Faculty Search Policy and Procedures

Indiana University of Pennsylvania
Office of Human Resources

November 2011

MISSION STATEMENT

Through undergraduate and graduate programs, IUP serves students from across the nation and around the world by introducing them to and sustaining them in a culture of high aspiration and achievement so they may lead productive and meaningful lives. Singly and through collaboration within the State System of Higher Education, with other educational institutions, and with business, government, human services and professional organizations, IUP contributes to the economic and cultural strength of the region, the commonwealth and the nation through education, scholarship, and service.

IUP'S STATEMENT OF NONDISCRIMINATION

Indiana University of Pennsylvania is committed to equal opportunity and affirmative action for its students, employees and applicants. The University is committed to providing equal educational and employment rights to all persons without regard to race, color, sex, religion, national origin, age, disability, sexual orientation, or veteran's status. Each member of the university community has a right to study and work in an environment free from any form of racial, ethnic, and sexual discrimination. In accordance with federal and state laws, the university will not tolerate racial or ethnic discrimination or discrimination on the basis of disability.

This policy is placed in this document in accordance with state and federal laws including Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Educational Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and the Civil Rights Act of 1991 as well as all applicable federal and state executive orders. This policy extends to disabled veterans and veterans of the Vietnam era.

[According to the Veteran's Preference Law, all qualified veterans from 1952 on are protected.]

IUP'S AFFIRMATIVE ACTION POLICY

Indiana University of Pennsylvania is committed to provide leadership in taking affirmative action to assure equal education and employment rights for all persons without regard to race, color, sex, religion, national origin, sexual orientation, age, disability, or veterans' status. We believe that respect for the individual in the academic community must not be abused. Harassment or disregard of a person based on any of these characteristics is particularly intolerable on the university campus.

The university will take affirmative action to ensure the implementation of this policy in employment and admissions. This policy and the obligation to provide equal opportunity include the following commitment:

1. To recruit, hire, train, and promote persons for all job classifications and to admit and educate students without regard to race, color, sex, religion, national origin, sexual orientation, age, disability, or veterans' status.

2. To base decisions on selection, employment practices, employee utilization, job training, career mobility, promotion, program operation, and services provided in observance of the principles of equal employment opportunity and affirmative action.

3. To assure that all other personnel actions, such as compensation, benefits, transfers, furloughs, returns from furlough, agency-sponsored training, educational benefits, tuition assistance, social and recreational programs, etc., are administered in keeping with the policy, strategies, objectives, goals, and timetables of the Equal Opportunity Act and the Affirmative Action Plan of the university.

4. To create and maintain a workplace and educational climate that is free from discrimination and harassment, including sexual harassment, of any employee or student.

5. To make every effort to increase employment and educational opportunities for qualified disabled applicants and employees with disabilities.

6. To assure that in offering employment or promotion to persons with disabilities, no reduction in compensation would result because of disability income or other benefits.

7. To assure that reasonable accommodations will be made for the physical disabilities of an applicant or student.

As an equal opportunity/affirmative action institution, the IUP Affirmative Action Plan is applicable to employees/enrollees of Indiana University of Pennsylvania under provisions of federal and state laws including Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Educational Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and the Civil Rights Act of 1991, as well as all federal and state executive orders. This policy extends to disabled veterans and veterans of the Vietnam era.

The IUP Affirmative Action Plan supersedes the Affirmative Action Plan of 1995-96; the 1983 IUP Plan; the August 8, 1975, Affirmative Action Plan adopted by the Board of Trustees; and the March 31, 1982, Affirmative Action Plan submitted to the U.S. Office for Civil Rights.

Confidentiality is of utmost importance in all stages of the search process. Applicant information MUST NOT be discussed with anyone outside of the search committee and the Office of Human Resources. It is also inappropriate to discuss search information after the selection has been made.

Keep in mind….

- An "Activity Log" documenting dates and search activities should be kept throughout the entire search
- All action taken regarding any search must be in writing.
- Telephone conversations or other discussions regarding possible actions impacting a search must be followed up with written documentation.
- Search chair must keep College Dean apprised of search actions throughout the entire process.
- Keep all written documents professional and job related; do not include personal comments.

