

COLLEGE OF LETTERS AND SCIENCE  
EVALUATION CRITERIA FOR CHAIRS AND DIRECTORS

1. **Planning and organizing.** Formulates short- and long-term goals and objectives; evaluates and prioritizes unit needs; anticipates future issues and develops strategies for addressing them; organizes and prioritizes work effectively.
2. **Personnel matters.** Effective in recruiting, interviewing, selecting, and hiring; thorough, fair, and rigorous in tenure and promotion decisions; effective in process and emphasizes performance in merit reviews; emphasizes faculty and staff development.
3. **Diversity.** Exerts effort to diversify faculty, staff, and student body and has demonstrated success.
4. **Budget management.** Reports on budget factually; ties budget requests to programmatic needs; controls costs; monitors and oversees use of funds; allocates resources effectively and in a timely fashion.
5. **Communication.** Communicates effectively in oral and written form; keeps others informed; is accurate, thorough, and punctual in reports and in responses to requests.
6. **Maintaining relationships.** Develops and maintains smooth and effective working relationships with other administrators, faculty, and staff; displays personal concern for faculty and staff; supports the faculty and staff as appropriate; encourages and fosters cooperation and institutional responsibility.
7. **Emphasizes quality in instructional programming.** Concerned with the quality of programs at the undergraduate and graduate levels, and with teaching effectiveness, student recruitment, and advising.
8. **Emphasizes quality in research.** Facilitates and encourages excellence in research and scholarship; fosters efforts to achieve competitive national ranking.
9. **Enrollment management.** Sensitive to meeting student needs for open classes; shows concern for recruitment, retention, degree productivity, and placement; adopts comprehensive view of enrollment management.
10. **Extrdepartmental matters.** Involved with college and university matters; is sensitive to advancement of the unit and its public relations; effectively represents the university; persuades others inside and outside the institution to support initiatives.
11. **Personal academic accomplishments.** Continues research, teaching, and service activities at professional level.



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# Council of Colleges of Arts and Sciences

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August 9, 1999

## MEMORANDUM

TO: CCAS Deans

FROM: Luis F. Costa, President, CCAS *L.F. Costa*

RE: Ethics of Faculty Recruitment

In 1992, CCAS adopted the attached statement on "The Ethics of Recruitment and Faculty Appointment." The document was also adopted by the AAUP at its annual meeting a year later. As we approach the fall term and begin planning for the recruitment of new faculty, we thought it important to send it out to you once more. Its standards for conduct in searches are broad enough as not to inhibit anyone from finding the most desirable candidate for the job. At the same time, the document outlines a series of responsibilities that both faculty and administrators have found appropriate as safeguards and models of general behavior for the recruitment process.

We believe that our membership generally adheres to these or similar guidelines, which are not meant to take precedence over whatever official policies your institution has in place. Nevertheless, the enclosed statement may be useful in reminding department chairs and others participating in your searches about the importance of observing basic ethical procedures in searching for and recruiting new faculty.

## THE ETHICS OF FACULTY RECRUITMENT AND APPOINTMENT

A statement adopted by the Council of Colleges of Arts and Sciences in November, 1992.  
Jointly adopted by the American Association of University Professors in June, 1993.

### PROLOGUE

The standards which follow are intended to apply to the recruitment and appointment of faculty members in most colleges and universities. These standards are directed to administrators and faculty members in the belief that they will promote the identification and selection of qualified candidates through a process which promotes candor and effective communication among those who are engaged in recruitment. The standards are offered not as rules to serve every situation, but with the expectation that they will provide a foundation for appropriate practices. The spirit of openness and shared responsibility which these standards are intended to convey are consistent with affirmative action as well as other guiding principles in the recruitment of faculty.

### I. THE ANNOUNCEMENT OF A FACULTY POSITION

A. Prior to the announcement of a faculty vacancy, there should be agreement among all responsible parties on each major element of the position (e.g., rank, salary, and eligibility for tenure), how the position relates to the department's (or equivalent unit's) likely needs for the future, the expectations concerning the professional work of the faculty member(s) being recruited, and the resources that will be provided to help the faculty member(s) meet those expectations.

