

EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION POLICIES AND PROCEDURES FOR THE APPOINTMENT OF OFFICERS OF INSTRUCTION AND RESEARCH AT THE MEDICAL CENTER

- Introduction
- I. Online Monitoring of Affirmative Action Data
- II. Appointments Not Requiring Equal Opportunity and Affirmative Action (EOAA) Clearance
- III. Standard Search and Evaluation Procedures (SSEP)
- IV. Guidelines on Advertising
- V. Reporting and EOAA Clearance Procedures for Standard Searches
- VI. Waivers from Standard Procedures
- VII. Review and Approval by the Associate Provost for Equal Opportunity and Affirmative Action
- VIII. Additional Information

INTRODUCTION

As an institution, Columbia University is committed to the principles of equity and excellence and actively pursues both, adhering to the belief that equity is the partner of excellence. In furtherance of this commitment, Columbia has implemented policies and procedures that seek to ensure that its employment and educational decisions are based on individual merit and not on biases or stereotypes. As set forth in Columbia University's Equal Employment Opportunity and Nondiscrimination Policy:

The University does not discriminate against or permit harassment of employees or applicants for employment on the basis of race, color, sex, gender (including gender identity and expression), pregnancy, religion, creed, national origin, age, alienage and citizenship, status as a perceived or actual victim of domestic violence, disability, marital status, sexual orientation, military status, partnership status, genetic predisposition or carrier status, arrest record, or any other legally protected status.

This policy applies to all personnel decisions, including recruitment, hiring, and promotion.

Columbia University is also committed to a workforce of faculty and staff that reflects the diversity and talent of New York City, the larger metropolitan area, and the nation. To prepare its students for citizenship in a pluralistic world and to keep Columbia at the forefront of knowledge, the University seeks to recognize and draw upon the talents of a diverse range of outstanding faculty, research officers, staff, and students and to foster the free exploration and expression of differing ideas, beliefs, and perspectives through scholarly inquiry and civil discourse.

Columbia's Equal Employment Opportunity and Nondiscrimination Policy and its diversity mission are supported by its affirmative action obligations. As a recipient of federal government grants and contracts, Columbia University is subject to Executive Order 11246.¹ This Order, together with its implementing regulations and the Uniform Guidelines on Employee Selection Procedures, requires that the race, ethnicity and gender of each applicant be identified and maintained and that all personnel activity be monitored to ascertain any statistically significant differences in the selection rates of protected group members considered.

In accordance with its affirmative action obligations, University has developed these search policies and procedures for full-time officers of instruction and research at the Medical Center and Harlem Hospital. While these policies and procedures have been established to comply with federal law, they reflect the University's commitment to equal opportunity and nondiscrimination and its recognition that its educational mission is enhanced by policies promoting diversity, fairness, and respect for all persons.

¹ EO 11246 requires that government contractor "take affirmative action to ensure that applicants are employed and that employees are treated during employment, without regard to their race, color, religion, sex or national origin."

I. ONLINE MONITORING OF AFFIRMATIVE ACTION DATA

The Provost has delegated responsibility for implementing the University's Equal Opportunity and Affirmative Action (EOAA) Policies and Procedures to the Associate Provost for Equal Opportunity and Affirmative Action. The Recruitment of Academic Personnel System – or RAPS – serves as both the University's online system for academic recruitment and its affirmative action system of record. The Associate Provost monitors the data maintained in RAPS to ensure the University's equal opportunity, nondiscrimination, and affirmative action policies are carried out.

Every full-time academic position must be recorded in RAPS by the hiring unit, regardless of whether the search is conducted according to the unit's *Standard Search and Evaluation Procedures* (SSEP) [See Sections III and V], or through a request for a waiver from those procedures [See Section VI]. The information is needed to ensure that the University is making good faith efforts towards its affirmative action goals and that required recordkeeping on searches is being maintained in RAPS as part of the search and waiver processes. EOAA clearances for completed searches are handled through RAPS. Applicant data are automatically entered into the system when an applicant completes an online application and submits the materials required by the hiring unit. As part of the application process, every applicant and waiver candidate is invited to self-identify race, ethnicity and gender.

