

SOUTHERN CONNECTICUT STATE UNIVERSITY

Search Procedural Guidelines

Faculty

Southern Connecticut State University is an Affirmative Action/
Equal Employment Opportunity Institution

9/17/08

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INTRODUCTION

The human resources of any organization are its most valuable assets. Fundamental to the development of a high quality faculty is an effective recruitment and selection process. Such a process includes strategies for identifying and attracting a diverse pool of applicants, including people of color, women, and members of other protects or under-represented groups. In view of the fact that many individuals appointed to faculty positions will remain employed by the university for a quarter of a century or longer, it is important that the university make every effort to match candidate skills, knowledge, educational credentials, professional experience, and interests with the current needs and future direction of the department into which they are being hired. Good matches will lead to excellent job performance and continued job satisfaction.

In addition to the fact that state institutions, like Southern Connecticut State University, have a moral and intellectual responsibility to remove discriminatory barriers to equal employment opportunity and upward mobility, Southern has now incorporated its commitment to social justice into its new Mission Statement. Accordingly, all search committees are expected to aggressively strive to recruit and give full consideration to diversity applicants, in an effort to achieve the university's diversity initiatives and to comply with all affirmative action regulations, especially Sections 46a-68-31 through 46a-68-74 of the Connecticut State Statutes, as detailed in the SCSU Affirmative Action Plan.

At Southern Connecticut State University a number of individuals and offices work together as a team to facilitate the recruitment and selection of faculty, administrators, and staff, in accordance with accepted personnel practices and affirmative action requirements. This team activity includes securing appropriate approvals to initiate and carry out the recruitment effort, and the timely sharing of information so that member of the team may fulfill their assigned responsibilities. In the recruitment and hiring of faculty, all of the following play vital roles: 1) department search committees, 2) deans, 3) the Provost and Vice President for Academic Affairs, 4) the Office of Human Resources, 5) the Office of Diversity and Equity, 6) the Vice President for Administration and Finance, and the President. Understanding the roles and responsibilities of the various players can positively impact the quality and timeliness of faculty searches. This document has been written to facilitate and expedite faculty searches.

I. ROLES AND RESPONSIBILITIES

The President

The President is the only university official with the authority to make an appointment of a tenure-track faculty member. Appointments made are based on recommendations from members of the cabinet.

Office of Diversity and Equity

As the Executive Assistant to the President, the Director of the Office of Diversity and Equity serves as a resource to individual departments, search committees, deans, and the Provost throughout the various phases of the recruitment and hiring process. Though this list is not exhaustive, some of the specific responsibilities played by this office are the following:

- review and approve the content and placement of the position announcement to ensure appropriate language is used to attract a broad and diverse pool of qualified applicants,
- participate in Recruitment Workshops for search committees,
- ensure compliance with affirmative action regulations and policies,
- assess the level of diversity of applicant pools prior to interviews and determine if interviews may proceed,
- Review and approve Reference Check questions and,
- maintain the final search file, which includes at least the following:
 - Approved Personnel Change Request Form (PCRF)
 - Approved Search Plan
 - Position Description
 - Position Announcement/Advertisement
 - Reference Check Questions
 - Interview Questions
 - Selection Criteria (preliminary and final grids)
 - Search Committee and Dean Appointment Recommendations
 - Approved Personnel Action Form (PAF)

The Office of Diversity & Equity will attend as necessary any search committee meetings, interviews, forums, and request to review vitas of candidates prior to the final selection. Records for recruitment for individual vacancies must be maintained for a period of two years with the search committee chair in his/her department and made available for review upon request. The Office of Diversity & Equity will be the official site for final recruitment documents.

Office of Human Resources

The office of Human Resources has the responsibility of monitoring the entire recruitment and appointment process to ensure that the procedures and practices followed are applied fairly and equitably for all applicants. It is Human Resources that reviews all appointments for compliance with university, state, and federal laws. In addition, Human Resources conducts background checks to verify degree completion, as well as for criminal records, or other historical experiences that would make a candidate unfit for employment in a university setting. Furthermore, the Office of Human Resources consults with the Provost on establishing the appropriate salary for new appointments and generates the appointment letter to be signed by the President.

Department Chairperson/Library Spokesperson (hereafter referred to as “Chair”)

The Chair is usually the first person to learn of an anticipated vacancy due to retirement, resignation, long-term illness, or death. If, after consultation with the dean or Director of the Library (hereafter referred to as the “Dean”), it is determined that a position needs to be filled, the Dean, then, submits a Personnel Change Request Form (PCRF – see Appendix A) to the Provost. If the Provost agrees of the need to refill the position, the Chair and Dean meet to discuss both the composition of a search committee and a chair for the committee. If the Chair does not serve on the search committee, the Chair may provide the Dean with an independent assessment of the applicant pool and final candidates.

Search Committee Chair/Search Committee

Search committees should be as diverse as possible in order to be able to view applicants through a variety of lenses. Departments which have difficulty constituting a diverse committee from within the department are encouraged to seek diversity representation from other departments/programs that have natural affiliations with the recruiting departments. For instance, the chemistry department might seek diversity members from science education, mathematics, or physics. The Office of Diversity and Equity might also have suggestions.

Search committee chairpersons should have recruitment experience. It is the responsibility of the appropriate Dean to be sure that the search committee chairperson is familiar with the university’s search procedures as delineated in this Faculty Search Procedures document. Questions about the procedures may be directed to the Office of the Provost and Vice President for Academic Affairs.

All search committee members are bound by the principles of **CONFIDENTIALITY**. Confidentiality must be exercised throughout the search process, from identification of applicants, to screening, interviewing, reference checks, and recommendations for appointment to the appropriate Dean. Search committee members may be asked to sign a statement of confidentiality. However, even in the absence of such a document, committee members are required to keep all aspects of the search in confidence. Any member of the search committee who violates confidentiality will be disciplined.

