

Guide to Recruiting a Diverse Faculty

Diversity and Inclusion Office Shaping Our Future Through Inclusion



Table of Contents

<i>Message from Terence R. Flotte, MD</i>	- 1 -
<i>Message from Deborah L Plummer, PhD</i>	- 2 -
<i>UMMS Diversity and EEO Statement</i>	- 3 -
<i>Search Process Guidelines</i>	- 4 -
<i>Creating a Recruitment Plan to Enrich the Applicant Pool</i>	- 6 -
<i>Composing the Search Committee</i>	- 7 -
<i>UMW Guidelines for Creating Advertisement Content for Open Positions</i>	- 8 -
<i>Posting and Advertising Guidelines</i>	- 9 -
<i>ADVERTISING TEMPLATE</i>	- 9 -
<i>Selecting a Candidate</i>	- 11 -
<i>SCREENING APPLICATIONS AND EVALUATING CANDIDATES</i>	- 11 -
<i>RAISING AWARENESS OF UNCONSCIOUS ASSUMPTIONS AND BIAS</i>	- 11 -
<i>UNRAVELING WHAT MOST OR BEST QUALIFIED MEANS</i>	- 12 -
<i>TIPS FOR EQUITY IN NEGOTIATIONS</i>	- 12 -
<i>ACKNOWLEDGING UNSUCCESSFUL CANDIDATES</i>	- 12 -
<i>Interview Guidelines</i>	- 13 -
<i>INTERVIEW TECHNIQUES</i>	- 13 -
<i>Behavioral-based interviewing</i>	- 13 -
<i>Situational interviewing</i>	- 13 -
<i>Core Values interviewing</i>	- 14 -
<i>Mission-Based Interviewing</i>	- 14 -
<i>Traditional interviewing</i>	- 14 -
<i>ADDITIONAL SAMPLE INTERVIEW QUESTIONS</i>	- 15 -
<i>ACADEMIC EXPERIENCE</i>	- 15 -
<i>TECHNICAL/FUNCTIONAL SKILLS</i>	- 15 -
<i>Communication Skills/Collegial Relations</i>	- 15 -
<i>PLANNING/ORGANIZATION</i>	- 15 -
<i>LEGAL CONSIDERATIONS</i>	- 17 -
<i>Appendices</i>	- 18 -
APPENDIX A: RESOURCES FOR RECRUITING DIVERSE FACULTY.....	- 19 -
APPENDIX B: FACULTY RECRUITMENT PROCESS SUMMARY.....	- 21 -
APPENDIX C: ADMINISTRATIVE DECISION FOR FACULTY HIRES REQUEST FORM.....	- 22 -
APPENDIX D: AUTHORIZATION FOR FACULTY SEARCH.....	- 23 -
APPENDIX E: FACULTY POSITION REPORT.....	- 25 -
APPENDIX F: SUGGESTED READING.....	- 27 -
APPENDIX G: FREQUENTLY ASKED QUESTIONS.....	- 28 -

Message from Terence R. Flotte, MD
Celia and Isaac Haidak Professor of Medical Education
Dean, Provost and Executive Deputy Chancellor

As a leading Academic Health Sciences Center, the University of Massachusetts Medical School (UMMS) is aggressive in our pursuit of the best talent among educators, clinicians, and scientists. We seek faculty who are equipped to become the next generation of outstanding leaders in their fields. To be a truly outstanding academic health sciences center, we must be role models for members of the next generation who represent our community in the broadest sense. This means recruiting and retaining faculty members who have the potential to be truly outstanding in their own individual fields of expertise and share an interest in fulfilling the common goals of the institution. The spirit of collaboration across our campus community is one of our most attractive and distinctive attributes, and we seek faculty who will espouse this collaborative spirit. Enhancing the diversity of our faculty further enriches the culture of our campus and strengthens our ability to attract under-represented students and trainees – our “pipeline” for developing the workforce of the future.

This ***“Guide to Recruiting a Diverse Faculty”*** was developed as a comprehensive resource for department chairs, directors of programs, centers and institutes, search committees, and administrative staff. You all play an important role in the recruitment of faculty. The guide is intended to support UMMS’ commitment to diversity helping to ensure each search taps a truly outstanding and broadly representative applicant pool.

In accordance with our commitment to promote both superior academic achievement and diversity among our faculty, I call upon you to utilize this practical guide as one way to engage actively in this important effort toward achieving a culture at UMMS supporting excellence and fostering diversity and inclusion.



Terence R. Flotte, MD

June 5, 2017
Date

***Message from Deborah L Plummer, PhD
Vice Chancellor/Chief Diversity Officer***

To achieve remarkable results and our institutional mission, an inclusive organization must be created. We embrace diversity in its many dimensions and strive to create an organizational structure that meets the needs of every individual who makes up our community. Several diversity resource groups and university leadership positions exist within UMMS to drive our inclusion efforts. Diverse groups are a powerful force. They generate more ideas, make positive changes and help advance great institutions like UMMS.

The Diversity and Inclusion Office (DIO) is the principle vehicle to guide the implementation of our diversity and inclusion strategies and programs. However, all of us have a role in helping to achieve a high performing, inclusive learning community. Through the DIO, a number of resources and services are available to help create an organizational culture that maximizes the potential for diversity to achieve our vision of becoming one of the nation's most distinguished academic health sciences center. Following the guidelines not only ensure compliance with OFFCP requirements but best positions us to achieve our diversity goals.

Through our self-study process and cultural assessment we have identified many areas of strength for UMW:

- Our Institutional Diversity Plan was created through a robust, collaborative process across the system.
- Our goals for managing diversity are supported by dedicated programs, policies and community partnerships.
- Cultural Competence education is woven throughout the curriculum in all three schools, in our strategic business units and in faculty and staff professional development programs.
- We have dedicated funds to support faculty diversity.
- We have established a track record for the advancement of women as department chairs, center and program directors, associate and senior deans, vice provosts and vice chancellor.

Yet, the work remains to increase our numbers of faculty from underrepresented groups. Using the search process procedures outlined in this guide will ensure that our searches attract the best talent.

