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INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS

SEARCH AND SCREEN PROCEDURES FOR INSTRUCTIONAL AND NON-INSTRUCTIONAL ACADEMIC APPOINTMENTS

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INTRODUCTION

Indiana University-Purdue University Indianapolis (IUPUI), along with many other institutions of higher education, is required to maintain full documentation of the hiring process in order to comply with federal regulations.

This manual describes search and screen policies and procedures for academic appointments at IUPUI. This information is intended to assist hiring officials and University search committees in conducting employment searches which meet the requirements of Federal nondiscrimination legislation, the IUPUI Faculty Constitution, the University Affirmative Action Plan, and the spirit of the University's Equal Opportunity Policy. The material is organized chronologically, from completing the Academic Position Vacancy Announcement form to extending the job offer. However, not every situation is addressed in this manual; only the basic procedures for conducting and documenting a search which meets the University's equal opportunity/affirmative action requirements are provided.

Our procedures allow the Affirmative Action Office to monitor and approve each individual employment search in its entirety, and where appropriate, take steps to ensure equal employment opportunity and affirmative action on the part of hiring officials. Modifications to these procedures may be made in compelling circumstances, when approved by the Dean of Faculties and the Affirmative Action Office.

To further assist hiring officials and search committees, Appendices contain a Search and Screen checklist (*Appendix A*) and flow chart (*Appendix B*) detailing the recruitment and appointment process and copies of the various other forms utilized during the search and screen process.

Although the spirit of affirmative action cannot be legislated or regulated, procedures designed to provide fair treatment, essential checks and balances as well as proper documentation and review of hiring decisions contribute greatly to providing equality of opportunity.

If additional assistance is needed, members of the Affirmative Action Office are available to provide interpretive guidance.

EQUAL OPPORTUNITY/AFFIRMATIVE ACTION AND THE EMPLOYMENT PROCESS

IUPUI is committed to achieving equality of opportunity in education, professional training, career advancement and University employment. The University's Equal Opportunity Policy prohibits discrimination against any individual for reasons of race, color, religion, national origin, gender, sexual orientation, marital status, age, veteran's status, and/or disability. Personnel actions, such as hiring, terminations, layoffs, compensation and fringe benefits, transfer, promotion, and training, as well as all university-sponsored social and recreational programs, should be administered in accordance with the University's Equal Opportunity Policy.

The Campus Affirmative Action Office is responsible for communicating, interpreting, and monitoring the University's Equal Opportunity Policy. The University maintains an Affirmative Action Plan which is comprised of specific results-oriented procedures designed to achieve equal employment opportunity. Consistent with this goal, the academic recruitment and appointment processes at IUPUI should be administered in a manner designed to meet the following specific objectives:

- To make decisions at all stages of the recruitment and selection processes that will further the principles of equal employment opportunity and affirmative action.
- To ensure that job-related criteria are utilized for all employment decisions, e.g., hires, promotions, transfers, training, compensation and other employment benefits
- To vigorously apply the principles of affirmative action to correct problems and ensure equal opportunity in areas where women and minorities are underutilized.

The Dean of Faculties is responsible for assisting the Campus Affirmative Action Officer with ensuring that all faculty employment activity is consistent with the University's equal opportunity policies and Affirmative Action Plan, in addition to setting standards and expectations for academic recruitment and employment practices. However, only through the efforts of all members of the University community can the institution reach its goals of universal fairness and equity.

THE ROLE OF THE FACULTY AFFIRMATIVE ACTION LIAISON

Each Dean and organizational unit head is responsible for implementing activities to ensure that an effective affirmative action program exists within his/her respective unit. Within each academic unit (School) or major organizational unit a representative or "unit liaison" has been identified by the Dean or key administrative officer to serve as a member of the IUPUI Affirmative Action Council. Unit liaisons are responsible for the following:

- 1) serving as a communication link between the Affirmative Action Office and the constituent units, interpreting policies and regulations, transmitting information, and answering questions;
- 2) referring students and employees who believe that they have been subjected to unlawful discrimination to the Campus Affirmative Action Officer;
- 3) assisting the Campus Affirmative Action Officer in the collection of data needed for the informal or formal resolution of complaints;
- 4) assisting constituent units in developing and carrying out action-oriented programs designed to improve the campus climate, promote understanding of protected class issues, and enhance the success of the total affirmative action effort;
- 5) advising the Dean or unit head on any matters that affect the affirmative action program;
- 6) participating in the development and implementation of the affirmative action plans of their units;
- 7) assisting the Campus Affirmative Action Officer in the evaluation of the effectiveness of equal opportunity/affirmative action programs.

Search committees and hiring officials are encouraged to seek guidance from their respective unit liaisons throughout the entire search process. A listing of the unit liaisons for each School, as well as a listing of the Affirmative Action Council membership, is available from the Affirmative Action Office.

I. POSITION VACANCIES WHICH REQUIRE SEARCH COMMITTEES


All salaried academic positions which are 50% FTE or greater must be posted, i.e., a public announcement of a search for qualified applicants must be made. The postings can be as simple as giving notice in the unit where the position is assigned or as demanding as a nationwide search. In most instances, a full search, employing advertisement(s) in national or regional newspapers and journals will be required. All documentation regarding the search should be kept on file for at least two years.

The various types of academic appointments employed at IUPUI are briefly described in *Appendix C* from the *Indiana University Academic Handbook*. The following instructional and non instructional positions are subject to the policies and procedures:

- **Tenure or tenure track positions at the rank of Professor, Associate Professor, Assistant Professor and Instructor, as well as Librarians at comparable ranks (IR01-IR04, LI01-LI04)**
- **Clinical positions with the rank of Professor through Lecturer (IRM1-IRM5)**
- **Research appointments at the rank of Senior Scientist, Associate Scientist or Assistant Scientist, as well as Scholars at comparable ranks (IR95-IR97)**
- **Appointments at the rank of Lecturer/Convertible Lecturer (IR05)**
- **Research Associates (IR93)**

II. POSITION VACANCIES FOR WHICH SEARCH COMMITTEES ARE NOT REQUIRED

The majority of academic position vacancies will be filled in the customary manner: the position is announced through advertisement(s) in the appropriate journals or publications, a search committee evaluates and interviews the applicants, and a recommendation is forwarded to the hiring officer. This process normally takes anywhere from three to six months to complete. However, in some instances, these steps may be impractical or impossible to follow. Consequently, the following position vacancies are exempt from the requirement stipulating the appointment of a search and screen committee.

 **Note:** Although the positions listed below do not require appointing a search and screen committee as part of the recruitment and selection process, the preparation of a formal recruitment plan is strongly advised. *Any documentation regarding the selection process should be kept on file for at least two years.*

- **Visiting academic appointments (IRV-);** Such appointments typically do not exceed one year's duration and may not extend beyond two years without explicit approval from the Dean of Faculties. In the event that Visiting faculty are later converted to regular faculty, normal search and screen procedures must take place, either at the time of the initial visiting appointment, or at the time of conversion.
- **Predoctoral Fellows, or Post Doctoral Fellows (IR98)**
- **Residents, Interns, Teaching Assistants, Graduate Assistants, and Graduate Trainees (AA81-AA88, IR81)**
- **Certain time-limited grant positions** (exemptions from the University's normal Search and Screen process may be granted when the duration of a grant position is one year or less or when a particular researcher is identified by the funding agency in an award document).
- **Appointments for less than half time**
- **Adjunct appointments (IRA-)**

III. INITIATING THE SEARCH


A. ACADEMIC POSITION VACANCY ANNOUNCEMENT FORM

Once a position has been defined and a search is called for, the key administrator should ensure that an **Academic Position Vacancy Announcement Form** (*Appendix D*), with a position description and proposed advertisement attached, is completed and submitted to the Affirmative Action Office for approval prior to initiating any

recruitment activity. Normally, the “key administrator” is a dean, a director, or a department or unit executive officer who is responsible for making the appointment.

The **Academic Position Vacancy Announcement Form** should contain the following information:

- The Department(s) and School(s) to which the position is assigned,
- The 6-character Financial Information System (FIS) Position Number assigned by the Budget Office,
- Salary range for the position,
- Rank Code and/or Classification assigned to the position (if more than one rank code is possible or rank is dependent upon credentials, this should be noted),
- Academic preparation/credentials required for the position, i.e., Ph.D., M.D., D.D.S., etc.,
- Required and preferred experience,
- A job description and copy of the proposed advertisements,
- Recruitment plan specifying the journals, newspapers and etc., in which the position vacancy will be announced and any other outreach efforts designed to attract potential applicants,
- Closing date after which application materials will not be accepted or alternatively, the date application materials will be reviewed,
- A listing of the members and Chair of the search committee, by name, title, ethnicity and gender.

 **Note:** All Academic Position Vacancy Announcement Forms submitted to the Affirmative Action Office for approval must be signed by the appropriate Dean or Vice Chancellor (or designee).

The Affirmative Action Office reviews the **Academic Position Vacancy Announcement Form** to determine whether the recruitment plan is consistent with state and federal nondiscrimination requirements. Upon approval, the form is forwarded to the Dean of Faculties, whose approval attests to the general authorization to fill a position at the salary, level and scope specified.