Forms

Search forms are available on the web. From the Human Resources mainpage (www.iup.edu/humanresources), click "how to", then select "conduct a faculty search."

Initiating Search

1) College Dean or designee completes Faculty Authorization Form (available at X/Public/Academic Affairs Information/Authorizations-Appointments) and submits to Vice Provost's Office.
2) Search Committee formed
   A) Should be comprised of a diverse group of participants which includes females and minorities.
   B) Participants should be able to provide multiple perspectives, expertise and be independent decision makers.
3) Search meeting scheduled
   A) Search chair contacts the Human Resources Faculty/Administrative Employment Manager (hereafter "HR") at 724-357-2431 or dwardo@iup.edu to schedule search meeting.
   B) Participants should include the search chair and all search committee members (if possible).

Affirmative Action Approval Packet A

Search chair completes the Affirmative Action Approval Packet A consisting of the Affirmative Action Form A and the Affirmative Action Plan and submits to their College Dean. A position announcement must also be submitted.

Position Announcement

Formulating the position announcement is a pivotal step in the search process. Composing a compelling advertisement increases the odds that you will attract the applicant pool you desire.

For consideration….

- Required/preferred qualifications – candidates ratings on the qualification matrix will be based on these requirements.
- Pros/cons of stipulating a deadline for receipt of applications.
- Official transcripts required prior to hire.

1) The position announcement MUST be sent as an email attachment to Debbie Wardo (dwardo@iup.edu). A full ad should be prepared for placement on the Human Resources website

and a brief version should be prepared for placement in print publications such as the Chronicle of Higher Ed, newspapers and other publications. The brief ad should refer readers to the HR web posting.

2) HR reviews/edits advertisement then sends to Provost for approval.
3) Human Resources will place the full ad on the Human Resources website. **IT IS THE RESPONSIBILITY OF THE SEARCH CHAIR TO PLACE THE ADVERTISEMENT IN ALL OTHER OUTREACH VENUES LISTED ON THE AFFIRMATIVE ACTION PLAN.** For questions on ad placement procedures, contact Procurement Services at ad-buyer@iup.edu.
4) **International hiring guidelines (REQUIRED)**
    a. Two options for advertising
        i. Place a print ad in the Chronicle, OR
        ii. Place an online ad for 30 consecutive days with the Chronicle
    b. Required documentation
        i. If *print* ad is placed, You MUST keep a copy of the front page of the paper which includes the name and date of the journal, as well as a copy of the full text of the ad in the search file.
        ii. If *online* ad is placed, it is your responsibility to retain proof by printing a copy of the ad on the first and last day that the ad runs on the Chronicle website and keep the copies in the search file.
    c. It is your responsibility to place this ad.
5) Upon ad approval from Provost, Human Resources employment secretary sends email to search chair with following attachments:
    - Finalized job announcement/posting
    - Acknowledgement letter sample
        - All applicants must receive notice that their application was received
    - Employment application
        - Send to all applicants
        - Instruct them to return directly to the Office of Human Resources in the HR return envelope (a supply of envelopes will be sent to you via campus mail)
    - I-9 document/instructions (Immigration Reform and Control Act of 1986)
        - Send to all applicants
        - Informational only; instruct applicants not to return this document
    - Background Investigation Consent Form
        - Send this form ONLY to candidates invited for campus interview
        - Check is conducted only on selected candidate
    - Applicant Qualification Matrix
        - Completed by search chair
        - List all applicants
        - Complete matrix with comments/rating information
        - Submit to Human Resources prior to interviews/employment offer
    - Affirmative Action Form B
        - Complete and submit when requesting campus interviews
    - Hiring Procedures
    - Instructions when hiring a new employee

Application Review

1) As applications come in, committee sends applicant a letter of acknowledgment.
    A) Provide search number to applicant
    B) Provide instructions on web self-ID procedure
    C) Notify applicant of any missing materials

