cases where the successful applicant is a foreign national. Such records are necessary to expedite the candidate’s application for permanent residency in a timely and effective manner.

Finally, this documentation helps the Colleges to review hiring histories and trends to measure their success in achieving positive results in the realm of diversifying the faculty.

Increasing faculty diversity: The Colleges are committed to the goal of achieving academic and educational excellence through, among other avenues, cultivating and retaining an inclusive faculty. Achieving faculty diversity, however, does not happen by chance or good luck. Rather it is the result of a concerted effort to identify qualified diverse candidates and to create an inclusive environment that is attractive to a diverse faculty.

Procedural and substantial oversight: All search committees devote substantial time and energy to the hiring process. The procedures described here seek to streamline the hiring process, and thereby minimize the investment of time required for search committee members, while, at the same time, providing clear and easily accessible guidance and documentation of that process. Without centralized monitoring of hiring committee progress through a standardized set of steps, the Provost cannot accurately implement this responsibility. The reporting requirements contained in the Colleges’ procedures provide an efficient way to ensure that the Provost’s Office is well informed about the progress of each search, and they allow for intervention in that process if necessary to ensure compliance with the Colleges’ policy.

Budgetary clarity: Many of the procedures here also relate to documenting and processing of the financial requirements for conducting searches (e.g., search authorization, recruiting plan and advertising approval, etc.).

Image of the Colleges: A first impression that shows the Colleges as organized, clear, consistent and fair in the hiring process helps to attract high quality candidates who may see these qualities as reflective of the Colleges' level of fairness and organization overall. If the search process is effectively and consistently carried out, the Colleges will benefit from stronger applicants, clearly supportable hiring decisions, and a richer faculty environment.

Roles and Responsibilities

The Search Committee and the Office of the Dean of Faculty and Provost

Ultimate authority and responsibility for recruitment and hiring decisions rests with the Provost of the Colleges. Search committees are composed of faculty, students and other members of the HWS committee, as approved by the Provost. The membership of any given search committee should be designed to form a representative and knowledgeable group, while not being so large as to become unwieldy and inefficient. The selection of search committee members by a department/program and/or its chairs should be an inclusive process that reflects the specialties of the particular search and the diversity of the department/program and campus. To achieve the goal of reflecting the diversity of the campus community as a whole, it is often necessary to include members from other departments, students or other constituencies to reflect as much as possible our inclusive community. Normally, a search committee includes at least three members of the department or program, and a faculty member from outside the department, and is subject to approval by the Dean of Faculty and Provost. Search committees are strongly encouraged to have at least two student majors, one from each college, when possible, and each student has an equal voice on the committee. Every search committee shall also have a designated non-voting process observer approved by the Committee on Diversity, Equity and Social Justice (a Diversity Liaison).

The activities of the search committee must be undertaken only with the approval and in consultation with the search committee chair. The chair of each search committee is charged with keeping complete records, documenting every aspect of the search process, and with ensuring that all procedural and documentary requirements of the process are met. It is also the responsibility of the chair to ensure that a copy of this Handbook is available to all members of the search committee and that relevant portions of it be given to non-committee interviewers prior to their contact with any candidate(s). By the end of the search, the committee chair must provide the Provost with a complete copy of his or her file(s) containing all documentation related to the search process and all forms used.

As the person ultimately responsible for hiring decisions, at each stage of the recruiting and hiring process, the Provost has the authority to ensure that all requirements have been met with regard to the search process. If at any time the Provost determines that necessary steps have not been taken, or that the goal(s) of the search are not being adequately addressed, the Provost may require that the search committee re-initiate some individual step or aspect, all of the search process, or discontinue the search altogether. Nonetheless, the Provost is committed to working closely with faculty search committees to identify, recruit and select candidates who will enrich the HWS environment through their professional and personal excellence.

The Office of the Provost is responsible for all reasonable search expenses, including the cost of advertising; interviewing; candidate travel, food and lodging; and campus hospitality. Prior authorization from this office is required *before* incurring any of these expenses. Faculty traveling to conferences and other related events for the purpose of interviewing should follow the same guidelines that govern conference travel; any exceptions will require written justification and approval. Search committees are encouraged to use preliminary screening mechanisms such as phone interviews whenever possible in selecting their list of finalists. Search committees are expected to show good judgment and restraint with regard to campus hospitality costs, such as using Harris House for accommodations when available, and the Common Room, Café, and College catering services when possible and appropriate. There also should only be a reasonable number of search committee members at such meals.