An approved copy will be returned to the authorized administrative officer or designee, with a blank A-2 Form (Interview Request Form - *Appendix H*), a blank A-3 Form (List of Applicants - *Appendix I*), and a supply of IUPUI Equal Employment Opportunity Information Request Forms (*Appendix G*).

At the time the **Academic Position Vacancy Announcement Form** is approved, the Affirmative Action Office assigns a unique alphanumeric code to the position for the purposes of inputting and retrieving information from a computerized database management system. This database and the associated forms and procedures provide the Affirmative Action Office with the ability to monitor each stage of the search and screen process. Labels displaying this unique code will be sent to the hiring unit with the EEOIR forms, and should be affixed to each form before sending to the applicant(s).

The Affirmative Action Office will contact the Dean's Office of the appropriate School if the Academic Position Vacancy Announcement Forms and/or proposed advertisements are not approved, detailing any EEO/AA related concerns. The Dean/unit head may respond to the concerns by either modifying the Form and/or the proposed advertisement or by providing a rationale for the original and requesting another review.

B. APPOINTING SEARCH AND SCREEN COMMITTEES

The appropriate administrator or authorized hiring official appoints a Search and Screen Committee to review and evaluate applicant materials. The composition of the Committee should reflect the broad interests of the unit, as well as gender and ethnic diversity. Students, staff and community representatives may also serve on search committees.

Search committees serve in an advisory capacity to the hiring official, and thus, are only charged with forwarding recommendations. **No member of the Committee shall be a candidate for the position involved. Committee membership must be approved by the appropriate Dean/Vice Chancellor (or designee) and the Campus Affirmative Action Officer.**

Appointing the search committee and convening the committee's organizational meeting should be the very first step in the search and screen process. Following appointment to the committee, each member should familiarize themselves with the IUPUI search and screen process. Although specific dates for reviewing applications

and conducting interviews may not be immediately known, committee members should reserve ample time to participate in the search process.

It is vital that hiring officials and members of search committees embrace the University's effort to create a diverse and pluralistic workforce. Together, they share responsibility for achieving the *hiring goals* outlined in the University's Affirmative Action Plan.

It is customary for a representative from the Affirmative Action Office to attend the first meeting of the search committee to brief them on:

- the University's search and screen process/procedures and the role of the Affirmative Action Office throughout the process, including the type of assistance the Office can provide to the search committee; and
- the meaning of equal employment opportunity and affirmative action, and the implications associated with the committee's charge, i.e., hiring goals for minorities and women
- development of a recruitment strategy and advertising
- definition of qualifications, interview questions and record keeping requirements

Because searches that drag on interminably have a frustrating and negative effect on both the members of the committee and candidates, time lines and deadlines should be established and followed. Activities for which the committee should establish dates and deadlines include:

- the publication of the vacancy announcement/job advertisement;
- the close of nominations (if necessary);
- the deadline date for the receipt of applications;
- when the committee will begin evaluating dossiers/vitae;
- when interviews will take place, including telephone interviews and campus visits;
- when the final recommendations will be made.

At this initial meeting it is useful to discuss how and where search records will be kept. Early in the search process, the committee should develop the various letters to be sent (letters informing candidates that they have been nominated, letters requesting the names of candidates, letters acknowledging receipt of applicant's materials and so

forth). Generally, all communications from the search committee should come from the chair or designee. The selection criteria and screening procedures should be determined at this point and not after materials from candidates have arrived. The committee must determine how reference information will be collected, (e.g., letters, telephone calls, or a combination of both).

C. RECRUITMENT AND ADVERTISING GUIDELINES


Note: Recruitment efforts and advertisements announcing the position vacancy may be initiated only after the Campus Affirmative Action Officer and the Dean of Faculties Office have approved the Academic Position Vacancy Announcement Form.

All permanent and continuing faculty position vacancies should be advertised nationally. In certain instances, with the approval of the Campus Affirmative Action Officer, a position may be advertised on a more limited basis depending on the circumstances. For consistency, all advertising associated with a position should cite the same application deadline.

Position vacancy announcements should be placed in the most appropriate journals, periodicals, newspapers, etc., in order to reach qualified minorities, women, and persons with disabilities. However, the best affirmative action recruitment strategies are innovative, constant, and multi-faceted. For assistance with selecting appropriate recruitment sources (*Appendix E*), contact the Affirmative Action Office. In addition, the Office of Faculty and Senior Staff Development can provide advice and assistance.

All *required* and *preferred* criteria associated with a position must be advertised. The criteria should be job related and essential to successful on-the-job performance. Careful consideration should be given to eliminating any criteria which might contribute to the exclusion of minorities, women and persons with disabilities. For example, in fields where, typically, minorities and women have not been employed previously, requirements for extensive specialized experience should be scrutinized carefully to assure that such requirements are necessary and appropriate.

All Academic Position Vacancy Announcement Forms and other advertisements announcing position vacancies must stipulate sufficient lead time between the posting date and the deadline date to attract a representative applicant pool and to permit interested applicants to respond.

 **Note:** The following language must be included in all advertisements announcing position vacancies at IUPUI:

For advertisements of half page length or more -

“IUPUI is an Equal Opportunity/Affirmative Action Institution.

Individuals who require a reasonable accommodation in order to participate in the application process must notify (person) at (address and telephone number), a reasonable time in advance.”

Abbreviated version for shorter advertisements -

“IUPUI is an EEO/AA Employer, M/F/D.”

Recruiting at association/professional meetings and conferences is strongly encouraged as an excellent method of attracting interested potential applicants and conveying information about the University. However, prior to inviting individuals identified through such efforts for official on-campus interviews, the search committee must seek approvals from the Affirmative Action Office via the **Interview Request** (Form A-2 - *Appendix H*).

D. EQUAL EMPLOYMENT OPPORTUNITY INFORMATION REQUEST FORM

The Chair of the search committee or designee should individually acknowledge the receipt of all resumes/curriculum vitae (*Appendix F*). Federal regulations *require* the Affirmative Action Office to collect and compile applicant flow data as part of the University's Affirmative Action Plan. Therefore, the letter of acknowledgment must include a copy of the **IUPUI Equal Employment Opportunity Information Request Form** (*Appendix G*) with instructions to return the Form directly to the Affirmative Action Office. This form is used to collect demographic data from each applicant. It is essential that the unique alphanumeric character set assigned to the position by the Affirmative Action Office be affixed to each **IUPUI Equal Employment Opportunity Information Request Form**. Otherwise, the Affirmative Action Office will not be able to correlate the collected data with the position in question. To ensure a higher rate of return, the form should be sent out early in the search process, certainly before interviews are scheduled or letters of rejection are mailed.

IV. THE REVIEW AND SCREENING PROCESS

Note: If a specific closing date for the receipt of application materials has been established, all application materials postmarked or faxed on the deadline date but received after the application deadline should be included in the applicant pool.

Although evaluation procedures vary, it is recommended that the search committee develop a rating form based on job-related criteria. The rating form may consist of a series of job-related questions or issues that the committee believes are crucial to the position. While some search committees use a point system for evaluating candidates, written comments reflecting the judgment of each member of the committee should be made for each candidate. Not only will this allow the search committee to determine which candidates are to be interviewed, it will also save time if it becomes necessary to reconsider the applicant pool at a later date.

Most selection processes involve more than one screening. Generally the first screening is to determine whether candidates meet the minimum criteria for the position. Subsequent screenings become increasingly qualitative and increasingly difficult. Where a large number of applications are received, the search committee may elect to divide into two or more subcommittees to facilitate the initial review of application materials. However, the Committee must be in agreement on all screening techniques used to identify suitable candidates. Some possible techniques include:

- a ranking of each candidate with a full discussion by committee on only those applicants given a top rank by at least one committee member
- a preliminary sorting of applicants into broad categories such as strong, average or weak
- a point system wherein a particular score is awarded to an applicant based on the extent to which he/she meets the selection criteria
- a majority vote to advance the applicant to the next round of screening

Whatever criteria are used, it is important that the criteria be applied equally to all candidates. It is advisable for the chair of the committee to read all dossiers rejected during the initial screening. Polite letters of rejection should be sent at this point to candidates who do not meet the minimum qualifications for the position.

It should be noted that a nominee for a position is not a candidate for the

position until the individual nominated makes direct contact with the search committee by letter, telephone, or submission of documents.

During the screening process, attempts to clarify and refine the selection criteria should not result in changed or unadvertised criteria. Any refined selection criteria should be job related. Ranking methods should be determined as each round of the search proceeds.

A search committee should evaluate candidates in broad and comprehensive terms, carefully examining all of an individual's accomplishments, his or her potential for growth, the diversity of perspective that one will bring, and the unique contribution which the candidate will make to the academic unit. While publications may be a significant indicator of future success, they are not the only indicator, nor are they solely indicative of the value of a candidate to a department.

Search committees must also eliminate biases which may subconsciously intrude in their evaluation of a candidate. Degrees, for instance, from women's colleges or southern universities must not be automatically seen as inadequate; reference letters from individuals not known to search committee members should not be given less credence and importance than letters coming from colleagues; scholarship on feminist or minority issues should not be devalued because some may believe that it is not "in the mainstream." It is vital to eliminate from the evaluation process any stereotypical ideas based on the candidate's race, color, religion, national origin, age, sexual orientation, disability or gender. Notions, for instance, that women are more transient than men and not interested in long term careers, or that an individual with a disability might require an expensive accommodation should not preclude them from consideration. Applicants with disabilities should be evaluated in terms of the actual job requirements and thought given to reasonable accommodations that can be made to enable them to fill the position.

