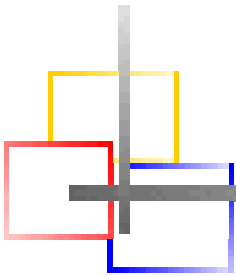




**PROCEDURES AND POLICIES  
FOR RECRUITMENT, SELECTION  
AND HIRING**

*UMass Dartmouth*

*September 2008*



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## Recruitment and Selection Process

### Quick Reference Guide

*The procedure for hiring Faculty and Staff generally involves four steps. The table below illustrates these basic components of the hiring process and specific items that are required or recommended for each group.*

1. *Approval to Hire*
2. *Advertising*
3. *Screening Process*
4. *Determine Finalists/Documentation*

	Classified	Temp/ Emergency Hire	Professional Staff	Non- Unit Staff	Faculty	Honorific Appoint- ment	Postdoc Research Associate	Part-time Lecturer
<b>1. Approval to Hire</b>								
Position Authorization Form/Tracking Number Issued	X	X	X	X	X		X	
Search Waiver/Emergency Form		X						
Position Description (See HR web site for Description Tool-Classified/Professional Templates)	X	X	X	X			X	
<b>2. Advertising</b>								
Internal Vacancy Posting	X		X					
External Vacancy Posting	X		X	X	X			X
Bulletin Boards (postings)	X		X	X				
Newspapers, Journals	X		X	X	X		X	X
UMD on-line posting	X		X	X	X			
<b>3. Screening Process</b>								
Search & Screen Committee formed by Appointing Authority and approved by EEO	X		X	X	X			X
Appointing Authority & EEO Charge of lawful search	X		X	X	X			
Interview process and assessments <ul style="list-style-type: none"> <li>• Interview questions w/EEO Liaison approval</li> <li>• Potential candidates w/EEO/AA approval</li> <li>• Interview internal candidates</li> <li>• Interview external candidates</li> <li>• Assessment of <b>all</b> interviewed candidates</li> </ul>	X		X	X	X		X	X
Committee Recommendation Form	X		X	X	X			
<b>4. Determine Finalists / Documentation</b>								
Employment Application Form (External Finalists only)	X		X	X	X		X	X
Official Transcript requested by S&S for finalists (Certifications, Licenses if applicable)	X		X	X	X		X	
Reference Check Form completed by Appt. Authority/Chair of S&S	X		X	X	X		X	
Background Check Form				X				
Hiring Recommendation Form w/supporting documentation	X		X	X	X			
Part time Lecturer Recommendation Form								X
Contract drafted by HR			X	X	X	X	X	X
Record Keeping	X	X	X	X	X	X	X	X

Contact Human Resources, **Leslie Mercure** for additional questions at 508-910-6474  
Contact Equal Opportunity, Diversity & Outreach, **Therese Canuel** for additional questions at 508-910-6405



## INTRODUCTION

At UMass Dartmouth, our mission is to provide an environment that is inclusive, open, and diverse. UMass Dartmouth supports a learning environment that builds a foundation for civic responsibility, individual skills and professional success through scholarly research and creative teaching activities for faculty and students. Our goal is to offer guidance about University processes in recruitment, selection and hiring that reflect institutional values. Administration is working to operate in ways that are efficient and effective in meeting our obligation to fill positions in a fair and timely manner. You might ask . . .

**What are the procedures and policies for recruitment, selection and hiring?** *In the most general terms, the procedures and policies for recruitment, selection and hiring are a series of steps determined by the University to assure that we hire the best qualified candidates for positions while complying with state and federal law, contractual obligations, Trustee and University policy.*

**Why do we need procedures and policies for recruitment, selection and hiring?** *As a large, complex, public institution, we must be able to display to all stakeholders – our students, our employees, our community, our Trustees, the citizens of the Commonwealth, and our government – that we operate in a manner that is fair, effective, efficient, and transparent. Each step in this process helps us to demonstrate that to our stakeholders.*

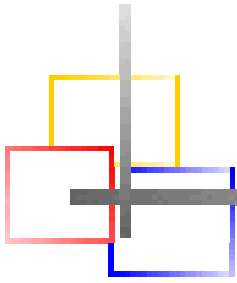
**Do I need to follow these procedures and policies for recruitment, selection and hiring for all positions?** *For all faculty positions, including part-time lecturers, non-unit managers and professionals, ESU professionals and classified positions, these procedures and policies must be followed.*

### **What is a position of opportunity?**

*Positions of opportunity are institutional job vacancies that require the appropriate appointing authority and the Assistant Chancellor for Equal Opportunity, Diversity & Outreach to make good-faith and focused recruitment outreach efforts to increase the probability of increasing the diversity of applicant pools, interview pools and new hires. This determination will be based on workforce and labor force data, their knowledge of the vacancy, and the mission of the institution. They would develop a recruitment plan and agree that the review would not start until all recruitment efforts have been exhausted. They would also agree to a closer level of monitoring during the search process for these designated positions.*

The information in this booklet is intended as an outline of the University's procedures for the recruitment, selection and hiring of management, faculty, professional and classified staff. It will provide you with guidance for conducting searches as well as some references to assist you. Should you have any questions or concerns about the procedures and policies for recruitment, selection and hiring, please contact the Office of Human Resources at **508-910-6474** for assistance.

Lastly, administration is committed to continuous assessment and improvement of these procedures and policies. We welcome your comments, feedback and suggestions for improvement. In an effort to develop the most effective procedures for the recruitment, selection and hiring of management, faculty, professional and classified staff, the University will periodically review and revise these procedures.



## The Role Of . . . . .

### Human Resources:

Human Resources (HR) has overall responsibility for the effective and efficient implementation of the procedures and policies for recruitment, selection and hiring of all personnel. HR is the primary institutional resource for hiring units, and is responsible for ensuring that these processes comply with contractual obligations, applicable laws and regulations, and, in consultation with the Office of Equal Opportunity, Diversity and Outreach, EEO/Affirmative Action requirements. HR is also responsible for conducting the preliminary screening of external applicant pools for entry level classified positions using criteria identified from the position description and job vacancy announcement.

**Equal Opportunity, Diversity & Outreach (commonly known as EEO/AA):** EEO/AA is responsible for assuring institutional compliance with EEO laws, AA regulations, campus and Trustee policies relative to diversity, pluralism, disability and gender equity. In addition, EEO/AA has the primary role to develop, implement, and monitor the campus Equal Opportunity/Affirmative Action Plan, and monitor recruitment, selection, promotion and separation transactions.

### EEO Liaison:

The EEO Liaison coordinates the process by which the Search & Screen Committee is trained, charged and provided guidelines for completion of an effective, efficient and lawful search. Each collegiate and Vice Chancellor area must have a designated EEO Liaison(s) who will receive on-going training and guidance by HR and the EEO/AA office, and serve as a liaison between the search committee and Human Resources. The EEO Liaison also serves as a resource on EEO/AA matters for the Search & Screen Committee. If an EEO Liaison has either an actual conflict of interest or the appearance of a conflict of interest with a particular selection process, he/she is expected to recuse himself/herself from that selection process and inform the appropriate Appointing Authority. When senior-level searches are conducted for positions (e.g. deans, assistant/associate vice chancellors, assistant/associate chancellors), the appropriate Vice Chancellor/Chancellor should determine an appropriate EEO Liaison designee to ensure no conflicts of interest.

### Chair, Search & Screen Committee:

The Chair of the Search & Screen Committee, in conjunction with EEO/AA and HR, is responsible for completing each step of the established procedures and policies, obtaining required signatures/initials and giving guidance and leadership to the Committee. The Chair sets dates and timelines for the various steps in the hiring process.

### **Search & Screen Committee:**

The Search & Screen Committee selects candidates to be interviewed by reviewing resumes and application materials, developing the questions, conducting the interviews, composing the strengths and weaknesses summary for each candidate interviewed, and preparing a list of two (2) or more recommended finalists, unranked and in alphabetical order, to forward to both the Appointing Authority/designee (and department chair for faculty positions), via the EEO Liaison.

### **Department Chair (Faculty Searches):**

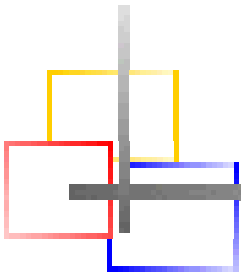
The department chair may be a member of the Search & Screen Committee. The department chair shall receive the Search & Screen Committee's recommendations unranked and in alphabetical order. With the advice of the tenured faculty, and upon consultation with the non-tenured faculty, the department chair shall forward his/her recommendations to the dean. The department chair's recommendations must be made from the recommended candidates of the Search & Screen Committee. The department chair may recommend one or more of the candidates recommended by the Search & Screen Committee.

### **Appointing Authority:**

The Appointing Authority is the Chancellor or the Chancellor's designee. The Appointing Authority or designee meets and charges the Search & Screen Committee at the beginning of the process to ensure that the committee has a clear understanding of the position to be filled. The Appointing Authority/designee presents the committee with the job vacancy announcement and job description, including the qualifications to be reviewed and discussed with the committee. The Appointing Authority/designee selects the Chair of the committee, members of the committee and introduces the EEO Liaison. The Appointing Authority/designee discusses the vision as well as short-term and long-term goals. The Appointing Authority also reminds the committee that they are to recommend at least two (2) finalists, unranked and in alphabetical order, to the Appointing Authority/designee (and department chair for faculty positions) via the EEO Liaison. (The Appointing Authority/designee informs the committee that normally communications between the search committee and the Appointing Authority should be made through the EEO Liaison.)

### **External Search Consultant:**

Oftentimes an Appointing Authority hires an external search consultant to assist with a recruitment and selection process in order to attract a broad, highly qualified, diverse applicant pool. The consultant meets with the Appointing Authority, the appropriate EEO Liaison, the Search & Screen Committee chairperson, HR and EEO/AA to understand and agree upon an action plan for the process, including who will be responsible for executing each step of the procedures for recruitment, screening, interviewing, selection and reference checking. (See page 54, "Checklist for Working with External Search Consultant.") HR and EEO/AA will provide direction and oversight to the search consultant in accordance with the consulting agreement and the Checklist for Working with External Search Consultant.



## Step 1: Authorization to Fill the Position

### **1. Complete the relevant parts of the Position Authorization Form.**

**If this position is going to utilize an external search consultant, please refer to page 54. Appointing Authority contacts EEO/AA to determine if the position being filled is a position of opportunity.**

Get approval signatures in the order on the form. Forward the paperwork to the office of the Associate Chancellor with the approvals of the Dean/Department Head and the Area Vice Chancellor. Along with the Position Authorization Form also forward the job description if one exists. The Associate Chancellor's office shall obtain signatures from EEO/AA, the Vice Chancellor of Administration and Finance, and the Chancellor, and assign a tracking number. The Appointing Authority may request the assistance of HR with the screening of the applicant pool for the Search & Screen Committee.

### **2. Complete the position description/announcement.**

Complete the position description/announcement. See the section on developing position descriptions for more information. (See Page 20.) HR staff are available to assist you in developing position descriptions and job vacancy announcements, including the minimum and preferred qualifications. This job description/announcement should be consistent with the Commonwealth's specifications. All position descriptions/announcements must be reviewed by HR to ensure compliance with contractual and other legal obligations. HR will notify the appropriate EEO Liaison.

### **3. Complete the posting/advertising text**

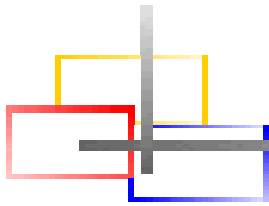
using the guidance in the advertising section. (See Page 22.) All searches will be advertised in standardized locations, focusing on web-based internet sites. To advertise the position in specific publications, note them on the Position Authorization Form. HR will create and place the ads with an advertising agency. HR will notify the EEO/AA Office, EEO Liaison and the office of the Associate Chancellor when ads have been placed.



Need Help?

- ➔ Contact HR 508-910-6474
- ➔ Contact your EEO Liaison

**If it has been determined that this is a position of opportunity, the area Vice Chancellor must meet with the Assistant Chancellor for EEO/AA to discuss recruitment strategy and timelines. A position of opportunity is an institutional job vacancy that requires the appropriate appointing authority and the Assistant Chancellor for Equal Opportunity, Diversity & Outreach to make a good-faith and focused effort to increase the probability of increasing the diversity of the applicant pool, interview pool and new hire. This decision will be based on workforce and labor force data, their knowledge of the vacancy, and the mission of the institution. They would develop a recruitment plan and agree that the review would not start until all recruitment efforts had been exhausted. They would also agree to a closer level of monitoring during the search process for these designated positions.**



## Step 2: The Screening Process

### **1. Form a Search & Screen Committee:**

The Search & Screen Committee (SSC) is responsible for interviewing applicants and determining which candidates will go forward to the next stage. The composition of the Search & Screen Committee will consist of a minimum of three (3) individuals and should maintain a gender balance as well as be representative of “individuals of color.” The Search & Screen Committee should also be composed of individuals who are familiar with the positions. In some instances, there are contractual obligations as to the Search & Screen Committee membership.