Should an applicant for any position be related or have a significant relationship i.e., domestic partner, with any member of the search committee, the search committee member must disclose that fact and remove themselves from the recruitment process. This action is in accordance with the CSU Policy on Nepotism. Absent such action, the search will be deemed to have failed.

Failed searches must be documented and submitted in writing to the Provost, to the Human Resources Office and to the Office of Diversity & Equity.

The search committee chairperson and the other search committee members are responsible for the following:

- Attending one of the Annual Recruitment Workshops,
- Establishing and executing the Search Plan(see Appendix B)
- Drafting a Position Description and Position Announcement, using established format, (see Appendix C)
- Recruiting and networking with colleagues and professional organizations,
- Determining selection criteria based on position requirements,
- Reviewing applications,
- Making sure that Affirmative Action response cards are sent out to all applicants within seven days of receipt of application, (see Appendix D)
- Presenting initial assessment of applicant pool to appropriate Dean,
- Setting up interview schedules and itineraries for 3-5 applicants,
- Recommending to appropriate Dean at least 3 finalists, with written strengths and weaknesses for each,
- Completing Search Report for all applicants except the finalists recommended to the appropriate Dean,
- Requiring all candidates that are selected for interviews complete an Employment Application and,
- Retaining the applications of all applicants for a period of two (2) years

The Appropriate Dean

Academic deans and the director of the library are pivotal to the faculty recruitment process. It is the appropriate Dean who is responsible for the quality, character, and expertise of the faculties in the school or library. The appropriate Deans are responsible for the following:

- Initiating the PCRf, seeking authorization to recruit,
- Providing initial guidance on and approval of the Search Plan,
- Reviewing and giving initial approval of Position Descriptions and Position Announcements,
- Seeking authorization to search from the Provost,
- Partnering with faculty throughout the recruitment and interviewing process,

- Discussing finalists with the search committee, in an effort to come to agreement on the best candidates for the position,
- Filling out the Search Report for the finalists, providing justification for the final appointment recommendation and,
- Completing and submitting the Personnel Action Form (PAF), seeking authorization to appoint

Although faculty actively recruit their colleagues, screen applicant pools, interview candidates, and make recommendations to the appropriate Dean, it is the Dean, in consultation with the Provost, who determines who should be hired from the applicant pool. The Dean is charged with contacting the top candidate to discuss the conditions under which the candidate would accept an offer from the university. Those terms, then, are recommended to the Provost, who, in turn, consults with the appropriate offices to resolve any perceived procedural errors or to provide additional information. To finalize the process, the appropriate Dean fills out the Search Report for the finalists, providing justification for the final appointment recommendation. It is also the responsibility of the appropriate Dean to assist the search committee in completing and submitting necessary paperwork and retaining all of the applications, including the applications of those who were screened out early in the process, for a period of two (2) years.

II. REQUESTS FOR TENURE-TRACK FACULTY

Under normal circumstances, requests for authorization to recruit tenure-track faculty are reviewed during the Spring Semester of each academic year. Authorization to refill a position that becomes vacant as a consequence of a retirement, resignation, or death is fairly routinely granted, unless the institution is in a period of fiscal exigency or if the unit is undergoing significant reorganization. Completely new positions, on the other hand, are dependent on the known availability of resources from the Connecticut State Legislature, the CSU System Office, or endowments, and strong programmatic justification. Because requests for all tenure-track positions require review at a number of levels, every effort should be made to submit the necessary documents by no later than April 15 for an appointment to be made in the Fall of the subsequent calendar year.

The primary document that initiates the request for authorization to recruit a tenure-track faculty member is the Personnel Change Request Form (PCRF). As indicated earlier, this form is produced by the appropriate Dean, after consultation between the Dean and the Chair of the department seeking authorization to recruit. Once the department's faculty needs have been determined, the PCRF should be submitted, first, to the Provost and, then, to Administration and Finance, for verification of resources, and then to the President, for final authorization to recruit.

Once the authorization is received from the President, the Dean works with the department chair or search committee chair to prepare a package of documents for the Office of Diversity and Equity and the Office of Human Resources. The package consists of the following items:

- Approved PCRf (clearly indicating the position incumbent),
- Organization Chart of the Department,
- Position Description,
- Position Announcement (abbreviated versions to be placed in major higher education publications),
- Search Plan (approved by Dean and Provost)

The Office of Human Resources, in consultation with the Office of the Provost, will submit box ads to publications such as the Chronicle of Higher Education, Diverse Issues, and Hispanic Outlook and others that are deemed appropriate. Departments are encouraged to submit ads to the major professional publications in their respective disciplines and to those publications that target diversity populations.

III. SEARCH PLAN

The primary purpose of the Search Plan is to ensure that a valid search committee has been selected, with an identified chairperson, that the recruitment methodology to be employed will attract the highest quality and most diverse pool of applicants possible, and that the anticipated resources needed to conduct the search are known in advance of the actual search. The Office of Diversity and Equity or the Office of Human Resources may recommend revisions to the position announcement, the search plan, or both.

IV. POSITION ANNOUNCEMENTS

All position announcements must follow the same format and include the same level of detail. These announcements will be abstracted for box ads periodicals such as (in) the Chronicle of Higher Education, Diverse Issues, and Hispanic Outlook, with directions to go to the university web site for full announcements. Disciplinary publications may request that information be formatted differently. In such cases, it is essential that all ads be consistent with each other. The ad in a professional newsletter cannot state that the rank of the position being advertised is “open rank,” while the ad in the Chronicle states that the rank is “Assistant Professor.” Search committee chairs and deans must monitor this aspect of the search closely. The position announcement should also read position will remain open until filled. The chair of the search committee or the Provost will submit the posting to Human Resources for publication on the internal web page and in external sources. Public relations should be contacted when using marketing information in the advertisement to ensure current and accurate data.