Final screening decisions should be made by the entire committee, even if subcommittees were formed to make the initial screening decisions. Based on their evaluations, the committee either decides as a whole who will be interviewed or makes that determination in consultation with the individual to whom they report. Documentation of the committee's deliberations must include the "rationale" for eliminating any candidate from further consideration.

A. THE INTERVIEW REQUEST FORM (Form A-2)

Prior to scheduling and conducting interviews with candidates, the chair of the search committee shall submit the names of all persons selected for interviews via the Form A-2 (Interview Request Form - *Appendix H*) to the Campus Affirmative Action Officer for approval, signed by the appropriate Dean/unit head. Form A-3 (List of Applicants Form - *Appendix I*) which should include the names of persons making application for the position, is to be submitted at this time and should reflect specific reasons why each applicant was not selected for interview. Upon approval, Form A-2 (copies 3 through 6) will be returned to the hiring official.

Note: Whenever demographic data collected by the Affirmative Action Office reveals underutilized protected class members (women and minorities) in the applicant pool, the Campus Affirmative Action Officer will ask the search committee via memorandum to conduct a second review of the materials of these candidates (*Appendix J*).

Protected class members are afforded a second review of their credentials as a part of the university's commitment to affirmative action and its effort to increase the number in academic positions.

After the Campus Affirmative Action Officer has granted approval to commence the interview process, the Search Committee should plan interview schedules in cooperation with the appropriate university official(s), faculty and the campus community. Similar arrangements for travel, lodging and other necessities should be offered to all interviewees. Lodging one candidate at the home of a committee member and others at a no frills motel may leave the university vulnerable to a complaint of disparate treatment from one or more of the candidates.

Each candidate invited to participate in interviews should be provided with the following information prior to his or her visit to campus:

- information regarding the university's policy and procedures concerning people with disabilities and the reasonable accommodation process
- a packet of information pertaining to the position vacancy
- a packet of materials/information describing the university
- a clear itinerary for the on-campus visit (who, when, where, etc.)

The interview schedule should afford candidates sufficient time for occasional respites between sessions and the opportunity to review their own requirements concerning the position vacancy with the search committee. The interview schedule should also allot time for an informational tour of pertinent IUPUI facilities and the local community.

Note: In structuring either telephone or face-to-face interviews, it is important to remember that consistency, fairness, and job-relatedness are paramount to ensuring that equal opportunity prevails.

A well-planned interview will be based on the committee's prior decisions concerning many of the following considerations:

- Who will meet with the candidate while he/she is on campus, and in what setting?
- As a part of the candidate's visit to campus, will he/she make a formal presentation to the committee or other members of the campus community?
- What general areas will be covered by the interview questions and who will lead the discussion or formulate the questions?
- Will the committee discuss the candidate's performance immediately following the conclusion of each interview or will the committee wait for the last scheduled interview to conclude prior to discussing each candidate's performance?

Search committees should consider the following strategies in structuring the interview process, whether the session takes place via telephone, in person or video conferencing:

- A list of interview questions should be prepared and agreed upon by committee members prior to commencing with telephone and/or face-to-face interviews,
- The same list of questions should be asked of all candidates, with questions divided among committee members who each ask the same question(s) in each interview,
- The applicant should be provided with a list of prepared questions prior to the interview in order to facilitate the discussion.

Note: To avoid unlawful inquiries, everyone participating in the interview process should be acquainted with the interview guidelines (*Appendix K*) provided by the Affirmative Action Office concerning pre-employment inquiries. Additional copies of these guidelines are available from the Affirmative Action Office.

B. CHECKING REFERENCES

Reference checks are an integral part of the search and screen process. Search committees are encouraged to engage in a documented effort to check the background and references of any candidate recommended for employment. The purpose of reference checking goes beyond just confirming the facts presented during the interview or on a curriculum vita. Pertinent information from past employers, colleagues and others familiar with the candidate's experience and background provide the search committee with a more in-depth profile of the candidate.

People sometimes interview well but have a record of not actually performing as well as they have led you to believe. It is important to check out any areas which pose doubts or uncertainties for the search committee. The hour or two spent to conduct reference checks is far less than the time it would take down the road to deal with performance or behavior problems.

Some search committees assign one member to do reference checks while others prefer to involve several members of the committee. In either case, the committee should plan what information will be solicited so that the interview will be structured and include sufficient open-ended questions for good discussion. Answers should be noted and shared with all members of the committee.

Give the referees a brief description of the position for which the candidate is being considered -- duties, responsibilities, and special demands of the position, such as teaching effectiveness, self-initiative in developing a research program -- and then solicit their opinion as to how well they believe the candidate with fit the position.

Do not ask for personal information such as marital status, age, religion, or any other information not related to the applicant's prior job performance. Ask straightforward questions that are job related.

If references on a candidate are problematic, the search committee should check

with other reliable sources to confirm the information in order to ensure that one person is not purposely and perhaps falsely giving a poor reference.

V. RECOMMENDATION OF FINALIST

A. EXTENDING THE OFFER (A-2 Form)


At the conclusion of the entire interview process, the search committee should meet to reach agreement on a recommended list of finalists for the position. Depending on the instructions provided by the hiring official, the list may be either ranked or unranked. The hiring official also specifies the number of candidates, usually three, to be considered. Rather than using strict numerical rankings, the Affirmative Action Office suggests also utilizing qualitative statements based on job related criteria in conveying selection recommendations.

Note: Minutes from the committee meeting should reflect the rationale for all recommendations made. The committee's decision, with supporting documentation, should then be transmitted via memorandum to the appropriate administrator or authorized hiring official.

In turn, the appropriate administrator or authorized hiring official should advise the search committee of the final selection decision. The search committee chair or designee should notify, in writing, all applicants who were interviewed that another candidate was selected.

In those instances where the hiring official deems the candidates recommended by the search committee as unacceptable, several options are available including extending or reopening the search and/or filling the position on an interim basis.

In the event the committee is unable to forward a selection recommendation, the chairperson should meet with the appropriate administrator or authorized hiring official to discuss either extending the search or closing the search as "unsuccessful." Similarly, if an individual to whom an offer of employment has been made rejects the offer, the appropriate administrator or authorized hiring official may extend an offer to another candidate after securing the approval of the Campus Affirmative Action Officer.

-  **Note:** Prior to extending a formal offer of employment to any candidate, the hiring official must complete the relevant items on copies 5 and 6 of the Interview Request Form (A-2 Form), as well as items required by the Dean of Faculties Office (see section V-B), and forward to the Dean of Faculties Office for approval.

B. THE OFFER LETTER

The letter sent to the candidate constitutes a binding commitment on the part of the University and, if accepted, on the part of the employee. The letter of offer is generally from the department chair or dean and not the chair of the search committee. It is essential for letters of offer to be carefully written. Contact the Office of the Dean of Faculties for guidelines regarding letters of offer (*Appendix N*), which cover the majority of situations, as well as information regarding required forms.

The letter of offer should contain the following essential components:

- Title, base salary, and appointment period
- Probationary period and tenure/promotion eligibility
- Teaching, research and service responsibilities
- Special conditions or negotiated terms related to the appointment (if any)
- Benefits, special allowances and relocation expenses
- Employment eligibility verification
- Signature line for candidate acceptance

Prior to extending an offer, a *draft* copy of the offer letter must be submitted for approval to the Office of the Dean of Faculties for all **tenured and tenure-track positions**, accompanied by:

- Offer of Employment Checklist (*Appendix L*)
- Routing and Action Form (*Appendix M*)
- Copy of the candidate's curriculum vita/resume
- Copies 5 and 6 of the Interview Request Form (A-2 Form).

All required forms must be approved by the Dean of the School prior to submission. Upon approval, the Dean of Faculties Office will contact the hiring

official (normally the Dean of the School) directly, indicating that the offer letter may be sent to the selected candidate. The approved copy 6 of the Interview Request Form will be returned to the hiring official by the Affirmative Action Office.

If there are unusual or special circumstances involved in your offer to a candidate, please contact the Office of the Dean of Faculties for assistance.

For all **non tenure-track positions**, copies 5 and 6 of the Interview Request Form should be submitted directly to the Affirmative Action Office for approval. The approved copy 6 of the Interview Request Form will be returned to the hiring official, indicating that the offer may be made to the selected candidate.

C. PERSONNEL ACTION RECOMMENDATION FORM (PAF)

Once the search has concluded with an official offer and acceptance of employment, the hiring official or designee is responsible for completing the **Personnel Action Recommendation Form** (*Appendix O*), which places the person on the payroll. The completed Form should be forwarded to the Office of the Dean of Faculties after the appropriate signatures are obtained. In turn, the Dean of Faculties Office will forward a copy of the form to the Campus Affirmative Action Officer for approval.