The Colleges' Commitment to Diversity and Equal Opportunity

Hobart and William Smith Colleges value diversity. We actively seek applications from all groups and do not discriminate on the grounds of race, color, religion, sex, marital status, national origin, age, disability, veteran status, sexual orientation or gender identity and expression. Numerous aspects of the procedures delineated here are aimed at ensuring that these goals are kept in mind as an integral part of the recruiting, selecting and hiring process for faculty at HWS. All participants in the search process are expected to uphold this commitment to diversity.

Diversity Liaisons

The Committee on Diversity, Equity, and Social Justice (DESJ) sees the role of the Diversity Liaison on search committees as focused and limited. Diversity Liaisons do not vote, nor are they involved with on-campus interviews. In addition to assisting in identifying qualified minority candidates (based on materials in the application package), Diversity Liaisons also serve as process observers and ensure that search committees' deliberations follow the guidelines of this Handbook and that the committees conduct searches in an equitable and fair manner—equitable and fair to candidates being considered for a position and to faculty members participating in the search process.

The following guidelines define that role.

Before screening applications

1. The Diversity Liaison is attentive to the use of the screening instrument for all applicants regarding diversity criteria. The Diversity Liaison ensures that such screening instruments are designed to fairly identify candidates being search and to be inclusive in nature (See sample initial screening checklist Form #3).
2. The Diversity Liaison requests from the search committee chair and reviews the demographic profile of the academic discipline. The Diversity Liaison reviews the Anonymous and Voluntary Self-Identification Forms from the applicant pool and assists the committee in its evaluation of the pool compared to the national one.

3. The Diversity Liaison suggests and recommends to the search committee chair and/or the Provost ways of expanding the applicant pool, if the pool does not seem adequately diverse or reflective of the discipline and the position.

Screening applications and interviews

1. The Diversity Liaison is involved in every step of the hiring process including the screening of applicants, deliberations with the committee on candidates to interview by phone or at national conferences, and on the final hiring recommendation to the Provost. The Diversity Liaison however does not interview or meet with candidates during their campus visit. While Diversity Liaisons do not have a vote in any of the decisions, they should be able to participate in and observe the deliberations that occur.
2. As search committees may be overly focused on identifying candidates that fit a particular academic niche, the Diversity Liaison should encourage search committees to recognize potentially qualified candidates that may be a part of an underrepresented group. With an eye towards identifying diverse candidates, Diversity Liaisons should screen qualified applicants in the following areas :
 - a. Institutions where candidates received their degrees (BA/BS, MA/MS, MFA/Ph.D.)
 - b. Places where they have taught or done research
 - c. Membership organizations, such as an affinity caucus of the professional organization, and organizations that support diverse populations within a discipline
 - d. Conference papers and presentations
 - e. Special groups they may advise
 - f. Committee work.

3. The Diversity Liaison reports to the search committee, and the Provost on compliance with diversity procedures and status of the pool (self-identification and demographic information) which includes the pre-screen and screening of applications outlined below.
4. The Diversity Liaison participates in all formal search committee conversations narrowing the applicant pool, selecting candidates to invite to campus, and making hiring recommendations to the Provost. In these conversations, the Diversity Liaison ensures that the deliberations proceed in a fair and equitable manner and that discriminatory issues are not part of the deliberations.
5. The Diversity Liaison reports to the Provost that the process has been a fair and equitable one, and that diversity candidates were given appropriate consideration.

On behalf and in consultation with the search committee, the chair of the search committee invites a Diversity Liaison to serve on the search committee. A list of Diversity Liaisons is maintained through the Provost's Office and on the Provost's webpage.

Initiating the Search

Authorization to Conduct a Search

Preparing for a search provides an opportunity for the department/program to reflect upon its curriculum, the expertise of current faculty, its future direction, and the potential for increasing not only the professional breadth, but also the intellectual and social diversity of its faculty. How well does the department reflect not only the diversity of the subject matter, but also the diversity of the society within which the Colleges exist and for which the Colleges seek to prepare their students? Are there substantive academic and research areas that the current curriculum and faculty do not address?

Before the search process can begin, the Provost must authorize all faculty positions. This requires a position request that lays out the rationale, utility, and schedule for hiring a new

faculty member. Normally, these requests are reviewed by the Provost in consultation with the Committee on Academic Affairs and the Committee on the Faculty. All position requests must be accompanied by, amongst other things:

1. an assessment of the department's position relative to the Colleges' diversity and equal opportunity plan;
2. a statement on the department's efforts to recruit and retain faculty from under-represented groups in its recent searches; and
3. a search plan which includes (a) a proposed position announcement/advertisement, (b) a list of publications, organizations and other resources through which the department/program plans to circulate the position announcement; and (c) a description of the steps to be taken to maximize the identification and recruitment of qualified candidates for the position from under-represented groups. This aspect of the search plan will also be submitted to the Committee on Diversity, Equity and Social Justice for its approval.