All applicant data must be entered into RAPS. In the case of waivers and senior searches, the hiring unit may enter the applicant information, including the race, ethnicity and gender of the applicant or waiver candidate, so long as that information has been voluntarily reported by the applicant or candidate. Prior to entering applicant information, the unit should invite the

applicant or waiver candidate to self-identify race, ethnicity and gender. Hiring units that use their own online systems for recruitment must ensure that complete applicant data are transferred into RAPS before completing a search and requesting EOAA clearance of a search [See Section V].

II. APPOINTMENTS NOT REQUIRING EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION (EOAA) CLEARANCE

A unit must submit a selectee through RAPS, whether chosen by a search or put forward under a waiver, for EOAA clearance before making a formal offer of an initial appointment as a full-time officer of instruction or research, except in the following cases:

- Appointment assignments made through a matching program (e.g. residents.)
- Appointments of full-time postdoctoral research officers with terms of up to three years if they will not subsequently be considered for promotion to a higher rank.
With the prior permission of the Provost, appointments may be extended for up to an additional two years in order to complete a research project.
- Appointment of a part-time officer of instruction or research.
- Promotion of a full-time officer of instruction or research to a higher rank in the same category of officers if the individual was cleared prior to his or her first full-time appointment.

- Promotion of a full-time postdoctoral research officer to the rank of associate research officer, if the individual was cleared through a standard search in RAPS prior to the initial postdoctoral appointment.
- Transference of an officer from one department to another department, for organizational management purposes, if that person's position remains essentially the same.

III. STANDARD SEARCH AND EVALUATION PROCEDURES (SSEP)

The procedures by which officers are appointed and promoted may vary from one school or department to the next, but the principle of accountability requires that those procedures be consistent within a given unit and that they be stated with clarity and precision. Each department, school, institute, and center is required to have on file in the Office of Equal Opportunity and Affirmative Action approved *Standard Search and Evaluation Procedures* (SSEP). Directions for preparation of these procedures are included in Appendix A.

The *Standard Search and Evaluation Procedures* describe how the unit normally chooses selectees for positions. They also provide the basis for the creation of the templates that the unit uses for online postings in RAPS. The procedures include:

- the process for constituting and the typical composition and size of a search committee;

- the means by which information about an opening is published and disseminated, including the specific professional journals and electronic sources used to advertise and any e-mail distribution lists to which the opening is sent;
- the general information, such as position title, basic or minimum qualifications, position requirements, application instructions, and application deadlines, that will be included in advertisements; and
- the process and criteria by which applicants are evaluated, including the creation of a shortlist, identification of a finalist pool, and the choice of a selectee or selectees.

A separate set of procedures is needed whenever the unit's SSEP vary by rank, tenure status, types of officers or similar distinguishing position criteria.

IV. GUIDELINES ON ADVERTISING

At a minimum, a unit must advertise openings in the venue(s) listed in its *Standard Search and Evaluation Procedures*. For staff associates, senior staff associates and clinicians holding full-time instructional appointments with “clinical” as a prefix modifier, the advertising venue used may be a regional source maintained by a disciplinary or professional organization. All other positions must be advertised in at least one national or international print or electronic source. An advertisement may appear exclusively in electronic venue(s) only if the accepted professional site for advertising positions in the discipline is an online venue. All publications or online sites that are used for advertising a position should be listed in RAPS. If the text of any

advertisement differs from the position description as entered into the RAPS posting, the hiring unit also must include the text of the advertisement in the “Advertisement Text” field in RAPS.

If a unit does not indicate in RAPS that it will advertise in a venue specified in its *Standard Search and Evaluation Procedures*, the dean will not approve the search. Likewise, the dean will not approve an appointment if the hiring unit has not advertised in the venue(s) indicated in its *Standard Search and Evaluation Procedures* and RAPS posting for the position.²

A search must remain open in RAPS no less than 30 days after the advertisements for the opening appear in print or are posted externally online. The advertisements that appear in online venue(s) should be set to expire or be removed by the date that the search is closed in RAPS. No advertisement may appear after the search has been closed in RAPS. If the search is not completed within twelve months of the original advertisement (i.e., if a selectee has not been identified and undergone EOAA clearance), the unit must post a new search in RAPS and readvertise the opening.