An **AFSCME** member will not serve as chair of a Search & Screen Committee to fill an AFSCME position.

See Page 27 for information regarding the composition of Search & Screen Committees for **Chancellor, Provost, dean, vice chancellor, associate & assistant chancellor, and associate & assistant provost** positions.

***Check with Human Resources if you're not sure you are in compliance with contractual requirements.***

Once it is determined who will be on the committee, the committee chair e-mails the names and titles of members to the EEO Liaison. The EEO Liaison e-mails the list to EEO/AA who will inform the EEO Liaison of any issues and steps to be taken.

### **2. Meet with the EEO Liaison and the Appointing Authority.** **Before beginning the interviewing and selection process, the committee must meet with the EEO Liaison and the Appointing Authority or designee.**

The EEO Liaison is charged with assuring the search is conducted in a fair, equitable and legal manner. He/she will inform committee members of the rules and regulations that apply to the search as well as explain the role of the committee and the committee chairperson. The charge should include an overview of the applicable contractual requirements.

The Appointing Authority/designee is the person who will be making the final hiring decision. The Appointing Authority/designee will inform the Search & Screen Committee of the qualities he/she is looking for in this position. The EEO Liaison is the communication link between the Search & Screen Committee, Appointing Authority, Human Resources, the Associate Chancellor and EEO/AA.

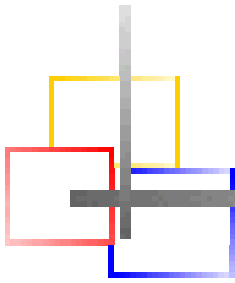
### **3. Determine the Initial Screening Process.**

The Search & Screen Committee reviews and determines which candidates will be invited for an interview. There are many ways to screen applicants, but any method used **MUST BE BASED ON BONA FIDE JOB-RELATED CRITERIA.** Some methods include paper credential screening, telephone interviews, professional meeting/ conference interviews\*, and writing samples. Check with the EEO Liaison to be certain the screening criteria are appropriate. The Search and Screen Committee should create a chart/grid reflecting its assessment of how each applicant met the minimum and/or preferred qualifications of the position. For faculty positions, the EEO Liaison forwards the professional meeting or conference/ telephone/on-campus interview lists along with the application assessments to the EEO/AA office. Check faculty, professional and classified sections of this document (Pages 8, 9, 16, 17) for requirements pertaining specifically to **non-unit professionals, faculty, AFSCME, AFT-Maintainers, ESU, and IBPO** searches.

\* **Faculty** searches - See Pages 9-10, “Procedures for Preliminary Screening or Interviewing at Professional Meetings” as a Part of the Faculty Recruitment Process.



Upon approval, the EEO/AA office notifies the EEO Liaison that the Search and Screen Committee may move forward in the process. Scheduling candidates for interviews can occur prior to approval, however, the EEO/AA office may require that the Search & Screen Committee conduct an additional review of candidates or re-open the selection process prior to final recommendations.



## Step 3: Interview Process

### **1. Develop the questions.**

Interview questions are designed to help determine who is the most qualified candidate and who best meets the needs of the University. These questions must be job-related and serve to assess the prerequisite knowledge, skills and abilities of the candidates. Search committees should take full advantage of all resources available to them to develop effective, job-related interview questions. **The committee should also determine why it is asking each question and what is an appropriate or general response to those questions.** The committee must submit to the EEO Liaison all interview questions and skills assessment for telephone and on-campus interviews for review.

### **2. Determine the components of the interview.**

At a minimum, the candidate must have a formal interview with the committee. Additionally, the committee may require the candidate to perform some task that is part of the regular position (e.g., teaching demonstration, give a typing sample), or to be assessed on some aspect of the job (e.g. technical knowledge assessment). Candidates must be notified of the components of the interview (e.g., assessment, presentation, room location). Candidates may request accommodations as to the room or assessment being conducted. If you have any questions about an accommodation request, please contact EEO/AA at 508-910-6405.

The committee may also wish to have semi-formal or informal interviews with colleagues/peers, students, and/or interested constituencies.

### **3. Schedule the interviews.**

The committee chair should make every effort to schedule the interviews at a time and place when all members of the Search & Screen Committee can attend. If there is more than one component of the interview, then sufficient time must be allowed for each component. Each candidate should be given approximately the same amount of time for each component of the interview process.

### **4. Conduct the interviews.**

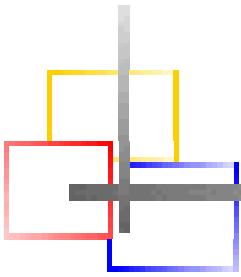
Interviews must be conducted equitably for all candidates. The same questions and assessment tools must be applied to all candidates. This does not mean that the committee may not ask legitimate job-related, follow-up questions for purposes of clarity or expanding on particularly relevant experiences. The committee must have determined ahead of time the method to be used to document the evaluation process. Some methods include narrative, and comparative (e.g., excellent, good, weak). The committee chair is responsible for documenting the evaluation method used for all candidates interviewed.



### **5. Determine the finalists.**

Once the interviews have been completed, the Search & Screen Committee should select a minimum of two candidates to be forwarded to the Appointing Authority, via the EEO Liaison, as finalists for the position with a summary of strengths and weaknesses for all candidates interviewed and other required documentation, including the EEO/AA Assurance Form signed by all committee members and the EEO Liaison. The Appointing Authority will conduct a comprehensive review of the finalist packet. The Appointing Authority/designee is encouraged to meet with the Search & Screen Committee to discuss the finalists.

For **Faculty** searches, the EEO Liaison also provides a complete recommendation package to the department chairperson. With the advice of tenured faculty, and upon consultation with non-tenured faculty, the department chair shall forward his/her recommendation(s) to the dean. The department chair may recommend one or more of the candidates recommended by the Search & Screen Committee. The Appointing Authority/designee is encouraged to meet with the Search & Screen Committee to discuss the finalists.



## Step 4: Making the Final Decision

### 1. Inform the Appointing Authority:

In general, once the search committee has chosen at least two finalists, the chair of the Search & Screen Committee must forward the names of the finalists, strengths and weaknesses of all candidates interviewed, and all other required documentation to the Appointing Authority/designee via the EEO Liaison (and to the department chairperson for **Faculty** searches). The Appointing Authority/designee is encouraged to discuss the finalists with the Search & Screen Committee.

For professional and faculty positions, the Appointing Authority must ask finalists to complete and sign the University Employment Application Form as part of the finalist interview process. The purpose of completing and signing this form is to: obtain information regarding convictions; certify the accuracy of application information; and to obtain permission to conduct reference and background checks.

### 3. Successful Search:

The Appointing Authority selects one candidate who will be offered the position. The Appointing Authority completes the Hiring Recommendation Form and forwards it to EEO/AA attaching the resumes of interviewed candidates, the Committee strengths and weaknesses summaries, justification for the hiring recommendation, the interview questions, and assurance form. For **AFSCME** searches, the Appointing Authority must also complete an AFSCME Finalist Assessment Form for each candidate that was recommended by the Search & Screen Committee (See Page 41). EEO/AA will forward to HR the complete finalist package. HR will review and approve and forward the complete package to the Office of the Chancellor.

Offers cannot be made until EEO/AA approval has been received. Salary ranges are determined prior to the search and will be enforced by HR. The appropriate Vice Chancellor/Provost must approve offers beyond the determined range and no such offer can be made without the expressed permission of HR.

### 2. Appointing Authority Interviews:

The Appointing Authority/designee may wish to interview candidates alone, with other staff, or conduct a series of interviews with other colleagues. While there is greater flexibility in the final interview process, it is still important to remember that all questions must be job-related.

Once interviews are completed, Appointing Authority or designee should conduct reference checks (and background checks if appropriate) **prior** to recommending a candidate for hire. Reference checking should be regarded as another form of interviewing. As such, hiring decisions should not be made without making an effort to check references.

### 4. Failed Search:

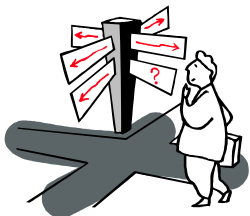
A search has failed if the Appointing Authority or designee does not choose to recommend a candidate for hire or if the Administration determines there was a violation of the process. Upon determination of a failed search by the collaboration of HR, EEO/AA and the Appointing Authority, the Appointing Authority will subsequently notify the EEO Liaison and the Search & Screen Committee of the decision.

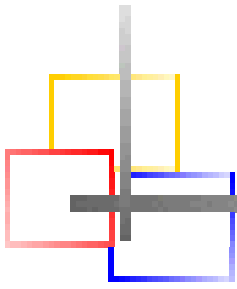
A failed search can be reopened **ONLY** after the HR Director, the Appointing Authority/designee and the Committee Chair have made an assessment. Reopened searches will require a return to step 1.

### Need Help?

➡ Contact HR 508-910-6474

➡ Contact your EEO Liaison





## **Non-Unit Management & Professional Staff**

### Chancellor, Provost and Vice Chancellor

Search & Screen Committees for the positions of Chancellor, Provost and Vice Chancellor should include members of the Faculty Federation, at least one (1) ESU bargaining unit member as selected by the ESU Chairperson, and the Administration will give full consideration to the appointment of at least one (1) bargaining unit member each from the AFSCME, AFT-Maintainers and IBPO unions.

### Dean, Assistant Chancellor, Associate Vice Chancellor, and Assistant Vice Chancellor

Search & Screen Committees for the positions of Dean, Assistant Chancellor, Associate Vice Chancellor, and Assistant Vice Chancellor should include at least one (1) ESU bargaining unit member as selected by the ESU Chairperson. In addition, ESU members should be appointed to Search & Screen Committees for positions, which will affect Educational Services Unit employees. The Chairperson of the Educational Services Unit shall be consulted prior to the appointment of ESU member(s) to a Search & Screen Committee.

### Dean of Colleges

In the event of a vacancy of a deanship within a college, a nine (9) person Search & Screen Committee shall be established to recommend finalists to the Chancellor. The committee shall be composed of three (3) faculty to be elected from the college by the full-time members of the college in such a way that there will not be two (2) faculty from the same department except where there are only two (2) departments in the college; in that case, each department shall have at least one (1) representative, and in the case of the College of Arts and Sciences, one (1) faculty member shall be elected from departments within each of the three (3) Academic Council Areas; three (3) individuals appointed by the Chancellor; and three (3) students from within the college appointed by the Student Senate in such a way that there will not be two (2) students from the same department except where there are only two (2) departments in the college. (In that case, each department shall have a least one (1) representative.)

### Dean of Library Services

In the event of a vacancy in the office of Dean of Library Services; a nine (9) person Search & Screen Committee shall be established to recommend finalists for the Appointing Authority. The committee shall be composed of two (2) faculty appointed by the President of the Faculty Federation, three (3) librarians elected by the librarians, two (2) individuals appointed by the Chancellor and two (2) students appointed by the Student Senate.



## Minimum Qualifications

If the department wants to exercise the option to accept ABD candidates in addition to Ph.D. candidates, this option **must** be stated in the job vacancy announcement, advertisement, and listed as part of the minimum qualifications on the position description. The following language can be used as a template:

The College of \_\_\_\_\_ has an opening for one full-time tenure track position (Assistant or Associate Professor depending on qualifications). ABDs will be considered but a Ph.D. in \_\_\_\_\_ or a related field must be completed by March 1 of the first year of employment. A Ph.D. from an accredited institution of higher education will be required for tenure.

## Search & Screen Committee

Search & Screen Committees for faculty positions may include the Department Chairperson for that department, and should include faculty from the discipline or related discipline(s).

