

## *Appendix 14*

### *POLICY ON MANAGEMENT PERSONNEL PLAN (MPP)*

#### *APPOINTMENTS*

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This policy and the attached procedures are intended to provide a guide for the search and appointment of Management Personnel Plan (MPP) positions at Administrator Grade Level (AGL) III and IV. All MPP searches require the written approval of the President, or appropriate vice president in consultation with the President, prior to initiating a search.

It is the policy of California State Polytechnic University, Pomona to use a process of shared governance for making permanent appointments of administrators that allows for meaningful consultation and consensus building with impacted constituencies in order to select the most qualified, effective leaders available to maintain the academic quality and integrity of the institution.

It is the policy of the university to make every effort to maximize the size, strength, and diversity of the applicant pool for administrative positions. All applicants shall be given fair consideration based on the announced criteria. California State Polytechnic University, Pomona is strongly committed to the principles of equal employment opportunity and nondiscrimination for all. It is the policy of the university to provide programs, services and benefits including employment without regard to race, color, religion, national origin, sex, sexual orientation, marital status, pregnancy, age, disability, medical condition, and covered veteran status. The university does not tolerate unlawful discrimination in any form.

The President or designee is the appointing officer for all administrative appointments. Only official written notification from the President or designee constitutes a valid offer of employment. No other person is authorized to appoint administrators, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written, which may be construed to be commitments to employment or the terms of employment by the university. Individuals whose administrative appointments have been approved by the President or designee shall be responsible for the conduct of university business.

The basic criterion for any administrative position is “ability and fitness” for the position to be filled (as stated in California Code of Regulations, Title 5 Section 42700 (a). For purposes of this policy, “ability” requires that the candidate demonstrate that he/she possesses the credentials and/or experience required for the position and the skills necessary to perform the essential functions of the position. For purposes of this policy, “fitness” requires that the candidate demonstrate that he/she possesses the skills essential for being a productive, cooperative, and collegial member of the university community.

## **1.0 ROLE OF THE APPOINTING OFFICER**

- 1.1 The primary initiative for recruitment lies with the appointing officer. The appointing officer is responsible for ensuring that search committees are constituted according to the guidelines in section 12 of these procedures. Unless otherwise specified in these procedures, the appointing officer is responsible for appointing search committee members.
- 1.2 The appointing officer or designee shall convene the first session of the search committee, outline the characteristics and responsibilities of the position, identify the required and preferred qualifications of candidates, and establish a deadline for the search committee to forward recommendations. A close and ongoing consultative relationship between the search committee and the appointing officer is essential. The appointing officer will not be a part of the search committee.
- 1.3 The appointing officer or designee in consultation with the search committee may decide to hire executive search firm to enhance and/or broaden the applicant pool. The role of the executive search firm is to assist the search committee by identifying a diverse pool of qualified candidates. The search firm may be asked to disseminate information about the position, locate and contact all appropriate candidates, receive and screen applications, conduct preliminary interviews, and conduct reference checks. The search firm will submit to the search committee the qualified individuals who meet the criteria established by the search committee and transmit the completed application files to the search committee. The search committee may at their discretion require the search firm to provide a report on the candidates who completed the application package.

## **2.0 RESPONSIBILITIES OF A SEARCH COMMITTEE**

- 2.1 No member of a search committee may apply for or accept a nomination for the position under consideration without first resigning from the committee.
- 2.2 The search committee shall elect a chair from its membership.
- 2.3 The chair of the search committee is responsible for
  - a) Ensuring that each member of the search committee has been advised of law, CSU policy, and university policy which bear upon the search and nomination process.
  - b) Ensuring that all policies and procedures regarding the search are adhered to by the members of the committee.
  - c) Ensuring that the search is conducted in full compliance with law and university policy.
  - d) Acting as a liaison between the search committee and the appointing officer or designee.
  - e) Preparing a complete recruitment package, and sending a copy to the Diversity Officer or designee, to ensure EEO compliance, including in the

package a position description, copy of advertisements, telephone interview questions, reference interview questions and interview questions of finalists (including questions for on-campus visits). Components of the recruitment package may be submitted individually as completed.