To achieve our institutional mission, an inclusive organization must be created. At UMW we embrace diversity in its many dimensions and strive to create an organizational structure that meets the needs of every individual who makes up our community. Diverse groups are a powerful force. They generate more ideas, make positive changes and help advance great institutions like UMW.



Deborah L. Plummer PhD

June 5, 2017

Date

UMMS Diversity and EEO Statement

Diversity is inherent in University of Massachusetts Medical School's mission to advance the health and well-being of the people of the Commonwealth and the world. As a leading academic health sciences center, we are preparing tomorrow's physicians, nurses and scientists to serve and relate to a multicultural society by

- building an inclusive culture characterized by civility and respect,
- increasing numbers of underrepresented groups in student, faculty and staff positions,
- improving the cultural competence of our workforce through diversity education and programming, and
- advancing health equity by making a significant impact on reducing disparities through research, service and practice.

Diversity at UMMS is fully embraced and fundamental to its institutional excellence.

Vision: Diversity compels UMMS to lead in the development and implementation of innovative approaches to health sciences education, research and public service.

Mission: Through consultation, regulation, education and collaboration, the Diversity and Inclusion Office (DIO) is a catalyst for an inclusive academic medical health sciences center comprised of a diverse faculty, staff and student body who possess the cultural competencies necessary to serve the people of the commonwealth and the world.

Search Process Guidelines

As a leading academic health sciences center, the University of Massachusetts Worcester (UMW) is proactive in its pursuit of the best talent and committed to a policy of equal opportunity without regard to race, color, religion, gender, gender identity or expression, age, sexual orientation, national origin, ancestry, disability, military status, or genetic information in employment, admission to and participation in academic programs, activities, and services, and the selection of vendors who provide services or products to the University.

To fulfill that policy, the UMW is further committed to a program of affirmative action to eliminate or mitigate artificial barriers and to increase opportunities for the recruitment and advancement of qualified minorities, women, persons with disabilities, and covered veterans. It is the policy of the University of Massachusetts to comply with the applicable federal and state statutes, rules, and regulations concerning equal opportunity and affirmative action.

A competitive search process is required to fill all faculty positions, except in the circumstances listed below. Positions should be posted on Academic Jobs Online before initiating the interview process. In a competitive search process, the position remains open until a candidate has accepted the offer and the advertising states that the position is “open until filled.”

Automatic exceptions to a competitive search process (*no waiver required*):

- Visiting Faculty Positions: Assistant, Associate Professors, Professors
- Other Visiting Academic Positions: Lecturers, Instructors, Adjuncts, Post Docs
- Internal department promotions within a faculty career path
- Academic hourly
- Temporary non-renewable appointment of up to one year
- Appointment to a faculty rank and title, regardless of the length of term without compensation of a similar position (e.g. honorific titles)
- Part-time appointments up to 50%
- An acting or interim appointment made in exigency—typically for one year (acting or interim appointments may not be changed to a permanent appointment without a search).

Search Exemption: possible exceptions to a competitive search process may be permitted in the circumstances listed below. A waiver must be requested with written justification.

- Acquisitions – Situations where a UMW department or business unit acquires or hires individuals from another organization (e.g. New England Newborn Screening Program, UMass Biologics, Worcester Foundation) .
- Negotiated Hires in Faculty Recruitment Package (including spouse/partner or laboratory personnel) – In circumstances where it is necessary to recruit a successful candidate of a pre-existing search, or to retain a faculty member. The position(s) must be clearly delineated in the offer letter to include names and titles of individuals that will be hired and begin employment within a designated time period. The rationale for the exemption and programmatic needs justifying the employment of the faculty, staff or accompanying spouse/partner appointment must be provided.

- Opportunity Hires to Increase Diversity – Opportunity hires are intended to support the mission of UMW and the strategic diversity goals of increasing diversity of faculty. Such appointments of underrepresented minority faculty made without a national search are intended to be rare and must be based on compelling evidence that the hire will advance diversity. The rationale for the hire must be outlined in the [Administrative Decision for Faculty Hires Request Form](#).
- Internal Promotion with Expanded Responsibilities – In cases where a new position is created to address the needs of the institution and there is a natural trajectory of an existing position, an appointment can be made without the standard search process. In such cases, the created position must not have existed before. The previous position of the candidate cannot be posted or filled by another individual for one year.
Appointments can be made to exiting administrative leadership positions (such as Vice Chancellor) without the standard search process if the position is ≤ 50% effort assignment. All administrative leadership positions with > 50% effort assignment would require an open search.
- Non-tenure track Research Faculty bringing grant-funded salary support: In cases where the individual hired serves as the principal or co-principal investigator of an approved research grant(s) that specifically designates salary support through extramural funding, an appointment can be made without the standard search process. In such cases, the professionally-salaried is deemed temporary and therefore not a ‘faculty line’ position open for recruitment. Written justification must include an explanation of funding sources.

Process for Obtaining Authorization for a Search Waiver:

- [Administrative Decision for Faculty Hires Request Form](#) with written justification for the search waiver request and the [Faculty Position Report](#) are completed and forwarded for approval by DIO and Central Administration.
- Department may begin the hiring process upon receipt of signed [Faculty Position Report](#).
- All records of the hiring process must be documented and retained by DIO.

Expedited search process may be permitted in certain circumstances listed below. In an expedited search, the process is where the posting period can be limited (minimum 3 months required) and the entire process is accelerated. An expedited search must be requested with written justification.

- Internal department transfer:
 - postdoc entering a faculty career path (i.e. to Instructor or Assistant Professor)
 - non-tenure track to tenure track
- Unquestioned preeminence in the field that would make a longer search process inefficient
- Other extraordinary circumstances and upon a written finding of a compelling necessity

Process for an Expedited Search:

- [Administrative Decision for Faculty Hires Request Form](#) with written justification for the expedited search request and the [Authorization for Faculty Search](#) form must be approved by the Provost and DIO. An expedited search restricted to internal candidates only must also be approved through written justification.
- All of the standard search procedures must be adhered to in an expedited search with the following exception: posting time period (minimum 3 months required).
- An offer can be made no sooner than three months from the initial posting.
- All records of the hiring process must be documented and retained by Human Resources, similar to a competitive search process.