VI. EXTENDING OR REOPENING A SEARCH

A. EXTENDING A SEARCH

A search may be extended when the size, quality, or composition of the applicant pool is not satisfactory. Extending a search is intended to increase the number of candidates expressing interest in the position through additional recruitment efforts and lengthens the time allowed for the receipt of applications materials. There are no changes in the position description, the position is readvertised, and the application deadline is extended.

The Campus Affirmative Action Officer as well as the Dean of Faculties should be notified via memorandum of any decision to extend a search. This notification should specify the reason(s) for the extension, the new time frame(s), any additional journals or publications which will be used to advertise the position, and any other

recruitment activities.

Current applicants should be notified, by letter, that the search has been extended. Such notice should provide information about the new application deadline. Individuals who are included in the applicant pool at the time the search is extended are ordinarily not expected to resubmit credentials.

Searches which are unsuccessful may be extended for no more than a second year, after which a new search must be initiated.

B. RE-OPENING A SEARCH

A search is closed and then re-opened when the candidate of choice declines the offer and the other candidates interviewed are unacceptable. Position vacancies should also be closed and re-opened when substantial changes in either the qualification requirements, the terms and conditions of employment, and/or the level of compensation occur subsequent to its announcement.

If the decision is made to re-open a search, the appropriate administrator or authorized hiring official must first formally close the current search by notifying the Campus Affirmative Action Officer via memorandum. Prior to initiating any recruitment activity in connection with the "re-opened" search, the authorized hiring official must also complete and forward a new **Academic Position Vacancy Announcement Form** along with the appropriate supporting materials to the Campus Affirmative Action Officer. The authorized hiring official may then either convene members of the original search committee, or convene a committee comprised of all new members. If a search is re-opened, the current applicants must be informed of their status and that of the search. Be straightforward with the applicants about the reason for reopening the search, and as informative as possible about the new time frame. Normally, individuals who are included in the applicant pool at the time the search is re-opened are expected to reapply.

VII. SIMULTANEOUS FACULTY AND STAFF RECRUITMENT EFFORTS

On occasion, alternative appointment procedures are required to attract highly qualified individuals to senior level administrative positions in the various Schools

and/or academic support units on campus. Appointment status may be contingent on the qualifications of the recommended individual and the match between this person's interests and the unit's particular objectives. Recruitment efforts need to be conducted in such a way as to leave open the appointment status until a specific person is invited to accept the appointment. The **Academic Position Vacancy Announcement Form** (*Appendix D*) allows for an appointment which may or may not carry faculty status.

The Affirmative Action Office will coordinate both types of searches and will ensure that Human Resources and the Office of the Dean of Faculties are notified of any subsequent actions.

Human Resources Administration - Wage and Salary Division will be responsible for assigning a classification level to the position prior to any appointment recommendation being made. However, the advertising and screening processes may proceed in the interim, subject to the approvals ordinarily required from the Campus Affirmative Action Officer and the Office of the Dean of Faculties. Any position initially proposed for simultaneous consideration as a faculty and staff appointment will require final approval from the Office of the Dean of Faculties before an offer can be made, even if the offer extended is for a staff appointment.

VIII. RECORD KEEPING REQUIREMENTS

Search and screen committees are required to maintain a complete record of the search and selection process, including the committee's deliberations. The chairperson of the search committee is responsible for ensuring that the record includes the following information/materials:

- list of search committee members by name, position title, gender and ethnicity;
- a copy of the Academic Position Vacancy Announcement Form and copies of all advertisements used to announce the position;
- a copy of the Applicant List Form (A-3 Form);
- copies of all application materials, resumes and/or vitae received in response to the job announcement;
- minutes of all search committee meetings;

- documentation of all selection criteria utilized during the screening and interview process including a summary evaluation for each candidate, whether they were rejected during the initial screening or interviewed by the committee. This may be accomplished by retaining rating sheets, interview evaluations, ranking summaries, or any document(s) used in the selection and recommendation process.
- a list of all persons invited to interview for the position and a copy of the core questions asked during candidate interviews;
- all evaluation forms completed during the screening and interview process;
- all correspondence associated with the search process.

Once the search has concluded with an official offer and acceptance of employment, the chair of the search committee will forward the complete record or "search committee file" to the key administrator or his/her designee who will *maintain the file for a minimum period of two years from the date of the selection recommendation.*

IX. REQUEST FOR SEARCH WAIVER

Occasionally, such factors as financial constraints, program continuity, extended leaves, or an unexpected vacancy may require making an academic appointment without the benefit of the normal search and screen process. In these instances, the hiring official may request an exception to the University's search and screen procedures by forwarding a memorandum to the Campus Affirmative Action Officer stating the basis for requesting the waiver, a copy of the proposed appointee's curriculum vita/resume and a completed Academic Position Vacancy Announcement Form. The Campus Affirmative Action Officer will communicate approval and/or concerns regarding requests for waiver via memorandum. However, the granting of a waiver by the Campus Affirmative Action Officer does not constitute approval by the Office of the Dean of Faculties. Therefore, once a waiver is granted, the Academic Position Vacancy Announcement Form will be forwarded to the Office of the Dean of Faculties for approval.

X. PART-TIME FACULTY (LESS THAN 50% FTE)

Advertising and/or position vacancy announcements for part-time faculty should appear at least once a year in a major area newspaper, commonly the Indianapolis Star. Applicants may also contact the appropriate academic department directly. The process for selecting part-time faculty should be developed by each department or School. In consultation with department/division faculty and the Campus Affirmative Action Officer, academic departments may utilize other informal methods to recruit part-time faculty when time is limited.

Part-time faculty should preferably have the terminal degree in their discipline and/or have demonstrated professional experience and competence in the discipline to meet academic accreditation requirements. Each School/academic unit shall maintain a file for all individuals appointed as part-time faculty. The file should include the individuals curriculum vita/resume, official transcripts, employment eligibility verification, and letters of reference. Duplicate sets of these documents should be forwarded to the Dean of Faculties Office. Whenever possible, these documents should be obtained prior to granting a contract. In the event the documentation is not forthcoming by the end of the initial term of employment, the individual may be denied subsequent employment.

APPENDICES

A through O

List of Appendices

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IUPUI: Academic Search & Screen Checklist

Dept: _____ School: _____

Position Title: _____

Posting #: _____ Rank: _____

(Date
completed)

1. Academic Position Vacancy Announcement (Form A-1)

Submit A-1, approved by the Dean, to the Affirmative Action Office (AAO), with supporting documentation, including copies of advertisements. Upon approval, an Affirmative Action Packet* will be issued to the Department. Advertisements may be placed upon receipt of approval.

2. Equal Employment Opportunity Information Request (Form EEOIR)

Send a letter to each applicant, acknowledging receipt of the application. Enclose the EEOIR form, with the appropriate posting label affixed. (See sample letter in the Search & Screen Procedure Manual)

3. a. Interview Request (Form A-2)

After receiving and screening applications, complete the Interview Request Form, indicating which applicants the Department wishes to interview. Keep copy 1 for Department records, and copies 5-6 for the offer stage. Submit copies 2-4 to AAO, with the List of Applicants (Form A-3).

b. List of Applicants (Form A-3)

List all applicants for the position, indicating specific reasons for exclusion from the Interview Request. Submit with the Interview Request (Form A-2).

4. Interview

Approved copies 3-4 of the A-2 will be returned to the Department. Interviews should not be conducted until approval is obtained. AAO may request that a second review of protected class applicants be conducted. All candidates submitted on the A-2 should be interviewed before a final selection is made.

5. Request for Approval of Candidate (Copies 5-6 of A-2)

Transfer the name of selected candidate to the "Offer Made To:" line at the bottom of the A-2, copies 5-6; indicate the rank and salary.

Non-Tenure Track Positions: Submit to the Affirmative Action Office.

Tenure Track/Tenured Positions: Submit to the Faculty Records Office (FR), AO 126. Attach the draft offer letter, Offers of Employment Checklist, Routing & Action form, and the curriculum vitae.

6. Offer of Appointment

After the Affirmative Action Office and the Dean of Faculties have approved the offer:

Non-Tenure Track Positions: The approved copy 6 of the A-2 will be returned to the hiring unit, indicating permission to extend the offer.

Tenure Track/Tenured Positions: The Faculty Records Office will contact the hiring unit directly, granting approval to extend the offer. Copy 6 of the A-2 will be returned to the hiring unit by AAO.

