

THE UNIVERSITY OF
SCRANTON
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Recruitment, Selection and Record Keeping
Requirements for
Faculty Search Committees
and Department Heads

THE UNIVERSITY OF SCRANTON
Rev. October 2008

***RECRUITMENT, SELECTION AND RECORD KEEPING
REQUIREMENTS FOR FACULTY SEARCH COMMITTEES***

AND DEPARTMENT HEADS

This document, *Recruitment, Selection and Record Keeping Requirements for Full-Time Faculty Search Committees and Department Heads*, was developed in order to manage compliance with Federal equal opportunity and affirmative action laws, as well as to assist faculty and departments in planning and implementing effective searches for full-time faculty and legal sufficient engagement of part-time faculty.

These requirements have been reviewed with and by the Academic Policy Council and the Office of the General Counsel, conform to The University of Scranton's planning goals and support the University's written Affirmative Action Program for Women and Minorities and the written Affirmative Action Program for Workers with Disabilities and for Disabled Veterans, Recently Separated Veterans, Armed Forces Service Medal Veterans and Other Protected Veterans, hereinafter "the AAPs".

This replacement of the former "General Guidelines for Faculty Search Committees" is intended specifically to ensure compliance with Federal record keeping rules and to permit the University to monitor and audit recruitment and selection procedures to ensure compliance with University policy and applicable law.

These laws apply equally to recruitment and selection for part time faculty and for full time faculty. Note that procedures to ensure compliance necessarily differ somewhat for Full-Time Faculty, including tenure-track, lecturer and faculty specialist positions and Part Time Faculty.

Note: There will be no hire unless these Recruitment, Selection and Record Keeping Requirements have been satisfied.

