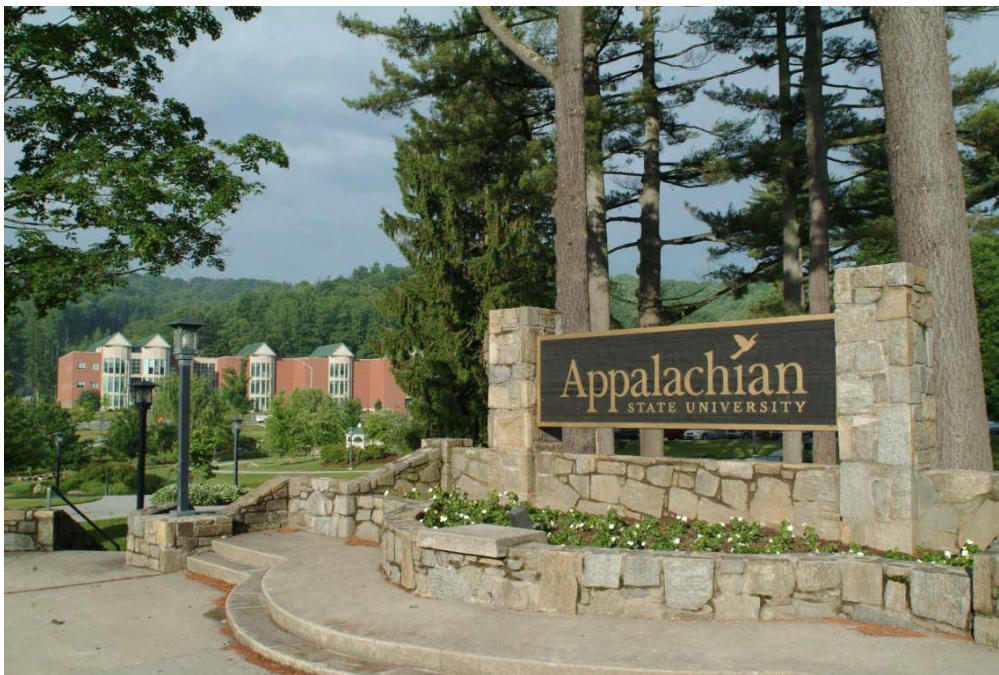


RECRUITMENT AND SELECTION POLICIES AND PROCEDURES FOR FACULTY AND NON-FACULTY EPA POSITIONS



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<http://edc.appstate.edu/compliance/epahiring.html>



Appalachian State University (the “university”) is an affirmative action and equal employment opportunity employer. The university does not discriminate in access to its educational programs and activities, or with respect to hiring or the terms and conditions of employment, on the basis of race, color, national origin, religion, sex, gender identity and expression, political affiliation, age, disability, veteran status, genetic information or sexual orientation. The university actively promotes diversity among students and employees. The university is committed to its affirmative action plans and seeks to deepen its applicant pools by attracting interest from diverse, qualified individuals.

The Recruitment and Selection Policies and Procedures for Faculty and Non-Faculty EPA Positions contain university policies and procedures to guide search committees as they prepare for and conduct successful searches for EPA positions. The document also contains suggestions and recommendations for recruiting and hiring individuals from groups that are underrepresented at Appalachian.

The Office of Equity, Diversity and Compliance (“EDC”) is responsible for ensuring that the university is in compliance with federal and state laws, executive orders, and institutional policies and procedures pertaining to affirmative action (“AA”) and equal employment opportunity (“EEO”) matters. The director of EDC and AA/EEO compliance (the “director of compliance”) or a designee is available to advise and assist university community members on all matters related to AA/EEO programs and compliance guidelines, including searches for EPA employees.

I. Covered Positions

These procedures apply to hiring for all EPA positions – tenure-track and fixed-term faculty, nonteaching faculty and professionals, research associates, and administrators. The procedures apply to any EPA position that involves at least seventy-five percent (75%) time.

Equal opportunity and affirmative action principles dictate that university searches must be expansive and open. Generally, EPA positions must be advertised nationally for a minimum of 30 calendar days. Upon approval from the director of compliance or a designee, searches may be limited to regional or local advertising and/or advertised for less than 30 calendar days (minimum 14 days) depending on the circumstances. Positions in Athletics for coaching staff must be posted for a minimum of 14 days. In addition, internal searches may be approved by the director of compliance or a designee and the appropriate hiring administrator in limited circumstances.