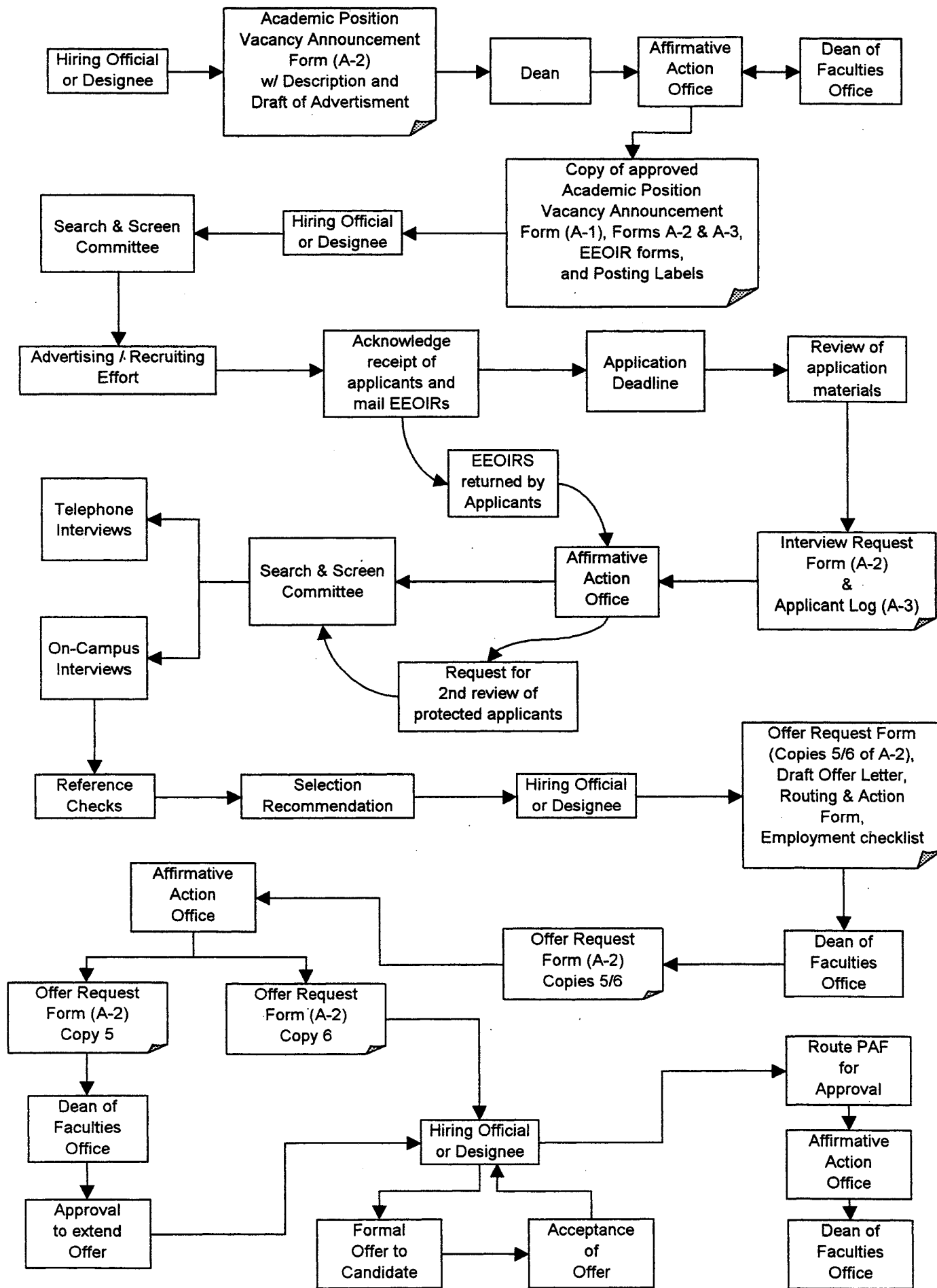
7. Academic Personnel Action Recommendation (PAF)

Upon acceptance of the offer, complete the Academic Personnel Action Form and route for approvals; AAO and FRO will approve the PAF, indicating that the search & screen procedures have been followed.

* - Affirmative Action Packet includes
copy of approved A-1, forms A-2 & A-3,
EEOIR forms w/ posting labels, and the
AA Checklist

For questions or additional information, contact:

IUPUI Affirmative Action Office
355 N. Lansing Street, AO127
Indianapolis, IN 46202
274-2306 Fax 274-3963

IUPUI ACADEMIC SEARCH & SCREEN PROCESS

Academic Appointments at Indiana University¹

Tenured or Tenured-Probationary Appointments

Faculty (IR01-IR04)

Full time tenured or tenured-probationary academic appointments in the ranks of Professor, Associate Professor, Assistant Professor, and Instructor and in several distinguished ranks. The rank of initial appointment is determined by such factors as teaching, research, other relevant experience, public service, and degrees held.

Librarians (LI01-LI04)

Full time librarians are appointed in ranks analogous to and modeled of faculty ranks. These are Librarian, Associate Librarian, Assistant Librarian, and Affiliate Librarian. The status of librarians hold titles under this rank system is closely analogous to that of full time faculty. The rank of initial appointment is determined by such factors as professional activities, experience, and degrees held.

Non-Tenured, Non-Probationary Appointments Instructional Appointments

Emeritus (IRE-)

The Emeritus title may be conferred upon a retired or faculty member or librarian if recommended by the unit and appropriate administrators and approved by the Board of Trustees.

Visiting (IRV-)

The term "Visiting" is used to describe those instances where an individual faculty member, librarian or lecturer is (1) on leave from another place of employment, (2) employed on a temporary basis, or (3) being considered for a permanent position or is considering acceptance of a permanent position. These appointments may be on a full-time or part-time basis. Although an individual may be reappointed as a visiting appointee, the title is not to be used for more than two successive years.

Lecturer (IR05)

This title normally is used to appoint an individual in a full-time instructional position who lacks some of the credentials (often the terminal degree) usually expected of a tenured or tenured-probationary faculty member within the unit.

Clinical Ranks (IRM1-IRM5)

The prefix "Clinical" is used for appointees holding the rank of Lecturer through Professor whose primary duties involve teaching students and residents/fellows and providing professional service in the clinical setting. Such appointments may be full-time salaried, part-time salaried or on a volunteer basis.

Part-Time (IRP-)

The term "Part-Time" follows the designation of rank. These appointees devote only part of their time to the duties of a lecturer, faculty member, or librarian. The term "Adjunct" precedes the designation of rank. It is often used to signify that the individual's primary employment is not with the University or is not with the unit giving the adjunct title. It is often a complimentary title and in some cases does not involve a stipend from the University.

Research Appointments

Research Ranks (IR97-IR95)

A three rank system (Assistant Scientist/Scholar, Associate Scientist/Scholar, and Senior Scientist/Scholar) exist for those researchers who typically hold the terminal degree and postdoctorate experience (or its equivalent) and who are employed by Indiana University for strictly research responsibilities.

Research Associates and Postdoctoral Fellows (IR93, IR98)

The title of Research Associate is limited to those research personnel who are not qualified for a research rank but whose positions call for full-time research under the supervision of a faculty member or a person holding a research rank. Persons working at the University as postdoctoral fellows shall be designated as postdoctoral fellows.

¹A more complete discussion of the various categories of academic appointments existing at Indiana University can be found in the Indiana University Academic Handbook.

ACADEMIC POSITION VACANCY ANNOUNCEMENT

Submit to the campus Affirmative Action Officer when vacancy occurs.

Date: 10/1/99

SUBMITTED BY: Dean / Hiring Official PHONE: 274-XXXX
 DEPARTMENT: Forgotten Forensics SCHOOL: Law
 POSITION #: 010XXX SALARY RANGE: \$\$ - \$\$\$ RANK CODE AND/OR CLASSIFICATION: IR02/03
 FACULTY TITLE: Assistant / Associate Professor

ADDITIONAL TITLE (if additional professional duties involved): Director, International Torts & Terminology

AUTHORIZATION IS REQUESTED FOR THE FOLLOWING TYPES OF APPOINTMENTS:

- | | | | |
|---------------------------|---------------|-----------------------------------|---------------|
| (1) Faculty only | <u>X</u> | (4) Faculty or Clinical Faculty | <u> </u> |
| (2) Clinical Faculty Only | <u> </u> | (5) Lecturer or Faculty | <u> </u> |
| (3) Research Rank Only | <u> </u> | (6) Professional Staff or Faculty | <u> </u> |

(NOTE: If (6) is checked, Human Resources Administration will post the position, assist in classifying the position, and refer candidates in accord with established procedures.)

BEGINNING DATE: July 1, 2000

ACADEMIC PREPARATION: (Distinguish between required and preferred.)

J.D. or LL.B. from accredited law school. Admitted to the Bar.

EXPERIENCE: (Distinguish between required and preferred.)

Law review experience, court clerkship, high class standing, significant professional experience preferred.

POSITION DESCRIPTION: Attach the position description to be used in advertisements. If the position may be either faculty or staff, please include a statement such as the following in the advertisement: "Faculty rank or administrative staff level will be determined by academic credentials and experience."

Full-time, tenure track teaching faculty position. See attached full description.

ADVERTISING PLAN: (List all efforts to generate applicants.)

Ads in "Legal Beagle", "International Lawyer", "Hispanic Bar Newsletter" and "Black American Bar Briefs". Notices sent to selected minority colleges. Ads in "Women in the Law". Word of mouth. Recruitment table at ABA conference.

CLOSING DATE OF AD: January 15, 2000

METHOD USED TO SCREEN AND RANK APPLICANTS FOR INTERVIEW AND FINAL SELECTION:

(Attach scales used for candidate evaluation.)

All applications rated by each committee member (see attached rating form) on teaching, research, and service. Finalists selected based on weighted rankings, and roundtable discussion to consider special competencies. Finalists invited to on-campus interviews with the full faculty.

SEARCH AND SCREEN COMMITTEE MEMBERS: (A minimum of three members is required; indicate chairperson.)