Each advertisement and announcement must include at minimum:

- the specific rank(s);
- the name of the unit(s) in which the officer will serve;

² RAPS automatically posts all openings on the Metro New York and Southern Connecticut Higher Education Recruitment Consortium (MNYSC HERC) website at www.mnyscherc.org. In the fall of each year, the University also places a general advertisement in *The Chronicle of Higher Education* for positions at Columbia. This advertisement, which directs potential applicants to the RAPS website for details on specific openings, is used solely to satisfy the requirement of a print advertisement as part of the nomination process for some international selectees sponsored by the University in an immigration petition.

- the deadline for submitting applications or, if the search committee does not impose a deadline, the date the screening of applications will begin;
- instructions directing applicants to apply through RAPS along with the URL for the RAPS posting (or, if a department uses its own online recruitment system, the URL for that system); and
- the statement, “Columbia University is an Equal Opportunity/Affirmative Action employer.”

It is acceptable to use a single advertisement for more than one opening; however, the advertisement must clearly distinguish among the positions if the ranks, responsibilities, or requirements for each are different.

To keep the text succinct, the advertisement may refer applicants to the URL for the RAPS posting(s) for detailed information and requirements for the position(s), rather than including this information in the advertisement.

V. REPORTING AND EOAA CLEARANCE PROCEDURES FOR STANDARD SEARCHES

The reporting and EOAA clearance procedures for searches conducted according to a unit’s *Standard Search and Evaluation Procedures* are as follows:

- Once a unit has received authorization for a search from the appropriate dean and a search committee has been established, the unit must create a posting in RAPS using the appropriate template for the position, and indicate in RAPS that the posting is ready for review by the appropriate dean, and, for all positions at the Assistant Professor rank or higher, by the appropriate business manager or financial officer and dean's office.
- For positions at the Assistant Professor rank or higher, the designated business manager or financial officer reviews the pre-approval questionnaire and approves the search. Then the appropriate dean's office must also review and approve the search.
- Upon notification by RAPS that a posting is ready for review, the appropriate dean verifies that the posting reflects the position for which the hiring unit has been authorized to conduct a search, and checks the details of the posting for accuracy, completeness, and compliance with the *Standard Search and Evaluation Procedures* of the hiring unit. If the posting comports with the SSEP and EOAA policies and procedures, the dean will approve it.
- After approving the advertisement and search plan in RAPS, the dean posts the search on the public RAPS web site. No search can officially begin before the advertisement is posted on that web site.
- After the advertisement has been posted on the RAPS web site, the hiring unit receives an automatic e-mail notification of the opening of the search. The unit may

then proceed to advertise in the designated external venue(s) and begin to conduct the search.

- All applicants are asked to self-identify their race, ethnicity, and gender, confidentially and voluntarily, as part of the application process in RAPS. The hiring unit does not have access to their responses; but it can view reports summarizing the profile of the entire applicant pool. If a unit has concerns about the diversity of its applicant pool, it should consult with the Office for Academic Affairs at CUMC, the Associate Provost for Equal Opportunity and Affirmative Action, or the Vice Provost for Diversity Initiatives for suggestions on resources and strategies for attracting applications from qualified women and minorities.
- To ensure that the information in RAPS is complete and accurate, units should direct applicants to apply online through RAPS, with the following exceptions:
 - Units with their own electronic recruitment systems may continue to use them so long as they invite all applicants to self-identify race, ethnicity and gender data and so long as they transfer the reported data to RAPS at some point before the search is completed. These data *must* include the applicants' responses to the self-identifying questions on race, ethnicity and gender. Units soliciting data on race, ethnicity and gender from applicants in their own systems must use the exact language with the same response choices that appear in RAPS, including the choice of "no response." For these questions, "no response" may be chosen only

by applicants who prefer not to provide this information; it may *not* be entered for applicants by the hiring unit.