Part I: **Full-Time Faculty** Recruitment, Selection and Record Keeping

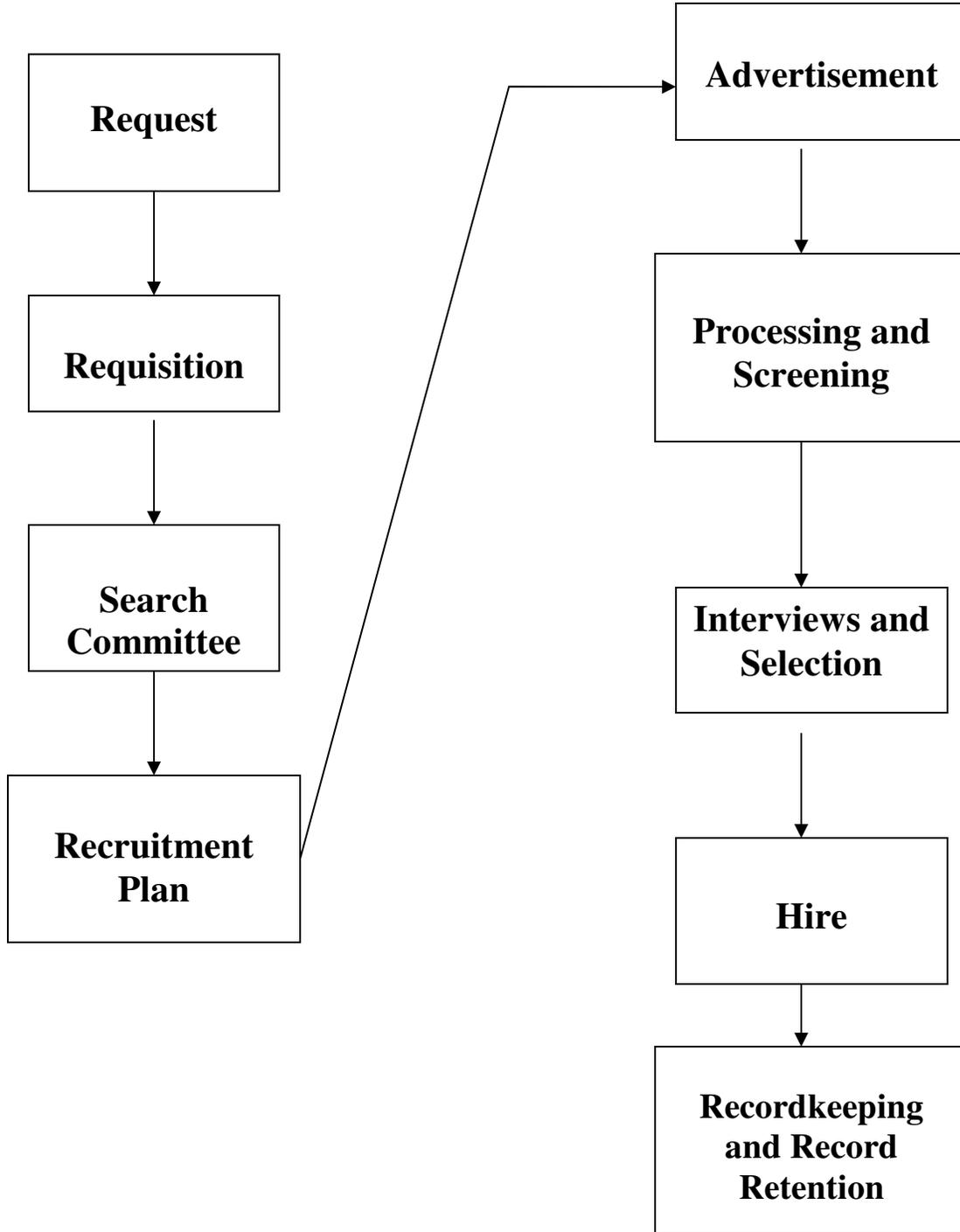
Authorization to Hire

The hiring process begins with the department. Departmental chairpersons shall submit requests for new and replacement faculty as part of their annual report submitted in June of the year prior to the budget year in which the position will be filled. For example, the request for a position to be filled by August of 2009 is to be submitted in the annual report in spring 2008. If for some extraordinary reason the request cannot be a part of the annual report, a request should be submitted to the Dean by August 1st (in the example above, no later than August 1, 2008). The Provost and Deans review all of the position requests during the annual review process. At the annual review, if it is a replacement position, the Provost can either grant permission for the position to be advertised and the recruitment/selection s/he may deny the position. If it is a new position, the Provost must secure funding through the FMC budget process. These decisions are usually made by the end of October. Interviews are usually held in the late winter or early spring with selection decisions being made and contracts signed by April.

Budget For Search

Each dean, in consultation with the Provost, will establish a budget for each search and advise the department chairperson of the amount. In early fall, the Provost will place and pay directly for a combined advertisement in the *Chronicle of Higher Education* of all full-time faculty searches. The Dean's office will pay directly for any additional advertisements and web postings, and other search expenses related to the selection and interview process, such as transportation, meals and lodging for candidates, and travel to conferences for the purpose of recruiting. The Dean's budget will be reimbursed by means of a budget transfer from the Provost's recruitment budget, upon proper documentation. Deans should track the expenses related to each component of the search (i.e., meals, transportation, advertising) for later analysis and accountability. The Provost's office will pay directly expenses related to the newly-hired faculty member, including house hunting trips, moving expenses, upon submission of proper documentation.

**Overview of Search and Hiring Process
for New and Replacement Full-Time Faculty**



Request

- Department requests new or replacement faculty position in budget request as part of the annual report process.
- The request is made in the annual report submitted in the budget year prior to the budget year in which the hire will occur (e.g., request in June 2008 for position to be filled in August 2009.)
- All requests should be submitted to the Dean no later than August 1st.
- The Dean reviews all position requests with Provost.
- The Provost indicates approval for the department to fill the position.

