

**Affirmative Action and Equal Opportunity Policy and Procedures for the
Employment of Full-Time Faculty at National-Louis University
FP: 100 (42001)**

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| Recommended: Academic Policy Advisory Committee | Date: October 24, 1990 |
| Recommended: Faculty Senate | Date: November 7, 1990 |
| Approved: President's Cabinet | Date: November 11, 1990 |
| Recommended: Ad hoc Senate Policy Revision Committee | Date: May 12, 2000 |
| Recommended: Faculty Senate | Date: April 18, 2001 |
| Approved: President's Cabinet | Date: April 19, 2001 |

EFFECTIVE DATE: April 20, 2001

Policy

It is the policy of National-Louis University to:

1. Recruit highly qualified faculty members throughout the University system.
2. Ensure that the largest possible pool of applicants be considered.
3. Address Affirmative Action issues by actively seeking applications from individuals of minority backgrounds and other traditionally underrepresented groups.
4. Provide equal opportunities for employment to all qualified applicants.
5. Ensure the confidentiality of the search process.
6. Disqualify any applicant/candidate who has supplied falsified information or documentation of educational and/or employment history.

Procedures

The following procedures have been developed to ensure that Affirmative Action/Equal Employment Opportunities are adhered to in the search process for full-time faculty positions. These procedures also ensure that the process is responsive to academic planning/resource allocation policies and annual budget goals and that the academic personnel process is administered efficiently:

1. The dean of each college, in consultation with a department or similar academic unit, will identify the need to hire full-time faculty for new or replacement positions.¹
2. The dean will complete an "Authorization to Employ" notification form and send it through the Provost and Chief Academic Officer's Office to the Office of Human Resources.

¹ The number and level (academic rank) of new and replacement positions will be dependent on academic planning/resource allocation policies and annual budget goals.

3. The dean, in consultation with faculty from the academic unit(s)/department involved, will appoint a search committee.

- a. Search Committee Membership

The search committee will reflect insofar as possible:

- 1) One or more faculty members from the academic unit in which the new/ replacement position is located.
- 2) One or more faculty members from other academic units of the college. When the position serves students in different program areas or across two or more colleges, faculty should be selected to represent these areas.
- 3) Additional member(s) needed to reflect diversity.
- 4) Academic administrator(s) (optional).

- b. Consultation with Diversity Director

It is the search committee chair's responsibility to invite the Diversity Director to attend the Search Committee's first meeting, at which time the Diversity Director or designee will consult with the committee regarding affirmative action and Human Resources issues.

4. The dean, in consultation with faculty from the academic unit(s) involved, will prepare a position description. This position description, along with a complete copy of the "Pre-Search Review Form for Faculty/Academic Vacancy" must be signed by the Search Committee Chair, the Department/Program Chair, and the Unit Affirmative Action Officer (or Dean) and sent to the Provost and Chief Academic Officer. The Provost and Chief Academic Officer signs and sends a copy to the Diversity Director.

- a. The position description will include:

- 1) Duties to be performed.
- 2) Qualifications such as educational level, credentials and professional experience.
- 3) Tenure track or non-tenure track status.
- 4) Desired initial rank as indicated on the "Authorization to Employ" form.

- b. The position description will be forwarded by the dean, through the Diversity Director and the Provost and Chief Academic Officer's representative, to the Human Resources representative, who will be responsible for further processing.

5. The Human Resources representative, in consultation with the dean, will prepare the official position announcement and will place advertisements for positions on the NLU website and in publications such as *The Chronicle of Higher Education*, minority publications, professional caucuses and other sources. These sources may include, but are not limited to, college and university placement offices, academic departments, regional or national-level candidate pools (e.g., the American Council on Education's National Identification Project and minority data bases), professional organizations or other groups. When positions are

located at an academic center, advertisements will be placed in local newspapers. Whenever possible, advertisements for several similar positions will be consolidated. Human Resources will send a copy of the final advertisement confirmation to the Provost and Chief Academic Officer's representative.