- f) Ensuring that all search records are transferred to the Human Resources Director at the conclusion of the search, in accordance with section 11 of these procedures.
  - g) Maintaining ongoing contacts/correspondence with candidates.
  - h) Maintain ongoing contact with the appointing officer.
  - i) Arranging schedules for telephone or teleconference interviews and campus visits as appropriate.
  - i) Consult with the appointing officer regarding number of candidates to be invited for on-campus interviews and interview schedule prior to inviting the candidates.
  - k) Ensuring that campus visitations are handled properly and in a timely manner.
  - l) Ensuring timely notification to unsuccessful candidates.
  - m) Performing other duties as necessary to complete a timely and successful search.
- 2.4 Each member of the search committee is responsible for compliance with law and all policies including specifically, the requirement to maintain strict confidentiality, and reminded by signing a confidentiality agreement.
- 2.5 The committee shall be governed by majority votes of the membership.
- 2.6 A search committee member normally serves until the completion of the committee's charge. However, the appointing officer and the body which appointed the committee member as described under section 12.1 (e, f, g) may jointly decide to discharge the member at any time. If the appointing body and the appointing officer cannot reach a joint decision, the President shall make the final decision and inform the appointing body and the search committee. .
- 2.7 The appointing officer after consultation with the search committee may cancel the search at any time.

### **3.0 ROLE OF THE DIVERSITY OFFICER**

- 3.1 The focus of the Diversity Officer or designee is to provide an ongoing review of the search process to promote equal employment opportunity, and adherence to sound human resource practices.
- 3.2 The Associate Vice President of Diversity, Human Resource Services, and Risk Programs will serve as the Diversity Officer for all AGL IV and Associate Vice President searches and the Manager of Diversity and Compliance will serve as the Diversity Officer for other searches unless otherwise designated by the President.

3.3 The responsibilities of the Diversity Officer or designee are as follows:

- a) To participate in the recruitment process from its initial stages to completion, and to inform the search committee of affirmative action practices and procedures necessary to assure equal employment opportunity, including considerations regarding valid selection procedures, and appropriate interview techniques.
- b) To ensure that the recruitment efforts are far-reaching and include efforts that attracts a diverse pool of qualified candidates.
- c) To collect diversity data and to assess the extent to which recruitment efforts have been successful in attracting a diverse pool of qualified candidates.
- d) To work with the search committee to assure that all candidates are given fair consideration based on the criteria stated in the official position announcement.
- e) To render a decision as to the need to address any problems related to the conduct of the search.

#### **4.0 POSITION ANNOUNCEMENT**

4.1 The appointing officer shall provide the search committee with a job description and draft position announcement. The appointing officer, in consultation with the search committee, will develop the position announcement. The Diversity Officer or designee must also approve the position announcement for legal compliance.

4.2 Each position announcement shall include the following:

- a) Clearly defined criteria for the position, specifying both the minimum qualifications required and the preferred criteria.
- b) The requirement for a minimum of three (3) current references. The references should be responsible persons who have current working knowledge of the candidate's qualifications and ability for the position. The search committee may also require current reference letters.
- c) The estimated date by which the completed application shall be submitted for fullest consideration. (To allow for late applications, vacancy announcements shall not have a deadline after which applications will not be accepted.)
- d) Name, mailing address, and email address of the search committee chair or designee.
- e) Internet address for the university, college, or school.
- f) References to the university's equity goal of diversifying its employees, to the university's status as an affirmative action/equal opportunity employer, and to the university's non-discrimination policy.

- 4.3 The criteria listed on the position announcement shall be bona fide occupational qualifications for the position.
- 4.4 Once a position announcement has been posted, the criteria stated in the position announcement cannot be altered. When there are compelling reasons to alter the criteria, the appointing officer shall follow the provisions under 2.6 to terminate the ongoing search and to initiate a new search.