Upon receiving authorization for a search, the chair of the search committee should consult with its Diversity Liaison and the Office of the Provost to review the search plan and to discuss departmental and institutional objectives with regard to the individual search, the language of the position announcement, and strategies for identification and recruitment of a qualified and diverse applicant pool. The search committee chair should submit to the Provost a revised and completed Form #1, Search Authorization Request (found below in Appendix C as well as on the Provost website under Recruiting/Recruiting Forms) to report the final plan.

Announcing the Position and Implementing an Advertising Plan

Hiring strong faculty members begins long before an offer is made. Professional involvement on the part of the faculty and search committee members, including participation in professional organizations and attendance at professional conferences and other gatherings, can be important sources of information useful in faculty searches and offer connections to a variety

of qualified candidates.⁴ Similarly, graduate schools offer rich pools of qualified candidates. It is important to consider how to reach not only traditional candidates, but also under-represented groups who might be left out of populations reached by the “usual” methods by which positions are announced and advertised.

Prior to placement, all position announcements and advertisements must be approved by the Office of the Provost. Form #1, Search Authorization Request, and Form #2, Advertising and Recruiting Plan (found below in Appendix C and on the Provost webpage under Recruiting/Recruiting Forms) are to be used for this purpose.

Note that these forms include a position description, required qualifications, as well as preferred qualifications. The position description can be useful for developing the job advertisement, guiding the search committee, and providing information to candidates. Once thought of only as a good management practice, a written job description is also an effective legal tool. Thus, it “provides legal protection by defining, *ahead of time*, the job requirements and essential functions of the job, as required by the [Americans with Disabilities Act], making it more likely that the selection will be based on job-related criteria,”⁵ and providing guidance if a request for accommodation is made. While creating a job description can be difficult and time consuming, it is a crucial aspect of any search. For examples of recent job ads, see the Colleges’ web page: <http://www.hws.edu/offices/hr/employment/Faculty.aspx>. If the search committee, after reviewing these materials, still has questions or difficulties, its chair is encouraged to confer with the Provost’s Office, who may in turn consult with the Colleges’ counsel.

Minimum Required Qualifications: How does the department/program determine what the “essential job functions” of a position are? Essential job functions are those which must be performed in the position, *with* or *without* reasonable accommodation. An essential functions checklist tailored to higher education employment was developed by Lois Vander Waerd in *Affirmative Action in Higher Education: A Sourcebook*. The following questions are especially germane to developing academic job descriptions:

⁴ Smith, Daryl G. 1996. *Achieving Faculty Diversity: Debunking the Myths*. Association of American Colleges.

⁵ Vander Waerd, Lois. 1997. *Affirmative Action in Higher Education: A Sourcebook*. The Employment Partnership.

- What are the disciplinary and substantively academic requirements?
- What level and type of research and publications are required?
- Is teaching experience necessary? What level? What amount?
- Is grant-getting ability required?
- What about past record of service to the department? The institution? Leadership in the discipline?
- What sub-discipline(s) expertise is/are required?

Once the essential job functions have been identified, they can be incorporated into the job description for inclusion in the position announcement and advertising. Such announcements and advertisements should capture the essence of the position succinctly, yet completely. Those qualifications/skills that are essential should be identified as “Required,” while secondary qualifications/skills should be acknowledged as “Preferred.” These qualifications/skills should be noted on Form #1.

A position description should be crafted to attract a group of applicants who are the best available people for the job. It should also be designed to attract as diverse a pool as possible. The position announcement and/or advertisement should provide potential applicants with a view of the Colleges beyond simply listing the position-specific information. For example, the announcement or advertisement should reflect the Colleges’ commitment to equity and diversity in the hiring procedures. At a minimum, the Colleges’ statement of nondiscrimination should be included: **“Hobart and William Smith Colleges are committed to attracting and supporting faculty and staff that fully represent the racial, ethnic and cultural diversity of the nation and actively seek applications from under-represented groups. The Colleges do not discriminate on the basis of race, color, religion, sex, marital status, national origin, age, disability, veteran’s status, sexual orientation, gender identity and expression or any other protected status.”**

But the search committee should also include other kinds of statements to convey the Colleges’ commitment to inclusiveness, subject to the approval of the Provost and the Committee on Diversity, Equity, and Social Justice. For example, committees are strongly encouraged to include such phrases as: “potential to work with a culturally and socially diverse

population,” “demonstrated commitment to diversity,” and/or “experience working effectively in diverse environments” as a “Required” qualification for the position. Some examples of position announcements/advertisements that can serve as guides can be viewed on the Colleges’ Human Resources web page: <http://www.hws.edu/offices/hr/employment/Faculty.aspx>.