Creating a Recruitment Plan to Enrich the Applicant Pool

Faculty recruitment in academic health sciences remains a very competitive process on a national and international level. Research has shown that search committees succeed in hiring women and underrepresented minorities when they transform the search process, are committed to diversity and are proactive about building a diverse applicant pool.

Search committees that transform the recruitment process proactively design strategies that go beyond using advertising as a way to attract candidates. A robust recruitment plan increases the pool of candidates to include significant numbers of women and underrepresented minorities. The following suggestions can support committees to transform the search process:

- Encourage faculty and staff attending professional conferences or delivering papers at other academic settings to make personal contacts with women and underrepresented groups.
- Contact former students and postdoctoral scholars who are women or from underrepresented groups as potential candidates or for suggestions of other potential candidates.
- Contact colleagues elsewhere for suggestions of promising candidates who are women or from underrepresented groups.
- Women and/or those from underrepresented groups are potential candidates that can be informed about programs designed to aid in recruiting such faculty members that UMW has to offer.
- Invite women and underrepresented group scholars from other institutions to participate in department sponsored symposia and visiting professorships.
- Go beyond the usual range of institutions from which you recruit.
- When contacting colleagues, specifically ask for recommendations of candidates from groups that will draw women and underrepresented minorities.
- Consult with colleagues to identify potential applicants.
- Contact departments at other institutions especially those with a diverse student body.
- Utilize directories and rosters of prestigious fellowship programs at both the dissertation and postdoctoral levels that support individuals from diverse backgrounds.
- Consider candidates who may be currently under-placed and doing excellent work at less well-ranked institutions.
- Diverse scholars who have received grants and/or professional recognition can serve as excellent resource persons for referrals.
- Write to historically Black colleges and universities (HBCU's) and Hispanic Serving Institutions (HSI's) to secure lists of doctoral students graduating in a particular field.

Composing the Search Committee

One of the first steps in a faculty search is the appointment of a search committee. In order to provide a variety of perspectives and expertise, the committee should be comprised of at least four (4) members, including the search committee chair. Search committee members who understand the requirements of the position and who are committed to the mission and goals of the University are best qualified as members. Ideally, the composition of the search committee includes individuals from diverse backgrounds as described below.

Search committee members as well as those who formally provide an evaluation of a candidate must complete the required training program. The information provided during this training outlines the steps that must be taken to comply with UMW's faculty recruitment and hiring procedure, as well as advancing UMW's goal of diversifying its faculty. Faculty must complete the training prior to serving on a search committee. Search committee members and others may complete the training program through the following options:

- Prior to the first search committee meeting, DIO staff facilitates a group session for the search committee
- Attendance at a departmental training session facilitated by DIO staff
- Attendance at one of the general training sessions offered by DIO staff.

Upon completion of the training, participants will receive a notice of completion effective for up to five years. After five years or if significant changes occur in UMMS affirmative action policies during the five year period, individuals are required to be recertified. Recertification can be obtained via completing an on-line module developed by DIO staff.

Other points for consideration in assembling an optimal Search Committee:

- A special effort should be made to ensure that minorities and women have equal opportunity to serve on search committees in order to offer diverse perspectives and new ideas that may enhance efforts to recruit and evaluate diverse candidates.
- If the small number of women and minority faculty in the department or school precludes their membership on the search committee, consideration may be given to including women or minority faculty from other departments on the search committee.
- If women or minority faculty are not available to serve as members on the search committee, the Hiring Authority may identify one member of the committee to serve as an advocate for diversity. Faculty serving in this position will assist the search committee with diversity aspects of the search, including outreach efforts and monitoring the diversity of the applicant pool. The Vice Chancellor for Diversity and Inclusion (or designee) is available to brief the diversity advocate so he or she feels competent to perform his or her role.
- Representative members from the Committee on Equal Opportunity and Diversity and the Women's Faculty Committee should be provided the opportunity to meet with final candidates and provide feedback to the committee for searches for Chairs of Departments and senior level administrative positions with institutional impact.

UMW Guidelines for Creating Advertisement Content for Open Positions

UMW is committed to building a representative academic community. An important step in the process for recruiting a diverse and talented applicant pool is to ensure that any posting or advertising for positions are outlined in a way that is indicative of a fair, open and transparent search process. To that end, the following guidelines for creating advertisement content have been developed in accordance with equal opportunity laws and UMW Affirmative Action Plan.

An advertisement for an open position must ensure the following:

- **Demonstrates cultural sensitivity** through use of the following:
 - Gender-neutral language
 - Mandatory EEO/AA statement: As an equal opportunity and affirmative action employer, UMW recognizes the power of a diverse community and encourages applications from individuals with varied experiences, perspectives and backgrounds.

- **Includes an explanation of the position duties including required and preferred qualifications.**

The format for listing required and preferred qualifications may be in specific sections labeled “Required Qualifications” and “Preferred Qualifications” or required and preferred qualifications can be embedded in the narrative.

- Some examples of key words that indicate required qualifications are:
 - *the candidate must have...*
 - *the candidate is expected to have...*
 - *basic qualifications include...*
- Some examples of key words that indicate preferred qualifications are:
 - *the ideal candidate would have...*
 - *preference will be given to...*
 - *a successful candidate will have...*
- **Designates a guaranteed consideration timeframe** by including the following:
 - One of the following two statements:
 - *“Review of applications will begin on <date> and continue until <date>.”*
 - *“Position is open until filled.”*
 - Name, title, email and/or phone number of a contact.

Posting and Advertising Guidelines

Expanding outreach and recruitment efforts will assist UMW in making good faith efforts to recruit, employ and promote qualified minorities, women, individuals with disabilities, and veterans as stated in our Equal Opportunity Policy and Affirmative Action Plan. An effective search process generates the broadest and strongest possible candidate pool by advertising positions to reach the widest audience. The following tools are designed to assist the hiring authority in taking affirmative action to increase diversity in its applicant pools and conduct the recruitment process in a consistent and equitable manner.