## **5.0 CREATING THE CANDIDATE APPLICANT POOL**

- 5.1 The search committee will make every effort to maximize the size, strength, and diversity of the applicant pool for the administrative position. All applicants shall be given fair consideration based on the announced criteria.
- 5.2 Human Resources and/or Faculty Affairs will post the official position announcement on the HR or Academic Affairs web pages, as appropriate.
- 5.3 A college/school will post all position announcements for its administrative positions on its web page.
- 5.4 It is recommended that the search committee, in consultation with the appointing officer, place the position announcement in professional journals and diversity publications, appropriate to the position, and distribute copies of the announcement as deemed appropriate.
- 5.5 The appointing officer and the search committee are encouraged to solicit applications and nominations from professional sources, and propose ways to expand the search.
- 5.6 The appointing officer may use a professional search firm or other means to recruit, enlarge, or refine a pool of qualified candidates.
- 5.7 Initial correspondence to the applicants shall include the Affirmative Action Application Data Form and encourage the applicant to submit the form under separate cover to the Diversity Officer or designee.

## **6.0 PRELIMINARY REVIEW OF THE APPLICATIONS**

- 6.1 Applications for all positions are to be treated with the strictest confidentiality. All deliberations on applications shall be conducted by the search committee in closed session and remain confidential as provided by law. Violations of this confidentiality are considered to be unprofessional conduct.
- 6.2 There shall be an access log for the file of each applicant. All persons shall sign in and out when reviewing the file.
- 6.3 All applicants shall be given fair consideration based on the announced criteria.
- 6.4 Each application for the position shall be promptly acknowledged in writing by the chair of the committee or designee.
- 6.5 The application materials of each applicant shall be reviewed against minimum qualifications as enumerated in the position announcement by at least two

members of the search committee. This checklist shall be prepared and approved by the members of the search committee prior to the commencement of reading applications.

- 6.6 As the search committee receives applications, the search committee chair or designee shall fill out the Applicant Tracking System spreadsheet (see attachment 1-A).
- 6.7 At the close of the response period, the search committee chair shall send the Applicant Tracking System spreadsheet to the Diversity Officer or designee.
- 6.8 The Diversity Officer or designee shall review the composition of the applicant pool to determine if the pool adequately represents the wider pool of women and minorities in the appropriate profession.
- 6.9 The Diversity Officer or designee shall report the result of its evaluation of the applicant pool to the search committee and the appointing officer.

## **7.0 SCREENING THE APPLICANTS**

- 7.1 Any applicant not having the minimum qualifications as stated in the position announcement is disqualified from further consideration.
- 7.2 After the preliminary review of applicants, the search committee shall conduct a more detailed evaluation of the applicants meeting the minimum qualifications. The search committee shall narrow the pool of applicants to semi-finalists.
- 7.3 If deemed appropriate by the search committee, interviews will be conducted of the semi-finalists. Interviews of semi-finalists are usually conducted by telephone unless the appointing officer approves in-person interviews. At least two members of the search committee will be present at each semi-finalist interview and they will ask the candidate the questions that were pre-approved by the Diversity Officer or designee. The search committee may choose to tape record the interview with the candidate's approval.
- 7.4 A minimum of three (3) telephone reference checks is required prior to naming a candidate as a finalist. At least two members of the search committee will be present at each telephone reference check and they will use the questions that were pre-approved by the Diversity Officer or designee.
- 7.5 The search committee will evaluate the semi-finalists based on the application material, the interviews (if conducted), and the reference checks and will narrow the candidate pool to the top candidates. The search committee will prepare a memo to the appointing officer listing specific reasons why unsuccessful applicants, who met minimum qualifications, were not selected to be finalists. A copy of this memo is to be sent to the Diversity Officer or designee.
- 7.6 The search committee will normally recommend the top three (3) to five (5) candidates as finalists to be invited for campus interviews. The search committee will submit a tentative campus itinerary and the list of finalists to the appointing officer for approval before extending invitations to the candidates.

