

Office of the Provost

Hiring Process for Faculty and Academic Professionals

Pilot Program

This document provides a list of steps involved in the hiring process for faculty and academic professionals under the Pilot Program on Faculty Searches. The Pilot Program differs from the current formal Faculty Hiring Process in that it shifts much of the compliance monitoring from the Office of Affirmative Action (AA) to the academic department and college administration. Under the Pilot Program, AA approval is required only at the beginning and end of the search (Forms A, A-1, A-2, proposed advertisement and D). Where AA approval was previously required during the pool certification, applicant review, interview and selection phases, the Pilot Program dispenses with the need for AA approval and instead requires only that a copy of the form, matrix or memorandum, etc., be sent to AA for the file. The deans are responsible for determining whether, and under what circumstances, additional documents will be submitted to AA for formal review and approval, and AA remains a resource for information and guidance for all departments and search committees at all steps of the hiring process. Under the Pilot Program, each dean may also decide whether to require search committees in their units to submit the matrix, interview questions and reference questions to the chair and/or and dean for pre-approval.

Any further requests for a variation in the process described below must be approved in writing by the provost and the Director of Affirmative Action.

Specific procedures which differ for Academic Professional hiring are noted below as “Academic Professional Exception.” For Academic Professional searches, except where noted, functions to be performed by the chair are to be performed by the dean or the dean’s delegate.

■ Hiring Process Training

At the start of each semester and otherwise when advisable or requested, the Office of Affirmative Action will conduct faculty search and hiring training for all departments. All individuals who serve on faculty search committees shall attend at least one training per academic year, although deans have the option of requiring more frequent training sessions.

■ Approval to Recruit

1. The dean submits a Justification Form to the Provost’s Office to request approval for a search. Grant funded positions do not require a justification form.

2. The provost reviews the Justification Form in consultation with the dean and returns the form to the dean when it is approved.
3. The department chair and the dean establish the search committee and provide an orientation to the search process. The search committee (referred to as screening committee in COFS) shall be established in accordance with the following rules and procedures (ref. COFS, Section 7.3.2):
 - a. The faculty of the academic unit shall elect from among themselves at least 50% of the committee's membership.
 - b. The academic unit head (dean/director/chair) shall appoint the remaining members of the committee, with particular attention paid to providing representation that reflects ethnic and gender diversity. This requirement may mean that the chair must go outside the department for committee members to ensure the inclusion of underrepresented groups.
 - c. If the faculty, the chair, and the dean concur, the entire faculty of the academic unit may serve as the search committee. Gender and minority representation referred to in (b) above are still required.
 - d. If the position to be filled will likely serve two or more departments or colleges, representatives from each academic unit involved shall serve on the committee.
 - e. The committee chair will be appointed in consultation with the search committee.
4. The dean and chair approve Forms A, A-1, A-2 and the proposed advertisement and submit all materials to the Office of Affirmative Action. If the forms were submitted to the provost with the Justification Form in step 1 above, the Provost's Office will forward all forms and the proposed advertisement to Affirmative Action. In preparing the forms, the following must be considered:

Form A, Appointed Staff and Faculty Personnel Requisition Form

- Job title must be consistent with Vacancy Announcement.

Form A-1, Vacancy Announcement Request

- Minimum qualifications must be appropriate to job title per Faculty Handbook, Section 7.2, *Faculty Classifications*.
- Minimum qualifications must be limited to those that are clearly essential to avoid eliminating otherwise potentially viable and even competitive candidates.
- Preferred qualifications must be clearly derived from or can reasonably be inferred from the duties of the position as announced. It is recommended that when preparing the position

announcement, all components of the announcement are simultaneously translated to the search matrix.

- Vacancy announcement and job advertisement include language regarding commitment to diversity. (*refer to the Affirmative Action Faculty Search Guide for examples of acceptable statements: <http://www4.nau.edu/diversity/hire.htm>)*)
- Language in the advertisement should also indicate women, minorities, individuals with disabilities and covered veterans are encouraged to apply. The advertisement must include language indicating that NAU is an affirmative action/equal opportunity employer. An acceptable abbreviation is "NAU is an AA/EEO/MWDV employer," or simply "AA/EEO/MWDV."
- Applicant review date reads, "The search will remain open until position is filled or closed; however, the committee will begin reviewing applications on _____."
- Date indicated for review of applications is at least 30 days after position is first advertised to the public.