<u>Name</u>	<u>Title</u>	<u>Race and Sex</u>
Digby O'Dell (Chairperson)	Chairman/Professor	W/M
Greene Giente	Associate Professor	W/M
Sallee Forthe	Assistant Professor	H/F
Mark Myword	Assistant Professor	B/M
Jean Poole	Associate Professor	W/F

(Signature) 10/1/99
 Dean Date

(Signature) 10/1/99
 Affirmative Action Officer Approval Date

*Dean of Faculties signature does not constitute budget approval.
 Appropriate funding will need to be identified and approved by the Budget Office prior to the offer letter being approved.

(Signature) 10/1/99
 Dean of Faculties Approval* Date

Affirmative Action Recruitment Resources

The following is a partial list of recruitment sources that will prove helpful in yielding a diverse candidate pool. All of these organizations and contacts maintain web-sites, many have electronic listings or resume banks, and most have paper publications.

Many academic and professional associations have committees on women and/or minority affairs groups that are good sources of networking and recruitment contacts.

Affirmative Action Register
8365 Olive Blvd.
St. Louis, Mo 63132
Phone: (800) 537-0655 Fax: (314)997-1788
<http://www.aar-eeo.com>

Minority On-line Information Service (MOLIS)
List of Historically Black Colleges and Universities and other predominantly minority institutions
Can be sorted by state, discipline, or degrees awarded
<http://galaxy.einet.net/hytelnet/OTH023.html>

Chronicle of Higher Education
1255 23rd Street, NW
Washington, DC 20037
Phone: (202)466-1050 Fax: (202)296-2691
<http://www.chronicle.com>
jobs@chronicle.com for advertising

Black Issues in Higher Education
10520 Warwick Avenue, Suite B-8
Fairfax, VA 22030-3136
Phone: (703)385-2981 Fax: (703)385-1839
academic & administrative positions; published 26 times per year
<http://www.blackissues.com>
e-mail: bjads@cmabiccw.com

The Hispanic Outlook in Higher Education
Display Advertising
210 Route 4 East, suite 310
Paramus, NJ 07652
Phone: (201)587-8800 Fax: (201)587-9105
academic & administrative positions; published 26 times per year
<http://www.HispanicOutlook.com>
e-mail: pub@HispanicOutlook.com

Office of Women in Higher Education
American Council on Education
One Dupont Circle, NW
Washington, DC 20036
Phone: (202)939-9390 Fax (202)785-8056
Maintains resume bank for top administrative positions
<http://www.acenet.edu/Programs/OWHE/home.html>

The Black Collegian Online

Targeted to recent African-American B.A./B.S. graduates seeking professional positions

Month-long advertising online

Phone: (504)523-0154

<http://www.black-collegian.com>

Minorities Job Bank

Black Collegiate Services, Inc.

140 Carondelet Street

New Orleans, LA 70130

Online advertising for professional & technology positions

<http://www.minorities-jb.com>

Association for Women in Science

1200 New York Avenue, Suite 650

Washington, DC 20005

Phone: (202)326-8940 Fax: (202)326-8960

research & academic positions; 6 times per year plus on-line advertising

<http://www.awis.org>

Society for the Advancement of Chicano & Native Americans in Science

P.O. Box 8526

Santa Cruz, CA 95060

Phone: (831)459-0170 Fax: (831)459-0194

(SACNAS) 6 times per year plus online advertising

<http://www.sacnas.org>

The BioCareer Center; Sciweb Directory for several science job sites

1625 K Street, Suite 1100

Washington, DC 20006-1604

Phone: (202)857-0244 Fax: (202)857-0237

<http://www.biocareer.com>

Directory of Scientific Research Centers in Minority Institutions

Detailed descriptions – including area of research, facilities and principal investigator

<http://www.ncrr.nih.gov/ncrrprog/RCMIDIR.HTM>

Program Director: Dr. Warren Ashe, Howard University

Phone: (202)806-7818 Fax: (202)806-7934

American Indians in Science and Engineering (AISES)/ NativeNet

Magazine published quarterly plus online advertising

<http://nativenet.uthscsa.edu/career/index.html>

Computer Magazine, for computer professionals

10662 Los Vaqueros Circle

P.O. Box 3014

Los Alamitos, CA 90720-1314

Phone: (714)821-8380 Fax: (714)821-4010

academic and professional positions

<http://www.computer.org>

for advertising information, m.anderson@computer.org

Women in Technology International

computing, science and technology positions

On-line advertising

<http://www.witi4hire.com>

Institute of Electrical and Electronic Engineers
1828 L Street, NW
Washington, DC 20036
Phone: (202)785-0017 Fax: (202)785-0835
Online job postings and networking
<http://www.ieee.org/>
for women's committee, <http://www.ieee.org/women>
732-981-0060

National Society of Black Engineers
1454 Duke Street
Alexandria, VA 22314
Phone: (703)549-2207
Online advertising for professional positions
<http://www.nsbe.org>

Society of Women Engineers
120 Wall Street, Eleventh Floor
New York, NY 10005-3902
Phone: (212)509-9577
Maintains database of resumes plus listserve on jobs
<http://www.swe.org>

American Society of Women Accountants
60 Revere Drive, Suite 500
New York, NY 60062
Phone: (800)326-2163 Fax: (847)326-2163
Online job listings plus chapter contacts throughout Indiana
<http://www.aswa.org>

National Association of Black Accountants
7249-A Hanover Parkway
Greenbelt, MD 20770
Phone: (301)474-6222 Fax: (301)474-3114
Online job listings and placement service
los@wam.umd.edu/~mckinney/organizations/NABA/NABA.html

<Date>

<Name of Applicant>

<Address>

(City, State, Zip Code>

Dear Dr. _____:

Thank you for your interest in the _____ position in the Department of _____ at IUPUI. The screening committee will review your credentials and will contact you if your application is incomplete.

Federal regulations require that the enclosed Equal Employment Opportunity Information Request form be sent to all applicants. Please take time to complete this form and return it to the IUPUI Affirmative Action Office.

If you are selected for further consideration as a final candidate, you should expect to hear from us by _____. Thank you.

Sincerely,

Search Committee Chair
Department of _____

Enclosure



Indiana University - Purdue University Indianapolis
EQUAL EMPLOYMENT OPPORTUNITY INFORMATION REQUEST

Thank you for your interest in IUPUI. It is our policy to provide equal employment opportunity for all persons, and to prohibit discrimination based on race, color, sex, religion, age, national origin, sexual orientation, disability or veteran status. We carry out this policy through a positive, results-oriented program of affirmative action.

Federal regulations require the University to maintain profile data on all applicants to ensure that our programs are administered in a non-discriminatory manner. The Rehabilitation Act of 1973 and the Vietnam-era Veterans Readjustment Assistant Act of 1974 also require that disable individuals, disabled veterans, and/or veterans of the Vietnam era be given the opportunity to self-identify themselves for purposes of the affirmative action program.

Therefore, we ask that you complete this form and return it promptly to the Affirmative Action Office. No postage is necessary if mailed in the United States. This form will be kept separate from your application. Submission of the information is voluntary, and failure to provide it will not adversely affect the consideration given to your application for employment.

Should you have any questions concerning this request, please contact the IUPUI Affirmative Action Office, 355 N. Lansing Street, Indianapolis, IN 46202. Phone: 317/274-2306. Note: Other materials or correspondence related to your application should not be sent with this form, but should be submitted directly to the department to which you have applied.

To Be Completed by the Department

Dept: _____ School: _____

Position Title: _____

Posting: _____ Rank: _____

(Please see definitions on the reverse side of this form)

Do you wish to declare yourself as a disable individual?

☐ Yes
☐ No

Do you qualify as a Vietnam-era veteran?

☐ Yes
☐ No

Are you considered a disable veteran by the Veterans Administration?

☐ Yes
☐ No

How did you learn of this position?

- ☐ A.. Contacted by the dept of _____ and invited to apply.
- ☐ B. Advertisement in newspaper, magazine or journal: _____
- ☐ C. Received direct mailing of the job announcement.
- ☐ D. Referred by a college/university placement office at: _____
- ☐ E. Professional organization or meeting: _____
- ☐ F. Recruitment/referral agency: _____
- ☐ G. IUPUI printed job list posted at: _____
- ☐ H. Computer network bulletin board or job listing: _____
- ☐ I. Personal contact or word of mouth from a relative, friend or colleague.
- ☐ J. Other: _____

Your name: _____

(Please Print)

Sex:

☐ Male
☐ Female

Age:

☐ Under 40
☐ 40 or over

Race/ethnic category:

☐ White, not Hispanic
☐ Black, not Hispanic
☐ Asian or Pacific Islander
☐ American Indian or Alaskan Native
☐ Hispanic
☐ Other _____

In accordance with Federal law, IUPUI employs only U S citizens and aliens lawfully authorized to work in this country. Please indicate your status:

☐ U S citizen
☐ Non U S citizen - Permanent Resident
☐ Foreign national (Visa Type: _____)

INTERVIEW REQUEST FORM - FACULTY, LECTURER, AND PROFESSIONAL LIBRARIAN POSITIONS (IR00-5, LI01-4)

Submit all copies to School Dean
Dean to forward copies 2-6 to Campus Affirmative Action Officer

1/15/00 Assistant / Associate Professor 010XXX Law / Forensics
Date of Request Position Title & Rank Position No. School/Department

1. If there have been any changes in the job description that was filed this year with the Affirmative Action Committee on Form A-1 (recruitment goals), please attach the new description.