- a. The advertisement for each position will contain the following elements:
 - 1) Position number.
 - 2) Position description.
 - 3) Projected academic rank and tenure track/non-tenure track status.
 - 4) Geographic location.
 - 5) Name of search committee chair, if known
 - 6) Address of the Provost and Chief Academic Officer's office where the application materials are to be sent.
 - 7) Materials to be submitted.
 - 8) Closing date for position (usually "until filled").
 - 9) Current AA/EEO statement.
 - b. Full-time faculty positions will be advertised internally and by other procedures so that interested part-time and adjunct faculty may apply.
 - c. The official position announcement may be disseminated further by the Human Resources representative, the search committee chair, the dean or others.
 - d. Departmental faculty and other interested individuals are encouraged to take advantage of their professional or organizational networks by nominating highly qualified individuals for available positions.
 - e. Nomination letters should be sent to the Provost and Chief Academic Officer or designee and should include the potential candidate's name and address and the position for which the person is being nominated.
 - 1) The Provost and Chief Academic Officer or designee notify the chair of the search committee and send information about the position to each nominee.
 - 2) Nominees must submit a letter of application and the required documentation before being considered for any position.
6. The Provost and Chief Academic Officer's representative will process applications as follows:
- a. Record the receipt of each applicant's material (cover letter, vita and supporting documents) and send the applicant a letter of acknowledgment.
 - b. Send a form to all applicants requesting demographic AA/EEO data for each search, to be sent to the Diversity Director, who summarizes and retains this data. Compliance with this request will not affect a person's candidacy.

- c. Make files for each open position and transmit a copy of each applicant's materials to the chair of the search committee.
- d. Act as a central clearing house for references and any other supporting documentation that is received.
- e. Retain the original of all application materials and references on file until the search has been completed, or as required by AA/EEO regulations.

7. Search and Screening Procedure

The search committee will establish procedures for the search process consistent with these policies.

a. Initial screening

- 1) The search committee will establish written standards and criteria based on the qualifications stated in the position description by which applicants will be screened initially.
- 2) The search committee chair will send the standards and criteria for evaluating applicant qualifications to the Provost and Chief Academic Officer and the Diversity Director.
- 3) The search committee will evaluate each applicant's qualifications against these written standards and criteria. The chair will retain the results of the initial screening process for review by the Diversity Director at the conclusion of the search.
- 4) Individuals who do not meet the criteria will be sent a letter stating such from the Provost and Chief Academic Officer's representative.

b. Candidate Selection

- 1) Following the initial screening the search committee will narrow the pool of applicants based on the written standards.
- 2) The search committee at its discretion may contact any references supplied by the candidate.
- 3) The search committee chair will maintain thorough written documentation of all committee activities, especially the procedures used to apply the written standards in the selection of the preferred candidates for the position.

c. Interview Procedures

- 1) The finalists will meet with the search committee and appropriate administrators through teleconferencing, videoconferencing or in person.
- 2) If possible, finalists will be invited to a University location.
- 3) The finalists will make a presentation for interested University personnel and students through videoconferencing or in person.

d. Recommendations to Dean

- 1) The search committee will evaluate the pool of candidates based on the qualifications for the position and will prepare a written recommendation to the dean that presents the names of preferred candidates in alphabetical order. The committee should attempt to recommend the top two to five candidates. The Affirmative Action Summary form can be substituted for this recommendation or can be added to the search chair's recommendation.
- 2) The search committee will recommend an initial rank for each of the recommended candidates in accordance with existing policies.
- 3) The Diversity Director will review the search process with the search committee chair and will document that the search has been conducted according to approved procedures.
- 4) The search committee chair will transmit the signed recommendation to the dean along with the recommended candidates' application files, references, reference checks and any other relevant information.
- 5) Concurrently the search committee chair will transmit the files and documentation for all non recommended candidates to the Provost and Chief Academic Officer's representative for processing.
- 6) If a sufficient number of qualified candidates is not identified, the committee will contact the dean and ask that the search be readvertised or reopened. A search may be reopened only with the written approval of the Provost and Chief Academic Officer. The reopening of a search requires adherence to all AA/EEO policies and procedures recommended herein.

e. Dean's Review

- 1) The dean will review the search committee's recommendations and take further action. The dean may have access to files and documentation of all applicants in addition to those who have been recommended by the search committee. He/she may request any additional information or interviews needed to make an appropriate decision.²
- 2) If the dean concurs with the search committee's recommendation, he/she will:
 - a) Select the finalist from among the list of recommended candidates.
 - b) Recommend the proposed finalist's salary level (within the range approved on the "Authorization to Employ") or discuss variance with the Provost.
 - c) Determine whether the finalist is eligible for credit toward tenure.
 - d) Approve the search committee's recommendation for initial rank or recommend a different rank.³

² Inquiries outside of the prescribed confidentiality limits will occur only with the concurrence of the candidate(s).