B. An institution that announces a search should be genuinely engaged in an open process of recruitment for that position. Descriptions of vacant positions should be published and distributed as widely as possible to reach all potential candidates. The procedure established for reviewing applicants and for selecting final

candidates should be consistent with the institution's announced criteria and commitment to a fair and open search.

C. All announcements for faculty positions should be clear concerning rank, the length of the appointment, whether the position is with tenure or carries eligibility for tenure, whether the availability of the position is contingent upon funding or other conditions, teaching and research expectations, and requisite experience and credentials. Criteria and procedures for reappointment, promotion, and tenure at the institution, as well as other relevant information, should be made available to all interested candidates upon request.

D. Interested candidates should have at least thirty days from the first appearance of the announcement to submit their application.

### II. CONFIDENTIALITY, INTERVIEWS, AND THE FINAL DECISION

A. Institutions should respect the confidentiality of candidates for faculty positions. The institution may contact references, including persons who are not identified by the candidate, but it should exercise discretion when doing so. An institution should not make public the names of candidates without having given the candidate the opportunity to withdraw from the search.

B. Those who participate in the interview should avoid any discriminatory treatment of candidates. All communications with the candidates concerning the position should be consistent with the information stated in the announcement for the position.

C. Candidates for faculty positions should disclose in a timely fashion conditions that might materially bear upon the institution's decision to offer the appointment (for example, requirements for research funds, unusual moving costs, a delayed starting date, or the intention to retain an affiliation at the institution with which the candidate is currently associated).

D. If candidates request information about the progress of the search and the status of their candidacy, they should be given the information.

E. The institution's decision about which candidate will be offered the position should be consistent with the criteria for the position and the duties as stated in the announcement of the vacancy. If the selection of the final candidates will be based on significant changes in the criteria for the position or the duties as stated in the original announcement, the institution should start a new search.

### III. THE OFFER AND THE ACCEPTANCE

A. The institution may wish to provide informal notification to the successful candidate of its intention to offer an appointment, but the formal offer itself should be an unequivocal letter offering appointment signed by the responsible institutional officer. "Oral offers" and "oral acceptances" should not be considered binding, but communications between the successful candidate and those representing the institution should be frank and accurate, for significant decisions are likely to be based on these exchanges. The written offer of appointment should be given to the candidate within ten days of the institution's having conveyed an intention to make the offer; a candidate should be informed promptly if the offer is not to be forthcoming within ten days.

B. The terms of an offer to an individual should be consistent with the announcement of the position. Each of the following should be stated clearly in the letter offering an appointment: (a) the initial rank; (b) the length of the appointment; (c) conditions of renewal; (d) the salary and benefits; (e) the duties of the position; (f) as applicable, whether the appointment is with tenure, the amount of credit toward tenure for prior service, and the maximum length of the probationary period; (g) as applicable, the

institution's "startup" commitments for the appointment (for example, equipment and laboratory space); (h) the date when the appointment begins and the date when the candidate is expected to report; (i) the date by which the candidate's response to the offer is expected, which should not be less than two weeks from receipt of the offer; and (j) details of institutional policies and regulations that bear upon the appointment. Specific information on other relevant matters also should be conveyed in writing to the prospective appointee.

C. An offer of appointment to a faculty member serving at another institution should be made no later than May 1, consistent with the faculty member's obligation to resign, in order to accept other employment, no later than May 15. It is recognized that, in special cases, it might be appropriate to make an offer after May 1, but in such cases there should be an agreement by all concerned parties.

D. The acceptance of a position is a candidate's written affirmative and unconditional response sent by the candidate to the institution no later than the date stated in the offer of appointment. If the candidate wishes to accept the offer contingent upon conditions, those conditions should be specified and communicated promptly in writing to the institution which is offering the position.