D) Enclose the employment application, return envelope, and immigration information sheet

2) Search committee begins evaluation process; establish criteria for evaluating application materials
   A) Committee creates an individual screening form to evaluate candidates (provide sample to HR for review/approval).
      - Qualifications are based on position announcement; required/preferred qualifications
      - Overall candidate rating should fall into one of the following categories:
        (1) Not qualified (does not possess minimum requirements)
        (2) Qualified (meets very minimum requirements)
        (3) Fully qualified (meets minimum requirements, plus has desired traits)
        (4) Outstanding (stands out above the rest; exceeds expectations)
   B) Using the information from the individual screenings, one cumulative, qualification matrix is prepared.

Telephone Interviews (optional)

Depending upon the size of the applicant pool, telephone interviews may be conducted to further screen the candidates that will be invited to campus.

If telephone interviews will be conducted:

1) Send following via email to HR:
   - Resumes of applicants to be telephone interviewed
   - Completed qualification matrix
   - Interview questions
2) Approval:
   - If there are individuals who would add to the diversity of the University but are not being considered, the search chair will be contacted for further information.
   - Upon completion of the review/approval, the search chair will be informed.
3) Guidelines:
   - Interviewers MUST TAKE NOTES to record responses to questions – do not rely on your memory.
   - Recording of telephone interviews is NOT permitted.
4) Summary
   - Upon completion of the telephone interviews, prepare a summary of the strengths/weaknesses of the candidate's interviewed and submit to Dean and HR.

Campus Interviews

IMPORTANT NOTE

No candidate may be invited for campus interview until Affirmative Action Packet B approval is received from Human Resources and the Office of the Provost. Searches can and will be halted if procedures are not followed.

1) Campus interview approval:
   A) Search committee:
      - Compiles Affirmative Action Approval Packet B:
        (1) Affirmative Action Form B
        (2) Search Activity Log
        (3) Applicant Qualification Matrix
        (4) Two copies of applicant's cover letter, vitae, and IUP employment application; do not include transcript copies, teaching/research statement, reference letters, etc.
        (5) Strength/weakness summary of telephone interviews (if conducted)

- Prepares interview questions - Interviews should be conducted from a core of questions so that all applicants are asked the same general questions. All questions should pertain to the position and requirements for the position.

B) Search committee sends all materials to Department Chair for Signature
C) Department Chair reviews, signs Affirmative Action Form B, and forwards all materials to College Dean
D) College Dean reviews, signs Affirmative Action Form B, and forwards materials to HR

2) HR reviews Affirmative Action Approval Packet B, applicant files, and interview questions. Once the process is determined to have met all requirements, copies of the applicant files are sent to the Provost for approval.
3) HR will notify the Dean when campus interviews have been approved:
   A) Dean's office will notify search chair of approval
   B) Interviews should be scheduled within close proximity of one another
   C) Search chair must provide HR with the interview schedule
   D) If not already done so, background consent form must be sent to all candidates scheduled for a campus interview
4) At the conclusion of the campus interviews, the search committee provides a written summary of the candidate's campus interviews to Dean and HR:
   A) Summary must be job related
   B) Do not include personal or personality related comments
   C) Cite specific examples from interview to justify comments
5) Faculty conducts vote per their departmental policy

Job Offer

1) Once interviews have concluded and the Dean is prepared to make an offer, the "Presidential Approval of Tenure Track Faculty Appointment" form is completed and sent to the Vice Provost Office (via Amy Cook, Sutton Hall, Rm. 229) for signature.
2) Dean/Provost Office will notify HR of selected candidate; HR will initiate background investigation.
3) When the background check is completed and clear, HR will sign off on the Presidential Approval of Tenure Track Faculty Appointment form and forward to the Provost. Any job offer made by the dean prior to the completion of the background investigation *must be a contingent offer.*
4) Once the President has made his decision, the Vice Provost Office notifies the Dean to proceed with the offer to the candidate with the approved salary and appointment information.
5) Search chair notifies HR when position has been filled.