## Preliminary Screening/Interviewing at Professional Conferences

Search & Screen Committees may choose, as its initial or preliminary screening method, to conduct interviews at professional meetings or conferences. In such cases where the Committee has decided to conduct preliminary interviews at conferences, the following procedures must be followed:

1. The use of preliminary screening at professional conferences is optional at the discretion of the Committee. If this option is exercised, the Committee Chairperson must notify EEO/AA through the EEO Liaison of its recruitment plan and strategy.
2. Once the semi-finalist list is selected by the Committee, it will be forwarded by the EEO Liaison to EEO/AA for approval prior to the conference.
3. Candidates selected by the full committee as semi-finalists cannot be excluded from consideration if they do not attend the professional meeting interview.
4. At least two (2) members of the Committee must conduct the interviews at the professional conference, and all semi-finalists who attend the conference shall be interviewed.
5. Each semi-finalist shall be allocated the same amount of time for the interview, and shall be asked the same set of questions, which have been approved in advance by the EEO Liaison.
6. Statements of strengths and weaknesses shall be written by each interviewer for each semi-finalist. These shall be presented to and discussed with the entire Search & Screen Committee upon return from the conference.
7. Semi-finalists selected by the Search & Screen Committee who do not attend the professional meeting will be given video conference interviews by, at least, two members of the Committee, either just before or immediately after the conference.

8. The Committee will select finalists for campus interviews from the list of semi-finalists on the basis of qualifications for the position, including the written assessments of strengths and weaknesses from the professional conference or video conferencing interviews.
9. Prior to the selection of finalists (resulting in the elimination of some of the semi-finalists), follow-up telephone interviews of all semi-finalists may be performed at the discretion of the Search & Screen Committee. In the event that follow-up interviews are to be used to supplement the conference interviews, all semi-finalists will be called.
10. Usually a minimum of 4 finalists will be selected from the semi-finalist list for campus interviews. Each finalist is asked the same set of approved questions. Strengths and weaknesses are assessed, based solely on the ability to perform the responsibilities of the position, as described in the job vacancy advertisement. Based on the Committee's written assessment of strengths and weaknesses for each candidate, the Search & Screen Committee makes recommendations to the Appointing Authority, Department Chairperson, through the EEO Liaison, consistent with University Policies and Procedures for Recruitment, Selection and Hiring.
11. The University's Policies and Procedures for Recruitment, Selection and Hiring, as established, including semi-finalist and finalist approvals, must be followed.

### Minimum Qualifications

The Committee process for campus interviews should include the following:

- There must be at least one substantive interview with the entire Committee during which the approved questions are equitably applied to all candidates.
- Campus tours and visits to any specific facilities of relevance to the position should be conducted by the members of the Search & Screen Committee.
- Candidates should meet with the faculty of the Department to the greatest extent possible. Such meetings may be as the Department as a whole or in sub-groups if schedules do not permit a single meeting.
- Candidates should be asked to demonstrate both their teaching skills and the research expertise.
- There should be separate meetings with the Department Chair and another with the Dean of the College.

## Part-Time Lecturer Hiring Process

The process to appoint a Part Time Lecturer (PTL) is straightforward and rests fundamentally on establishing a pool of qualified candidates for the appropriate department or program. Once this pool is established and/or periodically replenished, the appointment of a PTL is accomplished by completing sides A and B (as applicable) of the Part Time Lecturer Recommendation form. Accordingly, establishing and/or replenishing the pool for a department or program is one of many pivotal activities within the PTL selection process.

### Establishing a Pool

At least yearly, or if the pool is exhausted, an approved advertisement for PTL positions is placed in the appropriate media, such as the *Boston Globe*, *Providence Journal* and/or the *Bay State Banner*. Additionally, the UMass Dartmouth website displays an ongoing advertisement for PTLs. A pool is created by the department chairperson (or his/her designee) accepting applications from these solicitations, unsolicited applications, as well as from individuals who may be recruited. The pool may be replenished if it is exhausted by the above-mentioned efforts and other recruitment strategies.

As applications accrue, the department chairperson (or his/her designee) and at least one other faculty member from the department or program, reviews qualifications of applicants for PTL positions. The department chairperson (or his/her designee) and the other faculty member(s) comprise the PTL Committee. The committee will conduct interviews (in person or via telephone). Those applicants deemed qualified by the PTL Committee for positions in the department become a part of the pool from which PTLs will be drawn as the need arises for an appointment effective during the academic year for which the advertisement was placed. Members of the PTL Committee will sign an assurance form indicating that they understood the University's Statement of Equal Employment Opportunity and Affirmative Action and followed the guidelines in conducting the review of the applicants (see attached PTL Committee Equal Employment Opportunity/Affirmative Action Assurance Form).

### Emergency PTL Appointments

Provision is made to appoint a PTL on an emergency one-semester basis to meet unanticipated needs. In this case, the PTL who is hired must be reviewed by the PTL Committee subsequent to the appointment as outlined above in order to become a part of the pool and to be appointed for future service.

## Postdoctoral Research Associate Search Procedure Academic Affairs

Postdoctoral Research Associates are full-time employees with or without benefits. They are paid from grants and receive no salary support from state funds. They are not permanent employees in the sense that their positions might be tenurable. They could apply for a permanent faculty position if one were to become available; however, they would compete with other applicants solicited from a national search according to procedures identified by campus policies. The Postdoctoral Associate is more like an advanced graduate student than a faculty member or a technician.

Since the Postdoctoral Associate is paid from a federal, state or private grant obtained by a regular faculty member, the work to be done by the individual must be to support the grant. The faculty member who has the grant (the Principal Investigator) must have the flexibility to hire the best available candidate and the judgment must be with the faculty member, not with a broader committee. However, the faculty member must remain committed to the affirmative action policy of the University.

With that in mind, the following procedure will be followed:

1. Authorization for filling a vacant position will be gained in the usual way. The college dean will submit to the Provost a Position Authorization Form and a Position Description Form prepared by the Principal Investigator of the grant that funds the Postdoctoral Associate.
2. Following the Provost's approval, an advertisement for the position will be prepared and submitted for approval by the Equal Employment Opportunity/Affirmative Action (EEO/AA) Office. The Position Authorization Form and the Sign-off Form for Selection of Personnel will accompany the advertisement copy.
3. When an application for the position is received, an acknowledgement letter will be sent along with the Ethnic, Sex Identification, and Referral Form.
4. Prior to interviewing candidates, the Principal Investigator will send to the EEO/AA Office for approval the names of all applicants and will request information on the applicant pool. The Principal Investigator will then submit to that office for approval the names of the candidates selected for an interview.
5. Following the interview of candidates, the Principal Investigator will develop the strengths and weaknesses of the interviewed candidates, discuss them with the college dean, and will identify the individual recommended for the position. (The Principal Investigator is best suited for this function.)
6. If the college dean concurs with the recommendation, a request to appoint the individual will be sent to the EEO/AA Office and then to the Provost.

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Provost and Vice Chancellor for Academic Affairs

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Assistant Chancellor for Equal  
Opportunity, Diversity & Outreach

*As agreed upon on April 29, 2002*

# University of Massachusetts Dartmouth Academic Affairs Division

## Policy on Honorific Appointments

This document updates and expands the university's policy on Honorific Appointments, approved by the university's Board of Trustees on September 10, 1987.

### Honorific Appointments

The honorific appointment of an individual who will be making a contribution to the university's programs for research, scholarship, creative activities or development is called a Visiting Scholar. While Visiting Scholar is the general term for honorific appointments, a customary title such as Adjunct Professor may be used to recognize an appointment of a specific type.

### Purpose and qualifications

Visiting Scholars are individuals invited to our campus for a specific academic purpose and for a limited period of time, e.g., a semester or year.

Although the appointment may involve teaching, it is not primarily a teaching position but encompasses scholarly endeavor or other research or development work. Visiting scholar appointments differ from faculty positions such as those for tenure-track faculty; they are an appointment to do a project or set of activities, not employment as a faculty member. Visiting Scholar appointments do not require a hiring search.

Visiting Scholars should be distinguished from visiting professors coming for a limited period, e.g., to occupy a rotating Endowed Chair. Visiting Scholars are often faculty coming here from another university, perhaps on a sabbatical, to work on a research project or to develop new expertise or knowledge that they can bring back to their home institution. Visiting Scholars can be from another university or from industry, research institutes, etc. Visiting Scholar appointments can be used for doctoral candidates from other universities coming to do research here. Visiting Scholars may audit classes on a limited basis when that activity is appropriate to the nature and purpose of their appointment; they will pay the regular tuition and fees for that activity unless specifically approved otherwise in the appointing documents.

Minimum qualifications shall include a) the appropriate academic degree and/or academic rank or equivalent professional experience in the field of the appointment (or being a doctoral candidate), b) having an appropriate professional position at another higher education or research institution or c) being retired from such positions.

Normally, Visiting Scholar appointments do not provide salary or stipend, insurance, benefits, and other financial support, but it is possible to extend such consideration with justification when funding is available. Visiting Scholar appointments typically provide supportive amenities such as workspace and access to facilities, technology, and the library. Such considerations must be stated in the appointing documents.

### Appointment Approvals

Appointment may be initiated either by invitation or application. Review of the academic and/or professional qualifications of the individual will be initiated at the level appropriate for the objectives of the appointment. A Visiting Scholar appointment request typically originates in an academic unit of the university (i.e., a department or academic center).

When an academic department or interdisciplinary program recommends a Visiting Scholar appointment, the recommendation goes to the Dean of the College/School and then the Provost. When a center director recommends an appointment that does not involve teaching, the recommendation goes to the individual to whom the center reports, e.g., to the Dean, and then the Provost. When a center director recommends an appointment that involves teaching as well as activities in the center, the recommendation would originate in the center but be routed through the department in which the teaching would occur for a departmental recommendation on the appointment. The department Chairperson's and Dean's recommendation of the appointment would be conveyed in memoranda included in the file that goes to the Provost.

Visiting Scholar appointments will be approved by the Provost when they involve no financial support from UMass Dartmouth. The Office of Human Resources issues the appointment letter.

When a Visiting Scholar appointment does involve financial support from UMass Dartmouth, the Provost recommends to the Chancellor. Before doing so, the Provost will request a review and sign-off by the Office of Equal Opportunity, Diversity, and Outreach. The purpose of this review is to verify that the position is legitimately honorific as opposed to one that should be posted and filled through a job-search process. The Office of Human Resources issues the appointment letter.

## Documentation Required for the Appointment

The recommendation to the Provost that a Visiting Scholar be appointed should describe the nature, scope, and expected outcomes of the appointment. It should:

- Indicate the primary purpose of the visit.
- Outline the activities the Visiting Scholar will undertake. Specifically, it should:
  - State the academic field, the specific research or instruction area and the goals of the endeavor;
  - Indicate a stated result or outcome--if not a concrete scholarly product, then a summary of the expected achievements and the benefits received by the university.
  - Indicate other activities or outcomes; for example, specified interactions with faculty, students, or staff.
  - If teaching is involved, indicate the course or courses to be taught and any special conditions.
- Indicate the starting and ending dates of the visit. While Visiting Scholar Appointments are for a specific duration, they may be renewed.

The individual should acknowledge UMass Dartmouth in any publications or other results from the Visiting Scholar Appointment.

The recommendation to the Provost should also:

- Document the individual's qualifications.
- Document that the individual wishes to accept the appointment as described.
- Indicate a person in the department or center who will be the contact person for the individual and who will oversee progress on the project and activities.
- State specifically the support the university will offer the individual: e.g., if an unfunded appointment, desk or office space, research space, telephone, computer, access to library, access to e-mail, access to computer services, access to secretarial assistance, access to campus housing; and if funded, also state the terms of the funding. Signatures accompanying the recommendation are commitments to provide the support indicated.

Approved appointments go to Human Resources for a contract to be issued, a file to be set up, etc.

### Non-immigrant Visa (if required)

If the individual needs a non-immigrant visa, it would usually be the J-1 visa. The office on campus charged with issuing J-1 visa permission will assist the unit inviting the individual by contacting the individual to learn personal and official information needed for submission of the forms that result in the requisite visa. If there is limited time, the office can begin the visa paperwork before the approval is final. Actual issuing of visa forms requires an approved Human Resources contract.

It is a requirement for the J-1 visa that we have on record clear documentation of the nature, scope, and results of the appointment and the appointee's qualifications, as indicated above. The J-1 visa is issued for the purpose of full-time pursuit of the described project and activities; there are specific conditions and limitations regarding work for compensation, travel, dependents, etc., and we are accountable for monitoring the person's remaining in visa status. The office on campus charged with issuing J-1 visa permission works with the appointing unit and the visiting scholar on such compliance Issues.

Visiting Scholar Appointments cannot later become the basis for applications for employment-based permanent residency.

This policy is effective January 1, 2006.

Recommended by: Louis Esposito \_\_\_\_\_ Date: December 16, 2005  
Provost

Approved by: Jean MacCormack \_\_\_\_\_ Date: December 16, 2005  
Chancellor



## ESU Professional Positions

Search & Screen Committees for ESU professional positions should include at least one (1) ESU bargaining unit member as selected by the ESU Chairperson. The Administration reserves the right to appoint additional ESU members to Search & Screen Committees at its discretion and selection. The Chairperson of ESU shall be consulted prior to the appointment of ESU member(s) to an Search & Screen Committee.