1. Academic Jobs On-Line (AJO) serves as UMMS's applicant tracking system for faculty positions. For directions on the process for posting on AJO, please refer to the [HR internet](#) for recruitment resources.
2. Postings for Position: positions should be advertised in at least one major professional journal and two or more sites or approaches that will result in a diverse applicant pool. The additional recruiting resources must be included with the Authorization for Faculty Search form.
3. A list of resources for expanding the pool to recruit diverse faculty candidates is found in Appendix A.

Advertising Template

The following template provides a guide for setting up an advertisement for an open position. If you have any questions about the content, please contact the DIO, diversity@umassmed.edu or 508-856-2179.

Title of Job University of Massachusetts Worcester

- **Description of University of Massachusetts Medical School and the department**
 - For example: *UMass Worcester is in central Massachusetts, a 67-acre integrated health science facility and freestanding university-based academic health science campus that includes the Medical School, Graduate School of Biomedical Sciences, and Graduate School of Nursing, as well as the UMass Memorial Health Care, the largest not-for-profit health care delivery system in central Massachusetts.*
 - The {Department's} academic strength includes {list areas of research, academic strengths}
- **Job Description**
 - The Department of {name} at UMW invites applications from outstanding individuals for a {full-time or part-time} {specific job title} to {describe the duties of the position}.

- **Requirements and qualifications**
 - Qualified candidates must have {list required qualifications; include degree requirement “PhD” or “MD” or “doctorate” or “terminal degree in the field”}.
 - Preference will be given to candidates with {list preferred qualifications}

- **Application Process**
 - Review of applications will begin on (date) and continue until (date) or in lieu of a set timeframe use the term “Position is open until filled”.
 - Applicants should upload a cover letter, CV, research statement and publication list to <https://academicjobsonline.org>.
 - Please refer any questions regarding the search to: Name, title, email and/or phone number of a contact.

- **UMMS Statement of Diversity and Equal Opportunity:**

“As an equal opportunity and affirmative action employer, UMMS recognizes the power of a diverse community and encourages applications from individuals with varied experiences, perspectives and backgrounds.”

Selecting a Candidate

Screening Applications and Evaluating Candidates

The search committee should discuss and come to consensus on the specific selection criteria (minimum and preferred qualifications) before reviewing and evaluating applications. Applications must be objectively reviewed and evaluated on the specific qualifications as advertised.

In recognition of the urgent need for the field of medicine and science to continue to adapt to and better align with societal needs, qualified women, minorities or other diverse candidates whose recruitment would support achieving the mission of the institution, should be given full and thoughtful consideration. Please consider inviting one or two qualified diverse applicants to interview.

Applicants who do not meet the basic requirements should be notified as soon as possible. The search committee must be able to defend every decision for rejecting or retaining an applicant.

Raising Awareness of Unconscious Assumptions and Bias

Search committee members and others who evaluate an applicant's CV should be sensitive to unconscious bias and other influences that are not related to the applicant's qualifications but that may affect how CVs are read.

There are many factors which can bias interviewers, including gender, race, age, accent, and disability. Recognizing biases and other influences not related to the qualifications of candidates can help reduce their impact on the search and review of candidates.

Additional factors that may influence search committee members' decision-making process are the halo effect and primacy/recency effect. The halo effect is a cognitive bias <https://www.aamc.org/download/102364/data/aibvol9no2.pdf> whereby the perception of one trait (i.e. a characteristic of a person or object) is influenced by the perception of another trait (or several traits) of that person or object. An example would be judging a good-looking person as more intelligent. The recency bias error occurs when an assessor is overly affected by information that was presented later (more recently) rather than earlier in any given selection process. In contrast, the primacy bias error occurs when an assessor's selection is made based on information that was presented earlier (primary information) rather than later in the process.

An exemplary candidate who shows up late to an interview but does well on the interview itself may suffer the consequences of the primacy effect. A candidate who shows up on time, does well but says something toward the end of the interview that can be described as intensely negative, might suffer the consequences of the recency effect.

These sorts of biases can impede efforts to recruit and review an excellent and diverse pool of candidates. A discussion among committee members should occur to increase awareness about being conscious of assumptions and biases in order to evaluate all candidates fairly.

Unraveling What Most or Best Qualified Means

When assessing candidates for preferred qualifications, personal connections (such as the candidate comes from the same home town or shares the same alma mater or knows the same circle of people) can filter into one's objectivity. Being clear on how the desired qualifications are defined will assist in separating the personal from professional. For example, defining the characteristics of the competencies of a team member (collaboration, problem solving, decision making, effective communication) and evaluating the candidate for these competencies will increase objectivity in selecting the most or best qualified candidate.

Tips for Equity in Negotiations

UMW strictly adheres to federal standards of fairness in employment practices and salary equity. Depending on a candidate's career stage, they may have received less information on negotiating and may be at a disadvantage in knowing what they can or cannot request during negotiations. Providing candidates a list of negotiable items that the department would consider discussing in the course of the negotiations is one way to ensure that candidates are treated fairly. Every candidate should feel that negotiations are being conducted openly and honestly.

Before entering into negotiations or making an offer, be aware of UMW policies regarding faculty recruitment and obtain the appropriate approvals from the Dean's Office and Administration and Finance. Each element of the package must be consistent with the Academic Personnel Manual, and each element — including but not limited to salary, research support, relocation and moving expenses — should be negotiated separately and specified in the written offer that should be submitted to OFA and approved by the Vice Provost for Faculty Affairs.

Acknowledging Unsuccessful Candidates

When communicating with applicants and candidates keep in the mind that they are getting an impression of UMW and the search committee represents the institution. Communicate with both successful and unsuccessful candidates in a timely manner. Communicate or correspond with every unsuccessful candidate, to thank them once again for applying, and to let them know they were not successful. It leaves a lasting negative impression of the university when the search process is not fully completed with each interviewed candidate.

Interview Guidelines

While a campus visit allows the search committee to evaluate the candidate, it also permits the candidate to assess both the search committee and UMW. Interviews that are thoughtfully planned, that allows the candidate to present him/herself in the best light and that elicits the information necessary for decision-making are major elements of a successful recruitment process. Candidates should be treated consistently during the interview process, independent of shared interests.

The candidate should receive a detailed schedule that identifies by name each person with whom an interview will be conducted. To obtain maximum benefit from the interviews, the search committee should circulate to all individuals with whom the candidate will meet his or her curriculum vitae, a copy of the position description and a copy of the interview schedule.