Search Follow-up

1) If not already done, all candidates must be notified that search has concluded.
2) If applications are received after the search has concluded, the applicant must be notified that the search has concluded. Keep record of this acknowledgement.
3) All search documents should be forwarded to HR for storage/electronic scanning. Materials should be sent in an organized manner and may be forwarded via disc, flash drive or hard copy. Each candidate's material should be kept together. Include all candidate's application materials, all written interview notes, and any evaluation/screening instruments that were used, etc. Do not include blank forms, extra envelopes, books, music CD's, etc. Emails that have an effect on an applicant's candidacy should be included; general/informational emails do not need to be included.

Role of Department Chairperson

- appoint search chairperson
- consult with search chair in choosing persons to serve on search committee
- initiate the Faculty Authorization and Appointment form by submitting a completed form to the Dean's office
- review search committee recommendation before forwarding to the dean
- sign the Affirmative Action Form A
- sign the Affirmative Action Form B

Role of the Search Chair

- convenes and chairs search committee meetings
- acknowledges all applications and sends required forms to applicants
- duplicates and distributes application materials to search committee members for review
- informs Human Resources when applicants have been eliminated from the search at each step
- informs unsuccessful applicants
- requests written recommendations for candidates
- makes necessary arrangements for travel, accommodations, interviews for candidates invited to campus
- assigns telephone calls to referees to search committee members
- arranges conference calls between search committee members and candidates
- distributes and collects all evaluation and observation forms
- convenes search committee meeting to identify candidates to be recommended
- advises supervisor of the persons being recommended for position by search committee
- maintains minutes of all meetings of the search committee
- monitors all activities of search committee
- keeps College Dean apprised of search activities

Search Committee

- the purpose of the search committee is to identify the best qualified applicant for the position, and to increase diversity. The composition of the search committee is therefore critical to its success
- the committee should be comprised of a diverse group of participants who can provide multiple perspectives and expertise and needs members of personal integrity who are capable of making independent decisions
- when forming the search committee, consideration should be given to the participant's availability, interest in the outcome of the search, and should have persons from the discipline subject area being sought

Role of Search Committee

- set a timetable for each search procedure
- formulate the position announcement
- determine criteria for the position
- select publications in which advertisements appear
- write brief advertisement for newspapers and journals
- review applications to determine if the applicants meet the advertised qualifications
- develop lists of questions to ask referees by telephone
- make telephone calls to referees as assigned by chair and make reports to the entire committee
- participate in initial and second screening of candidates
- take part in conference calls to candidates
- assist chair with travel accommodations and interviewing schedules
- participate in observing demonstration class and formal interview

- complete evaluation forms for candidates' demonstration classes and for the formal interview
- participate in final evaluation and formulation of recommendation to supervisor
- attend all meetings and maintain appropriate confidentiality about search committee

Role of College Dean

- consult with department chair and administration on approval for complements
- approve/provide funds for advertising position, interview travel arrangements
- review search files after recommendations made by committee
- approve the Affirmative Action Search Approval Form A
- approve the Affirmative Action Form B-Faculty Appointments Form
- meet with candidates during interview process
- make offer to successful candidate
- address concerns of administration regarding search

Role of Human Resources Manager and Director for Social Equity & Civic Engagement

- meets with search committee to review Affirmative Action policies and search procedures
- provides or make available all necessary forms
- reviews Affirmative Action Form A Packet
- maintains files on each search initiated
- approves ad for publication
- sends position announcement to APSCUF
- notifies department of approval of search
- monitors process throughout to assure that Affirmative Action and Equal Employment practices are followed.
- addresses questions and concerns about the search
- reviews Affirmative Action Form B Packet
- sends to and receives comments from Provost
- forwards comments to college dean
- perform background investigation on successful candidate

Role of the Provost

- sign the Faculty Affirmative Action Search Approval Form
- review/approve position announcement
- review/approve on-campus candidate files

Role of the President

- approves candidate for tenure track hire
- sign the Presidential Approval of Tenure Track Faculty Appointment

GUIDELINES FOR INTERVIEWING CANDIDATES

Questions related to sex, age, race, religion, national origin, or disability are inappropriate when interviewing candidates for positions.