The administration, with the concurrence of the EEO/AA officer, shall have the right to promote a bargaining unit member to a higher graded position within his/her current department without having to comply with the posting and search requirements.

## **Classified Staff**

### AFSCME

In accordance with the collective bargaining agreement, AFSCME bargaining unit members shall not serve as chair of Search & Screen Committees for AFSCME positions.

Members of Search & Screen Committees for AFSCME positions shall be given the “Search and Screen Committees” Side Letter (See Page 46.) The decision to appoint candidates to vacant AFSCME positions shall include the following criteria:

- Ability to perform the requirements of the position;
- Work History and Performance;
- Experience in Related Work; and,
- Education and/or Training related to the Position.

AFSCME members who have applied during the internal posting process, who meet the minimum qualifications for the position shall be guaranteed an interview with the Search & Screen Committee for AFSCME positions.

The Office of Human Resources will establish external applicant pools for entry-level positions in AFSCME, such as Clerk III and Clerk IV. Upon notification from the Appointing Authority via the EEO Liaison that the internal posting procedure has been completed and a vacancy remains open, HR will forward a “short” list of prescreened, qualified and diverse candidates to the EEO Liaison to be interviewed by the Search & Screen Committee. The standard process will subsequently resume.

## AFT Massachusetts – Maintainers

Promotions to vacant positions will be filled by volunteers as follows:

1. Selection between employees in the same title seeking a change of shift or days off without a change in job title. In the event two or more employees in the same classification (title) apply for a transfer to the vacant posted position, selection shall be made on the basis of seniority.
2. Selection between employees in the same job title seeking a change in a work unit or facility, within the jurisdiction of the appointing authority, without a change in job title. In the event two or more employees in the same classification apply for a transfer to the vacant posted position, selection shall be made on the basis of seniority.

The decision to promote candidates to vacant bargaining unit positions shall include the following criteria:

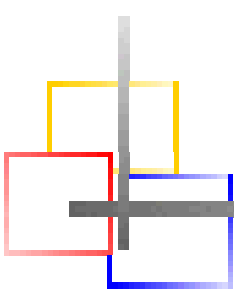
- Ability to perform the requirements of the position as determined by experience and competence in the same or related work;
- Education and/or Training related to the vacant position;
- Work History and Performance; and,
- Classification Seniority.

The Office of Human Resources will establish external applicant pools for entry-level positions in the AFT Maintainers Union, such as Maintainer I, Skilled Laborer and Trades Worker. Upon notification from the Appointing Authority via the EEO Liaison that the internal posting procedure has been completed and a vacancy remains open, HR will forward a “short” list of prescreened, qualified and diverse candidates to the EEO Liaison to be interviewed by the Search & Screen Committee. The standard process will subsequently resume.



# Technical Assistance

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## Developing Position Descriptions/Advertisements

In order to draft the position description or advertisement you must first identify the needed job requirement. You can do this by defining the purpose of the position, identifying the needed education, technical skills, knowledge and abilities, defining the amount of work experience required and applying these factors to the University culture.

Education, technical skills, knowledge, abilities and related work experience include the identification of qualifications such as the following:

- Specific functional knowledge, skills, abilities and work experience of a profession or line of work;
- Specific kinds of research, analysis or decision-making;
- Management skills – budgeting, fundraising, community affairs, team building, supervising; and,
- Educational credentials or licenses.

From the lengthy list of technical skills, knowledge, abilities, education and work experience, a short list of “essential qualifications” should be identified. These are the ones without which an applicant would not be considered for the position.

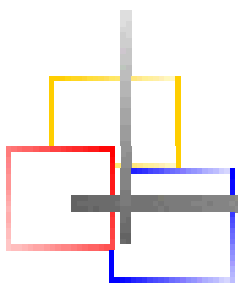
The next step in drafting an advertisement or job description is to define what is the performance expectations of the position. Performance expectations reflect the way a job is performed. They may be interpersonal skills, fast-paced environment, interaction with the public, or those any other skills, knowledge and abilities needed to successfully perform the tasks of the position. These may include the following:

- Teaching
- Research
- Analysis
- Publications
- Supervision/Managing others
- Following procedures/guidelines
- Independent decision-making
- Written and verbal communication skills
- Interpersonal skills and abilities
- Professional demeanor and political acumen
- Creativity and Innovation
- Team work

Again, with a potentially lengthy list it is important to separate the “essential” qualifications from the “preferred” qualifications.

Finally, when drafting a job description or advertisement it is important to consider what it takes to be successful at the University. If all of these criteria are carefully considered, you can draft an effective and beneficial advertisement and/or job description.

Position Description Templates can be found at  
[http://www.umassd.edu/hr/job\\_position\\_desc\\_tool.cfm](http://www.umassd.edu/hr/job_position_desc_tool.cfm)



## Advertising

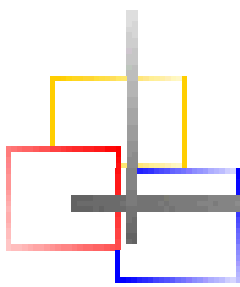
To get the vacant position in front of the largest number and most diverse group of potential candidates, the University must conduct broad-scaled advertising. To achieve this goal, the University is incorporating an emphasis on web-based advertising in addition to print advertising. Web-based advertising is more cost effective and reaches more potential candidates in a shorter period of time. The University will be utilizing web-base sites such as [Higheredjobs.com](http://Higheredjobs.com) and [Bostonworks.com](http://Bostonworks.com). The University will reduce the size of print advertisements by referring potential applicants to the HR Web Page ([umassd.edu/hr/jobs.cfm](http://umassd.edu/hr/jobs.cfm)) for the full position description and the complete job vacancy announcement. However, depending on the specific position, it still may be necessary to advertise regionally in the Providence Journal, Standard Times, Fall River Herald News and specific business or trade publications.

The University may also advertise with affirmative-action publications such as *Diversity Issues in Higher Education*, *Hispanic Outlook*, *Women in Higher Education*, and small newsletters published by national, regional, or state associations based on the need for additional recruitment for positions of opportunity.

Attention should also turn to the person-to-person networking. The object here is to contact and inform potential candidates. Networking becomes an important and critical recruitment strategy because it identifies potential candidates who are not informed about the position through traditional methods.

In developing the ad itself, a few things should be kept in mind. The ad copy should be developed and identify the title and key responsibilities of the position, the minimum and preferred qualifications for the position, an application deadline or a date upon which review of applications will begin, which must be a minimum of two (2) weeks after the ad will appear in all media, what a completed application entails, where an application should be sent as well as an equal opportunity statement. Additionally, the following information must be included in all advertisements “UMass Dartmouth is an EEO/AA employer”.

In conclusion, the University is moving towards a web-based advertising plan to attract a stronger and more diverse applicant pool. However, it is important to remember that our own employees may be our greatest untapped resource for recruiting and obtaining the best and most diverse candidates available.



## EEO LIAISONS TRAINING FAQ's

Sampling of questions/concerns raised during last academic year about selection procedures:

1. Is a Search & Screen Committee (hereafter committee) derived of gender balance considered a diverse committee?

*Committees should maintain a gender balance as well as be representative of "individuals of color."*

2. Can a committee member who fails to attend the interview of any of the candidates be allowed to vote in the selection of the final candidate?

*A committee member can contribute to the committee's assessment of a candidate only if he/she was present during the interview of that candidate. For example, if 5 candidates were interviewed and the committee member was present for only 4 of those interviews, then he/she should only contribute to the committee's assessment of those four candidates.*

3. Can a committee member recruit applicants at a conference?

*See "Procedures for Preliminary Interviews" on pages 9 & 10.*

4. If a committee member should withdraw, who should be notified?

*The EEO Liaison should be notified of any committee member's withdrawal from the process and any committee member changes as soon as possible. The EEO Liaison forwards the change to EEO/AA. If a committee member is replaced by another individual, that replacement must be approved by EEO/AA, via the EEO Liaison, prior to the process proceeding.*

5. When asking for approvals from EEO/AA, via the EEO Liaison, what information is needed?

*To expedite approvals each request should contain the following information:*

- *Department*
- *Position Title*
- *Tracking #*

6. Several applicants have contacted committee chairpersons and/or EEO/AA to inquire why they were not selected for an interview or not recommended for hire. Please do not offer any information about the selection process, especially if the process has not been completed. If the process has been completed, simply inform the candidate that the committee has recommended a candidate. If the candidate has additional questions, refer him/her to the Office of Human Resources.

7. Should the committee submit each committee member's strengths and weaknesses assessments of interviewed candidates?

*No. The committee, as a whole, should forward to the EEO Liaison its assessment of strengths and weaknesses for each interviewed candidate.*

8. “Charging” of committee by Appointing Authority and EEO Liaison: who and when?

*For each selection process, the Appointing Authority and the EEO Liaison together should meet with all committee members. The EEO Liaison will inform committee members of the rules and regulations that apply to the search as well as explain the role of the committee and the committee chairperson. The Appointing Authority/designee will inform the committee of the qualities and other relevant information he/she is looking for in this position. Committee members who are unable to attend for valid reasons must be charged by the Appointing Authority and EEO Liaison at another time.*

9. To preserve the anonymity of candidates, when EEO/AA, via the EEO Liaison, receives a list of candidates selected for interviews for approval and this list is not reflective of protected class individuals within the applicant pool, EEO/AA will: A) request a meeting with the EEO Liaison and committee chairperson; or B) request that the EEO Liaison obtain from the committee chairperson the checklist/notes that were compiled when the committee reviewed each application and later used to determine which candidates to invite for interviews. The purpose is to review the committee's assessment for each of the self-identified protected class individuals to determine if any candidates should receive additional consideration.

10. Conflicts of interest for EEO Liaisons –

- nominating a candidate for a position when you are monitoring that search process;
- serving as a candidate's reference for a position when you are monitoring that search process;

*When there is a conflict of interest, the Appointing Authority should appoint an alternate EEO Liaison who has gone through EEO Liaison training.*

11. What are some bad examples of strengths and weakness assessments?

*Committees should not make any subjective comments regarding candidate's personality, marital status, gender, ethnicity, etc. All candidates must be assessed on the same job-related criteria including the minimum and preferred qualifications listed in the position description.*

12. If a department Chairperson is also on the committee, does he/she have the deciding vote when recommending candidates?

*A department chairperson may serve on a committee; however, he/she does not have the deciding vote. If the committee is deadlocked in its recommendation of candidates as a whole, the committee must revisit the strengths and weaknesses of the candidates and reach consensus on its recommendations to the Appointing Authority. The department chairperson must then submit to the Appointing Authority a separate memo forwarding his/her recommendation(s) as department chairperson. Committees recommend finalists to the Appointing Authority, via the EEO Liaison, unranked and in alphabetical order.*

13. How can the EEO Liaison ensure all paperwork is in order before submitting the committee's final recommendations to the Appointing Authority?

*The EEO Liaison should utilize the checklist in the selection process guide.*

14. How long does a committee need to consider a candidate(s), especially after the review process has started, and in some cases the interviews have started?

*If the advertisement reads that “review of applications will continue until position is filled,” all candidates who submit an application for a position under review must receive an examination of their qualifications until the position becomes filled.*

15. What should happen when an EEO Liaison is unable to fulfill his/her responsibilities with a given search due to unexpected circumstances?

*The EEO Liaison must immediately inform the Appointing Authority and request that another EEO Liaison be assigned to the search and screen process.*

16. What is the role of the EEO Liaison during a search & screen process when a position has been identified as a position of opportunity?