³ The University's policy on assigning initial rank provides that (1) the dean may assign the ranks of instructor or assistant professor to a faculty member at the time of initial employment, and (2) the dean must request approval for the ranks of associate and full professor from the college and institutional promotion and tenure committees.

- e) Endorse the search committee's recommendation and transmit the recommendation and accompanying materials to the Provost and Chief Academic Officer's office.
- 3) If the dean does not concur with the committee's recommendations, he/she may reconvene the search committee to attempt to reach a resolution. If no mutually acceptable candidates are identified, the dean will request that the search be reopened. (See paragraph 6, c. (6))
- f. Provost and Chief Academic Officer's Review
 - 1) The dean will discuss the search committee recommendations and his/her final selection with the Provost and Chief Academic Officer.
 - 2) The Provost and Chief Academic Officer, in consultation with the Diversity Director, will confirm that the search has been conducted appropriately and that Affirmative Action guidelines have been observed.
 - 3) The dean will inform the search committee of the decision.

8. Formal Hiring Procedures

- a. Following the Provost and Chief Academic Officer's review, the dean will contact the approved finalist and will formally offer the position. Should the finalist decline, the dean may offer the position to other recommended candidates.
- b. When the dean offers the position, he/she may issue a letter of intent. The dean will complete the "Faculty Information" form and attach the "Authorization to Employ" form. The dean will send both forms to the Provost and Chief Academic Officer's representative.
- c. The Provost and Chief Academic Officer's representative will prepare the initial faculty letter of appointment, obtain the Chief Academic Officer's signature and send the original copy to the successful finalist. The letter of appointment will include initial rank, salary and years of credit toward tenure, if applicable, and will be contingent on verification of credentials, employment history and eligibility for employment in the country where the position is located.

Copies will be sent to:

- 1) Human Resources Office ("New Faculty" "Authorization to Employ" and Tenure Eligibility" forms will be attached).
- 2) Diversity Director.
- 3) Dean.
- d. Benefits information and W-4 forms will be sent to the candidate with the offer of employment.

- e. The letter of appointment, when signed by the finalist and returned to the Office of the Provost and Chief Academic Officer, will be copied to:
 - 1) Payroll.
 - 2) Human Resources Office.
 - 3) Diversity Director.
 - 4) Dean.
 - f. Upon conclusion of the search, all files and records used by the search committee and the dean will be returned to the Diversity Director for retention or secure disposal.
 - g. The Provost and Chief Academic Officer's representative will send a letter to all applicants not previously notified stating that the position has been filled.
8. The procedures enumerated herein may be amended only under extraordinary circumstances, and then only with the written approval of the Provost and Chief Academic Officer.

Academic Search Number (to be defined by Office of the Provost): _____

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| PRE-SEARCH REVIEW FORM FOR FACULTY/ACADEMIC VACANCY |
| NATIONAL LOUIS UNIVERSITY |
| Office of the Provost and Chief Academic Officer |

Please complete both sides of this form and submit it along with copies of the position description and/or advertisements to the Office of the Provost and Chief Academic Officer. The search plan and position descriptions must be approved prior to formal public announcement of any faculty/academic position vacancy.

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|---------------------------------------|---------------------|-----------|
| College: | Department/Program: | |
| Sub-specialty/Field: | Rank: | |
| Administrative Title (if applicable): | | |
| Tenure Track: | Non-Tenure Track: | Visiting: |

- I. Attach one copy of the proposed position description and/or advertisement. The position description must contain the following information:
 - 1. A brief statement of duties
 - 2. Minimum objective qualifications (i.e., degrees and experience requirements); other desirable qualifications
 - 3. Rank and/or title. If any of these items are “open” or negotiable, this should be stated.
 - 4. Time status: full or part-time; term: specify the term of appointment or whether it is a continuing appointment.
 - 5. Proposed starting date.
 - 6. Closing date for receipt of applications [or the statement “In order to ensure full consideration, applications must be received by (date).”]
 - 7. Name and address of the contact person.