Advertising: Form #2 entitled “Advertising and Recruiting Plan” should be used both to facilitate the search committee’s development of the search plan and to document its efforts for review by the Provost’s Office in the course of its required oversight duties. Form #2 is provided below in Appendix C and on the Provost webpage (under Recruiting/Recruiting Forms). That form includes consideration of what resources the committee will use to disseminate and advertise its position announcement, and focuses attention on ways to ensure that this information is distributed to a diverse pool of potential applicants. A list of suggested resources for this purpose is also included in Appendix B, but is not meant to be exhaustive.

Search committees should think creatively to communicate the position announcement to a diverse population. Personal and professional contacts can be extremely effective in exploring avenues for reaching diverse applicant populations, as well as affinity organizations within or related to one’s own discipline. Not only print media, but also electronic bulletin boards, organizational web sites, professional newsletters, and conferences should be used for this purpose. So, too, graduate schools can provide a direct link to qualified and diverse candidates who are completing their education; of special focus should be those schools that have historically served under-represented groups.

Screening at the Application Stage

Once the approved position has been advertised, the search committee should meet to establish its procedures and plan for receiving and screening applications. Everyone should be reminded that all information, conversations, etc about a search are **confidential** and should not be held in public areas or discussed with anyone who is not on the search committee. All applicants for faculty positions at HWS are asked to submit an anonymous and voluntary self-identification form, which is intended to enable both the search committee and the Provost’s Office to gauge the demographics of the applicant pool. These documents are maintained in a file separate from the application materials.

Before the screening process begins, the search committee is charged with reviewing the composition of the applicant pool, and comparing the make-up of that pool with data regarding the generally available candidate pool. If the Provost, in consultation with the Committee on Diversity, Equity and Social Justice, determines that the applicant pool is not sufficiently diverse, they may require that the application process be re-opened and appropriate steps taken to increase the number of qualified candidates from under-represented groups for the position. In such circumstances, the search may be suspended until such time as the Provost is satisfied that reasonable efforts have been made by the committee to identify and reach qualified and diverse candidates for recruitment into the applicant pool.

Each committee must design a screening instrument to be used for all applicants, which is tailored to include the required and preferred qualifications stated in the position announcement and advertising. All screening checklists must be approved by the Provost prior to use. A sample Initial Screening Checklist is included in Form #3 in Appendix http://www.hws.edu/offices/provost/pdf/fac4_Initial_Screening_Checklist.pdf.

At least one Screening Checklist should be completed for each applicant. By using standard, comprehensive procedures for screening, everyone involved in the process, from committee members to applicants, knows that the process is being carried out fairly, predictably and consistently. Further, as mentioned before, keeping full and accurate records of the hiring process is particularly crucial in cases where the successful applicant is a foreign national. Such records are necessary to expedite the candidate's application for permanent residence in a timely and effective manner.

During the screening process, candidate files may not be removed from campus, and each search committee chair should ensure that candidate files are kept in a confidential and secure manner. After the screening process, the candidates should be ranked in three categories:

- (1) Applicants found to possess the required minimum qualifications and who are recommended for interview
- (2) Applicants found to possess the required minimum qualifications and who are not recommended for interview (Note: in such cases, the committee chair must ensure that the reason for the recommendation of no interview be clearly documented on the Initial Screening Form); or

(3) Applicants who do not meet the minimum required qualifications.

The search committee must complete Form #4, Table of All Candidates, for all applicants in the pool. This form reports to the Provost a listing of specific attributes of the pool and the search committee's assessment of their qualifications for the position. Form #4 should be submitted to the Provost, along with Form #5 in the next step.

The Interview Process

Bringing a Candidate to Campus

After the search committee has reviewed all of the applicants, the committee should meet to discuss and identify the top 10 candidates in the applicant pool. Form #5, Top Ten Qualified Candidates with Strengths and Weaknesses, should be completed by the chair, reporting the committee's interests in each candidate. The search committee also should discuss the 10 candidates and make a recommendation to the Provost Office of the three candidates that they will like to invite to campus. The chair must submit Forms #4 and #5 to the Provost for authorization to conduct on-campus visits and interviews. The chair must also provide the Provost with the complete files of the top ten candidates so that the Provost may look at these as well. **No on-campus interviews can be scheduled without prior authorization from the Provost.**

After the Provost has had an opportunity to review Forms #4 and #5 and the files, the chair of the search committee should meet with the Provost about the committee's recommendation for on campus interviews. The Provost will normally authorize the on-campus visits in this meeting. If the Provost, in consultation with the Diversity Liaison and/or representatives of the Committee on Diversity, Equity, and Social Justice (DESJ), determines that the interview pool is not adequately diverse, the Provost may require the search committee to re-open the application process or take other steps to increase the number of qualified candidates from under-represented groups. The search may be suspended until the Provost is satisfied that reasonable efforts have been made to identify and recruit a qualified and diverse interview pool. Among other things, the Provost may consider the number and strengths of the candidates, the expense of bringing the most desirable candidates to campus, and the current

status of the recruiting budget in making this determination.