Form A-2, Recruitment Plan Administrators, Academic Professionals, and Faculty Positions

- Search committee chair and members are listed.
- Search committee membership reflects ethnic and gender diversity.
- Form identifies outreach and recruitment likely to reach broad audience of potentially interested and qualified candidates, including women and people of color. The following resource contains information which can assist departments in identifying recruitment opportunities:
<http://www4.nau.edu/diversity/recruitool3.htm>
- Proposed outreach and recruitment plan identifies specific efforts designed to reach potential women and/or minority candidates where either group has been identified as underutilized.

5. Affirmative Action reviews and approves the A forms and advertisement, and forwards all documents to the Provost's Office.
6. Affirmative Action provides the department with current utilization of women and minorities and established hiring goals for that area.
7. The provost approves Forms A, A-1, A-2 and the advertisement (the dean may have submitted this information in step 1). The Provost's Office forwards Form A to the Budget Office. The Budget Office assigns a position number to Form A and returns the form to the Provost's Office.

■ Advertising the Position

8. The Provost's Office informs the search committee that the A forms have been approved by forwarding an email to the contact person listed on Form A and copying the dean and the department chair on the email.
9. The Provost's Office faxes the forms to Human Resources and when the job is posted by Human Resources to the NAU web site with a vacancy number, the Provost's Office will add the vacancy number to Form A and all the material (Forms A, A-1, A-2, and the advertisement) will be returned to the contact person listed on Form A. In addition, Human Resources also sends an email to the contact person to let them know the job has been posted to the NAU web page.
10. The search committee may begin advertising for the position when Forms A, A-1, A-2 and the advertisement have been approved by the provost and Affirmative Action.

■ Establishing the Screening Matrix

11. In consultation with the department chair, the search committee develops the matrix for reviewing and ranking candidates as described below. Minimum and preferred qualifications may be contained in one matrix or two.
 - Selection matrix or criteria review sheet ensures review for both minimum (yes/no response only) and preferred qualifications.
 - Selection criteria are clearly derived from or can reasonably be inferred from information regarding the position as actually announced to the public (generally via job advertisement or a more detailed job announcement where an abbreviated advertisement has been used and reference is made to a more detailed job announcement).
 - Selection criteria include in some fashion experience with and/or commitment to diversity.
 - Where minimum or preferred qualifications are general and subject to multiple interpretations, such as "evidence of successful teaching", submitted materials include evidence of a dialogue by search committee for the kinds of experience, training or other job-related attributes that are relevant to each of the general qualifications.

The matrix may be numerical, narrative or another format of scoring that best suits the needs of the unit and the particular search. Sample acceptable matrices are available from Affirmative Action's web site at <http://www4.nau.edu/diversity/hire.htm>

12. The matrix is submitted to the department chair and dean for approval
13. A copy of the matrix is submitted to Affirmative Action for the file.

■ Screening for Minimum Qualifications

14. Search committee designates someone to maintain a log of applicants and to complete the Notice of Applications Received (Form B) with names and addresses of all candidates who apply.
- A letter to all applicants is sent as soon as possible, acknowledging the application.
 - The letter provides notification that a background check is required for the final candidate.
 - The letter requests the candidate to complete the Applicant Data Sheet enclosed with a pre-addressed, postpaid envelope.
 - While the Faculty Hiring Process in COFS suggests that the Applicant Data Sheet be returned to the committee chair, it would be preferable to have that form returned to someone outside of the search process (dean or person providing administrative support to the committee) to ensure that the information is appropriately considered in the search process.
 - As the Applicant Data Sheets are returned, the designee enters the race and gender information on Form B.
15. The search committee chair or designees may begin reviewing applications for minimum qualifications using the pre-approved matrix. All parties involved with search materials should be aware that names and data are confidential until selection for on-campus interviews.
16. After the candidates are screened for minimum qualifications, a letter should be sent to those who do not meet minimum to thank them for their interest and to let them know the status of their application. It is suggested that a letter be sent to those candidates who do meet minimum to inform them of the process and timelines and any missing materials that are needed for their file.

■ Applicant Pool Certification

17. Once the 30 day posting period has passed, the dean and the chair need to certify the pool before applications may be reviewed for preferred qualifications. Pool certification is accomplished by completing the Notice of Applications Received (Form B), including minimum qualification, race and gender information available to date, and submitting the information to the chair and dean for approval to proceed with applicant screening. The

Form B **must** then be sent to Affirmative Action for data entry into PeopleSoft. Affirmative Action will provide feedback on how the pool compares to the goals established for women and minorities.