*The EEO Liaison must work with the department or work area and EEO/AA to make a “good faith effort” to recruit and hire under-represented individuals.*

17. What should happen when the confidentiality of a search & screen process has been violated?

*Violations of confidentiality should immediately be reported to the EEO Liaison and EEO/AA.*

18. Does the committee always meet with the Appointing Authority at the time two or more candidates are recommended?

*Generally speaking the committee meets with the Appointing Authority when candidates are recommended to the Appointing Authority. The purpose of the meeting is to clarify the committee’s recommendations. Due to vacation schedules, summer and semester breaks, etc..., a meeting of the members of the committee may not be possible; therefore, the chair of the committee should meet with the Appointing Authority.*

19. Signing the Assurance Form

*The purpose of signing an assurance form is to indicate to EEO/AA, other administrative offices, and appropriate agencies that the committee adhered to the established selection process for that position. The assurance form also indicates that all individuals were treated fairly regardless of their race, sex, religion, national origin, disability, etc. On rare occasions, due to a member of the committee being out of the country, an email or a letter may be accepted by EEO/AA from that particular committee member. Otherwise, all members of the committee must sign the assurance form as a part of the completed package.*

20. Stopping searches by the staff of EEO/AA.

*The staff of EEO/AA do not normally stop search and screening procedures unless a serious allegation(s) has been made which requires such action.*

21. Appropriate informing and handling of requests for ‘Reasonable Accommodations’?

*Contact EEO/AA.*

22. How long do you accommodate a candidate who cannot come to an interview for various reasons?

*A reasonable period of time must be given to a candidate. Contact HR or EEO/AA for advice.*

23. Do not promise candidates anything unless it has been authorized in writing by Appointing Authority.

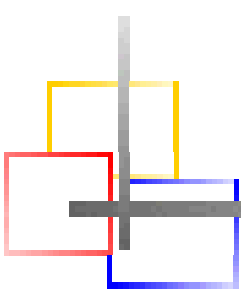
*Please! Please! Please do not promise anything to candidates!*

24. Can an EEO Liaison serve as a member of a committee?

*An EEO Liaison cannot monitor the selection process if he/she is serving on that committee. An alternate EEO Liaison must be designated by the Appointing Authority to monitor that selection process.*

25. Waivers – extensions on waivers.

*All waivers concerning positions are to be discussed by the Appointing Authority, HR and EEO/AA. Similarly, extensions on waivers are to be handled by HR and EEO/AA.*



## Forming a Search & Screen Committee

Search & Screen Committee membership takes commitment. Members of the Committee must understand the requirements and qualifications of the position they are interviewing to fill. The Committee determines which candidates will be invited for an interview, conducts interviews, performs an assessment of the interview, and recommends finalists to the Appointing Authority.

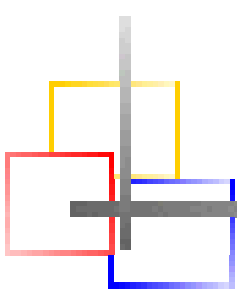
Committee members should add value to the task of hiring the best possible candidate. Committee members should be diverse in regards to gender and ethnicity. Other criteria for Committee membership include the following:

- Interaction with the position;
- Highly qualified to assess technical and/or performance skills;
- Knowledge of the job;
- Demonstrates good judgment; and
- Committed to the hire.

Committee members can be best utilized in the following ways:

- Determine the length of interviews;
- Ensuring that all Committee members understand the qualifications and how to probe for them;
- Probing specific areas supporting their expertise – technical skills, specific performance skills;
- Help other Committee members see the value of their participation by getting their feedback; and,
- Asking them to make recommendations.

In conclusion, a well-formed Search & Screen Committee is essential to a successful hiring process.



## Developing Interview Questions

Asking the right questions is your single best way to get the right kinds of information during the interview—the kinds of information that will lead you to the best hiring decision. Before you begin preparing your questions, take time to understand three (3) important principles.

- 1) Avoid asking questions that can be answered by a single word, usually a simple “yes” or “no.” Single-word answers don’t give you much information, and they don’t give the candidate an opportunity to tell you all you need to know about that person. Instead of asking questions that can be answered with just a single word, you want to pose questions that invite the candidate to talk about what he or she has done in the past. As the candidate talks, you have an opportunity to get the information you need in order to make an informed assessment.
- 2) Use open-ended questions that ask for specific examples of past job behavior. Remember, past behavior is the best indicator of future performance. This means asking focused questions that prompt the candidate to talk about past job experiences in very specific detail. Instead of asking hypothetical questions about how the candidate might handle some future task, ask—specifically—how the candidate handled something similar in his or her past or present position. Since past behavior is the best indicator of future performance, you want to get the candidate talking about how the person handled situations similar to those that will be experienced in the new job. Keep your questions focused so the candidate doesn’t ramble, but provides the specific information you need.
- 3) Keep your questions focused. Your open-ended questions should be based on the skills definitions you identified after reviewing the technical and performance skills needed to be successful on the job. These are the kinds of questions that will encourage the candidate to give you the information you need to make the right decision.

Keep these three (3) guidelines in mind as you begin developing your interview questions.

### Four Kinds of Questions

There are four (4) very different kinds of questions you can ask during the course of a job interview. As you begin the interview, you can help put the candidate at ease by asking “ice breaker” rapport-building questions. Secondly, as the candidate becomes more comfortable, you can continue with open-ended questions that invite the candidate to talk about his or her past experiences. Sometimes, in order to get the specific information you need, you will have to use the third kind of question, the probing question. The fourth kind of question is the “non-question” question.

- 1) **Rapport-Building Questions (“Ice Breakers”)**  
Begin your interview by introducing the Committee to the candidate. Introductions go more smoothly and lead to more effective interviews when you begin with rapport-building statements and questions. These are intended to put the candidate at ease, gain the candidate’s confidence, show that the Committee and University care about the people being interviewed, demonstrate to the candidate that this is a good place to work; and get the candidate to talk about past job behavior.

Remember, your first words to the candidate will set the mood for the rest of the interview. If you begin on a positive note, the candidate will be more likely to open up and talk about past performance. The time you spend preparing your rapport-building statements and questions will pay big dividends as the candidate relaxes and becomes comfortable talking to you about past job experiences-giving you the information you need to make an informed hiring decision.

## 2) Open-Ended Questions

Open-ended questions are questions that cannot be answered by just a few words. Instead, open-ended questions invite the candidate to respond with a good deal of information. The information you're asking for is not opinion or a hypothetical account, but detailed descriptions of how the person handled tasks, responsibilities, and challenges in actual on-the-job situations.

Open-ended questions get the candidate to talk about how the person solved a problem, handled a specific responsibility, or carried out a task. Your job is to develop those questions around the problems, responsibilities, and tasks that are similar to those encountered on the job for which you are hiring.

## 3) Probing Questions

Probing questions are the ones to ask when you need more specific information, or more focused information. Sometimes the candidate is too nervous to think of the exact detail you want to hear about, doesn't understand the kind of information you want, or only partially answers the Committee's question. This is when you need to probe for more specifics. By their very nature, probing questions always ask for specific information-information that zeros in on the performance skills you've identified as essential to success on this job.

## 4) "Non-Question" Questions

This concept has been around for many years, and is used successfully in many different situations. Questions sometimes make people nervous, especially in the setting of a job interview. But you can often make candidates more comfortable responding with the information you need just by asking for it with language that doesn't end in a question mark. Taking the little bit of extra time to rephrase your question as non-questions can have a substantial benefit.

Asking "non-question" questions may not come easy at first. You may need to spend extra time reworking your original questions into a non-question format. But once you put the concept into practice, you will find that candidates are more relaxed talking with you, provide more of the kinds of information you need, and may even tell you that they've enjoyed the time they spent with the Committee in the interview!

## Allowing for Silence

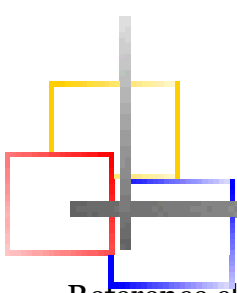
Occasionally, a candidate will simply have trouble thinking of a specific instance of the kind of behavior you're interested in, and will sit for a moment or two in silence. Don't hesitate to let the person know that silence is okay, and that you don't mind waiting while the person tries to come up with the best example. Remember, a quick response that lacks solid behavioral information does you no good when it's time to make your hiring decision. While the candidate thinks and you wait, be sure to sit quietly so you don't disturb the person, or send the subtle message that you are, in fact, in a hurry.

## Asking for Contrary Evidence

If ever you begin to realize that you're forming a one-sided impression of the candidate-whether it's all good or all bad-stop and challenge yourself to ask for contrary evidence. For example, if you've been consistently impressed with how the candidate has handled all the difficult situations you've talked about, ask the person to describe a situation in which things just didn't work out as planned. Likewise, if you catch yourself forming the impression that the candidate can't do anything right, challenge yourself to ask for contrary evidence here, too.

Asking for contrary evidence can prevent you from forming erroneous assumptions or first impressions-and, ultimately, from basing your hiring decisions on them. Of course, there may be times when asking for contrary evidence turns up little or no new information to contradict your earlier impression. In those instances, you'll at least know that you gave a seemingly weak candidate every benefit of the doubt...or that your "perfect" candidate really isn't too good to be true!

In conclusion, there are questions that can **help you** and questions that can **hinder you** in your search for solid information on which to base a good hiring decision. But there are also questions that can **hurt you**-that may put you and the University at risk for basing your hiring decisions on what could be considered a discriminatory basis. Examples of questions that are valid versus those that are considered inappropriate can be found in the appendix.



## Guidelines for Checking References

Reference checking and other background checks are important for verifying education, training, licenses, prior work history and information obtained during the interview process. It will also help make you aware of any serious problems in the candidate's past. Hiring decisions should not be made without making an effort to check references. Making hiring decisions without complete information on candidates could lead to costly mistakes and may subject the University to liability for its hiring decision.

Reference checking should be regarded as another form of interviewing. References help you get the full picture of the candidate's skills, work habits and work style. Reference checking is all about making sure the successful candidate is the right person for the job.

The Appointing Authority or designee should have the candidate contact former supervisors and managers, and alert them that you will be calling. Ask for their cooperation. If you can't get any information, document your attempts and ask the candidate to identify other individuals whom you can contact.

Inform candidates that all employment is subject to the receipt of acceptable references. It cannot be emphasized too strongly that an applicant's employment background, education, training and licenses should be verified. The telephone is the quickest means of checking references. Most employers will verify an applicant's dates of employment. To verify educational degrees, you should ask the candidate to have "Official Transcripts" sent to HR. It may also be helpful to ask, "Is the applicant eligible for rehire?" If the answer is "no," this is a red flag and suggests further checking.

Remember, not only may the employer not ask the candidate about disabilities, but neither can you obtain information about a candidate's race, ethnicity, religion, national origin, religion, age, sexual orientation, veteran status, marital status or political affiliations. For example, before making a conditional offer of employment, an employer may not ask previous employers or other sources about an applicant's:

- Disabilities,
- Illnesses,
- Workers' compensation history,
- Health care claims,
- Physical disabilities,
- Mental disabilities, or
- Any other questions that are not job related.

You can ask a previous employer about:

- Dates of employment,
- Job functions and tasks performed by the candidate,
- The quality of work and the quantity of work,
- How job functions were performed, and
- Attendance records.

The Appendix contains “Guidelines for Checking References.” The Forms Section contains a “Reference Check Form” that should be used to document and record information obtained during the reference checking process. The Forms Section also contains the University “Employment Application” form that must be signed by the candidate prior to conducting reference checks. A signed Employment Application Form indicates that the applicant is certifying the accuracy of information provided and gives the University permission to conduct a reference check and, if appropriate, a background check.



- **Employment Application Form .....31**
- **Position Authorization Form .....33**
- **S & S Committee Recommendation Form.....34**
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- **AFSCME Side Letter: “Search & Screen Committee”  
.....43**
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University of Massachusetts Dartmouth

Office of Human Resources
Foster Administration Building #202
285 Old Westport Road
North Dartmouth, MA 02747 (508) 999-8060

Date: \_\_\_\_\_

You may attach a resume. However, you must complete all questions AND sign at the bottom of Page 2.

We are an equal opportunity and affirmative action employer. We do not discriminate on the basis of an individual's race, color, age, religion, gender, sexual orientation, national origin, mental or physical disability, marital status, veteran status, political belief or affiliation in accordance with University policy, state and federal law as it applies to employment, admission to and participation in the University's programs and activities, provision of services, and selection of vendors who provide services or products to the University.

Name (First-Middle-Last): \_\_\_\_\_

If your employment/education records are under any other name(s), please specify: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

E-Mail Address \_\_\_\_\_ May we contact you at work? Yes \_\_\_ No \_\_\_

Position applied for: \_\_\_\_\_

Availability Date: \_\_\_\_\_ Full Time \_\_\_ Benefited \_\_\_ Part-time \_\_\_ Temporary \_\_\_
Shift: Days \_\_\_ Evenings \_\_\_ Nights \_\_\_ Any Shift \_\_\_

Names of relatives currently employed at the University: \_\_\_\_\_

Are you legally authorized to work in the United States? Yes \_\_\_ No \_\_\_ If no, indicate immigration status: \_\_\_\_\_

NOTE: Proof of identity and right to work in the United States must be presented within 72 hours of the date of hire.

Table with 4 columns: School, Name and Address of School, Degree or Diploma, Major. Rows include High School, Community College, 4 yr. College/University, Graduate School, and Other (Specify).