Minimum and Preferred Qualifications

It is essential that search committee members and the appropriate Dean agree on what constitutes “minimum qualifications.” Minimum qualifications are those required to

perform the job effectively. “Preferred qualifications,” on the other hand, may be desirable or highly desirable, but not essential. This latter set of qualifications may be used to further screen a larger group of applicants, all of whom meet the minimum requirements. Search committees for tenure-track faculty positions are cautioned not to be too liberal or too strict with respect to certain qualifications. While a committee may not want to consider any applicant without an earned doctorate degree, not stating that ABD candidates will be considered under certain circumstances may prevent the department from being able to hire a brilliant teacher/scholar who has simply not defended the dissertation yet. Similarly, while a committee may prefer to hire candidates with no less than three years of full-time university teaching experience, if this qualification is stated as a minimum requirement, the department may prevent the appointment of another brilliant teacher/scholar who has been teaching at the university level for only one year, but has been in a post-doctoral appointment at a highly respected research institute for two years and would bring a wealth of exciting, cutting-edge research into the classroom. Finding the right balance is very important.

V. PREPARING TO BE A SEARCH COMMITTEE MEMBER

The purpose of serving as a member of a Search Committee will be to rate each applicant on the basis of a set of job-related factors. This task can be greatly simplified if you follow these few steps:

- A. Read the Job Announcement – The job announcement will provide you with a general list of duties which the successful candidate will be expected to perform and the minimum qualifications the successful candidate must possess. This will give you an understanding of both the job duties and the level of skill required of the candidates.
- B. Read the Factors Listed on the Rating Form – These are the critical job factors required to do the job. Each factor is an illustration of an identified essential job element.
- C. Become Familiar with the Evaluation Criteria – You will be given a rating standard or evaluation criteria with levels of qualifying experience and training defined prior to your review of the resumes.

VI. APPLICANT EVALUATION CRITERIA

The criterion by which each candidate is to be evaluated must be job-related. Therefore, every decision that a Search Committee member makes regarding an applicant’s suitability, must be made on the basis of the identified abilities, skills, knowledge, and experience (ASKE) required to perform the job in question.

The evaluation criteria should normally consist of three (3) to five (5) factors which together make up the abilities, knowledge, skills and experience necessary for successful job performance. Each factor should be weighted based on the relative importance of the identified knowledge, skills and abilities.

Applicant Screening (Sample Process)

Before the actual evaluation process begins, the Executive Assistant to the President/Director of ODE or designated ODE or Human Resources designee will meet with the Search Committee to go over Affirmative Action goals, the selection criteria, the rating mechanism and the selection of finalists for the interview process.

The rating should begin with a "warm up" session where each Committee member independently rates a small number of resumes and then compares their ratings with the others. Wide discrepancies are discussed, as well as any difficulties experienced in using the procedure, evaluation criteria, etc. Adjustments may be made as appropriate. After completing this stage, Committee members may rate the remaining resumes independently. All resumes must be reviewed on a factor-by-factor basis. Ideally, all resumes should be reviewed against Factor A, then all against Factor B, etc.

Each factor (e.g. skill, knowledge, or experience) is to be assigned a value from zero (0) to five (5) on the basis of the following rating scale:

- (5) High Pass: Applicant's experience and training indicates that s/he clearly possesses the factor at or above the level required for top performance on the job. Candidate's description indicates deep or broad experience and/or training across all areas of the factor.
- (3) Pass: Applicant's experience and training indicates that s/he possesses the factor at a level which is satisfactory for the job. Candidate's description shows experience and/or training covering the important areas of the factor.
- (1) Low Pass: Applicant's experience and training indicates that s/he possesses the factor at a level which is minimally acceptable for the job. Candidate's description shows experience and/or training which adequately covers the most important aspect of the factor.
- (0) No Pass: Applicant's experience and training are below that which would be considered qualifying for this factor. Candidate's background clearly falls below minimum acceptable standards for the job. Applicant's description reveals serious deficiencies in experience and/or training in important areas of the factor, or across the breadth of the factor. A rating of zero (0) in a key factor may disqualify a candidate from further consideration.

Upon concluding the application review process, the Search Committee Chair is to present to the Provost/Dean a list of finalists to be interviewed and a list of proposed questions for the interview process. Copies will be forwarded to the ODE.

To generate the list of finalists Committee members should determine the number of candidates they wish to invite for interviews. While in committee, each member should forward the names of an agreed number of candidates who received the highest individual ratings. Those candidates who have been commonly rated highest by the Committee as a whole shall emerge as the finalists. The Search Committee Chairperson must document the Committee's good faith effort in cases where they have failed to select a diverse pool of candidates as a finalist.

VII. INTERVIEW PROCESS

Search committee members must keep in mind during the interview that the responsibility for a successful interview does not rest entirely on the candidate. Appropriately formulated questions require as much thoughtfulness and skill as responding appropriately to the question. All interview questions must be strictly job related. It is important for search committees to spend time developing the interview questions so that the questions do not simply elicit information that has already been presented to the committee in the form of a Curriculum Vitae. What does the committee want to know about the interviewee's teaching style, depth of analysis of important issues in the field, the future direction of the interviewee's scholarly/creative activity, or how the interviewee has faced the challenge of teaching freshman students? It is then the committee's responsibility to figure how to get at these insights. See Appendices E, F, and G.

Interview questions must be written and asked consistently of all interviewees. Follow-up questions are allowed and will vary from one candidate to the next, but should conform to the intent of the original question. Appendix H delineates the restrictions on interview questions.

VIII. MAKING THE SELECTION

While rating the candidates, remember these important things:

Avoid the "Halo" Effect – It is not unusual for a candidate to do well on one factor and poorly on the next. Be careful not to rate a candidate higher or lower on a specific factor based on your impression of their overall qualifications. Keep in mind that simply because an individual has a high level of technical competence, we cannot assume that they have excellent supervisory skills as well.

Avoid Sole Reliance on Crude Indicators of Past Achievements – Such as grades, degrees, job titles, years of experience, and salary progress, to name a few. Such indices when taken in isolation, are minimally useful levels of achievement and accomplishment at best.

