This document details the process for hiring faculty and academic professionals. Under the process, deans have the discretion to delegate approval of the matrix, interview questions and reference questions to the appropriate department chair. The deans also have discretion to require screening committees to submit documentation to the Office of Affirmative Action and Equal Opportunity for review and approval even when not required by this process. Any requests for a variation in the process described below must be approved in writing by the provost and the director of Affirmative Action.

C.1 Hiring Process Training
At the start of each semester and otherwise when advisable or requested, the Office of Affirmative Action will conduct faculty and academic professional search and hiring training. All individuals who assist or serve on faculty or academic professional screening committees shall attend at least one training per academic year, although deans have the option of requiring more frequent training sessions.

C.2 Approval to Recruit
1. The department chair and the dean establish the screening committee and provide an orientation to the search process. The screening committee shall be established in accordance with the following rules and procedures (ref. COFS, Section 1.3.2):
   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 or designee) and/or department chair or director shall appoint the remaining members of the committee with particular attention paid to providing representation that includes 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 or director, and the dean concur, the entire faculty of the academic unit may serve as the screening committee. Gender and minority representation referred to in (b) above is 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 by the department chair and/or academic unit head in consultation with the screening committee.

2. The dean and chair approve the Requisition Forms A, A-1, A-2 and the proposed advertisement and submit all materials to the Office of Affirmative Action. These forms provide essential information for obtaining the reviews and approvals necessary before a position can be advertised. Refer to the following sections for descriptions and instructions for each of the Requisition forms:

Form A, Appointed Staff and Faculty Personnel Requisition Form
Form A provides specific information concerning the position and contains the signatures for approval of all the A forms and the external advertisement. Complete all sections as requested on the form with particular attention to the following:

- job title, rank, college and department must be consistent with the Vacancy Announcement (A-1).
- for multiple positions of the same job title and rank, one form A may be used – next to the job title, enter “Multiple Positions” and this will inform the budget office of the need to assign more than one job vacancy number which will allow an ePar to be created for each position when a hire is made.
- salary range must be included on the A form but is not required on the A-1 form.
- Contact person – more than one person may be listed (e.g., administrative support and department chair) to assist the various departments with processing of the forms.

**Form A-1, Vacancy Announcement Request**

The A-1 form provides the necessary information for the position announcement which appears on the Human Resources web page. A separate document containing the full position description (i.e., external advertisement) may be attached to the A-1 form which should be completed as follows:

- Minimum qualifications must be appropriate to job title per the Conditions of Faculty Service, Section 1.2, *Faculty Classifications*.
- Minimum qualifications must be limited to those that are clearly essential to avoid eliminating otherwise potentially viable and even competitive candidates. Evaluation of minimum qualifications must be answered with a yes/no.
- 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 shall include language regarding commitment to diversity (refer to the *Affirmative Action Faculty Search Guide* for examples of acceptable statements: [http://home.nau.edu/diversity/fsg.asp](http://home.nau.edu/diversity/fsg.asp) [http://nau.edu/Affirmative-Action/Faculty-Search-Guide/](http://nau.edu/Affirmative-Action/Faculty-Search-Guide/)).
- Vacancy announcement and job advertisement shall 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.” Acceptable text for the General Information section in Form A1 (e.g., Flagstaff community, student population) can be found on this webpage: [http://nau.edu/Affirmative-Action/Search-Hiring-Process/](http://nau.edu/Affirmative-Action/Search-Hiring-Process/).
- 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.
- The opportunity for conference interviews must be included in the Vacancy Announcement (ref. Section C.8, item #24).

**Form A-2, Recruitment Plan for Administrators, Academic Professionals, and Faculty Positions**
This form provides a section for listing the screening committee members and sections for descriptions of the advertising and communication plans. Complete the form as follows:

- List the screening committee chair and members.
- Ensure that screening committee membership reflects ethnic and gender diversity. Identify outreach and recruitment likely to reach broad audience of potentially interested and qualified candidates, including women and people of color. The Faculty Diversity Guide contains information that can assist departments in identifying recruitment opportunities: [http://nau.edu/Affirmative-Action/Faculty-Search-Guide/](http://nau.edu/Affirmative-Action/Faculty-Search-Guide/)
- Check the Affirmative Action Plan at [http://nau.edu/Affirmative-Action/Plan](http://nau.edu/Affirmative-Action/Plan) to determine if women and/or minorities are underrepresented in the applicable Job Group. If so, pay particular attention to recruiting in ways that will target members of the underrepresented group and identify specific efforts designed to reach those groups.
- Ensure that the text of any advertisement is consistent with the vacancy announcement.

3. Affirmative Action reviews and approves Forms A, A-1, A-2 and the advertisement, and forwards all documents to the Provost’s Office.

4. The provost approves Forms A, A-1, A-2 and the external advertisement. The Provost’s Office forwards the A Forms to the Budget Office. The Budget Office assigns a position number to Form A and returns the original form to the Provost’s Office and a copy is sent to Affirmative Action and Human Resources.

