

# FACULTY SEARCH PROCESS

## POLICY MEMORANDUM

#2016-01

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OFFICE OF THE VICE CHANCELLOR  
FOR  
EQUITY, DIVERSITY AND INCLUSION

## INTRODUCTION

When searching for talent, we seek excellence. But our search for excellence can be sidetracked by unduly narrow definitions of merit, uncared assessments, implicit biases, and limited outreach. To promote inclusive excellence—consistent with equity and the law—the University has adopted policies and procedures that guide various search processes.<sup>1</sup>

A search for ladder rank<sup>2</sup> faculty raises especially challenging questions about how best to distribute scarce, valuable public resources within a world-class research university. To help discharge these responsibilities more mindfully, the Office of the Vice Chancellor for Equity, Diversity and Inclusion (“OVC-EDI”) participates in the ladder rank faculty search process in three distinct ways:

1. conduct mandatory **faculty search committee briefings**;
2. approve key steps in the **standard search process**;
3. grant **waivers**, which are exceptions to the standard search process.

The scope of this policy memorandum should be clarified. First, this memorandum focuses narrowly on the OVC-EDI’s role in the faculty search process. It is *not* a general instruction manual for the faculty search process writ large, including the UCLA Academic Recruit system, which is managed by the Office of Academic Personnel.

Second, the memorandum formally applies only to ladder rank faculty. However, various portions, including the waiver procedures,

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<sup>1</sup> This policy memorandum has benefitted from the careful review of the Office of Academic Personnel. In the near future, we expect policy reforms and clarifications in [Appendices 18](#) and [23](#) of The UCLA CALL, which may trigger revisions to this policy memorandum. This policy memorandum is not meant to supersede or be contrary to anything in these Appendices and should be interpreted accordingly. Any conflicts between the Appendices and this policy memorandum should be resolved in favor of the Appendices.

<sup>2</sup> “Ladder rank faculty are faculty holding tenured titles or non-tenured titles in a series in which tenure may be conferred.” Academic Personnel Manual (APM) 110-4(22) (revised Sept. 23, 2011). In this memorandum, “ladder rank” covers appointments within the Regular Professorial Series. See The UCLA CALL, Regular Professor Series, available at: <https://www.apo.ucla.edu/policies/the-call/professorial-series/regular-professor-series> (revised July 30, 2015).

may apply to other faculty appointments, such as Academic Administrators and Academic Coordinators. Even when the mandatory requirements specified in this memorandum do not formally apply, we encourage voluntary adoption of best practices whenever possible.

Finally, in the interest of increasing clarity and transparency, this policy memorandum will be regularly updated with revisions. The most current version, including a changelog, will always be available at the OVC-EDI website: <<http://equity.ucla.edu>>.

## I. FACULTY SEARCH COMMITTEE BRIEFINGS

Faculty who serve on search committees are experts in the relevant substantive fields and disciplines. However, they may lack significant experience with “best practices” demonstrated to increase fairness in the faculty selection process. They may also be unaware of numerous federal and state laws, as well as University policies, that govern the hiring process. For instance, what may seem like a reasonable interview question might be illegal to ask.

To help faculty conduct an efficient, fair, and lawful search process, all members of faculty search committees *must* receive a **Faculty Search Committee Briefing**, provided by the OVC-EDI.<sup>3</sup> Provided in person and on campus, these briefings last approximately two hours. Information about these briefings, and their scheduling, is available [online](#).

The OVC-EDI is currently experimenting with an online alternative accompanied by in-person discussion with the local [Equity Advisors](#). The OVC-EDI has also certified certain Equity Advisors to provide live local briefings within their schools or divisions. Please contact your Equity Advisor for more information.

A briefing remains valid for four (4) years. In a span of four years, often significant changes are made to University hiring policy and training protocol that warrant a new briefing.

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<sup>3</sup> See Memorandum from EVC/Provost Scott L. Waugh to Colleagues (Feb. 3, 2015) (starting mandatory requirement for fall quarter 2015). The previous requirement had been that only the Chair of the search committee and at least one other member of the search committee had to receive training. *See id.*

Finally, there has been some confusion about committees that select an internal-only candidate for an **Endowed Chair**. An appointment to an **Endowed Chair** counts as an academic “appointment.” Accordingly, these selection committees count as “faculty search committees,” whose members must receive a briefing.