The search committee should devise a group of core questions based on the job-related criteria by which candidates are to be evaluated. These questions should be asked of all candidates, thereby allowing comparative judgments to be made.

Reminder – all those who formally provide an evaluation of a candidate must complete the required training program.

Interview Techniques

There are several types of interview techniques, you can use these to frame your discussions and/or develop your own questions.

Behavioral-based interviewing: These questions are based on discovering how the candidate acted in specific employment-related situations. The logic is that how you behaved in the past will predict how you will behave in the future i.e. past performance predicts future performance.

Examples of Behavioral-based Interviewing questions:

- Describe the major contributions you have made in your most recent academic position.
- Describe an interaction with a colleague that produced positive results.
- Describe how you executed your most recent project.
- Give me an example of a challenge you experienced and how you dealt with it.

Situational interviewing: These techniques focus on what candidates would do in a specific situation. This technique involves questions that describe a hypothetical situation based on challenging, real life, job-related occurrences and ask the candidates how they would handle the problem.

Examples of Situational Interviewing questions:

- Describe how you would execute a research project.
- How would you handle it if you believed strongly in a recommendation you made in a meeting, but most of your colleagues disagreed with you?

- How would you deal with a colleague at work with whom you seem to be unable to build a successful working relationship?

Core Values interviewing: These questions determine whether the candidate's values are congruent with the institution's values. UMW Core Values:

- Improving health and enhancing access to care
- Excellence in achieving the highest quality standards in patient care and satisfaction, education and research
- Common good as an institutional focus
- Collegiality
- Integrity
- Diversity
- Academic opportunity and scholarship through high quality, affordable educational programs
- Scientific advancement made possible through embracing creative thinking and innovation

Examples of Core Values Interviewing questions:

- Have you ever collaborated with someone and how have you improved on this interaction?
- What experiences have helped you understand the mindset and value of other cultures?

Mission-Based Interviewing: The mission of UMW is to advance the health and well-being of the people of the Commonwealth and the world through pioneering advances in education, research and health care delivery.

Examples of Mission-based Interviewing questions:

- How do you see yourself contributing to or being a part of this mission?
- What role do you see for yourself in contributing to this mission?
- What is your impression of our institutional mission statement? How are these statements related to your goals?

Traditional interviewing involves asking questions directly related to one's background or resume. Traditional interview techniques involve evaluating a candidate's educational background, job experience, professional achievements, technical experience and personal interaction with the interviewer.

Examples of Traditional Interviewing questions:

- Describe your current research. Will you be continuing in this research track?
- Where do you plan to be in your teaching and research in five years?
- Why did you choose your dissertation (post-doc) topic?
- What are the possible sources of funding to support your research?
- What facilities do you need to carry out your research?
- Who would you collaborate with in your research project?
- Are there people not on the list that you would like to meet?

Additional Sample Interview Questions

The questions below are a combination of the techniques outlined above. Select only the questions that are most useful in screening for your open faculty position.

Academic Experience

1. Please describe the major contributions you have made in your current or last academic position.
2. What do you feel was your greatest teaching accomplishment?
3. What advancements have you made in your research?
4. What have been your teaching responsibilities?
5. What challenges have you faced in your work?
6. Describe the academic environments in which you have been a faculty member. (Include structure of department, size of school, etc.)
7. What is your ideal academic environment?
8. Why have you chosen UMW as a place you would consider for employment?
9. Who do (did) you report to in your current (recent) faculty appointment? If I were to ask that person about your work, what would s/he tell me about you?

Technical/Functional Skills

1. What experience, skills, and education do you consider most helpful in contributing to your success in teaching? Research? Service?
2. How has your performance been evaluated? What are your strengths? What are the areas that you could develop further?
3. Have you had any supervisory responsibilities? Please describe.

Education/Professional Development

1. Why did you choose your academic discipline and major field of study?
2. Tell me about your research.
3. How do you keep informed of the latest developments in your field?

Communication Skills/Collegial Relations

1. Describe the most significant piece of writing you have completed. How did you determine your objectives? How was it presented?
2. How often do you lecture in class?
3. Describe your teaching style.
4. Describe an interaction with a colleague that produced positive results.
5. Describe an interaction with a colleague that did not produce positive results.

Planning/Organization

1. Tell me how you executed your most recent research project.
2. Tell me how you developed a new course you taught.
3. What processes or tools have you used to plan, organize, and monitor a major project?
4. What are your short-term teaching/research/service goals? Long-term goals?

Judgment/Decision Making

1. Give me an example of a good professional decision you have made in the last six months. Why was it a good decision?
2. When do you involve others in decision-making?
3. Describe a time when you felt it important to get feedback from others before making a decision.

Initiative

1. What have you done recently that you felt went beyond your normal scope of responsibility? In what ways did you contribute or see success?
2. Describe a new idea you took forward or new process you implemented.
3. Aside from department responsibilities, what college-level involvement did you have at your school? Did you volunteer or was it an assignment? What impact did you have?

Problem Solving/Analytical Skills

1. Describe a time when you used your analytical skills to solve a significant problem or recommended an improvement to existing systems. What was the result?
2. What is the most difficult situation you recently experienced? What did you do?
3. When presented information that you disagree with, how do you respond?

Legal Considerations

In our efforts to diversify the faculty, attention must be given during the interviewing process to the federal and state laws governing employment discrimination.