E. If the candidate intends to retain an affiliation with his or her current institution, that circumstance should be brought promptly to the attention of the current institution and the recruiting institution.

F. Individuals who accept an appointment should arrive at the institution in sufficient time to prepare for their duties and to participate in orientation programs.

### Diversity Goals

The College is committed to the campus's twin goals of excellence and diversity. The discussions about SP-1, SP-2, and Proposition 209 have generated questions about how the College of Letters and Science encourages, monitors, and enforces federal responsibilities for affirmative action in faculty and student recruitment and retention.

Given federal requirements and UC's commitment to the development of a campus climate that supports equality and diversity, it is important that chairs promote and support activities that will result in diverse candidate and student recruitment pools. When evaluating FTE requests, deans will pay attention to the academic availability pools and to the sub-area in which a unit is recruiting to determine if units are maximizing the possibility of a diverse pool while not distorting the academic goals of the unit or the university. To help assure a diverse student population, the campus undertakes a program of early outreach to the K-14 schools along with hosting statewide regional receptions to permit prospective students and their family members to meet UCSB faculty, administrators, and enrolled students. Faculty cooperation is essential to these efforts.

To assist chairs and faculty in pursuing activities that benefit diversity efforts and promote UCSB's commitment to diversity, the College has a limited pool of funds available to provide travel support to attend professional meetings or workshops related to the theme of diversity, or to make personal contact with prospective underrepresented faculty or students. For details, see the Diversity Outreach Travel Fund, III.C.

Given federal requirements and UC's commitment to diversity, all members of the campus community can assist in promoting activities that will result in a diverse campus population.

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Source: Provost's Office, October 1999; July 2004.

### Diversity Outreach Recruitment

The College is committed to assisting departments to identify prospective minority and women faculty members and graduate students who might be interested in UCSB. In July 2002, President Atkinson reaffirmed the importance of hiring faculty with demonstrated records of research, teaching and service that will address the needs of our increasingly multicultural state.

To assist units in carrying out this endeavor, the College has a limited amount of outreach funding available for travel to professional meetings or to select other locations for informal recruitment activities. Recipients of diversity outreach funds must demonstrate prior to the trip that there is a strong likelihood that there will be potential underrepresented candidates at the travel location. Preference will be given to proposals that target conferences and meetings that large numbers of women and minority faculty and graduate students are expected to attend or that have diversity issues as a thematic focus. Faculty might also wish to schedule meetings with faculty or graduate students at state colleges and universities. For example, meetings with graduate students at one of the HBCUs might be an appropriate recruitment activity especially when combined with presence at an academic conference.

The College will assist faculty by providing information about the open ladder positions in the College. In addition, the College will provide appropriate brochures and materials about L&S departments and programs.

Applications for travel funds will be limited to the least expensive round-trip airfare, hotel, meals, and the conference registration fee. In some cases, partial funding may be awarded. A brief report after the trip is required.

Using the form immediately following, submit applications to the Office of the Provost. Questions may be directed to Mary Lum at ext. 2206 or Bryant Wieneke, ext. 3627.

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Source: Originally issued as College Memo 96-97 #6 , August 22, 1996; July 2004.

COLLEGE OF LETTERS AND SCIENCE  
DIVERSITY RECRUITMENT TRAVEL PROPOSAL

Unit \_\_\_\_\_ Date \_\_\_\_\_

Name of applicant \_\_\_\_\_ Office phone \_\_\_\_\_

Conference \_\_\_\_\_ Sponsor \_\_\_\_\_

Dates of Conference \_\_\_\_\_ Place \_\_\_\_\_

Why is this conference/meeting appropriate for diversity recruitment activities? Attach a "call for papers" or conference program if available.

What specific expertise do you have to carry out this diversity recruitment activity?

What specific activities are planned?