**Key points:**

- *All members* of faculty search committees must receive a **Faculty Search Committee Briefing** to serve on a search committee.
- Briefings remain *valid for 4 years*.
- Committees that are conducting *internal-only searches for Endowed Chairs* must also receive a briefing.
- Although positions may be publicly posted and applications may be received, faculty search committee members must receive a briefing *before reviewing and considering candidates*.

## II. STANDARD NATIONAL SEARCH PROCESS

The standard process to search for faculty is to conduct a national search as outlined in UCLA’s official search policy.<sup>4</sup> This process is conducted through the online UCLA Academic Recruit system, operated by the Office of Academic Personnel. As part of that online system, the Vice Chancellor for Equity, Diversity and Inclusion (VC-EDI) acts as a gatekeeper at three separate junctures: Search Plans; Applicant Pool Reports; and Shortlist Reports.

### A. SEARCH PLAN

A department must complete a **Search Plan** that explains how it will identify potential candidates and make an appointment. The plan contains the job description, required job qualifications, advertising strategy, selection criteria, and selection process.

When this information is entered into UCLA Academic Recruit, please make sure to:

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<sup>4</sup> See UCLA The Call [Appendix 23: Faculty Search Guidelines](#).

- Include in the job description the University Equal Opportunity and Affirmative Action Statement<sup>5</sup> and relevant basic qualifications<sup>6</sup> (under the “Description” field in the **Details tab**);
- identify the **Equity Advisor** (under the **Diversity tab**);
- describe what proactive efforts will be taken by the committee to achieve a broad, inclusive pool (under the “Planned Search & Recruitment Efforts” field in the **Advertisements tab**);
- include in the “Selection Criteria” field (under the **Selection Process tab**) relevant portions of the recently revised [APM 210-1-d. Criteria for Appointment, Promotion, and Appraisal](#) (effective July 1, 2015);<sup>7</sup>
- list the proposed search committee members, including the dates on which they received a **Faculty Search Committee Briefing** (under the “Selection Plan” field of the **Selection Process tab**).

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<sup>5</sup> The Equal Opportunity and Affirmative Action Statement is required by 41 CFR 60-1.4. Please use the following language:

The University of California is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability, age or protected veteran status. For the complete University of California nondiscrimination and affirmative action policy, *see*: UC Nondiscrimination & Affirmative Action Policy.

<sup>6</sup> Basic Qualifications are the minimum requirements that must be met at the time of application, and are necessary to be considered as an applicant for the position. *See* 41 CFR 60-1.3.

<sup>7</sup> Please note the following revised language:

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

### Best Practices

In assembling the Search Plan, we also recommend the following best practices:

- mindfully construct the search committee to include not only substantive expertise but also broad, *circulating*, and diverse representation;
- provide the search committee a copy of the text of [APM 210-1-d. Criteria for Appointment, Promotion, and Appraisal](#) (effective July 1, 2015), which reminds all committee members that regardless of personal predilections, “[c]ontributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.”

Before the UCLA Academic Recruit system allows the search to be publicly posted, the **Search Plan** must be approved by the department chair, dean, and finally, the VC-EDI. Many divisions and schools have also included their Equity Advisor in the approval chain for the Search Plan, Applicant Pool Report, and Short List Report. The OVC-EDI strongly encourages this.

### B. APPLICANT POOL REPORT

After all timely applications for the advertised position have been received, the UCLA Academic Recruit system allows the department to generate an **Applicant Pool Report**. The report shows descriptive statistics about the demographics of those who applied. It also shows the statistics of the national pool of eligible candidates, provided by the Office of Academic Personnel.<sup>8</sup> By comparing those who applied to the benchmark of those who were nationally eligible, the search committee can explore whether the search has been sufficiently broad and inclusive.

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<sup>8</sup> The national availability data are generally pulled from NORC (at the University of Chicago) by the UCOP Office of Academic Personnel and Programs. The OVC-EDI intends to study the appropriateness, accuracy, and consistency of how UCLA uses these data.

If the applicant pool seems oddly limited or unrepresentative, the OVC-EDI will inquire into the advertisement and outreach strategies actually taken. The Office will also inquire whether the national availability statistics seem appropriate and accurate.

This **Applicant Pool Report** must be reviewed and approved by the department chair, Equity Advisor, dean, and VC-EDI *before* applicants can be placed on the Shortlist.

### C. SHORTLIST REPORT

Finally, the search committee will select a shortlist, which is the final list of candidates to be given the most serious consideration. Typically, these candidates visit the campus, give a job talk, and interview broadly with faculty. The UCLA Academic Recruit system allows the department to generate a **Shortlist Report**, which lists these finalists, shows descriptive statistics about their demographics, and provides a national benchmark of eligible candidates for comparison.