■ Reviewing the Files for Preferred Qualifications

18. Review applications for preferred qualifications using the approved matrix and select applicants to suggest for phone interviews.
- Prepare a summary document (consistent with the previously approved matrix), showing how all applicants fared in the review process. This is also known as the composite matrix.
 - Names listed on the composite matrix must also be listed on Form B or a supplement to Form B.
 - Composite matrix or other document showing candidates selected for telephone interviews should be self-explanatory.
 - If selection of candidates for on-going consideration is either not self-explanatory or not consistent with the completed matrix summary, separate documentation explaining job-related basis for candidate selection is included.
19. Submit the composite matrix and related documentation if any, to the department chair and the dean for approval indicating these candidates are recommended for telephone interviews.
20. Submit a copy of the composite matrix, and related documentation if any, to Affirmative Action for the file.

■ Telephone Interviews

21. The search committee develops telephone interview questions as follows:
- Questions must be appropriately grounded in job-related criteria based on position announcement.
 - Proposed questions must address experience with and commitment to diversity.
 - Questions must not contain language that may reasonably be interpreted as discriminatory and should not ask candidate to reveal non-job-related information, such as age, marital status, family status, etc.
 - Questions include asking the candidate for permission to contact listed references and others who may be familiar with the candidate's work.
22. Questions are submitted to the chair and the dean for approval.

23. A copy of the questions are submitted to Affirmative Action for the file.

24. The search committee conducts telephone interviews.

The same process must be used for all candidates called, whether conducted by the committee as a whole or by individual members dividing up the pool and should proceed as follows:

At least two members of the committee participate in each interview.

Standard set of interview questions shall be asked of each candidate.

Any discrepancies/ambiguities in candidate materials or responses can be clarified.

The committee may answer questions about the position, the university and the community, but must decide beforehand, with the concurrence of the chair, what information to provide.

Notes related to telephone interviews must be retained as part of the search file record.

Obtain candidate's permission to contact references and others who may know the candidate's work.

25. Reference checks must be conducted on all candidates committee anticipates inviting for on-campus interviews. The reference check process must be decided in advance of the calls and should include the following:

At least two references identified by candidate must be contacted.

At least two committee members must be present for each reference check.

Use standard set of questions related to qualifications and preferences in position advertisement.

Questions such as "would you rehire this person" or "would you hire this person if possible" should be asked. If not, "Why?"

Discrepancies in information provided by references should be noted and clarified in follow-up.

■ Campus Interviews

26. The search committee submits a list of potential candidates for on-campus interviews and the rationale for the selections to the department chair for approval.

27. The department chair conducts telephone interviews with all candidates proposed for on-campus interviews in order to address questions regarding salary, workload, department issues, etc.

28. The department chair and search committee develop a final list of candidates and justification for selection for on campus interviews.
29. The department chair submits the final list and rationale for candidates recommended for on-campus interviews to the dean for approval with a copy to Affirmative Action.
30. The dean approves the list of candidates for on-campus interviews. If non-tenure eligible, skip to item 33. **Academic Professional Exception** – Academic Professionals are continuing status eligible and therefore also require the provost's approval to conduct an on-campus interview.
31. The dean requests (in writing via email, memo, fax) approval from the provost for on-campus interviews for tenure track faculty. The rationale for selection and vitae for all candidates must be included. If the position is non-tenure track, skip to item #33.
32. The provost approves request for on-campus interviews.
33. The department chair and dean review travel costs and reimbursement procedures.
34. The committee chair prepares the on-campus itinerary for each candidate. The itineraries must be consistent for all candidates and must include meetings with department faculty and students as well as other appropriate university units and individuals.
35. The committee chair sends copies of the itinerary and recruiting packet to each candidate.
36. The committee chair distributes itineraries and vitae to those interviewing the candidates.
37. Campus interviews are conducted. The same process must be used for each candidate.
38. The committee chair submits the Hiring Information Form (Form C), committee's summary of candidates and feedback from evaluations from faculty, students and others to the department chair. Form C includes:
 - All candidates interviewed for the position, including those interviewed by telephone and those interviewed on campus.
 - All candidates listed on Form C must be listed on Form B or a supplement to Form B.

- Form C and/or separate documentation clearly articulate on the basis of job-related criteria the rationale for selection of candidates for both the telephone interviews and on campus interviews.
- Form C and/or separate documentation clearly articulate on the basis of job-related criteria the rationale for selection of the final candidate proposed for appointment to the position. NOTE: "Best fit for position" is an insufficient explanation to support selection of candidates for on-going consideration or for appointment to a position.
- A copy of Form C and separate documentation, if any, should be sent to Affirmative Action.

■ Preparing Hiring Offer

- 39. Committee chair, department chair and dean meet to identify top candidate and discuss potential terms of contract. Exploratory conversations may take place with the candidate regarding elements to be negotiated, but no official or implied offer may be made.
- 40. The dean requests (in writing via email, memo, fax) the approval from the provost to negotiate the hire of a tenure track candidate. If non-tenure track, skip to item #43.