Requested support from the College (not to exceed University guidelines for travel):

Airfare \_\_\_\_\_

Hotel \_\_\_\_\_

Meals \_\_\_\_\_

Registration \_\_\_\_\_

Total \_\_\_\_\_

Will funding support be requested from any other source? If so, please indicate source and amount to be requested: \_\_\_\_\_

If I am selected as a recipient of these diversity recruitment funds, I will submit a full report of my activities upon my return to campus.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

I have read this application and recommend its approval.

\_\_\_\_\_  
Chair/Director

\_\_\_\_\_  
Date

Send to: Provost, College of Letters and Science

III-C-2

## Ladder Faculty Recruitment Issues

Several years ago, the California Legislature approved an audit of equal employment opportunity/affirmative action practices in hiring on all UC campuses. The audit findings prompted the Office of the President to issue the “University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty”, <http://www.ucop.edu/acadadv/fgsaa/affirmative.html>. Please review this document before initiating any ladder faculty search.

In July 2002, President Atkinson reaffirmed the importance of hiring faculty with demonstrated records of research, teaching and service that will address the needs of our increasingly multicultural state. To help attract new faculty members who pursue research and instruction that illuminate issues of race, ethnicity, and equality, the *Faculty Enrichment Program* was established. This program aims to promote academic diversity by hiring faculty who meet at least one of these criteria: a) are engaged in research that advances the understanding of issues such as race, ethnicity, gender, and multiculturalism as they intersect with traditional academic fields, or research that examines socioeconomically or politically disadvantaged groups in areas such as community development, public health, urban affairs, social justice, or educational reform; b) have demonstrated a commitment to issues of social, educational, and economic disadvantage as evidenced by their record of teaching and service; or c) have been awarded UC President’s Postdoctoral Fellowships since 1995.

To help ensure that UC ladder rank faculty openings are widely publicized, the Office of Academic Advancement at the Office of the President will fund advertising in national publications that reach a diverse audience; website links to individual campus announcements of faculty openings will be developed.

The College will adhere to the following principles and practices in ladder faculty FTE recommendations and searches:

1. FTE requests will be evaluated by the deans in the context of previous and current efforts in the unit to promote diversity. Deans will pay special attention to the availability pools in the discipline and sub-area in which a unit is recruiting to determine if units are maximizing the possibility of a diverse pool while not distorting the academic goals of the unit or the University.
2. To initiate a ladder faculty search, departments submit a “Recruitment Plan for Academic Vacancies” form (Red Binder V-13), along with a suggested advertisement for the job opening. Up to \$1,000 of College funds may be requested to help defray advertising costs. Ads must include wording indicating that the University of California is an Equal Opportunity/Affirmative Action Employer. It is also consistent with UC policy to

state that “all qualified applicants are encouraged to apply, including minorities and women.”

3. As the search proceeds to the point of recommending finalist candidates to be brought to the campus, Application Evaluation Forms (Red Binder V-19) must have been completed before the formal EO/AA request for on-campus interview approval is submitted (see Red Binder V-11). The CVs of all women and minority candidates are to be reviewed by the dean to ensure that strong candidates are not being overlooked.
4. After the EO/AA review has been reviewed by the Affirmative Action Office and the dean, units will be notified in writing of those finalist candidates approved for campus visits. Final travel plans cannot be confirmed until formal approval has been granted by the dean. In rare instances, exigent travel approval may be necessary. The chair should communicate the special circumstances to the dean before inviting the candidate to interview with the department.
5. Up to three recruitment visits, if justified, from anywhere in the U.S. or world will be supported by College funds. Additional recruitment visits are to be supported by departmental or other funds under the control of the department. Use the “Request for Letters and Science Recruitment Travel Approval form”, L&S Policy Manual Section III-G, to request travel approval.
6. Recruitment candidates must meet with an academic administrator(s) during their campus interview. See L&S Policy Manual Section III-F for details.
7. Please also review “Faculty Recruitment Reminders,” L&S Policy Manual Section III-E. Questions regarding ladder faculty recruitment may be directed to the dean, Suzanne Forester (ext. 7217), or Bryant Wieneke (ext. 3627).

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Source: Provost’s Office, October 2001; July 2004.