Again, if the shortlist pool looks dramatically different from the applicant pool, the OVC-EDI may ask for more context, information, and explanation. The approach here will be to insist on a “hard look” to make sure that talent wasn’t inadvertently overlooked. The **Shortlist Report** must be reviewed and approved by the department chair, Equity Advisor, dean, and VC-EDI *before* finalists visit the campus to give a job talk.<sup>9</sup>

#### Key points:

- Standard searches use the UCLA Academic Recruit system, operated by the Office of Academic Personnel.
- The OVC-EDI must approve the Search Plan, the Applicant Pool Report, and the Shortlist Report.

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<sup>9</sup> The OVC-EDI recognizes that the standard model for searches, implemented in the UCLA Academic Recruit system, does not fit perfectly with the way that searches are actually performed in various departments and schools. For example, many schools currently use a rolling shortlist, with the most attractive candidates called back for full faculty visits early on without identifying who else may eventually be invited back. The OVC-EDI is currently studying how to harmonize such local hiring practices with the need for meaningful review.

- Equity Advisors often play a significant role in providing additional context and information to the OVC-EDI as it reviews the search.

### III. WAIVERS — EXCEPTIONS TO STANDARD NATIONAL SEARCH PROCESS

The standard national search process, described above, is designed to decrease the chances that implicit bias and ingroup favoritism,<sup>10</sup> as well as informational, friendship, and other social networks, lead us to ignore potential talent. In some cases, however, the standard national search process may be neither feasible nor warranted. The need for such exceptions is expressly recognized within UCLA's official search policy.<sup>11</sup> In such cases, a **waiver** is necessary.<sup>12</sup>

To clarify, waivers should be requested at the beginning of the process, not after the selection has already been made. The procedures outlined here are not meant to be after-the-fact cosmetic compliance; instead, they are designed to provide real substantive and procedural improvements in our most important selection processes.

#### A. TYPES OF WAIVERS

There are two basic types of “waivers”: (1) Waiver *of* Search, and (2) Waiver *for* Internal Search.

A **Waiver of Search** is an exception to standard protocol. It is required when a *single, specific person* has been identified for appointment to a ladder rank faculty position without the standard

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<sup>10</sup> Ingroup favoritism is the psychological tendency to prefer people who belong to common social categories and groups. See, e.g., Anthony G. Greenwald & T.F. Pettigrew, *With Malice toward None and Charity for Some: Ingroup Favoritism Enables Discrimination*, 69 AM. PSYCHOL. 669 (2014).

<sup>11</sup> See, e.g., [Appendix 23, Part III.B-C](#). See also Draft, Guiding Principles: Search Waivers for Academic Appointees at the University of California (dated Feb 5, 2016).

<sup>12</sup> In some circumstances, an endowed chair is established specifically for whoever serves a particular academic-administrative position, such as chairing a specific Interdepartmental Program (IDP). Such explicit requirements are vetted and accepted by the University when the endowed chair is created. Given such express terms, no waiver is necessary from the OVC-EDI. We do ask, however, to be notified when such chairs are endowed. For our records, please provide us notice of the new chair, the terms of the endowment, and a copy of the endowment letter.



national search process. A **Waiver of Search** may be appropriate in the following cases:

- Agile recruitment of an exceptional target of excellence who will make an unusual contribution to the University;
- Appointment of a UC President's or Chancellor's Postdoctoral Fellow;
- Appointment of the partner of a heavily recruited (or to-be-retained) senate faculty member.

By contrast, a **Waiver for Internal Search** is required when only a pool of candidates internal to the department, division, or school will be considered for some specific appointment. The most common case is:

- Appointment of an internal candidate (among multiple potential internal candidates) to an **Endowed Chair**.<sup>13</sup>

Because the waiver process has not yet been implemented into the online UCLA Academic Recruit system, separate forms need to be completed.

## B. WAIVER OF SEARCH PROCEDURE

In order to secure a **Waiver of Search**, approvals from *both* the VC-EDI and the Vice Chancellor of Academic Personnel (VC-AP) are necessary.