After the candidates to be interviewed are identified, all applicant files shall be returned to the search committee chair for safekeeping until the completion of the search. At this time, all applicants who did not meet the minimum qualifications (category 3 above) should be notified that they will not be advancing in the search. Any internal candidates not identified for an on-campus interview should also be told that they will not be interviewed prior to those applicants being brought to campus from elsewhere.

Creating an Interview Schedule

The search committee chair initiates all interviews and arranges for candidates to meet with both committee and non-committee interviewers. Prior to scheduling any campus visits, the search committee chair should coordinate with Kelly Switzer in the Provost's Office to make sure the proposed visit dates work for the schedule of the Provost. Prior to the interview visits, the search committee should determine what will be expected of the candidates during their interview visits (e.g., teach a class, solve a technical problem, etc.) and advise all candidates of these expectations with adequate lead time before their visit to allow them to be prepared. The committee should ensure that the candidates spend sufficient time with the personnel with whom they would work and those to whom they would report. Additionally, arranging for candidates to meet with diverse campus constituencies is appropriate so that candidates can experience the HWS community as a whole, rather than just the one department where they would be working. All candidates should also have a meeting with the Provost's Office (typically 1 hour). As noted above, consistency is crucial, and all candidates should have similar interview schedules and meet with comparable individuals and/or groups during their on-campus visit.

Search committees should keep in mind that while the committee is seeking to identify the best candidate for the position, the candidates are also critically scrutinizing the HWS campus and community to determine whether they are interested in this position. Thus, interviews are also recruiting efforts, and such things as campus tours, driving tours of the Geneva/Finger Lakes area, and meetings with members of the HWS community who are not associated with the hiring decision can be useful in this process. A clearly outlined schedule for the visit is important to guide the candidate and to convey to them the feeling that the Colleges

are both professional and collegial. Candidates may also express interest in meeting with certain individuals or groups, or may request information about the Colleges and/or the Geneva area, in order to gather more information for their own employment decision process. Such requests should be complied with if reasonably possible and practicable.

Guide for Interviewing (what to ask and what not to ask)

A majority of committee members must interview each candidate, and, whenever possible, all committee members should interview all candidates. During interviews, including candidate presentations, all interviewers must record their comments regarding *all* candidates in writing. During the interview, it is important to temper the desire to obtain a complete “picture” of the candidate with a respect for the limitations upon interviewing and inquiry that are imposed by law.

The following are examples of acceptable and unacceptable inquiries for candidates. If the committee has any doubts about areas of inquiry, it is strongly encouraged to consult with the Provost’s Office, who may in turn consult with the Colleges’ attorney. It is important to note that questions that seek to determine a candidate’s work eligibility should only be asked by the Provost’s Office, the employer in faculty hiring decisions.

1. **Names:** If the applicant worked under other names, it is acceptable to ask for those names in order to check work and educational records.
2. **Birthplace:** To determine citizenship and work eligibility it is acceptable for the Provost’s Office to ask about birthplace, but not for other purposes or pertaining to the applicant’s spouse, parents, and other relatives.
3. **Citizenship:** It is acceptable to determine work eligibility, but not for other purposes or to determine whether the applicant is or intends to become a citizen.
4. **Residence and nationality:** It is acceptable to ask about where the applicant currently resides and the length of that residency, but inquiries about the national origin/nationality of an applicant or applicant’s spouse or relatives are not permissible. It is not acceptable to ask if the applicant rents or owns their home.
5. **Age:** It is acceptable to determine whether candidates meet any relevant age requirements

of the position, but not for other purposes. Committees cannot require that an applicant provide proof of age before hiring. Committees cannot ask questions that may tend to identify applicants over 40 years of age.

6. **Sex or Gender:** Interviewers cannot inquire regarding gender of an applicant, and gender cannot be used as an indication of whether the applicant will be “satisfied” with the position, whether the applicant will remain in the position for any length of time, or whether the applicant is more or less likely to take/request leave(s) of absence (e.g., pregnancy or family medical leave).
7. **Marital status, family status, sexual orientation:** Interviewers can only ask whether the applicant can meet specific work schedules. It is not acceptable to ask about the applicant’s marital status; the existence or number of children; identity of spouse, domestic partner, family or children; or sexual identity or orientation.
8. **Race, color or physical characteristics:** Interviewers may not inquire regarding applicant’s race, skin or eye color, hair color, or otherwise about applicant’s physical characteristics, such as height or weight unless these are directly relevant to the essential functions of the job.
9. **Disabilities:** Employers may ask questions about the applicant’s ability to perform job-related functions (work eligibility), so long as the questions are not phrased in terms which seek to elicit information as to whether the candidate has any disability. Interviewers can also ask an applicant to inform the employer of any reasonable accommodation needed to take a pre-offer examination, interview or job demonstration. Moreover, an employer can ask: “How many days were you absent from work last year (without asking the reason for the absence)?” “Are you currently using, or within the past six months have you used, illegal drugs?” “This job requires an employee to prepare written reports containing detailed analysis, often within tight timeframes. Can you perform this function with our without reasonable accommodation?” An employer may also ask an applicant to demonstrate physical abilities if such activities are essential job functions.