Requisition

- Once the Provost indicates that the department may fill a position, the Dean notifies the department Chair.
- The Dean and department Chair develop a brief description of the position, including minimum requirements which will guide the selection of applicants. *See note below
- The Dean generates a faculty requisition, a position description and a draft advertisement and forwards them to the Provost for signature. The Office of Equity and Diversity will review the advertisement for compliance with EEO/AA requirements.

See Appendices I, II, III for requisition, sample position description and boiler plate language for advertisement

- The approved description of the University and a brief statement of the mission of the University must be included in all advertisements. Each advertisement must also include this Equal Opportunity tag line: *The University of Scranton is an EEO/Affirmative Action Employer/Educator. Veterans, minority persons, women and persons with disabilities are encouraged to apply.*
- The Provost forwards both the requisition and the advertisement to the Budget Manager to verify funding and to Human Resources for assignment of a requisition number. Each requisition will be assigned a unique requisition number which will be used in advertisements and for tracking and reporting purposes.
- Immediately upon assignment, Human Resources communicates via email the assigned requisition number to Provost, Dean, Department Chair, and the Director of the Office of Equity and Diversity. The original signed and approved requisition form is sent to the Department, with copies to the Provost and hiring Dean.
- The Provost and Dean establish a budget for the search and the Dean communicates this to the Department.

***NOTE: The advertisement will substantially dictate which job seekers will be considered as applicants for the position. Among other things, the advertisement must state the minimum acceptable prerequisites (e.g. ABDs) as no one lacking the advertised minimums may be selected without re-advertising the lower prerequisites.**

Records to be Retained:

*Approved requisition
Position Description
Approved advertisement*

Waiver of Full Search

- Except under very limited circumstances and with appropriate approvals, as described below, each vacancy will be filled after a full search, as described below.
- A search may be waived because unforeseen circumstances preclude a full search. Emergency appointments – for a period not to exceed one year – in emergency circumstances such as death, resignation, request for leave, a vacancy created by a failed search, lack of qualified jobseekers, or qualified jobseekers are not available to meet scheduled needs. Similarly, unpredicted increases in enrollment may cause a department to appoint additional full-time faculty at the start of the semester.

See Appendix IV Waiver of Full Search

- Such appointments are on an interim basis and cannot be renewed without a complete search in accordance with the Recruitment, Selection and Record Keeping Requirements.
- Under no circumstances will the race/ethnicity or gender of an individual who might be available for such expedited selection in any way influence the decision to waive – or abbreviate – a search.
- Waiver of the normal, full search must be requested by the Department, with a full description of the exigent circumstances necessitating the waiver and have the approval of the Dean, Provost, and the Director of Equity and Diversity.
- The policy is always to post the job with the state employment service and to do whatever additional public outreach is practical given the exigent circumstances. This will be done by the Director of the Office of Equity and Diversity. The single exception to this posting with the state employment service – and another possible justification for a waiver of full search – occurs when a qualified Jesuit has been identified prior to the search.

Records to be Retained:

Approved Waiver of Search Form

Listing with the state employment service

Copies of all other recruitment advertisements or other recruitment attempted in lieu of a full search

Search Committee

- Once the department Chair has received the approved requisition, the Department organizes a search committee and appoints a chair of the Committee, according to the provisions in *The Faculty Handbook*. The department may act as a committee of the whole or may elect representatives to a search committee.
- The Committee appoints an Affirmative Action recruitment liaison and informs the Office of Equity and Diversity. The recruitment liaison will contact the Director throughout the process for assistance and to provide updates on recruitment efforts. The objective of this liaison is to secure assistance in identifying potential recruiting resources, the use of which is expected to attract discipline-qualified job applicants as well as demonstrate a good faith effort to invite interest from individuals with disabilities, covered veterans, women and minorities.
- Prior to commencing a search, the Chairperson of the Committee arranges to meet with representatives of the Office of Equity and Diversity and the Human Resources Department for a briefing on equal employment opportunity requirements, the recruitment plan and, particularly, legally mandated record keeping protocols.
- The Committee will establish selection criteria which will include minimum qualifications and preferred qualifications. (Important note: It is University policy NOT to mine external data bases qualified individuals, although on-line listings of the position are always acceptable, although not required.)
- Further, in establishing qualifications and how these will be assessed, the Committee will take into account meeting present and future programming needs and contributing to the mission of the University.
- The Committee sets deadlines for the closing dates of nominations, applications, screening of *Curriculum Vitae*, interviews and final selection. To ensure compliance with law, the applications/CVs of job seekers who do not meet established deadlines will not be considered, but will be entered into the Banner Applicant Tracking module with an appropriate “NC” code.
- The Committee will use only approved text for letters of notification, invitations to campus, notifications of results and other correspondence sent to job seekers and applicants. Form letters have been provided with this document for this purpose.