**C.3 Advertising the Position**

5. Affirmative Action will post the position announcement to the Human Resources “Job Openings” web site [http://nau.edu/Human-Resources/Careers](http://nau.edu/Human-Resources/Careers) and an email notification with the vacancy number for the position will be sent to the following: the contact person listed on Form A, and the office of Affirmative Action.

6. The Provost’s Office adds the vacancy number to Form A, attaches the HR posting and returns all the original forms (A, A-1, A-2, and the external advertisement) to the contact person listed on Form A.

6. The screening committee may begin advertising for the position when Forms A, A-1, A-2 and the external advertisement have been approved by the provost and Affirmative Action.

IMPORTANT: Advertising should be conducted in conformity to the rules established by the Department of Labor, provision 20 CFR 656.18(b)(3) [http://www.dol.gov/dol/cfr/Title_20/Chapter_V.htm](http://www.dol.gov/dol/cfr/Title_20/Chapter_V.htm).

- Electronic or Web-based advertising or a print ad in a national professional journal is required and must meet the following requirements:
  - Respected national professional journal in the relevant discipline.
  - The advertisement for the job opportunity for which certification is sought must be posted for at least 30 calendar days on the journal’s website.
  - Documentation of the placement of an advertisement in an electronic or web-based national professional journal must include evidence of the start and end dates of the advertisement placement and the text of the advertisement.
The advertisement may refer to the official HR web posting (with a link) for further information, but the text of the electronic advertisement must include at least the following:

- Position Title
- Required and preferred qualifications
- Brief description of duties
- Application deadline
- Application process

Questions may be addressed to the Office of the Affirmative Action and Equal Opportunity or the Center for International Education.

### C.4 Establishing the Screening Matrix

8. In consultation with the department chair, the screening committee develops the matrix for reviewing and ranking candidates as described below. Minimum and preferred qualifications may be contained in one matrix or two.

- The selection matrix or criteria review sheet ensures review for both minimum (yes/no response only) and preferred qualifications.
- The selection criteria are clearly derived from or can reasonably be inferred from information regarding the position as actually announced to the public. The selection criteria must include, in some format, experience with and/or commitment to diversity.
- 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 website at [http://nau.edu/Affirmative-Action/Faculty-Search-Guide](http://nau.edu/Affirmative-Action/Faculty-Search-Guide)

9. The matrix is submitted to the department chair and dean for approval.

10. A copy of the matrix is submitted to Affirmative Action for the file.

### C.5 Screening for Minimum Qualifications

11. On the date of first review (30 days after initial posting to HR web site), the Office of Affirmative Action generates a report that shows the diversity for all applicants that applied. This report is sent to the main search administrator in the dean’s office.

11. The screening committee chair or designee may begin reviewing applications for minimum qualifications using the pre-approved matrix. At least two committee members should review applications for minimum qualifications.

**IMPORTANT:** All parties involved with search materials should be aware that names and data are confidential until the candidates have been selected and have accepted invitations for on-campus interviews. Candidates not selected for on-campus interviews remain confidential.

12. After the candidates are screened for minimum qualifications, a letter or email (if an email is sent, a copy must be made for the file) must be sent to the following:

- Those who do not meet minimum to thank them for their interest and to encourage them to remain informed of current employment opportunities with Northern Arizona University and to apply for those positions for which they feel qualified.
• Those who do meet minimum qualifications to inform them of the process and timelines.
• Those who have missing materials that are needed for their file must be notified and given a reasonable deadline for submission of the missing items.

Sample letters are available from the Affirmative Action web site: http://nau.edu/Affirmative-Action/Faculty-Search-Guide/

C.6 Applicant Pool Certification

13. 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 notifying Affirmative Action which applicants do not meet minimum qualifications. Affirmative Action will then send a follow-up to the previous report that only shows the diversity for the applicants that met minimums. The department chair and dean will then review the pool of qualified candidates to certify that the pool is diverse enough to justify the committee reviewing applicants for preferred qualifications.

C.7 Reviewing the Files for Preferred Qualifications

14. Review applications for preferred qualifications using the approved matrix and select applicants to recommend for phone interviews. This step requires the following:

• 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.
• All applicant names must be listed on the composite matrix. Applicants that do not meet minimums and applicants that are not chosen for a phone interview will need to have a reject or withdrawal code assigned on the composite matrix (a list of status codes is available from Affirmative Action http://nau.edu/Affirmative-Action/Search-Hiring-Process/).
• If selection of candidates for telephone interviews deviates from the ranking and the completed matrix summary, include separate documentation explaining job-related basis for candidate selection.
• NOTE: Committee members must turn in their individual scoring matrices for the search file records.

15. For candidates recommended for telephone interviews, submit the composite matrix and related documentation if any, to the department chair and the dean for approval.

16. Submit a copy of the composite matrix, and related documentation if any, to Affirmative Action for the file.

C.8 Telephone Interviews

17. The screening committee develops telephone interview questions which must:

• be appropriately grounded in job-related criteria based on position announcement;
• address experience with and commitment to diversity;
• 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.;
• include a question which asks the candidate for permission to contact listed references and others who may be familiar with their work.