Professional licenses and registrations:

Type: \_\_\_\_\_ Reg. no: \_\_\_\_\_ Date expires: \_\_\_\_\_ State: \_\_\_\_\_

Type: \_\_\_\_\_ Reg. no: \_\_\_\_\_ Date expires: \_\_\_\_\_ State: \_\_\_\_\_

Have you ever been employed by the Commonwealth of Massachusetts, including UMASS Dartmouth? Yes \_\_\_ No \_\_\_

If yes, give dates: \_\_\_\_\_

Are you now receiving or are you eligible to receive a monthly retirement allowance or pension check from the Commonwealth of Massachusetts, or a county, city, town or political subdivision within Massachusetts? Yes \_\_\_ No \_\_\_

**All Applicants Must Answer This Question.**

Have you ever been convicted of a felony? (You may omit any information or answer "no" with regard to any conviction for which there is a sealed record on file with the Commissioner of Probation.) Yes\_\_\_\_\_ No\_\_\_\_\_ (If yes, please explain on a separate sheet.)

**NOTE:** You are not required to furnish information concerning an arrest, detention or disposition regarding any violation of law in which no conviction resulted; or a first conviction for drunkenness, simple assault, speeding, minor traffic violations, fight or disturbance of the peace; or a conviction (whichever date is later) occurring five or more years before the date of this employment **unless you have been convicted of a crime within five years of this application.** Applicants will not be automatically disqualified from consideration for employment at the University by furnishing this information.

**Prior Work Experience:** List all prior work experience beginning with the present or most recent employer. You may include any military or voluntary service. **You may attach resume to this Form.**

From:\_\_\_\_\_ Name of Organization:\_\_\_\_\_

To:\_\_\_\_\_ No. and Street:\_\_\_\_\_

Current Salary:\_\_\_\_\_ City, State, Zip:\_\_\_\_\_

Position Title:\_\_\_\_\_ Supervisor:\_\_\_\_\_ Number of hours worked per week:\_\_\_\_\_

Major duties:\_\_\_\_\_

Reason for Leaving:\_\_\_\_\_

From:\_\_\_\_\_ Name of Organization:\_\_\_\_\_

To:\_\_\_\_\_ No. and Street:\_\_\_\_\_

Current Salary:\_\_\_\_\_ City, State, Zip:\_\_\_\_\_

Position Title:\_\_\_\_\_ Supervisor:\_\_\_\_\_ Number of hours worked per week:\_\_\_\_\_

Major duties:\_\_\_\_\_

Reason for Leaving:\_\_\_\_\_

**You may attach additional sheets or substitute a resume for "Prior Work Experience" information.**

**READ CAREFULLY BEFORE SIGNING. ALL CANDIDATES MUST SIGN THIS APPLICATION FORM.**

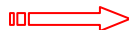
I understand and agree that, as a condition of employment at the University of Massachusetts Dartmouth, I may be required to pay monthly union dues or a monthly agency fee under the provisions of existing collecting bargaining agreements. I understand and agree that any offer of employment is conditional upon being authorized to work in the United States and upon the completion of an I-9 Form within 72 hours of employment. I understand and agree that I may be required to pass a job related physical examination or other job related assessments as a condition of employment.

I fully understand and authorize the University of Massachusetts Dartmouth to investigate and confirm any and all statements or claims made by me in this application, in supplementary documents and materials, and in interviews. I fully understand and authorize my current and former employers and references to release any and all information related to my employment, job performance, work history, education and training. I fully understand and authorize any police or investigative agent to release any and all information related to my criminal background. I fully understand and agree to release from liability or penalty and agree not to bring legal action against any employee or agent of the University, any employee or agent of a former employer, any references, or any police or investigative agent, for the collection, release, use or dissemination of information obtained in the University's investigation and review.

I understand that the University of Massachusetts Dartmouth is a drug free, smoke free, violence free and harassment free work environment. I understand that this application applies only to the position I have listed and that consideration for any other positions require the filing of another application. I acknowledge that all past service with the Commonwealth of Massachusetts, state agency, municipality, and/or University of Massachusetts Dartmouth is accurate and complete.

I declare that all statements on this application, supplementary documents and materials, and in interviews are true and correct to the best of my knowledge and belief, and any misrepresentation or false information, if discovered before my employment will be just cause for my rejection, and if discovered after my employment will be just cause for my dismissal from the University of Massachusetts Dartmouth.

**SIGNATURE OF APPLICANT** \_\_\_\_\_



*Tracking #:* \_\_\_\_\_  
*To be assigned by Associate Chancellor*  
*Tracking number to be on all correspondence*

## University of Massachusetts Dartmouth Position Authorization

\* \* This form must be completed in its entirety \* \*

**EEO Liaison :** \_\_\_\_\_ **E-mail:** \_\_\_\_\_ **Phone:** \_\_\_\_\_  
**Official Job Title:** \_\_\_\_\_ **Department:** \_\_\_\_\_ **Shift/Hours:** \_\_\_\_\_  
**Working Title:** \_\_\_\_\_ **Division:** \_\_\_\_\_

**Position is: (Check All That Apply)**

New  Vacant (*previous incumbent*) \_\_\_\_\_  Benefited  Non-Benefited  
 Full-Time  Part-Time  12 mos  9 mos Funding  
 Faculty  ESU  AFSCME  IBPO  AFT Maintainers  Non-Unit

**Position of Opportunity:**  Yes  No  
EEO/AA \_\_\_\_\_ Date: \_\_\_\_\_

**Posting Information:**

Scope of Search:  Local  Regional  National (Local searches, etc.....)  
List any specific placements, not mentioned above, being requested. \_\_\_\_\_

Deadline(s) Internal Search \_\_\_\_\_ External Search \_\_\_\_\_

*Please attach job description and ad text.*

**Approvals Required:**

Dean/ Department Head \_\_\_\_\_ Date: \_\_\_\_\_  
Vice Chancellor \_\_\_\_\_ Date: \_\_\_\_\_

**Budget Information:**  State  Grant  Trust

**Speed Type:** \_\_\_\_\_ **Dept # :**  D

Incumbent Termination Date: \_\_\_\_\_ Incumbent Salary: \_\_\_\_\_

Estimated Start Date: \_\_\_\_\_ Annual Salary Range: \_\_\_\_\_ to \_\_\_\_\_ Other: \_\_\_\_\_

Position in Gold Book:  Yes  No If No, please explain why? How will position be funded? \_\_\_\_\_

**Critical Needs Release:**

Chancellor \_\_\_\_\_ Date: \_\_\_\_\_

**To Be Completed by A& F**

Budget Confirmation: \_\_\_\_\_ Date: \_\_\_\_\_

Director of Human Resources: \_\_\_\_\_ Date: \_\_\_\_\_

\* If you are unsure as to how this form should be completed, contact **Leslie Mercure** at extension **X-6474** for assistance.



Tracking #: \_\_\_\_\_  
 To be assigned by Associate Chancellor;  
 tracking number to be on all correspondence

### SEARCH & SCREEN COMMITTEE RECOMMENDATIONS

**IMPORTANT: Attach all applicant materials (i.e. interview questions, telephone and on-campus strengths and weakness summary, resumes of all interviewed candidates and Assurance form)**

The Search & Screen Committee for the position of \_\_\_\_\_  
 in the Department of \_\_\_\_\_ recommends the following candidates to the  
 Appointing Authority, via the EEO Liaison, as finalists for this position.

Candidates are listed unranked, in alphabetical order.

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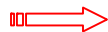
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**Committee chairperson must complete the following grid to the best of his/her ability of telephone and on-campus interviewed candidates. Please make a reference if candidate withdraws.**

Candidates Interviewed	Male	Female
American Indian/Alaskan Native		
Asian/Pacific Islander		
Black		
Cape Verdean		
Hispanic		
White		
Other		
Disabled		
Vietnam Era Veteran		
Special Disabled Veteran		
Newly Separated Veteran		
Other Protected Veteran		
<b>TOTAL</b>		



## University of Massachusetts Dartmouth Hiring Recommendation

Name of Recommended Candidate for Hire: \_\_\_\_\_

Position Title: \_\_\_\_\_

Department: \_\_\_\_\_

Recommended candidate is: (check all that apply)

Male       Female

American Indian/Native Alaskan    Asian/Pacific Islander    Black    Cape Verdean

Hispanic    White    Other

Disabled

Vietnam-Era Veteran    Special Disabled Veteran    Newly Separated Veteran

Other Protected Veteran

Visa Status (if applicable): \_\_\_\_\_

Proposed Start Date: \_\_\_\_\_ Proposed Annual Salary: \_\_\_\_\_

Proposed relocation Amount \_\_\_\_\_ Other Amount \_\_\_\_\_

### Approvals

Department Chair: \_\_\_\_\_ Date: \_\_\_\_\_

Dean/Director: \_\_\_\_\_ Date: \_\_\_\_\_

Vice Chancellor: \_\_\_\_\_ Date: \_\_\_\_\_

EEO/AA: \_\_\_\_\_ Date: \_\_\_\_\_

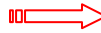
HR: \_\_\_\_\_ Date: \_\_\_\_\_

Chancellor: \_\_\_\_\_ Date: \_\_\_\_\_

This Hiring Recommendation Package should include the following:

- Hiring recommendation Form
- S&S Recommendation Form
- Interview Questions
- Applicant Materials with Strengths & Weakness
- Employment Application (for external finalists only)
- Appointing Authority Reference Check Form(s)
- Resumes
- AFSCME Assessment Form (Classified Clerical Only)
- Official Transcript (Faculty & Non-Unit Only)
- Certifications (Licenses/ Certifications if applicable)
- Background Check Information (Non-Unit Only)
- EEO Assurance Form

***Offers can be made once all approvals are received.***



## Equal Employment Opportunity/Affirmative Action Assurance Form

The following activities have taken place during the Search & Screen Committee's Recruitment, Selection and Hiring process for the position of \_\_\_\_\_  
(Position title)

- The Search & Screen Committee was provided its charge by the appointing authority/designee.
- The Search & Screen Committee was oriented as to how to conduct a lawful employment interview according to the established guidelines.
- The Search & Screen Committee was informed of the affirmative action goals for the department/college/division.
- The Search & Screen Committee was informed of the confidentiality of the entire selection procedure.
- The Search & Screen Committee reviewed all candidates who met the minimum qualifications for the position as set forth in the approved job description.
- The Search & Screen Committee selected candidates worthy of an interview based on the position description, the minimum and preferred qualifications, and the charge by the appointing authority/designee.
- Members of the Search & Screen Committee developed job-related questions, determined which questions to ask all candidates, and agreed on what is a general response to the questions. What is meant by a general response is the members of the Search & Screen Committee discussed the job-related questions and came to an understanding of what they expected as a response from the candidates.
- The Search & Screen Committee asked interviewed applicants all the agreed upon questions and each was afforded approximately the same amount of time to be interviewed.
- Job-related strengths and weaknesses were developed by consensus of all members of the Search & Screen Committee for those who were interviewed based on the job description, the minimum and preferred qualifications, and the charge by the appointing authority/designee. These perceived strengths and weaknesses were held by the chairperson until the time when the Search & Screen Committee met with the appointing authority/designee.
- The chair of the Search & Screen Committee made every effort to work out an interview schedule that allowed all members of the Search & Screen Committee to be in attendance at all interviews. If a Search & Screen Committee member missed an interview(s), although the absence(s) may have been due to an emergency or an unexpected happening, he/she did not participate in the identification of strengths and weaknesses of that candidate and abstained from voting on that candidate.
- References (if checked) were reviewed only when a candidate became a semi-finalist or finalist for the position.
- To the best of our knowledge public interviews were structured so that all were informed of how important interviews are for both the candidate and members of the University. Job-related questions were encouraged during the interviewing process.
- To the best of our knowledge there were no occurrences that may have violated the intent or spirit of equal employment opportunity and affirmative action legislation.



Tracking #: \_\_\_\_\_  
To be assigned by Associate Chancellor

We, the members of the Search & Screen Committee, agree that all of the above guidelines were followed during the selection process for this position.

\_\_\_\_\_  
Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Member

\_\_\_\_\_  
Date

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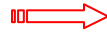
\_\_\_\_\_  
Member

\_\_\_\_\_  
Date

**SIGNED BY EEO LIAISON**

\_\_\_\_\_  
EEO Liaison

\_\_\_\_\_  
Date



Tracking #: \_\_\_\_\_  
To be assigned by Associate Chancellor

**UNIVERSITY OF MASSACHUSETTS DARTMOUTH**

**AFSCME FINALIST ASSESSMENT**

Finalist Candidate Name: \_\_\_\_\_

Interview Date: \_\_\_\_\_

If not interviewed, Review Date: \_\_\_\_\_

<u>Criteria</u>	<u>Rank*</u>	<u>Justification</u>
Ability to Perform the requirements of the position		
Work History and Performance		
Experience in Related Work		
Education and/or Training related to the Position		

\*If three finalists, then the rank is 1, 2, or 3; if four then 1, 2, 3, or 4 etc.