Conversely, interviewers cannot ask “Are you disabled?” or other questions that would tend to reveal disabilities, the extent of any disability or health conditions that do not

relate to fitness to perform the job. Unacceptable questions include: “Do you ever get ill from stress?” “Have you ever been unable to cope with work related stress?” “How much alcohol do you drink?” “How many days were you sick last year?” “What medications are you taking?” “Have you ever received counseling or medical treatment for mental illness or depression?” Also, an employer cannot ask questions about prior job related injuries or past worker’s compensation claims.

10. **Education:** Interviewers may ask about the applicant’s vocational or professional education, as well as any schools attended. Search committees should require written confirmation of degrees received.
11. **Work experience or military service:** Interviewers may ask about an applicant’s work experience, including the names and addresses of prior employers, dates of employment and reasons for leaving. Interviewers may ask about the type of military discharge.
12. **Conviction, arrest, and court records:** Interviewers may ask about actual convictions (not arrests) that reasonably relate to the applicant’s fitness to perform the particular job. Committees may not ask about arrests, court records or convictions if not substantially related to functions and responsibilities of the particular job.
13. **Photographs:** Photographs can only be required after hiring.
14. **Religion:** Interviewers may not ask about the applicant’s religious denominations or affiliation, parish, religious leader, or observed customs or religious holidays.
15. **Stereotypical language:** Interviewers should be aware of the language used and the messages word choices can convey. Stereotypical language can be offensive to many candidates.

The Hiring Decision

Checking References and Credentials

The search committee is also charged with evaluating each applicant's references and credentials. Transcripts and/or other relevant documentation should be obtained prior to the campus interview, and telephone calls should be made to confirm employment and attendance at educational institutions.

References are important not only to determine whether the applicant is qualified for the position, but also as a screening tool for applicants who might misrepresent their experiences, qualifications and scholarship and those who might pose a threat to others if hired. An incomplete history may result in hiring a faculty member who is not a good fit, who is unqualified or who may engage in conduct for which the Colleges could be held liable. References should include people well-situated to evaluate the applicant's past performance and/or their future potential. Even if they are not listed as individual references, an applicant's previous employer(s) should be contacted to collect additional information.

Search committees should keep in mind, however, that many organizations have policies prohibiting professional references beyond dates of employment. These policies are typically based upon risk management decisions by the particular entity, and such a response should not be taken as a negative reference regarding the applicant. If the committee feels that it has not received adequate information from the references provided, it may ask the candidate for additional references. Reference checks must be thoroughly and clearly documented.

Making a Recommendation: Role of the Search Committee

Upon the conclusion of the interview process, the search committee will meet to discuss the candidates' comparative strengths and weaknesses and to determine what recommendation to make to the Provost with regard to the hiring decision. Members of the search committee may only discuss candidates, their qualifications and the search process with other members of the department/program and College administrators directly involved in the search. The search committee chair should summarize the committee's review of the candidates on Form #6, Finalist Interview Results. The form is only for the individuals that participated in on-campus

interviews. Once submitted to the Provost's Office, the chair should meet with the Provost to inform and discuss with her/him the committee's recommendations.

Candidates should *not* be informed of the search committee's recommendation by the search committee or any member of that committee. Formal offers of employment and salary come from the Provost's Office only. After a hire has been made (that is, an offer has *both* been extended and accepted), unsuccessful candidates should be notified of the decision either by a standardized letter or phone call. Once an individual has been hired, departmental or program faculty are encouraged to welcome the new member of the HWS community, to ensure that they are introduced to new colleagues, and smoothly introduced to the procedures and practices of the Colleges.

After the committee has made its hiring recommendations to the Provost, the chair of the search committee is charged with collecting search files for appropriate storage of these materials. Committee chairs and members should take care to ensure the continued confidentiality of search-related records.