- A unit may enter applications in RAPS on behalf of waiver candidates and applicants for tenured faculty appointments. In these instances, the unit must invite the waiver candidates and applicants to self-identify race, ethnicity and gender and enter their responses in RAPS. The invitation to self-identify must use the exact language with the same response choices that appear in RAPS, including the choice of “no response.”
- To submit a selectee (or selectees) for EOAA clearance following completion of a standard search, the nominating department, school, institute, center, or other hiring unit (including Harlem Hospital) must first complete the required information in RAPS. This information includes entering the disposition of each application, selecting reasons for non-selection from a drop-down menu for *all* of the applicants who were not selected for appointment, and providing an explanation for why the selectee (or selectees) was chosen. The current *curriculum vitae* of the selectee and of all finalists also must be included in RAPS. Hiring units must provide a translation if the *curriculum vitae* is in a language other than English.
- After ensuring that the necessary information about the status of all applicants has been entered into RAPS, the nominating unit changes the status of the posting to indicate that the selectee is ready for the appropriate dean’s approval.

- The dean electronically reviews the search, checking for consistency of the selectee's qualifications with the hiring authorization and adherence of the search to the unit's SSEP, as well as for completeness and accuracy of the search information entered into RAPS. If he or she approves the nomination, he or she changes the status of the posting in RAPS to indicate that the selectee is ready for EOAA clearance.
- RAPS conducts an automated review of the requested EOAA clearance based on set criteria established by the Associate Provost for Equal Opportunity and Affirmative Action and the Vice Dean for Academic Affairs.
- EOAA clearance decisions on selectees are normally made and recorded in RAPS within twenty-four hours. Notice of EOAA clearance or failure to clear is automatically sent to the Office of Academic Affairs, to the appropriate dean, and to the hiring unit by e-mail from RAPS.
- In the event a search fails to clear, the hiring unit should contact the Office of Academic Affairs to determine the next steps.

VI. WAIVERS FROM STANDARD PROCEDURES

A unit will normally use the procedures described in its *Standard Search and Evaluation Procedures* to recruit officers of instruction and research. In unusual situations, a hiring unit may seek a waiver from the search requirements.

The following situations may be appropriate for a waiver:

- ***Specialist:*** The requirements for certain positions are sufficiently specialized that they can be filled only by a limited number of senior academic officers, all of whom are known to the professional community.
- ***Star:*** An opportunity arises to recruit a senior academic officer of great eminence who would ordinarily not be expected to be available, such as a distinguished scholar or nationally renowned artist or professional. This waiver is not appropriate for junior faculty positions or, with rare exceptions, non-faculty appointments.
- ***Distinguished Visitor:*** A department or school wishes to enrich its curricular offerings by temporarily appointing a distinguished visitor for a semester or year.
- ***Outstanding Diversity Candidate:*** A hiring unit may have the opportunity to recruit a highly qualified woman or underrepresented minority candidate for an academic position whose appointment would assist in meeting applicable placement goals.
- ***Accompanying Spouse or Partner:*** The recruitment of a faculty member or officer of research may require the appointment of an accompanying spouse or partner.
- ***Research Team Member:*** The recruitment of a faculty member or officer of research may require appointing others because they form an established research team.

- ***Grant Team Member:*** The receipt of a grant may be contingent upon assembling an appropriate research team in advance of its award.
- ***Candidate for Promotion:*** The outstanding achievements of a member of the research support staff may merit a promotion to the rank of staff associate.
- ***Recipient of a Prestigious Support Award.*** . Recipients of prestigious external fellowships or grants who gained the awards through a competitive national peer review and who elect to do the research at Columbia may qualify for appointments as officers of research.
- ***Change of Position Definition for Budgetary Purposes.*** Officers who receive partial or full financial support from an affiliated hospital or institute and who have a part-time University position as an officer of instruction or research may be given full-time appointments in response to changes in funding sources if their work responsibilities remain unchanged.
- ***Promotion of Housestaff or Postdoctoral Officer Previously Appointed through a Match Program to Instructor.*** An officer originally appointed through a matching program may be promoted to title of Instructor. This category also includes residents who require a temporary appointment to complete a short-term specialty training assignment beyond their residency period. (Please note: no one may be promoted internally to the level of Assistant Professor without a full search.)