Topic	Cannot Ask	Permissible Questions
Age	Age, birth date, date of graduation	None
Arrests and Convictions	Have you ever been arrested? Have you ever been charged with any crime? Have you been convicted of a felony?	None (<i>Note: UMMS conducts background checks on all hires, including criminal history.</i>)
Citizenship	Whether candidate is a US citizen; Place of birth	Whether candidate is eligible to work in the US
Disabilities	Any question about a candidate's health, medical condition or illness, or one that is for the purpose of eliciting information about a disability	Questions about how candidate would perform the job and whether candidate could perform teaching, research and other related job functions with or without accommodation
Gender/Sex	Are you male/female?	None
Marital or Family Status	Questions about marital status, child care, children or pregnancy	Considerations related to relocation; informal settings such as during a meal
Race	Any question about individual's race, national origin, ethnicity, or (unless relevant) languages spoken	None
Religion	Questions about religious affiliation; what religious holidays do you observe?	None
Sexual Orientation	Do you have a boyfriend/girlfriend?	None

Appendices

Appendix A: Resources for Recruiting Diverse Faculty

Publications

- <http://www.jbhe.com/>
The Journal of Blacks in Higher Education
- <http://chronicle.com/section/Home/5>
Chronicle of Higher Education
- <http://www.hispanicoutlook.com/>
Hispanic Outlook in Higher Education

Job Posting Sites

- <http://www.academiccareers.com/>
Job postings include the Diversity Package
- <http://www.academicdiversitysearch.com/>
Academic Diversity Search Inc.
- <http://www.InsightIntoDiversity.com/>
INSIGHT *Into Diversity*.
- <http://www.diversejobs.net/>
Diverse jobs, “the higher education job source”
- <http://www.eop.com/>
Includes a portfolio of seven national career magazines, a diversity website, online job board, and Career Expos for women, members of minority groups, and people with disabilities.
- <http://www.diversityemployers.com/>
Jobs with employers committed to diversity
- <http://www.awis.org>
Association for Women in Science maintains a job listings page.
- <http://www.swe.org>
Society of Women Engineers online career center allows job postings for various lengths of time. Resume database can also be searched (large fee).
- <http://www.wihe.com/jobs>
Ads can be placed in the Women in Higher Education monthly print newsletter or online.
- <http://www.nsbe.org/>
National Society of Black Engineers maintains an online job posting service (fee).
- <http://www.hispanicoutlook.com/>
Ads placed in the Hispanic Outlook in Higher Education biweekly magazine are also listed for 6 weeks on their website.
- <http://www.sacnas.org/>
Society for Advancement of Chicanos and Native Americans in Science website posts ads for positions for various lengths of time.

- <http://www.aises.org/>
American Indian Science and Engineering Society offers different job posting packages of 3-months duration.

Resume Databases

- <http://nrc58.nas.edu/FordFellowDirect/Main/Main.aspx>
This directory contains information on Ford Foundation Postdoctoral fellowship recipients awarded since 1980 and Ford Foundation Predoctoral and Dissertation fellowship recipients awarded since 1986. Serves as a resource for university officials seeking to diversify their faculty, minority students looking for mentors and role models, and scholars interested in establishing collaborative projects.

Other Information

- <http://www.uri.edu/advance-women/recruitment.html>
Appendix E of the University of Rhode Island recruitment manual is called "Resources for Broadening the Applicant Pool" and contains a list of programs that seek to increase the numbers of women and minorities in faculty positions.
- http://www.psu.edu/dept/aaoffice/hispanic_universities.html
Hispanic serving colleges and universities
- http://www.psu.edu/dept/aaoffice/aa_universities.html
Historically/predominantly Black colleges and universities
- http://www.psu.edu/dept/aaoffice/tribal_universities.html
Tribal serving colleges and universities
- http://www.psu.edu/dept/aaoffice/women_universities.html
Women's colleges and universities

Appendix B: Faculty Recruitment Process Summary

	Steps	Recruitment Process Steps	Responsible Party
Opening a Requisition	1	Faculty <u>vacancy identified</u> : - Determine track, rank, funding sources, salary range - Prepare advertisement and identify sites/list serves to be used (see <i>Recruitment Guidelines for suggested advertisement sites/lists</i>) - Identify search committee chair and membership	Hiring Authority
	2	<u>Authorization for Faculty Search form & position advertisement are routed for approval and returned to department. (For search exemption, go to Step 14)</u>	Hiring Authority
	3	Certify that all members of the Search Committee have completed diversity training	Hiring Authority
	4	Search Committee may meet with DIO for further diversity orientation (<i>optional</i>)	Search Committee
	5	Open requisition and post on AcademicJobsOnline. (refer to <i>AJO Implementation Process Summary</i>)	Hiring Authority
	6	Implement recruitment plan, posting to other sites, journals and list serves.	Hiring Authority
Screening & Interviewing	7	Applicants screened and candidates selected for interview. Applicant dispositions entered and applicants notified in writing.	Hiring Authority
	8	Schedule and conduct first round interviews.	Search Committee
	9	Candidate evaluations are completed.	Search Committee
	10	Schedule and conduct additional round(s) of candidate interviews.	Search Committee & Hiring Authority
	11	Candidate evaluations are completed.	Search Committee & Hiring Authority
	12	Hiring recommendation is finalized and recommendation forwarded to Hiring Authority for consideration.	Search Committee
Offer & Onboarding	13	Hiring decision is made and offer package is prepared for approval.	Hiring Authority
	14	Unpublish posting on AJO and enter final dispositions. Note, department may wish to take a digital snapshot of candidate documentation. Notify candidates of decision.	Hiring Authority
	15	<u>Faculty Position Report form, draft offer letter & CV are routed for approval and returned to department.</u>	Hiring Authority
	16	Formal offer letter transmitted to candidate, who acknowledges acceptance by signing letter and returns letter to Department. Department forwards copy to OFA.	Hiring Authority
	17	Notify Gail Barrell (gail.barrell@umassmed.edu or x6-3223) in HR Recruiting once candidate accepts offer.	Hiring Authority
	18	Candidate background check is completed by HR.	Human Resources
	19	AJO Requisition closed / HR Systems will download final requisition data for reporting purposes.	Human Resources
	20	Send welcome letter and new hire paperwork to employee.	Human Resources
	21	<u>Personnel Action form prepared and transmitted to HR-PAC</u>	Hiring Authority

KEY FOR RESPONSIBLE PARTIES

	Human Resources
	Hiring Authority
	Search Committee
	Hiring Authority & Other Parties

December 2, 2014

Appendix C: Administrative Decision For Faculty Hires Request Form



Administrative Decision For Faculty Hires Request Form

Note: Prior to completing this form, the hiring manager must have an approved budgeted position.