At this time, the search committee must also submit to the Provost and to the Committee on Diversity, Equity, and Social Justice, a report containing a numeric analysis of the final applicant pool and candidates. This report shall also contain a narrative description of and assessment of the search committee's efforts to identify and recruit candidates from under-represented groups, as well as copies of the position announcement and advertisements. Form #7, Diversity and Equal Opportunity Search Report, is provided for this report. The Form can be found below in Appendix C and on the Provost's webpage (Recruiting/Recruiting Forms) http://www.hws.edu/offices/provost/pdf/fac5_Diversity_and_EEO_Search_Report.pdf.

Failure to submit this report, or failure to submit an adequate report, may be taken into consideration regarding future requests for position and search authorizations.

Making an Offer: Role of the Dean of Faculty and Provost

Upon receipt of the search committee's recommendation for a hire, the Provost shall make the final hiring decision. Ultimate authority in this area rests with the Provost, who is free

to reach a different decision from that of the search committee, and can also decide that the search should be re-opened and re-advertised. It is the sole responsibility and authority of the Provost to make offers of employment and to negotiate salary and other benefits.

Appendix A:

STATEMENT ON THE IMPORTANCE OF DIVERSITY IN HIGHER EDUCATION, ADOPTED BY THE BOARD OF DIRECTORS OF THE AMERICAN COUNCIL ON EDUCATION, JUNE 2012

Available at <http://www.acenet.edu/news-room/Documents/BoardDiversityStatement-June2012.pdf>

The American Council on Education (ACE) has a longstanding record of commitment to access to higher education for all qualified Americans and to the advancement of equal educational opportunity. This commitment is reflected in ACE's positions on public policy, its programmatic activities, and its employment practices. It has been expressed repeatedly in resolutions by the ACE Board of Directors regarding affirmative action, nondiscrimination, equity, equal opportunity, and admission standards.

America's colleges and universities differ in many ways. Some are public, others are independent; some are large urban universities, some are two-year community colleges, and still others are small rural campuses. Some offer graduate and professional programs, others focus primarily on undergraduate education. Each of our more than 4,000 colleges and universities has its own specific and distinct mission. This collective diversity among institutions is one of the great strengths of America's higher education system, and has helped make it the best in the world. Preserving that diversity is essential if we hope to serve the needs of our democratic society and of the increasingly global scope of the economy.

Similarly, many colleges and universities share a common belief, borne of experience, that diversity in their student bodies, faculties, and staff is important for them to fulfill their primary mission: providing a high-quality education. The public is entitled to know why these institutions believe so strongly that racial and ethnic diversity should be one factor among the many considered in admissions. The reasons include:

Diversity enriches the educational experience. We learn from those whose experiences, beliefs, and perspectives are different from our own, and these lessons can be taught best in a richly diverse intellectual and social environment.

It promotes personal growth-and a healthy society. Diversity challenges stereotyped preconceptions; it encourages critical thinking; and it helps students learn to communicate effectively with people of varied backgrounds.

It strengthens communities and the workplace. Education within a diverse setting prepares students to become good citizens in an increasingly complex, pluralistic society; it fosters mutual respect and teamwork; and it helps build communities whose members are judged by the quality of their character and their contributions.

It enhances America's economic competitiveness. Sustaining the nation's prosperity in the 21st century requires us to make effective use of the talents and abilities of all our citizens, in work settings that bring together individuals from diverse backgrounds and cultures.

American colleges and universities traditionally have enjoyed significant latitude in fulfilling their missions. Americans have understood that there is no single model of a good college, and that no single standard can predict with certainty the lifetime contribution of a teacher or a student. Yet the freedom to determine who shall teach and be taught has been restricted in a number of places, and come under attack in others. As a result, some schools have experienced precipitous declines in the enrollment of students from underrepresented minority groups, reversing decades of progress in the effort to ensure that all groups in American society have an equal opportunity for access to higher education.

Diversity on college campuses is not achieved through quotas. Nor does diversity justify or warrant admission of unqualified applicants. However, the diversity we seek and the future of the nation do require that colleges and universities continue to be able to reach out and make a conscious effort to build healthy and diverse learning environments that are appropriate for their missions. The success of higher education and the strength of our democracy depend on it.

ACE Board of Directors, June 2012

Appendix B:

ADVERTISING CONTACT RESOURCE LISTINGS

The Provost's Office advertises systematically in the following outlets:

HWS web, Faculty Openings
Chronicle of Higher Education
HigherEd Jobs
Insider Higher Ed
UpstateNYherc.org

Departments who want to advertise to another specific diversity link (for reasons pertaining to their field) can do so.