Records to be Retained:

Description of selection criteria, including at least minimum qualifications and preferred qualifications.

List of “Basic Qualifications” as defined by law, if established.

Identification of the members of the Search Committee

Recruitment Plan

- After consultation with the Office of Equity and Diversity and the Human Resources Department, the Search Committee will establish a recruitment plan that shall include (but need not be limited to):
 - Advertisement activities (attach ad copy and publications list)
 - Mass mailings to professional associates and community based organizations (attach sample letter and organization list)
 - Mandatory listing with the local Pennsylvania Office of Employment Security
 - Internet postings (attach ad copy and list of sites posted)
 - Telephone contacts (attach list of professional, personal and organizations contacted)
 - Other outreach activities (fully describe expanded outreach activities, i.e., professional conferences, etc.)
 - Electronic boards (e.g. Monster) may not be searched to identify individuals who might be interested in job opportunities,

See Appendix V Strategies to Expand the Pool of Minority and Women Candidates

Records to be Retained:

All Recruitment Plan materials

Recruiting

- All advertisements must be reviewed and approved by the Provost and the Office of Equity and Diversity.
- **Every** faculty position must be listed with the local office of the Pennsylvania Office of Employment Security.
- The Provost's Office and Deans will collaborate to create a combined advertisement listing all faculty positions that will be placed in the *Chronicle of Higher Education*. A proposed advertisement will be forwarded to the Office of Equity and Diversity for review, revision and approval.
- No single position advertisement will be placed in the *Chronicle of Higher Education* without permission from the Provost and the Dean's office. If such a request is approved, the Dean and Search Committee will draft an advertisement that must be approved by the Office of Equity and Diversity. The cost of the advertisement will be paid for from the Dean's budget, but may initially be charged to the department, which will then be reimbursed.
- The Search Committee may determine that advertisements in other publications are appropriate. If so, placement of such ads must be approved by the Dean and must fit within the budget established by the Dean.
- The Provost's Office will reimburse the Dean, via a budget transfer, for the cost of additional advertisements, upon submission of the appropriate supporting documentation. The reimbursement will be subject to the budget agreed upon by the Provost and Dean.

Records to be Retained:

*"Mandatory Job Listing" with the State of PA Department of Economic Security
Copy of each published advertisement.*

Processing and Screening

- Upon receipt of each expression of interest, the Chair of the search committee will ensure that each such individual is provided an opportunity to disclose his or her race/ethnicity and gender. This opportunity is to be provided only by mailing the approved EEO Survey. Supplies of these forms will be supplied to the Search Committee by The Office of Equity and Diversity. The department secretary will mail the form, with the requisition number and job title noted on each form, to each individual job seeker.

The EEO survey will be mailed directly to the Office of Equity and Diversity, where the information will be entered into the *Banner Applicant Tracking Module* at the conclusion of the selection process. Since this information may not be part of the Search Committee's deliberations, no member of the Search Committee or Department may have access to it. The EEO data is collected solely for the purpose of reporting to the Office of Federal Contract Compliance Programs.