Job Title: _____ Requisition Number (if applicable): _____

Waiver of Standard Procedures

- Acquisitions
- Negotiated hires in faculty recruitment package
- Opportunity hires to increase diversity
- Internal promotion with expanded responsibilities
- Non-tenure track research faculty bringing grant-supported salary support
- Unquestioned preeminence

Expedited Search

- Internal department transfer
- Hard to Fill positions (determined by HR) through industry standards

Please provide rationale and specific information for your request:

Department Approvals

Hiring Authority Date

Department Telephone Number

Department Chair/Head Date

Final Approvals

Vice Chancellor, Diversity & Inclusion/Chief Diversity Officer Date

Director, Diversity and Equal Opportunity Office Date

Appendix D: Authorization for Faculty Search

AUTHORIZATION FOR FACULTY SEARCH UNIVERSITY OF MASSACHUSETTS, WORCESTER

Recruitment Authorization Number (assigned by the Office of Faculty Affairs): _____

1. School: _____ Program or Center: _____
(Medicine, Nursing, etc.) (if relevant)
2. Department: _____ Division: _____ (if relevant)
(if relevant)
3. Contact Person: _____ Telephone: _____
4. Position: New Replacement for: _____
5. Position Management Number (Tenured & Tenure Track positions only): _____
6. Proposed Maximum Rank: _____
7. Academic Track: Tenured Tenure Track Non-Tenure Track
8. Proposed Salary Range: Minimum \$ _____ Maximum \$ _____
9. Likely funding Source Percentages: State _____ RTF _____ Group _____ Grant _____ Other _____
**Append additional information as necessary.*
10. **Advertising** - attach copy of your advertisement with a listing of all sources the ad will appear. Each advertisement should contain the following clause: *As an equal opportunity and affirmative action employer, UMMS recognizes the power of a diverse community and encourages applications from individuals with varied experiences, perspectives and backgrounds.*
11. Search Committee Chair: _____
Search Committee Composition:
Total Number _____ Female Members _____ Total Minority Members _____ Female Minority Members _____
12. **Request for Expedited Search: (attach Administrative Decision for Faculty Hires Request Form)**
Expedited Searches may only be conducted under extraordinary circumstances and upon a written finding of a compelling necessity. All of the standard search procedures must be adhered to in an expedited search with the exception of the posting time period. An offer can be made no sooner than three months from the initial posting.

Effective June 6, 2011 all UMMS faculty searches that do not involve an executive search firm must utilize AcademicJobsOnline (AJO) for new UMMS faculty search processes.

SCHOOL, DEPARTMENT, CENTER/PROGRAM SIGNATURES: Please obtain in this order.

- | | |
|---|--|
| (1) _____
Division Head, Program Director or Center Director | (2) _____
Department Chair, or Dean of Nursing |
| (3) _____
Vice Provost for Faculty Affairs | _____
Date |
| (4) _____
Executive Vice Chancellor for Administration and Finance | _____
Date |
| (5) _____
Vice Chancellor for Diversity and Inclusion/Chief Diversity Officer | _____
Date |

**AUTHORIZATION FOR FACULTY SEARCH
UNIVERSITY OF MASSACHUSETTS, WORCESTER**

Instructions for completing Authorization for Faculty Search form

This form **must** be completed in full **before** any search is initiated.

The appropriate signatures required are:

- (1) Division Head, Program Director or Center Director (if relevant)
- (2) Department Chair, or Dean of Nursing

Call the Office of Faculty Affairs at 508-856-4268 to obtain recruitment number. **Only after** all required signatures are obtained, can recruitment activities begin.

The form should be submitted to the Vice Provost for Faculty Affairs (University Campus, S1-340) for administrative and equal opportunity approval. Following approval by the Vice Chancellor for Diversity and Inclusion (signature #5), the original form will be returned to the department, program or school by the Diversity and Inclusion Office.

Effective June 6, 2011 all UMMS faculty searches that do not involve an executive search firm must utilize AcademicJobsOnline (AJO) for new UMMS faculty search processes. For further information regarding AJO, please visit the Recruitment Support website.

Please note that advertising is the responsibility of the department, program or school.

* It is the policy of the University of Massachusetts to comply with the applicable federal and state statutes, rules, and regulations concerning equal opportunity and affirmative action.

Competitive searches are required to fill all faculty positions except in special circumstances:

- **Expedited Searches** may be conducted under certain circumstances and upon a written finding of a compelling necessity. Please refer to the UMMS campus procedure for details. Detailed justification must be provided with both the Administrative Decision for Faculty Hires Request Form and Authorization for Faculty Search form. All of the standard search procedures must be adhered to in an expedited search with the exception of the posting time period. An offer can be made no sooner than three months from the initial posting.
- **Search Waiver** of standard search procedures is allowed in specific circumstances. Please refer to the UMMS campus procedure for details. Detailed justification must be provided with both the Administrative Decision for Faculty Hires Request Form and Faculty Position Report. In such cases, the Authorization for Faculty Search form does not need to be completed.

Appendix E: Faculty Position Report

FACULTY POSITION REPORT UNIVERSITY OF MASSACHUSETTS, WORCESTER

Recruitment Authorization Number (from Authorization for Faculty Recruitment form): _____

Academic Jobs Online Position Number (number following Position ID on AJO posting): _____

1. School: Program or Center: _____ (Medicine, Nursing, etc.)
(if relevant)

2. Department: _____ Division: _____
(if relevant) (if relevant)

3. Contact Person: _____ Telephone: _____

4. Candidate's Name: _____

5. Proposed Rank: _____

6. Academic Track: Non-Tenure Track Tenure Track* Tenured*

*Position Management Number (Tenured & Tenure Track positions only): _____

7. Advertised Salary Range: \$ _____ to \$ _____ Proposed Salary \$ _____

8. Full-time Equivalent: _____% Change in Full-time Equivalent (if relevant): _____%

9. Proposed Date of Hire/Change: _____

10. Filling a faculty position without conducting an open search is only permitted in specific circumstances. Check one of the following: (Please refer to the [UMMS Procedures for Faculty Recruitment](#) for details.)