RESOURCE LIST:

Job/candidate posting sites:

Black Issues in Higher Education
<http://diversejobs.net/>

The Black Collegian Online
<http://www.blackcollegian.com/>

Chronicle of Higher Education
<http://chronicle.com>

HigherEdJobs
<http://www.higheredjobs.com/>

Hispanic Outlook in Higher Education
<http://www.hispanicoutlook.com/>

Inside Higher Education
<http://www.insidehighered.com>

INSIGHT Into Diversity

<http://www.insightintodiversity.com/>

Journal of Blacks in Higher Education

<http://www.jbhe.com/jobs/faculty-jobs/>

Tribal College of the American Indian Higher Education

<http://www.tribalcollegejournal.org/>

Informational Resources:

American Association of University Women

<http://www.aauw.org/>

American Council on Education's Campus Diversity and Inclusion

<http://www.acenet.edu/higher-education/Pages/Campus-Diversity-and-Inclusion.aspx>

American Psychological Association Office of Ethnic Minority Affairs **

<http://www.apa.org/pi/oema/>

Association of American Colleges and Universities

<http://www.aacu.org/resources/diversity/index.cfm>

Association of Women in Science

<http://www.awis.org/>

Ford Foundation Postdoctoral Fellowships for Minorities

<http://sites.nationalacademies.org/pga/fordfellowships/index.htm>

Carnegie Mellon University's Diversity Resource Guide

<http://www.cmu.edu/diversity-guide/recruiting/recruiting-faculty/index.html>

Committee on Institutional Cooperation (CIC) Doctoral Directory

<http://www.cic.net/students/doctoral-directory/introduction>

Consortium for Faculty Diversity

<http://www.gettysburg.edu/about/offices/provost/cfd/>

Higher Education Recruitment Consortium (HERC)

http://www.hercjobs.org/jobseeker_tools/diversity_resources/

Higher Education Resource Services (HERS)

<http://hersnet.org/>

Society for Advancement of Hispanics/Chicanos and Native Americans in Science

<http://sacnas.org/>

UCLA Resources for Recruitment

<https://faculty.diversity.ucla.edu/resources-for/search-committees/resources-for-recruitment>

Women in Higher Education

<http://www.wihe.com>

Appendix C:
RECRUITMENT AND HIRING FORMS

FORM # 1: Search Authorization Request

Search Authorization Request

Your email: _____

Department: _____

Title / Rank: _____

Appointment: ___ Tenure Track **or** ___ Visiting

Projected Date of Appointment: _____

Proposed Position Summary:

Minimum Required Qualifications:

Additional Preferred Qualifications:

Assessment of Department's Position Relative to Colleges' diversity and equal opportunity plan:

Report on efforts to recruit and retain women and minority faculty in recent searches:

Additional Comments:

FORM #2: Advertising and Recruiting Plan

Your email: _____ Department: _____

Position: _____ Search Committee Chair: _____

List of Committee Members:

List of agencies, publications, organizations, websites, institutions, and other resources to be used in the search:

Total number of tenure track faculty in the department: _____

Number of women and other minority faculty currently on tenure track in the department:

Women: _____ Other minority faculty: _____

What is the availability of minority and female candidates for this position?:

What particular efforts will be made to obtain a diverse applicant pool and to recruit qualified women and minority applicants?

What resources have been effective for recruiting women and minorities in the past?

What resources will be used to reach potential minority and female applicants in this search?

FORM #3: Sample Initial Screening Checklist

(Note: This is a sample format only. Each search committee should identify the “Required” and “Preferred” qualifications for each position.)

Department: _____

Position: _____

Name of Candidate: _____

Name of Reviewer: _____

Date of Review: _____

I. REQUIRED QUALIFICATIONS/MINIMUM REQUIREMENTS

- | | | |
|---|---------|--------|
| 1. Master’s degree | Yes ___ | No ___ |
| 2. PhD | Yes ___ | No ___ |
| 3. Higher Ed teaching experience | Yes ___ | No ___ |
| 4. Publication/research history | Yes ___ | No ___ |
| 5. Others as determined by search committee | | |

Does candidate meet all minimum qualifications? Yes ___ No ___

IF ANSWER IS NO TO ANY OF THE REQUIRED QUALIFICATIONS, RATE CANDIDATE AS “DOES NOT MEET MINIMUM QUALIFICATIONS AND DO NOT PROCEED TO SECTION II.

II. PREFERRED QUALIFICATIONS/NOT REQUIRED

- | | | |
|---|---------|--------|
| 1. Administrative experience | Yes ___ | No ___ |
| 2. Grant writing experience | Yes ___ | No ___ |
| 3. Student advising experience | Yes ___ | No ___ |
| 4. Service history | Yes ___ | No ___ |
| 5. Commitment to diversity | Yes ___ | No ___ |
| 6. Others as determined by search committee | | |

APPLICANT EVALUATION:

_____: Candidate meets minimum qualifications and recommended for interview

_____: Candidate meets minimum qualifications but is NOT recommended for interview