See Appendix VI EEO Survey Card

- The department secretary will enter data on all persons who express interest in the particular job in the *Banner Applicant Tracking Module* as those expressions of interest are received. Complete instructions for entering information into the Banner module are available on-line and training is conducted through the Provost's Office.
- As the CVs are reviewed, the Chair of the search committee will determine which of the job seekers meet the minimum requirements for the position and thus can be considered "applicants."

To be an "applicant" the job seeker's application/vitae and cover letter must initially:

1. express interest in a particular job;
2. comply with whatever rules for applying were established (i.e., submission by email, by an advertised deadline, with accompanying references, etc.);
3. indicate no unwillingness to accept the terms and conditions of the position (e.g. "start date", compensation beyond budgeted sum, etc.)

Since the credentials of an individual who fails to comply with the submission rules or who has expressed an unwillingness to accept the terms of the work are irrelevant, it is strongly recommended that such CVs not be reviewed/assessed at all. The University must treat all such persons the same. Disposition codes have been provided and will be used to cover such situations.

- Actual consideration of and assessment of the qualifications of a job seeker is the final element in the legal definition of applicant. All individuals who respond to an advertisement, whether qualified or not qualified, must be included in government reporting and entered into the Banner Applicant Tracking module. However, analysis of the substantive information included in the applications/vitae should be conducted by the Search Committee ONLY on the credentials of those job seekers who are minimally qualified for the position.
- In order to comply with the University's mandatory recordkeeping obligations as an EEO/Affirmative Action employer, the Chair of the Search Committee will determine the reason any job seeker is determined not to be an "applicant" and will ensure that the departmental secretary enters these disposition codes in *Banner* as each such determination is made.

See Appendix VII Disposition Codes

- The Search Committee will develop screening devices for screening resumes to ensure objective and consistent evaluation of all applicants. Standardized interview questions should also be developed for all applicants. Examples of such questions are included in the appendix.

See Appendix VIII Sample Interview Questions

- All interview notes – whether preliminary telephone screens or personal interviews – must be retained as part of the documentation for the search.
- As the screening process progresses, the Chair of the Search Committee will select the appropriate disposition code for each applicant, and the department secretary should continuously update *Banner* with the proper code as the committee comes to a decision on each applicant. In order to meet the University's obligations as an EEO/Affirmative Action employer, it is very important that the records are coded simultaneously – or in very close proximate time – with the making of the determination. Should the Committee reconsider, at the direction of the Chair of the Search Committee, such disposition code may be revised in *Banner* to whatever is ultimately most accurate. To avoid inaccuracies or missing information, these entries may never be postponed until the end of the selection process.
- The top six or fewer applicants should be identified as soon as possible. The chairperson will send each finalist a letter with his or her application status, a University of Scranton application and request that official transcripts be sent directly to the Search Committee. The application asks the applicant if she or he is a U.S. citizen and eligible to work in the United States, which must be determined prior to campus interviews. Form letters and application forms are included with this document.
- Care must be taken to ensure that degrees are from accredited institutions and that official transcripts are obtained for finalists. References and credentials should be carefully checked and the results reported to the Committee and Dean.

- The top six applicants should be sent, at minimum, the *The Faculty Handbook*, the Faculty Contract, information about the department, the College and University, the University's Mission Statement, benefit information, and information about the Scranton and Northeastern Pennsylvania. Helpful websites to provide this information are:

<http://www.scranton.edu> (the University of Scranton's Homepage)

http://matrix.scranton.edu/about/ab_nf.shtml (Facts about the University, including the Mission Statement)

<http://matrix.scranton.edu/humanresources/default.shtml> (Office of Human Resources)

http://matrix.scranton.edu/humanresources/hr_benefits.shtml (Benefits)

<http://academic.scranton.edu/organization/fac/index.html> (Faculty Affairs Council website containing the Faculty Handbook and Contract)

<http://www.scrantonchamber.com/scranton/Default.htm> (The Scranton Chamber of Commerce)

- In most cases, only the top three of the six or fewer applicants identified for further review will be brought on campus for interviews. However, other likely candidates will not be formally rejected until a final hire is made. Telephone interviews are recommended as a tool to determine which three applicants the department wishes to interview on campus.
- Interviews conducted off-campus at conferences are analogous to telephone interviews and should be handled in the same manner as such, with all notes must be retained. In every other respect, off-campus interviews should follow the same pattern as those on the telephone or on-campus. At the time of the off-campus interview, individuals should be handed an EEO survey card and University of Scranton application form to complete.