Common sense, courtesy, and a professional approach are the cardinal rules for successful interviewing. Treat women, men, minority applicants or persons with disabilities in the same professional manner. You should remember to:

- Ask the same general questions and require the same standards for all applicants
- Treat all applicants with fairness, equality, and consistency.
- Follow a structured interview plan that will help achieve fairness in interviewing

Discriminatory behavior is improper even when it is not intended. The appearance can be as important as the reality. The fact that you ask certain questions not related to the job wouldn't necessarily show that you mean to discriminate, but such questions can be used, and have been used, in a discriminatory way.

The following suggestions should be helpful in ensuring that no federal or state equal employment opportunity laws are violated during the interview.

1. Only ask questions relevant to the job itself. Because improper significance might be given to questions regarding marriage plans or family matters, do not inquire into:

    - Marital status or non-marital arrangements;
    - What the spouse/partner does, questions regarding spouse/partner earnings;
    - How the spouse/partner feels about the candidate's work life, travel requirements, possible relocation;
    - Medical history concerning pregnancy (the EEOC has ruled that to refuse to hire a female solely because she is pregnant amounts to sex discrimination);
    - Whether there are children, how many, their ages.

2. Be professional and consistent in addressing men and women. Either use first names or last names for all candidates.

3. Applicants with disabilities should only be asked questions relevant to the job. Do not inquire into:

    - Past or present serious illnesses or physical/mental conditions;
    - The nature or severity of an apparent disability;
    - Problems an individual may have had because of a disability;
    - How a person became disabled.

You may inquire:

- Whether the individual needs any reasonable accommodations or assistance during the hiring or interviewing process;
- About the individuals' ability to perform essential job functions with or without a reasonable accommodation;
- About attendance at prior jobs if question is asked of all candidates and is limited to days off or days late for any reason (not specifically days missed due to disability/illness);

4. In making a selection or recommendation, avoid making assumptions such as the following:

    - Supervisors or managers might prefer men or women or employees of certain ethnic/racial origins or colleagues who do not have physical disabilities;
    - Clients or co-workers might not want to deal with men or women or minorities or persons who have physical disabilities;

- The job might involve travel or travel with the opposite sex or members of certain ethnic/racial backgrounds which might be thought to disqualify the applicant.
- The job might involve unusual working conditions, which might be thought to disqualify the applicant.

5. Since, under our judicial system, a person is presumed innocent until proven guilty (convicted), records of arrest without conviction are meaningless; thus, it is inappropriate to inquire about an arrest record. It is permissible to inquire about an applicant's conviction record for "security sensitive" jobs.

6. If you're going to discuss the town or city, mention everything and do not try to overemphasize the town's aspects as a family place in which to live and bring up children. Also, don't assume that your town or city is not the place for a single person or for minorities. Mention the town's parks, urban areas, or whatever might be relevant. And remember, a single person may be interested in buying a house rather than just renting an apartment.

7. In general, avoid references to a candidate's personal happiness (i.e., social and/or sexual).

8. Obviously, do not indicate that you're interested in hiring a woman or minority person or person with a disability as a statistic to improve your department's Affirmative Action/Equal Opportunity profile. You are offering an opportunity to be considered for a position based on qualifications.

Again, there are so many things that you cannot do or say - what can you talk about? You can discuss:

- The individual's qualifications, abilities, experience, education, and interests;
- The duties and responsibilities of the job;
- Where the job is located, travel, equipment, and facilities available;
- Career possibilities and opportunities for growth, development, and advancements;

Tips for formulating questions

Taken from “The Complete Academic Search Manual”, 2006

- **Limit closed questions:** Closed questions elicit a single reply or yes/no response. (Example-“Did you do curriculum development?”)
- **Ask open questions:** Open questions elicit expanded responses from the candidates and allow you to gauge their thought processes, values, reasons for decisions, and actual behaviors. (Example-“Would you explain the process you employ when developing curriculum?”)
- **Avoid leading questions:** Because leading questions suggest an answer, the candidate will feel compelled to agree with you. (Example-“Aren’t statistics a challenge to teach?”)
- **Use follow-up questions for complex subjects:** Rather than asking one long or complicated question, you can ask it in stages and follow up or probe as you go along. “What is your first step in curriculum development?” Later, “After the team has formulated a plan, what is your next step?”
- **Avoid hypothetical questions:** Creating scenarios to “test” your candidate yields no valuable information about what this person would actually do on the job. Instead, hypothetical questions invite the “canned response.”