18. Questions must be submitted to the chair and the dean for approval.
19. A copy of the questions must be submitted to Affirmative Action.

20. The screening 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. Interviews should proceed as follows:

- At least two members of the committee must participate in each interview.
- Use the same set of interview questions for 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.

21. Obtain candidate’s permission to contact references and others who may know the candidate’s work. The screening committee submits a list of potential candidates for on-campus interviews and the rationale for the selections to the department chair for approval.

22. 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.

23. Interviews with potential candidates may be conducted at professional conferences in lieu of telephone interviews if conducted in accordance with the Conference Interview Rules for Faculty Searches (refer to this webpage http://nau.edu/Affirmative-Action/Search--Hiring-Process/). NOTE: The opportunity for conference interviews must be included in the Vacancy Announcement (A-1).

C.9 Reference Checks

24. Reference checks must be conducted on all candidates the 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 a standard set of questions related to qualifications and preferences listed 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 not?”
- Discrepancies in information provided by references should be noted and clarified in follow-up.

C.10 Campus Interviews

25. The department chair and screening committee develop a final list of candidates and justification for selection for on-campus interviews.

26. 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.
28. The dean approves the list of candidates for on-campus interviews.

29. The dean requests (in writing via email, memo, fax) approval from the provost/designee for on-campus interviews. The rationale for selection and vitae for all candidates must be included.

30. The provost/designee approves request for on-campus interviews.

31. The department chair and dean review travel costs and reimbursement process.

32. 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.

33. The committee chair sends copies of the itinerary to each candidate.

34. The committee chair distributes itineraries and vitae to those interviewing the candidates.

35. Campus interviews are conducted.

C.11 Preparing Hiring Offer

36. Committee chair, department chair and dean meet to identify the top candidate and discuss potential terms of the Notice of Appointment (contract).

37. The committee chair submits the Hiring Information Form (Form C), the committee’s summary of candidates and the feedback from evaluations from faculty, students and others to the department chair. Complete Form C as follows:

- List all candidates that were proposed to be interviewed for the position, including those interviewed by telephone and those interviewed on campus.
- Clearly articulate on the basis of job-related criteria the rationale for selection of candidates for both the telephone interviews and campus interviews.
- 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, must be sent to Affirmative Action.

38. The dean requests (in writing via email, memo, fax) the approval from the provost/designee to negotiate the hire of a candidate.

Items to discuss with the provost/designee regarding the hire include:

- rationale for selection of final candidate over other candidates;
- 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).

39. The provost/designee approves the request to negotiate the offer with the candidate.

40. The dean forwards a draft letter of offer to the provost/designee (email is preferred) for approval. Letter of offer templates are available from the Dean’s office.

41. Following approval of the draft letter of offer:
   • The final letter of offer with internal signatures is sent to the candidate and copied to the provost. Include the background check authorization for candidate to complete and return as instructed in the letter of offer. The form is available from the Human Resources webpage at: hr.nau.edu/content/view/307/325/#B
   • Request the candidate to have an official copy of their transcript (last degree only) mailed to the department.

42. Upon return of the signed letter of offer and background authorization form, the department chair submits the background check form to American Background Information Services, Inc.

43. An e-PAR is created and must include the following:
   • Signed letter of offer.
   • Candidate’s vitae.
   • A copy of the candidate’s official transcripts for the last degree held (not for partial work). An “official transcript” is one that has been delivered in a sealed envelope from the issuing institution to a member of the screening committee/designee as part of the application process.
   • Copy of background check approval.

NOTE: If defense of dissertation is not completed by the date of hire, the faculty member must be hired at a lower rank and salary until the dissertation is completed. At the time of completion, the department must obtain an official copy of the transcript and submit a copy of the transcript with an ePar to place the faculty member into the appropriate rank and salary.

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

C.12 Record Retention

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

Departments must retain the following records for all applicants for a minimum of two and a half years at which time the materials must be shredded:

• all correspondence related to candidates who applied for the position;
• resumes and other application material (received separately from the online application system) for all candidates who applied for the position;
• telephone and on-campus interview questions and notes;
• all matrices (both individual committee member’s and the composite matrix) and forms (A, A-1, A-2, , C, and advertisements).

C.13 NAU Forms
All forms listed below are available from the Affirmative Action web site at http://home.nau.edu/diversity/hiring.asp

**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 Screening 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.

**Appointed Staff and Faculty Hiring Information (Form C)** - this form provides a list of all candidates that were proposed for interviews and the applicable status codes for applicant tracking.

**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.

### C.14 Resources

Examples and templates referred to in this document:

**Letter of Offer** – a sample letter of offer may be obtained by contacting the Dean’s Office.

The NAU Office of Affirmative Action Faculty Search Guide http://nau.edu/Affirmative-Action/Faculty-Search-Guide/ contains samples of the following:

- Selection Matrices
- Interview questions;
- Reference check questions;
- Faculty search correspondence;
- Final notification letters/decline letters.

**Affirmative Action Plan** http://nau.edu/Affirmative-Action/Plan/

The NAU Office of Affirmative Action Faculty Diversity Guide http://nau.edu/diversity-nau/ 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.