For example, jobs with the same or similar titles can have quite dissimilar job duties and demands from one organization to another and even within the same organization over time.

Search Report

The Search Report is to be completed in two phases: 1) search committee chair completes the report on all applicants except those selected for on-campus interviews and 2) the appropriate Dean completes the report for the finalists in the search, documenting clearly the dean's rationale for selecting one over the others. Just as the search committee makes its recommendations to the appropriate Dean, identifying the strengths and weaknesses of each interviewee, the appropriate Dean must document the strengths and weaknesses of each interviewee, as justification for the selection of the finalist. See Appendices I, J, and K.

IX. PRE-OFFER CONSULTATION BETWEEN DEAN AND PROVOST

After the interviews of candidates have been completed, the search committee chairperson submits the committee's recommendations to the appropriate Dean. The Dean, then, schedules a meeting with the committee to discuss the finalists and to solicit additional insights from them. The Dean, in turn, schedules a meeting with the Provost to discuss the finalists and to provide justification for the selection and for the terms of appointment the Dean would like to discuss with the candidate whom the Dean believes to be the best candidate for the position. The Provost may request to see a particular set of the applications for the position. If the Provost concurs with the Dean, the Provost will consult with the Associate Vice President for Human Resources on salary considerations before authorizing the Dean to discuss the possible terms of appointment with the top candidate. Deans must clearly indicate to the candidates that the terms discussed will be forwarded as a recommendation to the President. The Dean is to follow up the telephone conversation with a letter that summarizes the conversation.

If the candidate is willing to accept an appointment under the terms discussed with the appropriate Dean, the Dean, then, completes the Personnel Action Form (PAF) and the Search Report for the finalists.

X. THE JOB OFFER

As indicated earlier, only the President has the authority to appoint tenure-track faculty. The appointment comes in the form of an appointment letter that is generated by the Office of Human Resources, based on the information on the PAF (see Appendix L). This is the only official job offer. The appointee has two weeks, 14 calendar days, in which to accept the appointment, by signing and returning one copy of the letter, retaining a second copy for his/her own records.

APPENDIX A

Southern Connecticut State University PERSONNEL CHANGE REQUEST FORM

Date of Request: _____ Effective Date of Appointment/Change: _____

Position Title: _____ Position Control No. _____

Department: _____

Name & Ext # of Department Head/Chair: _____

Nature of Position Request:	
<input type="checkbox"/> Refill	<input type="checkbox"/> Gen'l Change
<input type="checkbox"/> Establish	<input type="checkbox"/> Transfer
<input type="checkbox"/> Reclassify	<input type="checkbox"/> Abolish
<input type="checkbox"/> Other (Explain) _____	

Type of Position:	
<input type="checkbox"/> Full Time	
<input type="checkbox"/> Part Time	
<input type="checkbox"/> Permanent	
<input type="checkbox"/> Temp/Emergency	
<input type="checkbox"/> 10 Month Faculty	

Justification/Remarks: _____

Budget Impact/Cost:	Current Fiscal Year	Next Fiscal Year
Dollar Impact:	<input type="text"/>	<input type="text"/>

FUND # _____ ORG # _____ ACCOUNT # _____ PROGRAM # _____

Signature of Vice President Responsible for Dept. **Date**

<input type="checkbox"/> Approved	<input type="checkbox"/> Denied
_____ Assoc. Vice President of Human Resources	_____ Date

<input type="checkbox"/> Approved	<input type="checkbox"/> Denied
_____ Executive Vice President	_____ Date
Conditions: _____ _____ _____	

<input type="checkbox"/> Approved	<input type="checkbox"/> Denied
_____ President	_____ Date

NOTE:
1. All forms must be approved by Finance & Administration to estimate the fiscal impact of the proposed change.
2. Approved form from Finance & Administration will be forwarded to President's Office for final approval.

APPENDIX B

OFFICE OF DIVERSITY & EQUITY PROGRAMS

SOUTHERN CONNECTICUT STATE UNIVERSITY

SEARCH NUMBER:

SEARCH PLAN- PROFESSIONAL EMPLOYEES

1. JOB DESCRIPTION AND AUTHORIZATION TO START SEARCH (to be completed before starting search)

1.1 DEPARTMENT: _____

TYPE OF POSITION: _____ Full-time _____ Part-time (%) _____ Permanent
_____ 10-month _____ 12-month _____ Temporary

Salary range to be advertised: _____ Title: _____

1.2 DUTIES: State area of specialization and/or special responsibilities.

1.3 QUALIFICATIONS: State both minimum requirements and desired characteristics plus any degree and/or experience requirements.

1.4 CLOSING DATE OF APPLICATIONS: _____

1.5 POSITION VACATED BY: _____ DATE: _____ NEW POSITION: _____

Target Starting Date _____ Position Number: _____

Chairperson/Director _____ Date

Dean _____ Date

Appropriate Vice President _____ Date

Executive Assistant to the President _____ Date

Associate Vice President for Human Resources _____ Date

DEPARTMENT: _____

SEARCH NUMBER: _____

1.6 Advertising Sources (Attach ad copy)

1.6.1 Primary Publications in the Discipline

Journals:

Name _____ Date _____ Cost _____

Name _____ Date _____ Cost _____

Newsletters:

Name _____ Date _____ Cost _____

Name _____ Date _____ Cost _____

Electronic Publications:

Name _____ Date _____ Cost _____

Name _____ Date _____ Cost _____

1.6.2 Publications that Target Professional Women or Professionals of Color

Name _____ Date _____ Cost _____

Name _____ Date _____ Cost _____

1.7 Conferences of Professional Organizations for Women or Minorities

Organization _____ Site _____ Date _____

Attendee(s) _____ Estimated Cost _____

Organization _____ Site _____ Date _____

Attendee(s) _____ Estimated Cost _____

1.8 Special Mailings

Hist. Black Col & Univ. _____ Hispanic Serving Inst. _____ Tribal Col. _____

Directories of Recent Women and Minority Doctoral Recipients:

Directory _____ No. of Contacts _____

Directory _____ No. of Contacts _____

1.9 Networking with Women or Minority Scholars in the Discipline:

Search Committee Membership
_____ (Chair)

Rank & Dept (if diff. than position)

APPENDIX C

Standard Format for Tenure-Track Faculty Position Announcements

Department:

Rank:

Specialization(s):

Brief Description of Duties/Responsibilities:

(e.g. “Successful candidate will be expected to teach Freshman Composition, an upper-division major course in Contemporary American Literature, and a course in the area of one’s specialization. Candidate will have opportunity to collaborate with other faculty who are devoted to scholarship on Ethnic American Literatures and Women’s Literature. All faculty share student advising and committee assignments. Candidate will have opportunity to teach graduate courses and have a Graduate Research Assistant.”)

Minimum Qualifications:

(Standard Language: “Applicants must be at least ABD. If ABD, candidate must have earned doctorate by April 15, 2009.)

(e.g. Evidence of ability to teach university level writing effectively. Ability to engage in meaningful scholarship/creative activity, leading to presentations at professional meetings and publications in peer-reviewed journals in the discipline. Demonstrated commitment to teaching and mentoring undergraduate students.

Preferred Qualifications:

(e.g. “Earned Ph.D./Terminal Degree highly desirable. Equivalent of two years experience teaching Freshman Composition. Demonstrated record of scholarship/creative activity.”)

Application Process:

Please submit Letter of Interest, Current Curriculum Vita, Official Graduate Transcripts, and Three Letters of Recommendation to:

Dr. Barry Manilow, Chair, English Department Search Committee, SCSU, ...

In order for your application to be given full consideration, all materials must be received by November 10, 2006. Position will remain open until filled.

Standard Affirmative Action Statement (Language to be determined by Office of Equity and Diversity).

**APPENDIX D
AFFIRMATIVE ACTION RESPONSE CARD**

**Southern Connecticut State University
Office of Diversity and Equity Programs**

To The Applicant:

Thank you for your interest in employment with Southern Connecticut State University. We would appreciate your completing the *following information* and returning it to the Office of Diversity and Equity Programs at your earliest convenience to:

Ricep1@southernct.edu

Employment and participation in programs and activities at Southern Connecticut State University are non-discriminatory on the basis of sex, race, color, religion, age, national origin, handicapped status or veteran status. The information you are asked to provide is a result of a federal requirement of the university under Executive order 11246.

THIS INFORMATION WILL BE MAINTAINED IN FILES IN THE OFFICE OF DIVERSITY AND EQUITY PROGRAMS.

Please Complete:

Name:

Position Applied for Department
Position

Gender: ڤ Male ڤ Female
Race: ڤ African –American ڤ Asian ڤ Hispanic ڤ Native American
 ڤ White ڤ Other
Individual with a disability? ڤ Yes ڤ No
Vietnam era veteran? ڤ Yes ڤ No
Special disabled veteran? ڤ Yes ڤ No
Other covered or recently separated veteran? ڤ Yes ڤ No

How did you learn about this position?

- Chronicle of Higher Education
- Professional Journal/Newsletter
- Ethnic Media or Women’s Media
- College/University Placement Office
- College/University Academic Department
- Professional Society/Association
- Referral Agency
- Newspaper Advertisement. *Which paper?*
- Word of Mouth (Friend/Colleague)
- Internet
- Other

APPENDIX E
PRE-INTERVIEW ACTIVITIES

Scheduling

- Allow sufficient time for your interviews. If you have scheduled them "back-to-back", allow at least 15 minutes between appointments.

Environment

- Set up a quiet, interruption-free interview space. Have someone hold your calls. Eliminate distractions.
- Position the chairs appropriately. You should face the candidate and be able to observe facial expressions and hand/body gestures.
- Have "marketing materials" readily available, e.g., the SCSU Fact Book, about Southern, Department organizational chart, university materials.
- Applicants who inform you that they are disabled or physically challenged may require facility accommodations to attend the interview. Accommodate them. Call the Ex. Asst. President/Director of ODE if there are questions about making accommodations.

Preparing

- Ensure that each interviewer is assigned different questions to ask the candidates.
- Read the resume and/or application. Identify potential red flags -- gaps in employment, length of time in each position, progression of increasing responsibility with job changes, etc.

APPENDIX F**GUIDE TO EFFECTIVE INTERVIEWING****Analytical Ability**

Definition:

- Ability to separate data and information into elemental parts and to arrive at the nearest appropriate conclusion.
- Identifies problems and opportunities effectively and efficiently.
- Gets beneath the superficial considerations when evaluating a complex issue.
- Can recognize the pros and cons of an issue or approach.
- Displays confidence in own abilities and ideas.

Sample Interview Questions:

1. What are the advantages and disadvantages of [a job related issue about which the candidates should be knowledgeable]?
2. What do you think about [a job related issue]?

Educational Preparation

Definition:

- Success Orientation
- Leadership Roles
- Motivators
- Time Management Skills

Sample Interview Questions:

1. Tell me about your educational background. What influenced your educational goals? What has held you back from attaining your educational goals?
2. What are your plans for additional education?

Work Ethic

Definition:

- Stable Work History
- Motivators
- Performance Record
- References

Sample Interview Questions:

1. Tell me about your work history - the jobs you have held, the duties and responsibilities, and your reasons for leaving. Under what condition did you leave?
2. What did you like and dislike about each job?
3. What comments will the supervisors have about your performance? About your attendance? About your ability to get along with co-workers?
4. What would you do if you are offered a job which sounded exciting and challenging, but which is not a promotional opportunity? Why?

Judgment/Decision Making Skills

Definition:

- Comfortable with making decisions; does not avoid them.
- Knows when more facts are needed vs. having enough facts to make a sound decision.