Items to discuss with the provost when negotiating the hire:

- Salary
 - Justification for prior credit (if being offered)
 - Justification for tenure (if being offered)
 - Special considerations (e.g., variation in funding source)
 - Modification of standard start date
 - Status of degree completion expectation (if ABD)
- 41. The provost approves the request to negotiate the offer with the candidate.
 - 42. The dean forwards a draft letter of offer to the Provost's Office.
 - 43. The draft letter of offer is approved by the provost.
 - 44. The letter of offer is sent to the candidate and copied to the provost.
 - 45. When the candidate's signature has been obtained on the final original letter of offer, a copy must be forwarded to the Provost's Office.
 - 46. The department chair submits a background check form to American Background Information Services, Inc.

47. The dean and chair approve Form D and submit the following materials to Affirmative Action for approval and signature on the Human Resources signature line:

- Forms C & D.
- Signed letter of offer.
- Candidate's vita.
- A copy of the official transcripts for all degrees held (not for partial work) by the candidate. An "official transcript" is one that has been delivered in a sealed envelope from the issuing institution to a member of the search committee/designee as part of the application process.
- Copy of background check authorization form previously submitted to Human Resources.

48. Affirmative Action sends the material listed in item 47 to the provost for approval.

49. The original fully executed Form D is forwarded to the Budget Office for their files and the appointment recommendation (contract) is generated and forwarded to the dean.

NOTE: If defense of dissertation is not completed by August start date, the department must submit a PAR to change the status of the faculty member to non-tenure track status at a lower salary level as described in the letter of offer. If the defense is successfully completed, a copy of the official faculty transcript must be forwarded to the Provost's Office

50. Notify all remaining candidates/applicants that the position has been filled.

Academic Professional Exception – The dean negotiates the position with the selected candidate pending the provost's approval; offer letter is sent with the selectee's contract. CV and transcripts are maintained in the Library administration offices.

Record Retention

51. Materials from the search are filed for record retention purposes.

Departments must retain the following records for all applicants for a minimum of two years:

- All correspondence related to candidates who applied for the position.
- Applicant Data Sheets.

- Resumes and other application material for all candidates who applied for the position.
- Telephone and on-campus interview questions and notes.
- All matrices and forms (A, A-1, A-2, B, C, D, advertisement and Data Applicant Tracking Sheet).

■ Forms

All forms listed below are available from the Affirmative Action web site at <http://www4.nau.edu/diversity/hire.htm> and are included as attachments to this document.

Position Justification Form – this form is required to obtain approval from the provost to initiate a search.

Personnel Requisition (Form A) - used to provide general information on the position and wording for advertising.

Recruitment Plan for Appointed and Faculty Positions (Form A-2) - provides a format for submitting information regarding the Search committee, application materials, advertising, and outreach activities to ensure a diverse applicant pool. This form is a required attachment to Form A.

Vacancy Announcement Request (Form A-1) - used for providing the position announcement description, minimum qualifications and other general information. This form is a required attachment to Form A.

Notice of Applications Received (Form B) - provides a form for listing all applicants who apply for a given position. This form is required for data applicant tracking and must be updated as needed throughout the search process.

Applicant Data Sheet - this form is sent to all applicants. The form is also required by for data applicant tracking.

Appointed Staff and Faculty Hiring Information (Form C) - this form provides a list of the candidates invited for on-campus interviews.

Appointment Recommendation (Form D) - this form is used to select a new staff or faculty member and initiates the *Notice of Appointment* (the employee's contract).

Background Check Form – this form is required to initiate a background check which is required for all employees.

Employment Background Investigation Authorization – this form is required to gain permission from the candidate for a background check to be conducted.

■ Templates

Examples and templates referred to in this document:

- **Letter of Offer** – a sample letter of offer is attached. To obtain an electronic copy, contact the Provost's Office.
- The NAU Office of Affirmative Action ***Faculty Search Resource Guide*** <http://www4.nau.edu/diversity/hire.htm> contains samples of the following:
 - Selection Matrices
 - Interview Questions
 - Reference Check Questions
 - Faculty Search Correspondence
 - Final notification letters/decline letters
- **Affirmative Action Plan** – <http://www4.nau.edu/diversity/>
- The NAU Office of Affirmative Action ***Faculty Diversity Guide*** <http://www4.nau.edu/diversity/hire.htm> contains ideas and contacts for recruiting a diverse faculty with links to websites and organizations organized by discipline. Also included are articles on the value of diversity and sample diversity statements.