If this candidate was not selected for the position, then explain why. Please remember that reasons must be job related.

Signature of Hiring Authority: \_\_\_\_\_

## Part Time Lecturer Hiring Package Form

The attached two-sided form is utilized for processing paperwork for the issuance of a contract for Part Time Lecturers.

1. For the **reappointment** of an individual as a Part Time Lecturer (an individual who was previously hired within the department and not hired under a waiver of the search and screen process), side A of the Part Time Lecturer Recommendation form should be completed and forwarded for appropriate signatures.
2. For the appointment of an individual(s) who is a **new** appointment to the University (or was previously hired under a waiver of the search and screen process), the checklist below provides the step-by-step process which should be utilized to fill a vacancy.
3. If the appointment is an **emergency** hire, complete sides A and B of the Part-Time Lecturer Recommendation form and attach justification of need for waiver of search process, candidate's curriculum vitae, and signed Equal Employment Opportunity/Affirmative Action Assurance Form.

### **Hiring Process Checklist for Filling a Vacant Part Time Lecturer Position**

(Assumes authorization to hire from the appropriate College Dean)

- Forward ad copy (initialed by college dean) to Human Resources for review. All ad copy must contain the following elements: 1) a summary statement of the position's duties, 2) the minimum and preferred qualifications for the position, 3) the date of review of applications will begin, 4) what an application package includes, 5) the details of where an application should be sent, and 6) the following statement: UMD is an EEO/AA employer. Please list at the bottom of the page the media in which the advertisement should be placed. Human Resources will review and place the ad. HR will notify the EEO Liaison when the ad has been placed.
- Appointment of PTL Committee – there should be a minimum of two members (department chairperson, or his/her designee, and at least one other faculty member from the department or program) on the PTL Committee; gender and racial diversity are strongly encouraged.
- The EEO Liaison will review the guidelines for conducting a lawful search process with PTL Committee members prior to any review and/or interview of PTL candidates. After the PTL Committee completes the selection process of a PTL for appointment, committee members and the EEO Liaison must sign the PTL Committee Equal Employment Opportunity/Affirmative Action Assurance Form.
- Acknowledge applications – Human Resources or the department chairperson or his/her designee (the recipient of the application), as applicable, should immediately forward a letter of acknowledgment with an Ethnic and Sex Identification and Referral Form to applicants as applications are received. These forms are available in Human Resources.
- Complete Part Time Lecturer Recommendation form along with the appropriate documentation.
- The department chairperson or his/her designee will send letters to unsuccessful candidates when a position is filled and inform them if they will remain part of the pool for future consideration.

*August 2006*

## PTL Committee Equal Employment Opportunity/Affirmative Action Assurance Form

The following guidelines are to be followed during the selection process for Part-Time Lecturers:

- The members of the PTL Committee were provided their charge by the department chairperson or his/her designee.
- The members of the PTL Committee were oriented as to how to conduct a lawful employment interview according to the established guidelines provided below.
- The members of the PTL Committee were informed of the University's Statement of Equal Employment Opportunity and Affirmative Action which is as follows:  
University of Massachusetts Dartmouth wholeheartedly supports and encourages the development of action programs designed to promote the employment and advancement of women, Blacks, Latino, Asians, Native Americans, persons with disabilities, and Vietnam-era Veterans as a means of assuring compliance with the provisions of campus Affirmative Action plans.

The University firmly supports the concept of equal opportunity without regard to an individual's race, color, age, religion, gender, sexual orientation, national origin, disability, or veteran status as it applies to his/her employment, admission to and participation in the University's programs and activities, provision of services, and selection of vendors who provide services or products to the University.

- The members of the PTL Committee were informed of the confidentiality of the entire selection process, especially the information on all candidates who have applied for the position.
- The members of the PTL Committee reviewed all letters of intent, resumes, and other required submissions of all candidates to determine which candidates met the minimum qualifications for the position as set forth in the approved job advertisement.
- The members of the PTL Committee selected candidates worthy of an interview based on the position advertisement, the minimum and preferred qualifications, and the charge by the department chairperson or his/her designee.
- The members of the PTL Committee developed job-related questions and determined which questions to ask all candidates.
- The members of the PTL Committee asked interviewed applicants all the agreed upon questions and each applicant was afforded approximately the same amount of time for the interview.
- Job related strengths and weaknesses were developed by the members of the PTL Committee for those who were interviewed based on the job advertisement, the minimum and preferred qualifications, and the charge to the PTL Committee. Members of the PTL Committee understand that these strengths and weaknesses are to be forwarded to the appointing authority or his/her designee via the EEO Liaison along with all other required search documentation.
- References were contacted when a candidate became a semi-finalist or finalist for the PTL position.
- To the best of my knowledge there were no occurrences that may have violated the intent or spirit of these guidelines concerning equal employment opportunity and affirmative action.

We, the members of the PTL Committee, agree that all of the above guidelines were followed during the selection process for this position:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
EEO Liaison

\_\_\_\_\_  
Date



## Part Time Lecturers (PTLs) Selection Process (Part B)

1. Is this a reappointment (not previously hired as an emergency appointment)?  Yes  No  
 (If yes, complete reverse side only)

2. Name of Chairperson of PTL Committee: \_\_\_\_\_

3. Has this position been advertised?  Yes  No

4. Is this position an emergency appointment?  Yes  No  
 (If yes, attach justification of need for waiver of search process.)

5. List recruitment strategies utilized to fill this position: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

6. Total number of applications received for position: \_\_\_\_\_

7. Candidates interviewed for the position(s):

Name	Male	Female	Ethnicity*
_____	___	___	___
_____	___	___	___
_____	___	___	___
_____	___	___	___
_____	___	___	___
_____	___	___	___
_____	___	___	___

- ◆ Attach strengths and weaknesses assessments for all candidates interviewed.
- ◆ Attach interview questions used.
- ◆ Attach PTL Committee Equal Employment Opportunity/Affirmative Action Assurance Form signed by all members of the PTL Committee and the EEO Liaison.
- ◆ Attach curriculum vitae of interviewed candidates.
- ◆ Complete the reverse side of this form for candidate recommended for hire.

**B**

*August 2006*

SIDE LETTER  
Between

UMASS DARTMOUTH AND AFSCME, COUNCIL 93, LOCAL 507

SEARCH AND SCREEN COMMITTEES

Members of the Search and Screen Committees assembled to fill unit vacancies will be provided with the following statement by the Human Resources Department:

1. “Your charge is to forward names of the most overall qualified applicants to the appointing authority for his/her consideration. The language in the AFSCME labor agreement governing the appointing authority’s selection is as follows:

The following criteria shall be used by the CEO in selecting a candidate to fill a vacancy, with each of the criteria applied to all candidates in a vacant position:

- Ability to perform the requirements of the position
- Work History and Performance
- Experience in Related Work
- Education and/or Training related to the Position

If in the judgment of the CEO there are two or more candidates who are approximately equally best qualified, then among such candidates, preference shall be granted to the employee in the bargaining unit who has the most seniority.

2. “Any statements prepared that document Strengths and Weaknesses that are composed by the Search and Screen Committee either individually or as a whole may be made available to Union officials under certain circumstances.”

## Appointing Authority Reference Check Form

Directions: The Appointing Authority or designee must conduct reference checks prior to recommending a candidate for hire. The candidate must be informed that you are about to commence the reference checking process. The Appointing Authority/designee, and not the Search and Screen Committee,<sup>1</sup> shall conduct reference checks only at the finalist phase of the recruitment and selection process. The Appointing Authority/designee should ask Questions one through six of each reference. The Appointing Authority/designee should develop other questions based on the position description/job vacancy announcement, information obtained about the candidate during the finalist interview, and the candidate's application materials (i.e., résumé, CV, etc.). References contacted by the Appointing Authority/designee should include the current or most recent supervisor. The Appointing Authority/designee must also verify degrees and required licenses as stated in the position description.

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Name of Applicant

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Position Applied For

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Company Contacted

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Contact Name and Title

---

Telephone Number

---

Working/Reporting Relationship to Candidate

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1. What position did applicant hold with your company/institution? \_\_\_\_\_

2. What were the dates of employment? From \_\_\_\_\_ To \_\_\_\_\_

3. What was the final salary? \_\_\_\_\_

4. Describe the duties the applicant performed in this position. (If applicable; e.g., not needed for faculty).

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5. What was the reason for leaving? (If applicable; e.g., not needed if calling current supervisor). \_\_\_\_\_

6. Would you rehire him/her? If not, please explain why. (If applicable) \_\_\_\_\_

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<sup>1</sup> An Appointing Authority can use a Search Firm to conduct finalist reference checks. In these instances, the Search Firm must provide the Appointing Authority with a report summarizing the information obtained from the references.





## Appendices

### University Policies

The Policies below can be found on the University HR Web Page, Policies & Procedures Section (<http://www.umassd.edu/hr/policiesandprocedures.cfm>)

- ◀ Statement of Equal Opportunity and Affirmative Action
- ◀ Resolution in Support of Pluralism
- ◀ Policy Against Intolerance
- ◀ Statement on Cultural Diversity and Inclusion
- ◀ Statement of Sexual Harassment
- ◀ Statement on Gender Discrimination

### Other Useful Information

- ◀ Guidelines for Asking Questions during Search Process ...47
- ◀ Guidelines for Checking References ...48
- ◀ EEO Liaison Checklist ...50
- ◀ Checklist for Working with External Search Consultant ...51
- ◀ “It’s All in What You Ask” ...52
- ◀ Compliance Issues and the Search Process ...53

## Guidelines for Asking Questions during Search Processes

Questions that are not job related are inappropriate and illegal during all phases of the search process, including formal interviews, informal interactions between candidates and search representatives, and reference checks.

Category	May Ask	May Not Ask
Sex and Family Arrangements	<ul style="list-style-type: none"> <li>- If applicant has relatives already employed by the organization</li> </ul>	<ul style="list-style-type: none"> <li>- Sex of applicant</li> <li>- Number of children</li> <li>- Marital status</li> <li>- Spouse's occupation</li> <li>- Child care arrangements</li> <li>- Health care coverage through spouse</li> </ul>
Race		<ul style="list-style-type: none"> <li>- Applicant's race or color of skin</li> <li>- Photo to be affixed to application form</li> </ul>
National origin or ancestry	<ul style="list-style-type: none"> <li>- Whether applicant has a legal right to be employed in the U.S.</li> <li>- Ability to speak/write English fluently (if job related)</li> <li>- Other languages spoken (if job related)</li> </ul>	<ul style="list-style-type: none"> <li>- Ethnic association of surname</li> <li>- Birthplace of applicant or applicant's parents</li> <li>- Nationality, lineage, national origin</li> <li>- Whether applicant is citizen of another country</li> <li>- Applicant's native tongue/English proficiency</li> <li>- Maiden name (of married woman)</li> </ul>
Religion		<ul style="list-style-type: none"> <li>- Religious affiliation/availability for weekend work</li> <li>- Religious holidays observed</li> </ul>
Age	<ul style="list-style-type: none"> <li>- If applicant is over age 18</li> <li>- If applicant is over age 21 if job related (e.g., bartender)</li> </ul>	<ul style="list-style-type: none"> <li>- Date of birth</li> <li>- Date of high school graduation</li> <li>- Age</li> </ul>
Disability	<ul style="list-style-type: none"> <li>- Whether applicant can perform the essential job-related functions either with or without reasonable accommodations</li> </ul>	<ul style="list-style-type: none"> <li>- If applicant has a disability</li> <li>- Nature or severity of a disability</li> <li>- Whether applicant has ever filed a workers' compensation claim</li> <li>- Recent or past surgeries and dates</li> <li>- Past medical problems</li> </ul>
Other	<ul style="list-style-type: none"> <li>- Convictions, if job related</li> <li>- Academic, vocational, or professional schooling</li> <li>- Training received in the military</li> <li>- Membership in any trade or professional association</li> <li>- Job references</li> </ul>	<ul style="list-style-type: none"> <li>- Number and kinds of arrests</li> <li>- Height or weight except if a bona fide occupational qualification</li> <li>- Veteran status, discharge status, branch of service</li> <li>- Contact in case of an emergency (at application or interview stage)</li> </ul>

## Guidelines for Checking References

### General Considerations

1. The purpose of reference checks is to: verify prior work history, education and training; gather additional information about the candidates from the perspectives of those who have been associated professionally with the candidates; and to corroborate or refute information learned from the interview process. The Appointing Authority or designee should conduct the reference check.
2. There may be some cases where a candidate is in a particularly sensitive situation and could request, for valid reasons, that the University not contact references until there is a serious commitment. The Appointing Authority should consult with the Office of Human Resources to identify other options.
3. The Appointing Authority or designee should ensure that the candidate has completed the Employment Application Form, which authorizes reference checking. However, regardless of this authorization, the person designated to conduct the reference checking should notify the candidate before beginning the reference checking process. This will provide an opportunity to explain to the candidate the status of the search, and for the candidate to raise questions he/she may have about UMass Dartmouth or the search process.
4. Reference checks should start with those references provided by the candidate, but can continue with other individuals who may have professional experience about the work experience of the candidate.
5. Notes should be made on the substance of the calls for the purpose of accurately recording the information received. Be careful to only gather job-related information.
6. The Appointing Authority or designee should review the candidate's file carefully before making these calls, since it is important that you be able to convey to the reference overall familiarity with the candidate's on-paper credentials in the course of the conversation.