Sample Interview Questions:

1. What process or specific steps do you take in making an important decision? What are they?
2. Tell me about the most difficult decision that you have made recently. Why was it difficult? On what basis did you make the decision?
3. What kind of decisions do you put off making?
4. Have you made any decisions that you wish now you had made differently? What went wrong?

High Initiative/Goal Orientation

Definition:

- Demonstrated initiative in their work and/or school experiences.
- Sets and accomplishes goals.
- Persistent in the pursuit of goals; does not discourage easily; rebounds rapidly from frustration and defeat.

Sample Interview Questions:

1. How have you shown initiative in your present job? What projects or activities have you initiated?
2. Tell me about the goals you have set for yourself.

3. Tell me about the most difficult goal that you have accomplished. What obstacles did you overcome to accomplish it?
4. What goals have you given up on?

Planning & Organizing

Definition:

- Plans and organizes complex tasks and work load adequately to accomplish them in a reasonable time and with reasonable results.
- Effectively plans the activities of their present job.
- Effectively organizes their individual work station, travel plans, etc.

Sample Interview Questions:

1. How do you plan your daily activities? Let's talk about your daily work routine. What tasks are high priority? What tasks are low priority?
2. How do you manage your time?
3. What is the most complex project you have ever worked on? How did you plan and organize that project?

Interpersonal Skills

Definition:

- Relates well to superiors, peers subordinates, customers, etc.
- Is tolerant and understanding of others.
- Accepts others; is not highly opinionated on the behavior of others; does not frequently put others down.
- Deals productively with people who are “difficult”, who have poor relationship skills.
- Does not create conflicts in his/her interpersonal relationships.

Sample Interview Questions:

1. Tell me about the most difficult person you have had to deal with. How did you handle him/her? How successful were you in dealing with him/her?
2. How frequently do you have to deal with someone that you really dislike? How do you do it? With what degree of success?

Comfort With Pressure

Definition:

- Deals effectively with pressure and stress on the job; is productive in a pressured environment.
- Has performed effectively in a pressured environment.
- Is confident of his/her ability to produce in a pressured environment.
- Does not mind, or even prefers, working in a pressured environment.

Sample Interview Questions:

1. What things cause pressure in your present job/present schedule? How do you handle it?
2. What is your usual response to stress?
3. Tell me about the strategies that you use to deal with stress.
4. Tell me about the impact stress has on your ability to perform. Give me examples.

Verbal Communication

Definition:

While reflecting on the interview, did the candidate:

- State facts in a logical manner?
- Express self effectively?
- Listen carefully?
- Speak when appropriate?
- Maintain good eye contact?
- Use appropriate grammar and vocabulary?
- Speak in an understandable manner?
- Understand and respond appropriately?
- Convey a sense of sincerity and honesty?

APPENDIX G
DURING THE INTERVIEW

- Establish rapport with the candidate. However, be careful of allowing "small talk" to go beyond relevant or appropriate issues.
- Listen! The interviewer/candidate speaking ratio should be 40/60 or 30/70.
- Maintain eye contact with the candidate.
- Tell the applicant you plan to take notes during the interview. Notes should be made in your own shorthand.
- Discuss company policies, re: parking, smoking, hours of work, and related policies or practices.
- Questions asked of disabled or physically challenged individuals should be the same as asked of those who are physically able. You may ask candidates if there are any circumstances which would prevent them from performing the job effectively. You should ask this of all candidates if you ask any one candidate.
- Ask the following types of questions:
 - Open ended
 - Reference
 - Assumption
 - Probing
 - Review (performance)
 - Experience
- All communication with the candidate should be objective and job related.
- Ask them for any questions they might have. Make note of particularly analytical or probing questions, or indications that the candidate has truly done his/her homework in preparing for the interview.
- Conclude the interview on a positive note. Keep in mind that this may be the candidate that you want to attract.
- Inform the applicant when to expect notification.

APPENDIX H
RESTRICTIONS ON INTERVIEW QUESTIONS

Interview questions must be strictly job related. They must probe the knowledge, skills and abilities identified for successful job performance. Such questions may address not only the specific subject matter as described by the job duties, but also the candidate's education, work ethic, interpersonal skills, initiative, planning and organizational ability and similar personal characteristics necessary for successful performance.

Personal-related questions and standards are not only irrelevant in determining the candidate's ability to perform the job, but are prohibited by Federal and State law. You are breaking the law if you question a candidate on any of the following personal matters:

1. Race – There are no job-related considerations that would justify asking an applicant a question based on race.
2. Religion - There are no job-related considerations that would justify asking about religious convictions, unless your organization is a religious institution, which may give preference to individuals of their own religion. Ask no questions about the candidate's social affiliations which may be interpreted as an attempt to determine the candidate's religion.
3. Gender – Generally, there are no appropriate questions based on the applicant's gender during the interview process. Specifically:
 - (a) Women are no longer protected under state wage/hour laws re: number of hours worked, lifting restrictions, etc.
 - (b) It is unlawful to deny a female applicant employment because she is pregnant, or planning to have a child at some future date.
 - (c) Questions on marital status, number of children, child care arrangements, etc. are not appropriate.
 - (d) Questions as to availability to work should be job-related: What hours can you work? What shift(s) can you work? Can you work on weekends and/or holidays?
4. Sexual Orientation - Under certain state and municipal laws, there are no permissible questions regarding an applicant's sexual orientation.
5. Height and/or weight restrictions – These questions may support gender or national origin discrimination claims unless their relationship to specific job requirements can be demonstrated.
6. Age – You may not ask a candidate their age, nor the age of a spouse or children. Nor may you ask a candidate what year they graduated from college as this may be construed as an attempt at arriving at the candidate's age.
7. Arrest & Conviction Records – Questions relating to an applicant's arrest record are improper, while questions of an applicant's conviction record may be asked, if job related. The Equal Employment Opportunity Commission and many states prohibit use of arrest

records for employment decisions because they are inherently biased against applicants in protected classes. The EEOC has issued a Revised Policy Statement covering the use of conviction records by employers in making employment decisions:

- (a) The employer must establish a business necessity for use of an applicant's conviction record in its employment decision. In establishing business necessity, the employer must consider three factors to justify use of a conviction record:
 - (1) Nature and gravity of the offense for which convicted;
 - (2) Amount of time that has elapsed since the applicant's conviction and/or completion of sentence; and
 - (3) The nature of the job in question as it relates to the nature of the offense committed.
 - (b) The EEOC's Revised Policy Statement eliminated the existing requirement that employers consider the applicant's prior employment history along with rehabilitation efforts, if any. The Revised Policy Statement requires that the employer consider job-relatedness of the conviction, plus the lapse of time between the conviction and current job selection process.
8. National Origin – You may not ask an applicant where he/she was born, or where his/her parents were born. You may ask if the applicant is eligible to work in the United States.
 9. Financial Status – An interviewer should not ask if the applicant owns or rents a home or car, or if wages have been previously garnished, unless financial considerations for the job in question exist. Any employer who relies on consumer credit reports in its employment process must comply with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act of 1996.
 10. Military Record – You may not ask what type of discharge the applicant received from military service. You may ask whether or not the applicant served in the military, period of service, rank at time of discharge, and type of training and work experience received while in the service.
 11. Disability – You may not ask whether or not the applicant has a particular disability. You may only ask whether or not the applicant can perform the duties of the job in question with or without a reasonable accommodation.

Although federal EEO laws do not specifically prohibit any pre-employment questions, the EEOC does look with "extreme disfavor" on questions about age, color, disability, national origin, race, religion, gender or veteran status. Many state fair employment laws do expressly forbid certain types of questions. Following is a representative list of unacceptable and acceptable questions. It is NOT all-inclusive.

<u>TOPIC</u>	<u>UNACCEPTABLE</u>	<u>ACCEPTABLE</u>
Reliability, Attendance	-Number of children? -Who is going to baby-sit? -What religion are you? -Do you have pre-school age children at home? -Do you have a car?	-What hours and days can you work? -Are there specific times that you cannot work? -Do you have responsibilities other than work that will interfere with specific job requirements such as traveling?
Citizenship/ National Origin	-What is your national origin? -Where are your parents from? -What is your maiden name?	-Are you legally eligible for Employment in the United States? - Same as above -Have you ever worked under a different name?
For Reference Checking	-What is your father's surname? -What are the names of your relatives?	-None -None
Arrest and Conviction	-Have you ever been arrested?	-Have you ever been convicted of a crime? If so, when, where and what was the disposition of the case?
Disabilities	-Do you have any job disabilities?	-Can you perform the duties of the job you are applying for?
Emergency	-What is the name and address of the relative to be notified in case of an emergency?	-What is the name and address of the person to be notified in case of an emergency? (Request only after the Individual has been employed.)
Credit Record	-Do you own your own home? -Have your wages ever been garnished? -Have you ever declared bankruptcy?	-None -Credit references may be used if in compliance with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act Of 1996. -None
Military Record	-What type of discharge did you receive?	-What type of education, training, Work experience did you receive while in the military?
Language	-What is your native language? Inquiry into use of how applicant acquired ability to read, write or speak a foreign language.	-Inquiry into languages applicant speaks and writes fluently. (If the job requires additional languages)
Organizations	-List all clubs, societies and lodges to which you belong	-Inquiry into applicant's membership in organizations which the applicant considers relevant to his or her ability to perform job. -Are you a union member?

Race or Color	-Complexion or color of skin. Coloring.	-None
Worker's Compensation	-Have you ever filed for worker's compensation? -Have you had any prior work injuries?	-None -None
Religion or Creed	-Inquiry into applicant's religious denomination, religious affiliations, church, parish, pastor or religious holidays observed.	-None
Gender	-Do you wish to be addressed as Mr.?, Mrs.?, Miss?, or Ms.?	-None
Addresses	-What was your previous address? -How long did you reside there? -How long have you lived at your current address? -Do you own your own home?	-None -None -None -None
Education	-When did you graduate from high school or College?	-Do you have a high school diploma or equivalent? -Do you have a university or college degree?

WHEN IN DOUBT AS TO THE LEGALITY OF A QUESTION, DON'T ASK IT!

APPENDIX I

POST-INTERVIEW ACTIVITIES

- Evaluate the interview results. Meet to discuss impressions and compare notes.
- Select the top two or three candidates. Rank them. Review any training needs required for candidates, particularly candidate number two and three.
- Check references!
- Ask the Hiring Department designated Search Committee support staff to send correspondence indicating "no interest" to all candidates not selected for further consideration.
- Correspondence indicating "no interest" for candidates two and three should be deferred until after candidate one has accepted the verbal offer, and indicated a start date. (We may even want to wait until the candidate actually resigns from their current job before rejecting candidate two and three. Rely on instincts!)
- Verbal offer will be made by the Dean to the candidate selected indicating that the offer is contingent upon satisfactory background check.
- If references are not satisfactory, decide to either probe further with additional references, or to reject this candidate. This will obviously depend upon the quality of the reference and the nature of the position for which the candidate is being considered. It may also depend upon what you have already learned about the candidate during your interview and may not change your opinion of the candidate.

APPENDIX J

SEARCH REPORT
OFFICE OF DIVERSITY & EQUITY PROGRAMS

SUBMISSION FOR CANDIDATE NUMBER I _____

SEARCH NUMBER: _____

DEPARTMENT: _____

Part 2. Leading candidates (List by preference the leading candidates for this position. Attach copies of their resumes. If the first approved candidate declines, authorization to make an additional offer may be sought from the appropriate Dean or Vice-President.)