In addition, unforeseen circumstances that prevent a unit from conducting a full search may warrant a temporary appointment that normally does not exceed one year:

- ***Unexpected Vacancies:*** An unexpected leave, late resignation, other termination, death, or failure to complete a search may produce an opening that must be filled on short notice.
- ***Unpredicted Enrollment Increases:*** Unpredicted increases in enrollment may force a school or department to appoint additional full-time faculty at the start of a semester.
- ***Short-Term Grants and Contracts:*** Positions may need to be filled quickly for a project lasting no more than one year that is funded by an external grant or contract. Hiring units may request *one* extension of up to one additional year, if the project subsequently is extended beyond the original year.
- ***Short-Term Bridge Position until Completion of Ph.D.:*** A person who has a forthcoming appointment as a post-doctoral officer may be appointed to a position of Staff Associate for a maximum of six months, if necessary, to complete his or her Ph.D.

Waivers from standard procedures may be appropriate in similar situations.

All waiver candidates for an opening must receive EOAA clearance through RAPS before an offer can be made. The reporting and EOAA clearance procedures for waivers are as follows:

- Either the waiver candidate or the unit acting on behalf of the candidate enters the applicant information in RAPS. If the unit enters the information, it must include in the submission the affirmative action data on the candidate. This should be obtained by inviting the candidate to self-identify race, ethnicity and gender [See Section V].
- When making a request for a waiver, a unit must create a special record in RAPS, using a waiver template, and complete the fields that request a job description of the position to be filled by the waiver candidate, information about why a full search was not conducted, how the nominee was identified, and why a waiver is justified. No waiver may be submitted without an up-to-date *curriculum vitae* for the candidate. Hiring units must provide English translations in RAPS for any *curriculum vitae* in another language.
- After the waiver record is entered in RAPS, the hiring unit submits a request for approval through RAPS to the dean who originally authorized the position. The dean electronically reviews the waiver and, if he or she approves the candidate, indicates approval in RAPS, which then automatically submits the candidate for EOAA Clearance.
- The waiver request is reviewed by the Office of Academic Affairs. Notice of EOAA clearance or failure to clear in the case of a waiver will normally be issued by the Office of Academic Affairs within five working days of receipt from the sending dean. Notice is sent by RAPS to the dean and to the hiring unit by e-mail.

- In the event a waiver fails to clear, the hiring unit should contact the Office of Academic to determine the next steps.

A dean, chair, or other responsible officer may wish to consult with the Office of Academic Affairs before selecting a waiver candidate and submitting the EOAA clearance request.

VII. REVIEW AND APPROVAL BY THE ASSOCIATE PROVOST FOR EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

At intervals throughout the academic year, the Vice Dean for Academic Affairs and the Associate Provost for Equal Opportunity and Affirmative Action review both summary and detailed affirmative action reports on recruiting and hiring, produced with the data in RAPS. The Vice Dean and Associate Provost uses these reports to evaluate whether the departments, schools, institutes, centers, and other hiring units (including Harlem Hospital) are meeting their responsibility in furthering the University's commitment to equal opportunity, nondiscrimination, and affirmative action, including meeting any placement goals and ensuring that there are not unexplained statistical disparities in the selection rates for various groups. As part of this review, the Vice Dean and the Associate Provost may consider such things as the diversity of applicant pools, short lists, and selectees; the composition of search committees; and patterns of hiring in individual units, discipline areas, and schools of the University. In order that Columbia University may continue to promote its goal of equity and excellence, the Vice Dean or Associate Provost may ask units to take special steps in future searches to see that good faith efforts are undertaken to ensure diverse applicant pools whose members are given full consideration in the recruitment, screening, and selection of officers.

VIII. ADDITIONAL INFORMATION

Questions on the *Affirmative Action Policies and Procedures* and requests for assistance with the *Standard Search and Evaluation Procedures* should be directed to:

The Office of Academic Affairs
Columbia University Medical Center
Vice President's and Dean's Office
2-401 P&S
212-305-9159

or

The Office of Equal Opportunity and Affirmative Action
103 Low Library, MC 4333
212-854-5511
<http://www.columbia.edu/cu/vpaa/eoaa/>