Eligibility for an Automatic Search Waiver: (select category from list below)

- | | |
|---|---|
| <input type="checkbox"/> Academic Hourly (Per Diem) | <input type="checkbox"/> Acting/Interim Appointment |
| <input type="checkbox"/> Honorific Title | <input type="checkbox"/> Internal Department Promotion within Career Path |
| <input type="checkbox"/> Part-time <50% FTE | <input type="checkbox"/> Temporary non-renewable appointment <1 Year |
| <input type="checkbox"/> Visiting Faculty Position | |

Request for Search Waiver: (attach [Administrative Decision for Faculty Hires Request Form](#))

SCHOOL, DEPARTMENT, CENTER/PROGRAM SIGNATURES: Please obtain signatures in this order.

(1) _____ (2) _____
Search Committee Chair Division Head, Program/Center Director (if relevant)

(3) _____
Department Chair, or Dean of Nursing

(4) _____
Vice Chancellor for Diversity and Inclusion/Chief Diversity Officer Date

(5) _____
Vice Provost for Faculty Affairs Date

(6) _____
Executive Vice Chancellor for Administration and Finance Date

**FACULTY POSITION REPORT
UNIVERSITY OF MASSACHUSETTS, WORCESTER**

Instructions for Completing the Faculty Position Report

The Faculty Position Report must be completed, and appropriate approval signatures obtained, **prior to extending any formal job offer.**

Report must be submitted with the following:

- draft of the formal offer letter, and
- copy of the candidate's CV.

Search Waiver of standard search procedures is allowed in specific circumstances. Please refer to the **UMMS Procedures for Faculty Recruitment** for details. Justification, including detailed explanation of funding sources, must be provided with both the Administrative Decision for Faculty Hires Request Form and the Faculty Position Report. In such cases, the Authorization for Faculty Search form does not need to be completed.

An informal job offer, including a **possible** salary level, may be discussed with the candidate of choice; it must be made clear to the candidate that a formal offer can only be made after Diversity and Inclusion Office (DIO) approval and approval of salary and proposed track and rank by the Vice Provost for Faculty Affairs. Furthermore, it should be made clear that final approval of the track and rank must be obtained from the appropriate committees, and the candidate must pass a criminal background check and pre-employment physical examination.

(Such informal offers should be expressed in terms of: “I will request a salary level of...”, “your proposed appointment must go through appropriate Affirmative Action procedures, is subject to approval by the Personnel Action committee of the School of Medicine and Executive Council, and is contingent on satisfactory completion of a criminal background check and pre-employment physical examination”).

Similarly, the subsequent formal offer letter should make it clear that the faculty track and rank are contingent upon any further necessary committee approvals such as that of the Personnel Action Committee and the Executive Council, (unless prior approval has been obtained), successful criminal background check and pre-employment physical examination.

The completed Faculty Position Report must be signed by:

- (1) the Search Committee Chair (for open searched, unless a search waiver is sought),
- (2) the Division Head, or Program or Center Director (if relevant), and
- (3) the Department Chair or Dean of the Nursing School,

before being submitted to the DIO (University Campus, H1-728, x62179) for equal opportunity and administrative approval. Following approval by the Executive Vice Chancellor for Administration and Finance (signature #6), the original form will be returned to the department, program or school.

Only after receiving authorization to hire, the department, program or school may to inform the candidate of her/his selection. After the candidate acknowledges acceptance of the offer of employment by signing the offer letter, the Department must forward a copy of the letter to the Office of Faculty Affairs (faculty.affairs@umassmed.edu).

Appendix F: Suggested Reading

Reviewing Applicants: Research on Bias and Assumptions
http://wiseli.engr.wisc.edu/docs/BiasBrochure_3rdEd.pdf

Answering the Question of the Year with Faculty Diversity
http://journals.lww.com/academicmedicine/Fulltext/2011/11000/Answering_the_Question_of_the_Year_With_Faculty.18.aspx

Unconscious Bias in Faculty and Leadership Recruitment: A Literature Review (AAMC)
<https://www.aamc.org/download/102364/data/aibvol9no2.pdf>

Appendix G: Frequently Asked Questions

- **What is meant by a career path?**

A career path is a series of defined and existing core level positions within a particular job family where the nature of the work and position requirements are similar, and the levels represent organizational requirements for planned increased skill, knowledge, and responsibility.

- **What is the difference between a search waiver and an expedited search?**

In a search waiver, a position does not have to be posted as long as it meets the criteria as identified in Section IV. In an expedited search, a position must be posted according to the criteria outlined in Section IV. An expedited search follows all of the procedures of the search process with the exception of a shorter posting period.

- **If the person already works here and is performing well and there is an open position that fits his/her qualifications, why do I have to do a search?**

While there are times where a search waiver may be warranted, having a known, identified candidate is not a valid reason for not conducting a search. In order to ensure that we are indeed hiring the most qualified candidate from the widest possible and diverse applicant pool, a search must be conducted. Conditions under which a search may be waived with approval and conditions for expedited searches are listed in Section IV.

- **Does there have to be a formal search committee or can one or two faculty close to the position decide on the hire?**

Search committees should have no fewer than four members (including the chair of the search committee). Small departments may need to involve members from related disciplines in the interviewing process. Although faculty may not have specific expertise in your departmental discipline, they will be able to add an important voice in your committee deliberations.

- **Why do I need preferred and minimum qualifications for the position?**

In order to evaluate candidates consistently, the search committee should rate the applications on previously advertised selection criteria which delineated preferred versus minimum qualifications. Separating preferred from minimum qualifications reduces the risk of bias in the selection process.

- **We advertised for an Assistant Professor but want to offer our top candidate a Full Professor position. Is this allowed?**

No. We cannot advertise at one rank and hire at a higher rank. If other candidates were aware that we were willing to consider candidates at the higher rank, they may have applied and the applicant pool may have been substantially different. If there is a possibility that you may consider multiple ranks, you are encouraged to advertise your position as multi-ranked (i.e. Assistant/Associate Professor) or open rank (i.e. Assistant/Associate/Full Professor) so that you have the flexibility to consider a broader range of applicants.



University of Massachusetts Medical School

Diversity and Inclusion Office

55 Lake Avenue North, S1-710

Worcester, MA 01655

www.umassmed.edu/DIO

Completed: June 28, 2012

Revised: 12/5/14

Revised: 6/5/17