2. List the top six candidates in rank order:

Name	Reasons for ranking	Interview Requested	AAO provides	
			Sex	Race/ Ethnic
1. John Doe, J.D.	Excellent law review experience, strong professional experience	YES		
2. Sally Jones, J.D.	Strong law review experience, good professional experience	YES		
3. Bob Smith, J.D.	Strong law review experience, high class standing, adequate prof. exp.	YES		
4.				
5.				
6.				

3. How many candidates names were generated for this position?

How many dossiers were collected?

Dept. provides	AAO provides			
	Total Number	Female Min.	Female Non-min.	Male Min. Non-min.
	6			
	6			

4. How were the names of candidates obtained? (Attach copies of advertisements, letters, employment agency listings, or other recruitment materials.) Advertisements in: "Legal Beagle", "International Lawyer", "Hispanic Bar Newsletter", "Black American Bar Briefs", and "Women in the Law". Word of mouth and recruitment efforts at the annual Bar Association conference.

Dean's Approval _____ (signature)

Date 1/15/2000

AAO's Approval _____ (signature)

Date x/x/xxxx

LIST OF APPLICANTS

PAGE 1 of 1 PAGES

Department: Law / Forensics

Position: Assistant / Associate Professor

Leave blank	NAME (Please list alphabetically)	Date Applied	Was dossier collected?	Disposition (Reason for inclusion or exclusion from final list and rank order on final list)
	John Doe, J.D.	11/1/99	YES	Excellent law review experience, strong professional experience
	Sally Jones, J.D.	12/10/99	YES	Strong law review experience, good professional experience
	Bob Smith, J.D.	10/30/99	YES	Strong law review experience, high class standing, adequate professional experience
	Anne Thompson, J.D.	11/1/99	YES	Adequate law review experience, high class standing, only five years professional experience
	James White, J.D.	1/3/2000	YES	Adequate law review experience, average class standing, only three years professional experience
	Thomas Miller, J.D.	11/30/99	YES	Inadequate law review experience, recently admitted to the Bar, only one year experience

EXAMPLE

M E M O R A N D U M

TO: Dean _____
School of _____

FROM: Lillian Charleston
Affirmative Action Officer

DATE: _____

SUBJECT: Department:
Title/Rank:
Position #:
Reference #:

We have received your "Interview Request Form" relative to the above referenced academic search. Demographic data collected by this Office identified protected class members in the applicant pool for this position.

We are asking you to conduct a second review of the materials of the candidate(s) listed below. These individuals are afforded a second review of their credentials as a part of the university's commitment to Affirmative Action and its effort to increase the number of protected class individuals in academic positions.

John Doe
Jane Doe

We urge you to give additional consideration to these candidates for interview. For each candidate whom you decline to interview, please provide a narrative statement detailing the reason(s) why each was not considered further. Please respond within 7 days of this letter so that we can move forward with your request to conduct interviews.

Please contact me if you have questions or need assistance.

Guidelines for Interview Questions

The rule of thumb: if a question is job related, it is usually appropriate to ask. If it isn't job related, caution is in order. Any questions involving race, religion, gender, marital status, and so on must be avoided on application forms or during interviews.

	You may ask...	Questions & Statements to stay away from...
AGE	Are you 18 years or older?	<p>How old are you?</p> <p>When did you graduate from high school?</p> <p>How do you feel about working for a person younger than you?</p> <p>You must be getting close to retirement age.</p>
GENDER		<p>Do you have plans for having children?</p> <p>We need someone macho for this job. Think you can handle it?</p> <p>Childcare is so hard to get. Do you have any baby-sitting problems?</p> <p>How would you feel working for a man/woman?</p> <p>Our customers sometimes prefer to be served by men. I hope you don't have a problem with that.</p> <p>Do you thing your woman's intuition would come in handy on this job?</p> <p>Tell me...how did a man come to be interested in this kind of work?</p>
DISABILITY	<p>Are you able to perform the duties of the job with or without accommodation?</p> <p>If the applicant indicates that sh/he can perform the tasks with an accommodation, you may ask:</p> <p>What accommodation would you need in order to perform the tasks?</p> <p>Now that you have heard the hours, leave policies, and other requirements of this position, do you feel you will be able to meet these requirements?</p>	<p>Do you have any disabilities?</p> <p>Are you in good health?</p> <p>Do you have any physical defects that prevent you from performing certain kinds of work?</p> <p>That's a noticeable limp...Those are very thick glasses... How severe is your disability?</p> <p>What is the prognosis for your condition?</p> <p>Will you required a special leave because of your disability or its treatment?</p>

	You may ask...	Questions & Statements to stay away from...
DISABILITY (cont'd)	<p>How many days were you absent from work last year?</p> <p>An employer may make medical inquiries or require a medical examination of all candidates at the state a conditional job offer is made.</p>	<p>Please list any conditions or diseases you were treated for in the last 3 years.</p> <p>How many days were you absent last year because of illness?</p> <p>Have you ever filed for workers' compensation?</p> <p>Have you ever been treated by a psychiatrist or counselor?</p> <p>You mentioned your daughter has multiple sclerosis. Will that have an affect on your attendance?</p> <p>Do you have any family members or relatives who are disabled?</p>
RACE		<p>There aren't very many minorities in our department. Will that be a problem for you?</p> <p>You look like you have an interesting family history. How would you define your race?</p>
SEXUAL ORIENTATION		<p>Are you married?</p> <p><i>You people</i> are so creative, you'd be just perfect for the job.</p> <p>This is a real family-oriented department. Is that okay with you?</p>
NATIONAL ORIGIN	<p>After making a conditional offer, an employer may inform the applicant that they will have to produce documents for work eligibility.</p>	<p>Where were you born?</p> <p>I see you speak Spanish. Did you learn that in your native country or school?</p> <p>Of what country are you a citizen?</p> <p>Yablonski, what kind of name is that?</p>
RELIGION	<p>Will you be available to work the required schedule?</p>	<p>What church do you attend?</p> <p>Will you need to take time off from work to observe (name of particular religious holiday)?</p>
MISCELLANY		<p>Have you ever been arrested?</p> <p>How do you feel about unions?</p> <p>What kind of military discharge did you receive? Do you have continuing military obligations?</p>

APPROVAL OF OFFER OF ACADEMIC APPOINTMENT
Routing and Action Form

I. REQUEST

CANDIDATE: _____

DEPT: _____

SCHOOL: _____

PROPOSED TITLE/RANK: Conv. Lecturer (IR05) _____ Asst. (IR03) _____
 Assoc. (IR02) _____ Professor (IR01) _____

BEGINNING DATE: _____

TENURE: Yes _____ No _____ Proposed Service Credit: _____

() If more than one year of service credit is proposed, a separate explanation is
 attached

RECOMMENDED SALARY: _____

Position #: _____ Account #: _____

() Replacement for _____; or

() New Position (please identify source of funds)

ATTACHMENTS

() Affirmative Action Forms Enclosed (A-2 Form - copies 5 & 6)

() Candidate's Vitae Enclosed

() Letters of Recommendation enclosed (at least three required for all positions, six
 required for offer with tenure)

II. APPROVALS

A. _____ Dean	_____ Date	Date & Time Received In Faculty Records _____
B. _____ Dean of the Faculties	_____ Date	Comments:
C. _____ Vice President & Chancellor	_____ Date	Comments:
D. _____ President's Office (tenure offer only)	_____ Date	

Completed Form Returned to:
 IUPUI Faculty Records, AO 126

Upon completion, copies are distributed to:
 the School and Budget & Fiscal Affairs

OFFERS OF EMPLOYMENT CHECKLIST

A Request to appoint must include the following information, arranged in the order indicated.

I. Offer with Tenure

1. _____ Completed Approval of Offer of Academic Appointment Form
2. _____ Statement from Dean recommending appointment, describing special qualities candidate will bring, and assessing teaching and research potential
3. _____ Undated Copy of Proposed Offer Letter, which includes:
 - a) _____ Reference to Conditions of Employment Enclosure
 - b) _____ Reference to Annual, Reappointment and Tenure Reviews Enclosure
 - c) _____ Reference to Fringe Benefit Schedule Enclosure
4. _____ Copy of Candidate's Vitae
5. _____ Brief biographical sketch of referees and indication of relationship to candidate
6. _____ External Letters of Recommendation (including evaluation of teaching and research achievements)
7. _____ Interview with Dean of the Faculties or Chancellor: _____ (date)
8. _____ Evidence of English language competency for candidates whose first language is not English
9. _____ Evidence of Approval to Recruit (Form A-2)

II. Tenure Track Offers

1. _____ Completed Approval of Offer of Academic Appointment Form
2. _____ Undated copy of Proposed Offer Letter, which includes:
 - a) _____ Reference to Conditions of Employment Enclosure
 - b) _____ Reference to Annual, Reappointment and Tenure Reviews Enclosure
 - c) _____ Reference to Fringe Benefit Schedule Enclosure
3. _____ Copy of Candidate's Vitae
4. _____ Three External Letters of Reference
5. _____ Evidence of English language competency for candidates whose first language is not English
6. _____ Evidence of Approval to Recruit (Form (A-2))

Conditions of Employment

Employment Eligibility Verification

Prior to beginning work at Indiana University, all new appointees must provide proper documentation showing that they are a U.S. citizen or an authorized alien entitled to work in the country for the period of appointment. The types of documents that will be required are listed on the attached sheet. The original documents must be furnished to a representative of the employing unit.