### Introduction of Caller

1. Identify yourself as the Appointing Authority or designee for (title of position), UMass Dartmouth. If possible, do not reveal the candidate's name if you must talk with the secretary to gain access to the reference. State that you are calling to schedule a reference check for (candidate). Also, make it clear that you have been granted permission to call for a reference for the position.
2. At the time of the scheduled teleconference, assure the reference that the response will be treated confidentially in accordance with applicable laws and University policy.
3. Explain that the purpose of the call is to seek the reference's assistance in learning more about the candidate's qualifications in relation to the position at the University of Massachusetts Dartmouth rather than to arrive at a global judgment of the candidate's strengths and weaknesses.

### Suggested Questions

Background – Would it be helpful for you to know more about the University of Massachusetts Dartmouth and the qualifications we are seeking in a (title of position). (Have close at hand summary information about the campus.)

Relationship to the Candidate – What has been the nature and length of your relationship to (candidate's name)?

Mission – It is important that (candidate's name) have a genuine commitment to and an understanding of UMass Dartmouth's mission as a predominantly undergraduate, public institution with selected graduate programs and one Ph.D. program – as well as an enthusiastic commitment to address the economic development and other needs of UMass Dartmouth. Would he/she likely to be an advocate for this mission? Does (candidate's name) possess a good understanding of academic values and the special nature of a university like the University of Massachusetts Dartmouth?

Articulate a Sense of Direction – Do you believe that (candidate's name) is capable of providing leadership for (the department)? Is there evidence that he/she respects the value of planning?

Community Building – The campus desires an increased sense of community for all constituencies, including the sizable population of students who are commuters. Based on your knowledge of the candidate, does he/she have the skills to help us develop a strong sense of community on the campus?

Diversity – In the development of a stronger sense of community, we are particularly concerned that women and all ethnic groups on campus feel that their interests are valued and strongly supported. What is your understanding about (candidate's name) attitude and supportive behavior with respect to the advancement of an inclusive diversity?

Staffing – Is there evidence that he/she is skilled in selecting, directing, motivating and evaluating an administrative team?

Flexibility/Resiliency – How would you describe the candidate's ability to relate to a variety of individuals and groups? How does he/she react to criticism?

Student Needs – How understanding would the candidate be in recognizing and responding to the needs of students, both traditional and non-traditional, and to supporting a rich residential experience for them?

Communications – Can you tell me more about specific instances of strength in each of the three areas of communication: speaking, writing, and listening?

Recapitulation –

- a) Recognizing that we all have some limitations, are there any problems or shortcomings of (candidate's name) that might get in the way of his/her effectiveness as (position title) or with the Dartmouth campus?
- b) In your view, what are the two or three most significant accomplishments in (candidate's name) career to date? What are the two or three most significant disappointments he/she has experienced?

Conclusion – Is there anything more you would like to say? (Linger over the question if there is time and you sense the person on the telephone may have more he/she wants to relate to you.)

Thank you – This may be the most important item on the list. Remember that you are calling people named by the candidate to talk about them – so you should assume that the reference will let the candidate know he/she has been called and will give some report about this contact. The reference report will influence the way the candidate responds to you in its next stages – and this contact will also leave him/her with an impression of UMass Dartmouth. You've asked some tough questions and have probably received some useful and significant factual information. The person should know that his/her assistance is greatly appreciated.

# EEO LIAISON CHECKLIST

Position Title \_\_\_\_\_

Position of Opportunity :  YES  NO

DATE : \_\_\_\_\_

Receives authorization and tracking number of search from Associate Chancellor's Office... \_\_\_\_\_

Discusses search with Appointing Auth. (Pg. 54 if using ext. search consultant) ..... \_\_\_\_\_

Charges from the Appointing Authority and EEO Liaison to the Search and Screen Committee \_\_\_\_\_

- How to conduct a lawful interview
- Advising SSC about confidentiality of procedures and applicants
- Advising SSC to review all application materials to determine whether minimum qualifications are met (faculty positions only)
- Advising SSC that selection for interview must be based upon the position description, the minimum and preferred qualifications, and the charge by the appointing authority

HR Receives letters of application and sends acknowledgement letter and Ethnic ID

Card to applicants..... \_\_\_\_\_

Assists SSC with interview questions..... \_\_\_\_\_

- Reviews/Assists in developing job-related questions and expected answers to Questions \_\_\_\_\_

Approves interview questions..... \_\_\_\_\_

Forwards names of candidates for interview to HR and EEO/AA..... \_\_\_\_\_

Communicates approval from HR and EEO/AA of candidates for interview to SSC Chair..... \_\_\_\_\_

Assists SSC with Strengths and Weakness Assessments..... \_\_\_\_\_

- Development of job-related S&W for each candidate interviewed \_\_\_\_\_

Provides assistance with reference checking..... \_\_\_\_\_

- For semi-finalists or finalist only

Obtains signatures of SSC members on Assurance Form..... \_\_\_\_\_

EEO Liaison signs Assurance Form... \_\_\_\_\_

Forwards names of recommended finalists and all other required documentation to Appointing Authority and ..... \_\_\_\_\_

Upon acceptance of offer by final candidate, HR sends "thank you" letters to candidates not selected..... \_\_\_\_\_

Returns all the following application materials to HR (for processing)..... \_\_\_\_\_

## CHECKLIST FOR WORKING WITH EXTERNAL SEARCH CONSULTANT

Position Title \_\_\_\_\_ Tracking Number \_\_\_\_\_

Position of Opportunity?       YES                       NO

- Chancellor's office authorizes position and assigns tracking number to search.
- EEOL meets with Human Resources, Appointing Authority, Search & Screen Committee (SSC) Chairperson, and EEO/AA to agree upon an action plan for the search, including who will be responsible for executing each step of the search process.
- EEOL, Consultant and Appointing Authority charge the Search & Screen Committee:
- Introduce consultant and explain role of consultant;
- Advise SSC how to conduct a lawful search;
- Advise SSC about confidentiality of procedures and applicants;
- Inform SSC about Consultant's role to review all application materials to determine whether minimum qualifications are met (if agreed upon in consulting agreement); and
- Advise SSC that selection for interview must be based upon the position description, the minimum and preferred qualifications, and the charge by the Appointing Authority.
- HR, Consultant, or SSC sends an acknowledgement letter and Ethnic ID form to each applicant.
- EEOL approves phone interview questions (job-related questions and expected answers to questions).
- EEOL forwards names of candidates for phone interview to EEO/AA.
- EEOL communicates approval from EEO/AA of candidates for phone interview to SSC chair.
- EEOL may assist SSC in developing strengths and weaknesses assessments for each candidate interviewed.
- Appointing Authority or designee conducts reference checks for finalists only prior to hiring recommendation.
- EEOL obtains signatures of SSC members on Assurance Form.
- EEOL signs Assurance Form.
- EEOL forwards names of recommended finalists and all required documentation to Appointing Authority.
- Upon acceptance of offer by final candidate, HR, the Consultant, or SSC sends "thank you" letters to candidates not selected.
- Consultant submits all application materials to Human Resources for record keeping.

**NOTE:            HR is responsible for the effective & efficient implementation of the selection procedures; therefore, if you need assistance, please contact HR at 508-910-6474.**

**IT'S ALL IN WHAT YOU ASK:**  
**SOME QUESTIONS SEARCH COMMITTEES MIGHT WANT TO USE\***

Search committees often have difficulty determining if a candidate is aware of and responsive to minority and women's issues and to issues involving the disabled and other groups requiring sensitive treatment. When prospective employees are asked, "Are you concerned about and supportive of these issues?" they will invariably give an affirmative reply. Unfortunately, that gives little indication of their level of concern or commitment. Asking some of the questions listed below may help you gain a better understanding of a candidate's position on these issues. Many of the questions suggested below do not have a "right" or a "wrong" answer. These questions should be asked by both men and women on the search committee because having only women or minority persons ask questions about these issues may give a candidate the impression that equity issues are not important to the institution as a whole. Many candidates will not have prepared answers to these questions in advance. These questions will, therefore, be useful in drawing out the candidate's opinions rather than the "correct answer".

Parentheses are used to indicate that one or more of the following words are missing: Minorities, Blacks, Hispanics, Native-American; Women; economically disadvantaged persons; veteran or disabled veterans; homosexuals, gays, lesbians; protected groups; affirmative action groups, etc.

How have you demonstrated your commitment to ( ) issues in your current position?

Which of your achievements in the area of equity for ( ) gives you the most satisfaction?

How would you demonstrate your concern for equity for ( ) if you were hired?

In your opinion, what are the three major problems for ( ) on your campus?

How are general issues in higher education related to ( ) issues? What is the link?

Describe activities-include articles, interviews, and speeches-in which you have taken part that demonstrate a public commitment to equity.

In your current position, have you ever seen a ( ) treated unfairly? How would/did you handle it?

In your current position, what is your relationship to the affirmative action officer? Have you ever sought his or her help in recruiting?

How many of the top people at your current or previous institution are ( )? What did you do to encourage hiring more ( )?

Which committee at your current institution would you consider the most powerful? How many ( ) are on it? How many ( ) have you appointed to it?

How did/would you deal with faculty members or employees who say disparaging things about ( )?

What scholarship about ( ) have you read lately?

Have any students ever complained to you about sexual harassment or discrimination in any work with professors or staff? If so, how did you respond?

\* Adapted from It's All in What You Ask, Association of America Colleges Project on the Status and Education of Women. Bernice R. Sandler, Project Director.

# COMPLIANCE ISSUES AND THE SEARCH PROCESS

## **Affirmative Action and Non-Discrimination**

1. Be informed about affirmative action requirements associated with minorities, women, Vietnam-era veterans, disabled veterans and persons with disabilities.
2. Avoid gratuitous comments made to the candidates that might indicate bias or favoritism (“We’re looking for young blood”).
3. Ensure that all portions of the application and interview process are accessible for candidates with disabilities, if any, and that the committee is prepared to address the issue of accommodations should that be necessary.

## **Confidentiality and Record Keeping**

1. Committees should record job-related reasons to advance candidates through the search process and provide rationale in the event of a charge of discrimination. Comments should address the candidate being evaluated and not compare strengths and weaknesses relative to other candidates.
2. As a public institution, documents generated by the Search & Screen Committees may be considered public records subject to disclosure. Likewise, if a discrimination action is filed, investigating agencies will have access to Search & Screen Committee records.

## **Communication**

1. Only the appropriate administrative official or committee designee should make contacts with candidates or any other individuals concerning any aspect of the search.
2. Telephone contacts with candidates should be limited to standard questions agreed upon in advance. Notes of responses should be made for subsequent committee use.

## **Equity and Objectivity**

1. Job-related criteria for the advertised position should be developed at the outset of the search and approved by the appropriate administrative official.
2. All persons on the Search & Screen Committees should exercise judgment to avoid having any one person eliminate a candidate.
3. Only candidates meeting minimum advertised qualifications should be interviewed.
4. Interview questions designed to provide fair and objective evaluation of each candidate should be developed in advance of committee interviews with candidates. An identical set of questions should be asked of all candidates.
5. Relative weights of criteria should be developed and assigned prior to the review of any application. Fluctuation in the application of weighted criteria may lead to allegations of manipulation and may indeed indicate manipulation to select a particular candidate.
6. Only job-related reasons can be used to advance candidates. Objective criteria are less susceptible to legal challenge. Any subjective criteria must be related to the position in question (e.g., leadership ability for program coordinators).

These are guidelines only and are not meant to constitute legal advice that can only be rendered when related to specific fact situations.