See Appendix IX Application for Employment Full-Time Faculty

- If an individual's application indicates that he or she is not a U.S. citizen, appropriate arrangements should be made for that person to meet with the Director of International Students and Services to determine whether the person is eligible to work in the United States, or the documentation required to legally hire the person

Records to be Retained:

Original of each CV/application/resume/expression of interest received from each job seeker

Original of any other application materials received from job seeker/applicant

EEO Survey received from job seeker/applicant (if any)

Description of selection criteria established by Search Committee

Standardized Interview Questions – Telephone or other non-campus interviews

Interview Notes – Non-campus

Interviews and Selection

- Planning for travel, lodging and meals during on-campus interviews should be planned with budget considerations in mind, for example airline tickets should be purchased at the lowest cost possible. The Dean will provide the chairperson specific guidelines on budget. The following table shows the procedures for charging search expenses. All expenses charged to the Dean's budget will be reimbursed by the Provost's Office up to the amount budgeted for the search.

Guidelines for Search Events	
Expense	Procedure
Transportation	The candidate can make her or his own arrangements and be reimbursed upon producing a boarding pass (for flights) and credit card receipt. In the case of a travel by car, the candidate will be reimbursed for mileage and tolls by the Dean's Office. The department may make arrangements for the candidate, if necessary, using department's credit card.
Hotel	Department makes reservation using the department's credit card.
Meals on Campus	Department charges directly to Dean's budget.
Meals off Campus (no more than 2 search committee members & candidate)	Department provides Dean with receipts; Dean reimburses Department.
Transportation to/from the Interview	Department or Interviewee provides Dean with receipts; Dean reimburses.
House Hunting	Provost reimburses for <i>one</i> house-hunting trip based on receipts provided by new faculty member, in accordance with Faculty Contract.
Computer	Provost coordinates with Desktop & Instructional Resources and pays directly from recruitment budget. All new faculty will receive the standard configuration.
Moving	Provost reimburses when provided with receipts from new faculty members, in accordance with formula in the University's Employment Handbook.

- During the on-campus interviews, each interviewee should meet with the Provost, the Director of International Students and Services (if necessary), appropriate Deans, students, the chairperson and department faculty. Each interviewee should have an

opportunity to teach a class or deliver a paper. Each interviewee must be afforded the same or comparable meetings and opportunities during the interview process.

- At the time of the meeting with the Provost, the Provost's Office staff will ask each candidate to sign a document giving the University permission to conduct a criminal background search. The Provost's office will order and pay for this search for full-time faculty. If the results of the criminal background search are not received by the time of hire, the initial contract will be contingent upon the results of the background check.
- As required by Pennsylvania law, English fluency will be assessed by the Chairperson, at the time of the on-campus interview.

See Appendix X English Fluency Form

- All interview notes, student assessments, notes made by the members of the Search Committee, etc. must be retained with the records of the search.

Records to be Retained:

*Standardized Interview Questions - Campus
Interview Notes – Campus and Off-Campus*