- II. General Recruitment Sources [Identify professional associations, publications, educational institutions, etc., which will receive the position announcement.]

National:

Regional:

Local:

(over)

III. What special efforts will be made to identify and encourage women candidates for the position? Describe any special efforts that will be made to review women candidates. [Include information on the nature of any special mailings, advertisements, telephone visitations, follow-up activities, extra visits, etc., that are planned.]

IV. What special efforts will be made to identify and encourage minority candidates for the position? Describe any special efforts that will be made to review minority candidates. [Include information on the nature of any special mailings, advertisements, telephone visitations, follow-up activities, extra visits, etc., that are planned.]

V. Scope of Search: National _____ Regional _____ Local _____ Internal _____
 Note: All regular faculty and most academic professional positions require a national search. Before conducting a less than national search for any position, consult with the Office of the Provost and Chief Academic Officer for approval.

VI. Composition of Proposed Search Committee

| Name | Sex | Race/Ethnic Class* | Position/Title | Department |
|--------------|-----|--------------------|----------------|------------|
| _____, Chair | | | | |
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|--|---------------|
| _____ Search Committee Chair | _____ Date |
| _____ Department/Program Chair | _____ Date |
| _____ Unit Affirmative Action Officer (Dean's Office) | _____ Date |
| _____ Reviewed & Approved by Office of the Provost and Chief Academic Officer | _____ Date |

* Bl = Black; H = Hispanic; A/PI = Asian or Pacific Islander; AI/AN = American Indian or Alaskan Native; Wh = White

Academic Search Number: _____

**AFFIRMATIVE ACTION SUMMARY
FOR PROPOSED FULL-TIME FACULTY APPOINTMENTS
NATIONAL LOUIS UNIVERSITY**

Note: This form, accompanied by a vita must be submitted and approved before an offer can be made.

College: _____ Department/Program: _____

Name(s) of Proposed Candidate(s): _____ Sex: _____

Race/Ethnicity: _____ Rank: _____

Sub-specialty/Field: _____ Proposed Start Date: _____

Tenure Status: Recommending Tenure _____ [supporting materials attached]

 Tenure Track _____ Term of Appointment: From _____ To _____

 Non-Tenure Track _____ Term of Appointment: From _____ To _____

Citizenship Status: U.S. Citizen _____ Permanent Resident _____ Non-Resident Alien* _____

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| List names of all finalists who were interviewed or extensively reviewed for position. Include any person who has withdrawn and explain. | Race/Ethnic* & Gender | | | | | | | | | | <u>Candidate Source</u> |
|--|-----------------------|---|------|---|-------|---|---|---|----|---|-------------------------|
| | Bl | | A/PI | | AI/AN | | H | | Wh | | |
| | M | F | M | F | M | F | M | F | M | F | |
| 1. | | | | | | | | | | | |
| 2. | | | | | | | | | | | |
| 3. | | | | | | | | | | | |
| 4. | | | | | | | | | | | |
| 5. | | | | | | | | | | | |
| 6. | | | | | | | | | | | |
| 7. | | | | | | | | | | | |
| 8. | | | | | | | | | | | |

* Bl = Black; H = Hispanic; A/PI = Asian or Pacific Islander; AI/AN = American Indian or Alaskan Native; Wh = White

| <u>Dates Interviewed</u> | <u>Highest Degree</u> | <u>Specialty or Field</u> |
|--------------------------|-----------------------|---------------------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |
| 7. | | |
| 8. | | |

* Refer the candidate to Human Resources

1. Total number of applicants for the position: _____
2. For each woman, minority, person with disability, disabled veteran or veteran of the Vietnam era on the list of finalists who is not being recommended for the position, please indicate briefly what particular aspects of the job requirements were not met as fully by that individual as by the proposed candidate. Note: Please attach a vita for each of these individuals to this form.

| <u>Name</u> | <u>Job Requirements Not Met</u> |
|-------------|---------------------------------|
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3. If there were any changes in the search procedures previously submitted on the Pre-Search Approval Form, please describe what they were.

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The search and selection procedures have been in accordance with affirmative action guidelines.

Search Committee Chair

Date

College Dean

Date

The recommended appointment is approved.

Provost and Chief Academic Officer

Date

Office of the Provost and Chief Academic Officer Use Only