## **8.0 FINALISTS AND ON CAMPUS INTERVIEWS**

- 8.1 The name of a candidate shall be released to the campus community only if the candidate is a finalist and brought to campus for an interview. At the time the invitation is extended, each candidate should be given an opportunity to withdraw from the search. Candidates should be reminded that the names of candidates brought to campus will be public information and that the university will not accept responsibility if the current employer has not been made aware of their candidacy.
- 8.2 An itinerary and informational packet will be prepared for each candidate prior to the campus interview. The itinerary should be transmitted to the candidate as quickly as possible.
- 8.3 If an external candidate asks for retreat rights (with or without tenure) in a department, a meeting with the tenured faculty of the appropriate department and the candidate shall be scheduled during the campus visit. After meeting with the external candidate, the department shall provide a written recommendation to the appointing officer and search committee. The appointing officer will take the recommendation into consideration when making an appointment.
- 8.4 The campus visit will include an interview with the full search committee using questions that were pre-approved by the Diversity Officer or designee. The campus visit will also include an open forum and other forms as deemed appropriate.

## **9.0 EVALUATION OF FINALISTS**

- 9.1 The search committee shall submit the list of finalists that were interviewed on campus, to the appointing officer with a written evaluation of each finalist identifying their strengths and weaknesses. The appointing officer shall meet with the search committee to discuss the committee's recommendation for and against the finalists. If fewer than three qualified finalists remain in the pool, the appointing officer may extend the search or follow the provisions under 2.6 to cancel the search.
- 9.2 Prior to making the appointment, the appointing officer shall inform the search committee.
- 9.3 If the appointing officer has compelling reasons that an appointment from the list of finalists is not in the best interest of the University, he/she after consultation with the Diversity Officer, shall follow the provisions under 2.6 to cancel the search and initiate a new search.

## **10.0 OFFERS OF EMPLOYMENT**

- 10.1 The appointing officer will contact the current or most recent and the previous employer of a candidate before making an offer. The current employer may not be contacted until the candidate gives consent.

- 10.2 Only the President or designee is authorized to make an offer of employment through written notification.
- 10.3 The terms of the offer of employment shall be consistent with the position announcement.
- 10.4 No person shall be deemed appointed in absence of an official written notification from the President or designee.
- 10.5 The acceptance of a position is the candidate's written unconditional affirmative response to the offer of employment no later than the date stated in the offer of employment.
- 10.6 When the position is filled, the chair of the search committee shall notify the remaining unsuccessful candidates.

## **11.0 CLOSING THE SEARCH**

- 11.1 At the conclusion of a search, all search records shall be collected, organized, and boxed by the search committee chair. The search committee chair shall transfer the search records to the Human Resources Director for retention for three (3) years.
- 11.2 All records, deliberations, and consultations shall remain confidential.

## **12.0 COMPOSITION OF SEARCH COMMITTEES**

### **12.1 GENERAL REGULATIONS**

- a) All faculty members on administrative search committees shall be full-time tenured or tenure-track faculty. Faculty participants in the Faculty Early Retirement Program shall not be eligible for service.
- b) Each search committee shall include, as a non-voting member, the Diversity Officer or designee. The Diversity Officer may or may not attend all search committee meetings.
- c) One representative of off-campus interests, appropriate to the position being filled, may be appointed to an open position on a search committee by the appointing officer.
- d) The search committee shall be representative of the appropriate constituency, and the diversity of the campus.
- e) Faculty designated by the Executive Committee of the Academic Senate to serve on search committees shall be selected as that body deems appropriate.
- f) Staff members who serve on search committees shall be full-time permanent employees of Cal Poly Pomona selected by the appointing officer.
- g) ASI will be given the first opportunity to appoint students to search committees. If ASI is unable to provide a student representative in a timely manner, the appointing officer may appoint the student representative.

Students serving on search committees shall be in good standing with sophomore, junior, senior, or graduate status.

- h) The Executive Committee of the Academic Senate will select the faculty members who serve on the search committee within three weeks of the receipt of the request to form the committee. If the faculty representatives are not selected within three weeks, the Chair of the Senate will solicit faculty to serve on the search committee.