Offer and Hire

- The Chair of the Search Committee should keep applicants informed by letter during the process. Unsuccessful candidates will be notified in writing when the position has been filled, or if the search has been cancelled. Form letters to use for the various stages of the search are included with this document.
- After the Dean approves the selection of the Search Committee, he or she will make an offer to the top applicant. The offer may not exceed the budget established for the position unless approved by the Provost.
- Once the offer is verbally accepted, the Dean will send a request for contract to the Provost's Office. The request will include a contract information sheet, a certification of English Fluency, a Curriculum Vita, an official transcript of the highest degree, and a completed employment application.
- The Provost will send a letter of appointment and an initial contract reflecting the agreement on salary, tenure date, etc. The "Invitation to Self- Identify" (which is not the same as the EEO survey form provided to the individual while an applicant) must be included in this package.
- The Provost's Office will update Banner to show the date of the letter of appointment, which shall be the official "date of selection" for record keeping and reporting purposes.
- Once the selectee returns the signed contract to the Provost, personal information will be requested by the Provost's Office and entered into *Banner*. At the completion of the summer term, the selectee's status is changed to employee.

Records to be Retained:

Correspondence with job seekers/applicants

Notes of verbal offer

Copy of appointment letter

"Banner Log", i.e., name and other information, including disposition code, for every person expressing interest in the particular job

See "Record Retention - Full-time Faculty", *infra*, for further information

Recordkeeping and Record Retention

Federal record keeping regulations require retention of any record made for a period of two years from the making of the record or two years from the date the selection is made whichever is later. University policy has extended this period to **three years from the date of the selection decision.**

Two sorts of “records” must be retained: original hard copy records (unless the original document is electronically scanned) and “soft” records such as electronic databases, etc. The University of Scranton makes and retains both sorts of records.

The objective of record keeping is retrieval. That is, for compliance purposes it is essential not only to retain records but to be able to access them for mandatory self-audit and government reporting as required. The purpose of both is to monitor the employer’s selection process; therefore the focus of the analysis is not the individual applicant or selectee but the employer’s selection decision, the “opportunity”.

Therefore, all records must be maintained in such a way that they can be retrieved – and purged in accordance with the retention schedule – by requisition number and by date of selection. During the course of the recruitment and selection process multiple records will be created and may, initially, be maintained in various locations and by various parties. However, at the end of the selection process, all records having to do with that selection process – including the application/CV of the individuals selected and other materials provided by that applicant – must be collected and stored together in a central location.

The University has decided that this central location, for all full-time faculty positions, will be in the Provost’s Office. Therefore, at the conclusion of a search, when the appointment letter has been sent and, if applicable, the contract signed, all records which have heretofore been in the custody of the Search Committee and/or the Department, will be collected, audited by the department to ensure that the file is complete (compare with names entered in *Banner*) and delivered to the Provost’s Office.

The following records must be retained and delivered to the Provost’s Office as soon as possible after the selection decision is made and, as applicable, not later than May 1.

Records to be retained:

Approved requisition
Position Description
Approved advertisement
Approved Waiver of Search Form, if any
Listing with the state employment service

Copies of all other recruitment advertisements or other recruitment attempted in lieu of a full search

Description of selection criteria, including at least minimum qualifications and preferred qualifications

List of “Basic Qualifications” as defined by law, if established

Identification of the members of the Search Committee

All Recruitment Plan materials

“Mandatory Job Listing” with the State of PA Department of Employment Security

Copy of each published advertisement

Original of each CV/application/resume/expression of interest received from each job seeker NOTE: The original CV/application/resume, etc. of any person hired may be retained in that individual’s personnel files; however, a copy of all such documents must be placed with all other records made during the course of the selection process for the position for which s/he was hired.

Original of any other application materials received from job seeker/applicants not hired (NOTE: It is not necessary to retain copies of materials other than CV/application, e.g., transcript, references or any other materials provided by the person hired except in that individual’s personnel file)

EEO Survey received from job seeker/applicant (if any)

Description of selection criteria established by Search Committee

Standardized Interview Questions – Telephone or other non-campus interviews

Interview Notes – Non-campus

“Banner Log”, i.e., name and other information, including disposition code, for every person expressing interest in the particular job

Standardized Interview Questions - Campus

Interview Notes – Campus

Correspondence with job seekers/applicants

Notes of verbal offer

Copy of appointment letter

All other records made of the recruitment and selection process (including but not limited to any requests made for accommodation of disability)