<u>Choice</u>	<u>Name</u>	<u>Interviewed</u>	<u>Gender</u>	<u>Race</u>	<u>Remarks</u>
1st	_____	_____	_____	_____	_____
2nd	_____	_____	_____	_____	_____
3rd	_____	_____	_____	_____	_____
4th	_____	_____	_____	_____	_____

Please Note: Resumes *must be attached* for all finalists to complete the search file. Please provide a brief narrative summary on an attached page, which states why each candidate was not selected for the position.

Part 3. Authorization to make offer

Name _____

Starting Date: _____ Ending Date (use "P" if Permanent): _____

Full-time annual salary rate: _____

Special terms or conditions: _____

Chairperson/Director

Date

Dean

Date

Appropriate Vice President

Date

Executive Assistant to the President

Date

Associate Vice President for Human Resources

Date

Part 4. If candidate does not accept the position as offered, an offer can be made to a subsequent candidate.

**APPENDIX K
SEARCH CHECKLIST**

The Office of Diversity and Equity (ODE) audits all university searches. The following checklist highlights the documentation necessary to complete the final recruitment file for all full time positions:

Step I. Initiating a Search - The Personnel Change Request Form (PCRF) initiates the search process. Once you obtain the appropriate signatures on the PCRF, contact the (ODE) to obtain a search number. The search chair or his designee may do this via email, fax, or mail. The original plan will then be forwarded by ODE to Human Resources unless otherwise directed.

Date	Documentation	Initials
	Personnel Change Request Form (PCRF)	
	Affirmative Action Search Plan	
	Copy of the position description, announcement/advertisement	

Step II. Recruitment Strategies - Please contact the ODE via email to schedule a meeting to go over the affirmative action search procedures, recruitment strategies (as applicable) and candidate selection criteria once the Search Plan has been approved. A representative from (ODE) will attend the initial search meeting. After this meeting, the search chair will submit the following documents once developed via email to the ODE representative prior to scheduling interviews:

Date	Documentation	Initials
	Attended annual recruitment workshop	
	Copy of the core interview questions	
	Preliminary evaluation/selection criteria grid for all candidates	
	Reference check questions	

Step III. Notification of Applicants: All applicants should receive a letter acknowledging receipt of their application and an affirmative action response card. The search committee chair is responsible for sending out the acknowledgement cover letter with an affirmative action response card. The search number should be posted on the cards prior to mailing so that they can be properly filed in ODE. All correspondences to applicants must be maintained by the search chair. Completed affirmative action response cards are sent to ODE by applicants voluntarily. This information is used to determine what the applicant pool is like and will be compared to the proposed list of candidates sent to ODE in Step II of the process.

Date	Documentation	Initials
	Acknowledgement letter and cards sent	

Step IV. Interview Process: The following items should be submitted by the search committee chair for approval by the dean, the provost and the ODE of candidates prior to scheduling on campus interviews:

Date	Documentation	Initials
	List of recommended candidates	
	Proposed itinerary for interviews	
	Copies of the resumes and letters of reference for each candidate being interviewed (as requested)	

Step V. Search Conclusion/Search Report: A Search Report is required prior to hire. The following items should be submitted to ODE at the conclusion of the Search. The provost and the dean will review this report prior to the ODE. This report must be completed in detail. The codes may be used and should be consistent with the selection grid. Further justification may be requested for searches that do not meet affirmative action goals. Written justification will also be required when recommending unranked finalist for consideration. Search committees are required to submit recommendations to the dean identifying strengths and weaknesses for each finalist.

Date	Documentation	Initials
	Final selection criteria grid with written justification	
	Verbal offer made by dean	
	Search Report completed by the dean with justification	

Step VI. Job Offer – A formal job offer made not be made without the approval of the appropriate parties.

Date	Documentation	Initials
	Background check completed by Human Resources	
	Completed Personnel Action Form (PAF)	
	Appointment letter signed by the president	

Candidates that were interviewed and not selected should receive a letter indicating search has been closed and that a successful candidate has been chosen. Internal applicants should be notified of the search outcome in accordance with collective bargaining agreements. Sample copies of all correspondence to candidates, memos regarding the search, reference check information, etc. should be available to the ODE upon request.

APPENDIX L

PERSONNEL ACTION FORM

For all Admin. Faculty, Management, or Full Time Faculty, please submit paperwork to Human Resources, WT Bldg.

Name _____	Search Number: _____
Street _____	US Citizen _____
_____ City State Zip Code	YES NO
Home Phone No. _____	

Action Type: _____

New Hire Promotion Salary Increase Only Transfer Other (Specify) _____

Appointment Type: _____

Full Time Part Time Temp. Emergency

Faculty: _____

Regular Regular w/Conditions Defined Term Special Special Type: A B C D (Circle One)

Education: (Highest Degree Held) _____

Effective Date: _____ **Last Incumbent:** _____

Has this person ever been employed by the State (including SCSU) before? YES _____ NO _____

If so, when and where? _____

Is this person on another State payroll? YES _____ NO _____

If yes, has a Dual Employment Request Form been submitted? YES _____ NO _____

CURRENT OR NEW HIRE	
Department	_____
Title	_____
Rank	_____
Bi-Weekly Salary	_____
Annual Salary	_____
Position #	_____
Org. #	_____

TO (IF APPLICABLE)	
Department	_____
Title	_____
Rank	_____
Bi-Weekly Salary	_____
Annual Salary	_____
Position #	_____
Org. #	_____

Approved:

Chairperson/Director	_____	Date	_____
Dean/Director	_____	Date	_____
Appropriate Vice President	_____	Date	_____
Executive Assistant to the President	_____	Date	_____
Assoc. Vice President for Human Resources	_____	Date	_____

The Following Information Is To Be Filled Out By Affirmative Action

Ethnicity _____ White _____ Black _____ Hispanic _____ Asian or Pacific Islander _____ American Indian or Alaskan Native	Gender _____ Female _____ Male	Veteran Status _____ Non-Veteran _____ Veteran	Any Disability? _____ YES _____ NO
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