## 12.2 COMPOSITION OF SEARCH COMMITTEES FOR POSITIONS REPORTING TO THE PRESIDENT

The search committee to fill the position of Provost and Vice President for Academic Affairs, Vice President, or Associate Vice President, Executive Director, or other AGL III positions with line responsibilities reporting directly to the President shall consist of the following:

- a) Up to three persons selected by the President
- b) Six full-time tenured or tenure track faculty members selected by the Executive Committee of the Academic Senate;
- c) One student selected as provided in 12.1(g).
- d) One permanent staff member as provided in 12.1 (f)

## 12.3 COMPOSITION OF SEARCH COMMITTEES FOR POSITIONS REPORTING TO THE PROVOST

The search committee to fill the position of Dean of a College or School, Dean of the University Library, Associate Vice President, Executive Director, or other AGLIII position reporting directly to the Provost shall consist of the following:

- a) Up to three persons selected by the Provost,
- b) Six full-time tenured or tenure track faculty members selected by the Academic Senate. At least three faculty members shall be appointed from the affected college/school
- c) One permanent staff member from within the college/school, selected by the Provost.
- d) One staff member from the college or school as provided in 12.1 (f)

## 12.4 SEARCHES FOR POSITIONS REPORTING TO A DEAN

Appointments to the positions of Associate or Assistant College/School Dean or other administrative positions reporting to the dean shall be made by the dean, with approval from the Provost. The search committee shall consist of two persons including a permanent staff member selected by the Dean and three full time tenured or tenured track faculty members selected by the Executive Committee of the Academic Senate. A search, which is at least campus-wide in scope and for a minimum of two weeks in length, shall be initiated. The position announcement shall be widely publicized and shall

include a description of the duties of the position as well as required/preferred qualifications.

#### 12.5 COMPOSITION OF SEARCH COMMITTEES FOR POSITIONS REPORTING TO A VICE PRESIDENT OUTSIDE OF ACADEMIC AFFAIRS

The search committee to fill Associate Vice President, Executive Director, and other AGL III positions reporting to a Vice President outside of Academic Affairs shall consist of the following:

- a) Up to six persons selected by the appointing vice president;
- b) Two full-time tenured faculty members selected by the Executive Committee of the Academic Senate;
- c) One permanent staff member from the division of the appointing vice president, selected by the appointing vice president.
- d) One student, if deemed appropriate by the appointing officer, selected as provided in 12.1(g).

#### 13.0 CHANGES IN EXISTING APPOINTMENTS

13.1 When, as a result of organizational changes, the position responsibilities of an administrator are altered significantly, the President may change the title of the individual to correspond with the appropriate level of responsibility. Such title changes shall not be construed as a “new position” requiring a search. However, the President shall consult with the Executive Committee of the Academic Senate prior to making such title changes.

13.2 When, as a result of organizational changes, the position responsibilities of two or more administrators are consolidated into a single position, the President may appoint one of these administrators to fill the consolidated position with an appropriate title that corresponds with the new level of responsibility. Such a reorganized position shall not be construed as a “new position” requiring a search. However, the President shall consult with the Executive Committee of the Academic Senate prior to making such title changes.

#### 14.0 EMERGENCY OR INTERIM APPOINTMENTS

14.1 A position may be filled on an emergency or interim basis by the President in the event of an unexpected or immediate change in personnel. As these circumstances often address confidential and sensitive personnel issues, the timing of the communication may be simultaneous to the change in duties, although the President will make every effort to consult with the Executive Committee of the Academic Senate in advance. When an interim appointment is made to fill a vacated position that the incumbent is not expected to return to, the search process for a permanent replacement shall be initiated simultaneously with the appointment of the interim personnel. If there are compelling reasons that the search for permanent replacement must be delayed, the appointing officer and the Executive Committee of the Senate

shall jointly agree on the need to delay the search. If the appointing officer and the Executive Committee of the Academic Senate cannot reach an agreement, The President shall make the final decision and inform the Academic Senate.

- 14.2 In most cases, the interim appointment should not exceed one calendar year. If there are compelling reasons to extend the appointment beyond one calendar year, the appointing officer and the Executive Committee of the Academic Senate shall jointly agree on the need to extend the appointment. If the appointing officer and the Executive Committee of the Academic Senate cannot reach an agreement, the President shall make the final decision and inform the Academic Senate and the campus community.