Ask only questions that are bona fide occupational qualifications – BFOQs – questions directly related to a candidate’s ability to do the job.

Pre-employment Do's and Don'ts

There are questions that should be avoided when interviewing or otherwise speaking with prospective candidates. During the interview process, the search committee must maintain control of the process by keeping all questions relevant to the job requirements.

Subject	Acceptable Inquiries	Unacceptable Inquiries
Name	Whether the applicant has worked under another name.	Inquiries about the name that would seek to elicit information about the candidate's ancestry or descent. Inquiries about name change due to a court order, marriage, or otherwise.
Birthplace	See citizenship below.	Birthplace of applicant, spouse, parents, or other relatives.
Citizenship	Statement that employees must be eligible to work in the United States.	Any inquiries about citizenship or whether the applicant is or intends to become a U.S. citizen.
Residence Nationality	Place of residence Length of residence in this city.	Specific inquiries into foreign addresses that would indicate national origin, nationality of applicant. Whether applicant owns or rents home.
Age	Can inquire if applicant meets minimum age requirements, or state that proof may be required upon hiring.	Cannot require that applicant state age or date of birth. Cannot require that applicant submit proof of age before hiring. Any questions that may tend to identify applicants over 40 years of age.
Sex	Inquiry or restriction of employment is permissible only when a BFOQ exists.	Any inquiry that would indicate sex of applicant. Applicant's sex cannot be used as factor for determining whether an applicant will be "satisfied" in a particular job.
Marital and family status, sexual identity	Whether applicant can meet specific work schedules.	Marital status or number of dependents. Names, ages, or addresses of spouse, children, or relatives. Questions about sexual identity, orientation, or preference.
Race, color, physical	Voluntary submission of AA/EEO information is made directly to the Office of Social Equity and Civic Engagement	Inquiry as to applicant's race, color of skin, eyes, or hair or other questions directly or indirectly indicating race or color. Applicant's height or weight when it is not relevant to the job.
Disability	Can ask an applicant questions about his or her ability to perform job-related functions.	General inquiries ("Are you disabled?") that would lend to reveal disability or health conditions that do not relate to fitness to perform the job.
Education	Applicant's academic, vocational attainment.	Date last attended high school (reflects age).
Pregnancy	No acceptable inquiry.	Any question concerning pregnancy or birth control.
Arrests and convictions	Asking about conviction of a crime related to job qualification.	Asking about arrests.
Religion	No acceptable inquiry.	Any questions requesting the applicant's religious affiliation, church, parish, pastor, or religious holidays observed.
Military Experience	If needed for employment history, you may ask about applicant's military experience in the U.S. Armed Forces.	Any question into applicant's general military experience. Any question into type of discharge.
Organizations	Any question into applicant's membership in organizations which the applicant considers relevant to his/her ability to perform the job.	Asking what organizations, clubs, and societies the applicant belongs to that are not relevant to his/her ability to perform the job (political, social, religious, etc.)

Taken from "The Complete Academic Search Manual", 2006

Contact Information:

- Debbie Wardo, Faculty/Administrative Employment Manager
  John Sutton Hall, Room G8
  724-357-2431
  dwardo@iup.edu
- Amy Cook, Executive Assistant to the Vice Provost
  John Sutton Hall, Room 227
  724-357-7507
  amyBurns@iup.edu

Forms at:

http://www.iup.edu/humanresources/forms OR http://www.iup.edu/humanresources/howto

X:\Public\Academic Affairs Information\Authorizations-Appointments – faculty authorization form