To request a waiver, the dean of the division or school shall submit a letter addressed to both Vice Chancellors *making the specific case why the standard national search process is not appropriate for the situation and why a specific candidate should be appointed*. The letter should include as attachments:

- candidate's *curriculum vitae*;
- evidence of excellence demonstrated by a minimum of two (2) external letters or equivalent peer reviews;

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<sup>13</sup> For general information about endowed chairs, see [Appendix 18](#) of the UCLA CALL (Policies and Procedures for UCLA Endowed Chairs, Endowments, and Professorial Name Chairs). An appointment of a current UCLA faculty member to an Endowed Chair, without even an internal search among multiple eligible internal candidates, would require a **Waiver of Search**.

- any other relevant supporting documentation.

The waiver request should be submitted via e-mail to both Vice Chancellors' offices. The VC-EDI will review the waiver request first. In the course of that review, there will often be formal and informal requests for further information, clarification, and verification.

If the waiver is approved, a signed **Waiver of Search Compliance Form** will be returned by the OVC-EDI to the requesting dean and copied to the VC-AP, at which point the VC-AP will initiate her review. The compliance form should be attached to the candidate's file when the full dossier is transmitted to the Office of the Vice Chancellor for Academic Personnel (OVC-AP).

If the waiver is not approved by both Vice Chancellors, then the standard national search must be conducted.

### C. WAIVER FOR INTERNAL SEARCH PROCEDURE

In order to secure a **Waiver for Internal Search**, the approval of *only* the VC-EDI is necessary.

The dean of the division or school shall submit a letter addressed to the VC-EDI *making the specific case why the standard national search process is not appropriate for the situation and why an internal-only search is appropriate*. The most common reasons include:

- the lack of resources, including FTE, in the relevant subject matter area to recruit successfully an external candidate;
- the need to promote department or school morale by distributing endowed chairs internally;
- restrictions on the gift instrument that created an endowed chair that make internal searches most viable.<sup>14</sup>

Given that an internal search will take place if approved, the letter should also detail the procedures that will be used in the internal selection process. This amounts to an internal "search plan." In

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<sup>14</sup> On rare occasions, the explicit terms of an Endowed Chair unequivocally require (not merely prefer) an internal-only search. In that case, no **Waiver for Internal Search** is necessary. Nevertheless, deans are *strongly* encouraged to adopt voluntarily the best practices for an internal search plan outlined in this memorandum.

particular, we require that the following elements be provided or promised:

*Search Committee*

- commitment to mindful construction of the search committee, which includes substantive expertise but also broad, *circulating*, and diverse representation;
- evidence that every member of the search committee will have attended a **Faculty Search Committee Briefing** before starting to review any applications;
- commitment to provide every member of the search committee a copy of the text of [APM 210-1-d. Criteria for Appointment, Promotion, and Appraisal](#) (effective July 1, 2015), to remind all committee members that regardless of personal predilections, “[c]ontributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.”

*Internal Pool Formation*

- clear written minimum eligibility requirements for faculty to be considered for the internal appointment;
- commitment to provide e-mail or comparable notice about the internal search to the faculty of the relevant department, school, or division from which internal candidates will be considered—with a courtesy copy of the notice to the OVC-EDI;
- commitment to provide opportunity for the noticed faculty to nominate candidates, including self-nominations, for the appointment.

The request for **Waiver for Internal Search** should be submitted via e-mail to the VC-EDI. In the course of that review, there will often

be formal and informal requests for further information, clarification, and verification.<sup>15</sup>

If the waiver is approved, a signed **Waiver for Internal Search Compliance Form** will be returned by the VC-EDI to the requesting dean. That form should be attached to the candidate's dossier when transmitted to the OVC-AP.

If the waiver is not approved, then the standard national search must be conducted.

## CONCLUSION

We hope that this policy memorandum provides clear information about how the OVC-EDI participates in the ladder rank faculty search process—through **Faculty Search Committee Briefings**; approvals at critical junctures of the UCLA Academic Recruit process (**Search Plan, Applicant Pool Report, and Shortlist Report**); and granting **Waivers**.

Because some requirements, *e.g.* requiring briefing of all faculty search committee members, are new as of fall quarter 2015, we will work collaboratively with departments, divisions, and schools during a reasonable transition period. That said, our goal is to make sure that updated policies and “best practices” propagate rapidly throughout the system. In addition, we expect many refinements and clarifications going forward, so please expect regular updates to this policy memorandum.

Please do not hesitate to contact the OVC-EDI with any questions. We welcome your thoughts and feedback. Thanks for your cooperation.

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<sup>15</sup> If the internal “search plan” needs to deviate from the terms listed above, Deans may make that case to the VC-EDI on a case-by-case basis.