In addition, if the employment offer is to be with tenure and permanent resident status (which takes up to a year in many cases to acquire) is not acquired by the beginning date of the appointment, but an appropriate visa is obtained, appointment would have to be as visiting until permanent resident status is approved. The tenured offer would be effected once permanent residency papers are obtained.

For a tenure track appointment, please note that if permanent resident status is not acquired by the beginning date of the appointment, but an appropriate visa is obtained, appointment may be for a period of up to three years (or for the period for which the visa is valid, whichever is less). Reappointment beyond this period is contingent upon and extension of the visa or approval of permanent resident status before the end of the second year.

English Language Proficiency

An authorized alien being offered a tenure track position should possess adequate English language skills or, as a condition of employment, should agree to participate in a program which will improve these skills to a satisfactory level. Verification of English language proficiency may be required prior to initial appointment and if additional training is required, verification of progress may be required annually. Additional training may be provided by the employing unit; progress will be monitored and taken into consideration during the annual review process. Candidates for tenure should have demonstrated satisfactory English language skills to expect a favorable review. An ability to teach at a satisfactory level in English is expected as a matter of competence, and failure to maintain satisfactory English language competency can be grounds for dismissal of tenured or tenure-track faculty.

IUPUI Dean of the Faculties
6/97

EXCERPT FROM ACADEMIC HANDBOOK

INDIANA UNIVERSITY
JUNE 1992 EDITION

Policies Governing Reappointment and Non-Reappointment
During Probationary Appointment Period

1. Notice of Terms of Initial Appointment

- a. Before a faculty member or librarian is appointed to rank in the University the initial salary, rank, years in rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member or librarian.
- b. The faculty member or librarian shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the Handbook. Special procedures customarily employed in the Handbook. Special procedures customarily employed in the department, school, program, division or library unit of the University in which the faculty member or librarian is appointed shall be specified clearly.
- c. The faculty member or librarian shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure, are agreed to.

2. Annual Review

- a. During the period of probationary appointment, the faculty member or librarian shall receive an annual review of professional performance. At that time the faculty member or librarian shall be informed, customarily by the principal administrative officer of the department, school, program, division or library unit of the University in which the individual holds his or her appointment, of all matters relevant to eligibility for reappointment and the award of tenure.
- b. The faculty member or librarian shall cooperate with the principal administrative officer to ensure that the file on which such a review is based contains all relevant materials. A written statement summarizing the substance of each annual review shall be kept in the file, and a copy given to the faculty member or librarian.

3. Notice Requirements

- a. Before any decision is made within a department, school, program, division, or library unit about whether to recommend reappointment or the award of tenure, the faculty member or librarian shall be notified that he or she is under such consideration and that within a properly specified and reasonable period of time the faculty member or librarian may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.
- b. The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her.
- c. At the time that a faculty member or librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Policies Governing Reappointment and Non-Reappointment During Probationary Period," and the Academic Handbook statement on criteria for tenure, to insure that he or she be fully informed of his or her rights.

4. Review of Decision of Non-Reappointment

- a. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the faculty member or librarian shall be to request an oral explanation from his or her principal administrative officer.
- b. Upon written request, submitted within 30 days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member or librarian within a reasonable period of time with a written statement of the reasons for non-reappointment.
- c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member or librarian in terms of the professional standards and needs of his or her department, school, program, division, or library unit, or of the University.
- d. The faculty member or librarian who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.
- e. If the faculty member or librarian is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review or All-University Librarians Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable period following the receipt by the faculty member or librarian of the written statement of the reasons for non-reappointment.

- f. Before undertaking a review, the Faculty Board of Review or the All-University Librarians Review Board may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Boards shall request reconsideration by the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment or the offices of the Dean of the Faculties, the Vice President (Indianapolis), and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's or librarian's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Faculty Board of Review or the All-University Librarians Review Board shall provide copies of its report and recommendations to the faculty member or librarian, the principal administrative officer of the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment, the Dean of the Faculties, the Vice President (Indianapolis), and other appropriate administrative officers.
- g. Whenever during his or her appointment a faculty member or librarian discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, division or library unit of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member or librarian may petition the Faculty Board of Review or the All-University Librarians Review Board for a review of the procedures followed in his or her case.
- h. Upon finding by the Faculty Board of Review or the All-University Librarians Review Board, accepted by the Vice President (Indianapolis), that the faculty member or librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary, to avoid prejudicing the rights of the faculty member or librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measure agreeable to the faculty member or librarian.
- i. Recourse by a faculty member or librarian to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in this handbook. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.
- j. In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member or librarian to observe promptly and fully the above procedures.

Annual, Reappointment and Tenure Reviews

Indiana University observes a mandated annual review policy for all tenure track or tenured faculty below the rank of professor. This review is normally conducted by the principal administrative officer of the department or school in which the faculty member holds an appointment. The purpose of the annual review is to provide input on the faculty member's progress in the areas of teaching, research, and service, leading to the tenure review year and to promotion. Annual reviews also provide information for use in salary recommendations and other assessments. To be most beneficial to the faculty member, these reviews should be candid and critical appraisals of the faculty member's work, and should call attention to weaknesses as well as strengths. Although campus and university policies do not require annual peer reviews, they are strongly recommended, and some school bylaws may make such a provision.

All faculty members and librarians at Indiana University are required to report annually on their professional activities and accomplishments during the preceding year. Such reports shall cover activities and accomplishments in the areas of instructional activity, scholarship and creative work, and University and public service. Reports need not be limited to these areas, however, and additional information and comment are often sought or volunteered.

ACADEMIC PERSONNEL ACTION RECOMMENDATION

For Ranks: IR, LI, MD, AND RI

SOC. SEC. NO. XXX-XX-XXX	LAST NAME, FIRST, MIDDLE Doe, John	CAMPUS ADDRESS LS200	CAMPUS IUPUI	BOARD USE ONLY
<input type="checkbox"/> Initial Appointment (01)	<input type="checkbox"/> Change in Work or Title ()	<input type="checkbox"/> Leave or Absence With Partial Pay ()	<input type="checkbox"/> Overload (09)	<input type="checkbox"/> Return from Leave (26)
<input type="checkbox"/> Reappointment (02)	<input type="checkbox"/> Sabbatical leave ()	<input type="checkbox"/> Leave from Dept. Duties ()	<input type="checkbox"/> Summer Appointment ()	<input type="checkbox"/> Other/Explanation
<input type="checkbox"/> Change in Budget Provision ()	<input type="checkbox"/> Leave of Absence Without Pay	<input type="checkbox"/> Special Allowance ()	<input type="checkbox"/> Termination (10)	

INITIAL, CURRENT, OR PRECEDING APPOINTMENT	RANK IR03	CHANGE RECOMMENDED	RANK
Title: Assistant Professor	Start		Start
Dept: Forensics	Stop		Stop
Sch/Div/Campus: Law School / IUPUI			
Title:			
Dept:			
Sch/Div/Campus:			
Title:			
Dept:			
Sch/Div/Campus:			

EFFECTIVE DATES: START 7/1/2000 STOP 6/30/2000 JOB NUMBER 010XXX

VOUCHER DIST: PAF DIST. DEPT.

PAY CYCLE: <input type="checkbox"/> 10 PAY <input type="checkbox"/> 12 PAY <input type="checkbox"/> SUM I <input type="checkbox"/> SUM II <input type="checkbox"/> INTENSIVE #	FULL-TIME RATE/BASE 60,000 / 10 (10 OR 12 base)	
Account	Position	Pay Period Amount
XX-XXX-XX	2000	6,000
		60,000
		100
TOTALS		

SOURCE OF FUNDS		ADDITIONAL INFORMATION	
<input type="checkbox"/> BUDGETED POSITION	<input type="checkbox"/> SALARY LEVEL <input type="checkbox"/> BUDGET TRANSFER	Initial appointment is for three years.	
Account	Position	Current Amount	Base Amount

WILL THIS APPOINTEE WORK AT LEAST NINE MONTHS? ☐ YES ☐ NO

AFFIRMATIVE ACTION COMPLIANCE ☐ ON FILE ☐ NOT REQUIRED

NAME OF PERSON BEING REPLACED

SIGNATURES	DATE	SIGNATURES	DATE
ACCOUNT MANAGER		DEPARTMENT HEAD	
CAMPUS BUDGET OFFICER		DEAN OR DIVISION HEAD	
UNIVERSITY BUDGET OFFICER		DEAN OF FACULTIES	
CONTRACT ADMINISTRATION		CHANCELLOR, VICE PRESIDENT, PRESENT	

Appendix O

DATE PREPARED	BY
DATE ENTERED	BY
DATE ENTERED	BY