No search is required under the following circumstances:

1. when filling an EPA position that is less than seventy-five percent (75%) time;
2. when extending a fixed-term appointment for a limited duration;
3. where a principal investigator or co-principal investigator has been named in a grant or contract and the award is contingent upon the individual(s) named serving in that capacity;
4. a promotion or upgrade in administrative title where the employee’s qualifications, skills, and/or additional duties justify an upgrade and the person promoted or upgraded in title is more qualified than the other employees in the unit or department (*e.g.*, assistant director to associate director, coordinator to director);
5. when an employee is reassigned duties or transferred to another department or division for purposes of reorganization or to meet other institutional needs;

6. when the chancellor employs immediate staff whose duties include management of matters that are confidential in nature and/or acting as the chancellor's personal representative to constituencies on or off-campus (e.g., executive or special administrative assistant, chief of staff, assistant to the chancellor for university relations, etc.); or
7. faculty promotions (e.g., assistant professor to associate professor, associate professor to full professor), although such promotions must follow the procedures specified in the *Faculty Handbook*.

Search requirements may be waived, in whole or in part, in special circumstances, including, but not limited to, the following:

1. There is insufficient time to conduct a full, competitive search, and the hiring administrator can identify a pool of one or more qualified candidates.
2. The hiring administrator wishes to make an interim academic or administrative appointment for a finite period while a full search is conducted.
3. Hiring is needed to fill unanticipated openings or vacancies, including, but not limited to, grant positions, post-doctoral positions, and those resulting from leaves of absence, medical emergencies, deaths or resignations.
4. Administrators seek to hire faculty or EPA administrators to fill part-time, temporary or time-limited positions including, but not limited to, assistant deans, associate deans, and directors of administrative units.
5. The hiring administrator wishes to make an exceptional hire where the university has the opportunity to hire someone with outstanding skills and experience along with the one or more of the following factors: 1) experience working with diverse populations; 2) academic scholarship; 3) teaching; 4) exceptional achievements; 5) outstanding leadership and service; or 6) other special talents so as to confer a distinct benefit to the institution's mission.

Departments and units wishing to conduct an internal search, limited external search, or no search must review the Policy for Requesting a Waiver of EPA Recruitment Procedures and submit a Request for Waiver of EPA Recruitment Procedures to the appropriate university officials. See Attachment A.

II. Organizing the Search Committee

Prior to beginning a search, the hiring authority will appoint the search committee (generally, at least three persons). For faculty searches, chair searches, and searches for Category 1 and Category 2 Administrative/Academic Personnel, the search committee will be established or constituted in accordance with the *Faculty Handbook*. See Section 4.1, *Faculty Handbook*. In academic departments where search committees are not utilized, the departmental personnel committee ("DPC") shall serve as the search committee. The hiring authority, the search committee or the department will appoint or elect a chair who develops a timeline for the committee's work, represents the committee to all constituents, and delivers final recommendations to the hiring official, or, in the case of faculty search committees or DPCs, to the DPC or the departmental chair, depending on the reporting chain determined by the department.

To the extent feasible and consistent with the criteria for membership in a search committee, departments or units should endeavor to include on the search committee women and individuals from underrepresented groups, as well as individuals who are committed to and/or have experience with enhancing diversity in the university community. In order to ensure consistent and accurate compliance with AA/EEO requirements during EPA searches, all members of the search committee should attend an information session with the director of compliance or an appropriate designee to review the EPA search procedures. Information sessions will be scheduled on a regular basis through EDC. In addition, upon request, the director of compliance or an appropriate designee will meet with any EPA search committee at any point in the search process. The director of compliance or a designee is a non-voting, *ex officio* member of all EPA search committees.

Search committees must conduct their meetings in accordance with the rules outlined in the most current edition of *Robert's Rules of Order*, unless exceptions to these rules are noted in this document or the latest edition of the *Faculty Handbook*.

A checklist is provided to assist search committee members with the steps involved in the EPA search process. **See Attachment B.**

III. Creating the Job Advertisement and Recruitment Plan

The search committee must prepare and/or review a detailed job announcement containing minimum and preferred qualifications. The committee should develop objective selection criteria based on the position requirements. The search committee should discuss timelines for the search, including the initial review date, interview schedules, and target dates for submitting hiring recommendations.

All position descriptions must include the following statements:

Appalachian State University is an Affirmative Action/Equal Opportunity Employer.

Individuals with disabilities desiring accommodations in the application process should contact *[insert name of search committee chair and email/telephone contact information]*.

Proper documentation of identity and employability will be required before the hiring process can be finalized.

Any offer of employment to a successful candidate will be conditioned upon the University's receipt of a satisfactory criminal background report.

Search committees may want to consider including one of the following statements as well:

Appalachian State University has a strong commitment to the principles of diversity and inclusion, and to maintaining working and learning environments that are free of all forms of discrimination.

In support of its commitment to inclusive excellence through diversity and equity, Appalachian State University strongly encourages applications from women, minorities, veterans, individuals with disabilities and members of other underrepresented groups.

Job advertisements should also include a statement regarding the date that review of complete applications will begin: **“Review of complete applications will begin on [insert date] and will continue until the position is filled.”**

For assistance with preparing faculty job announcements, please refer to the memorandum and template from the Provost and Executive Vice Chancellor. **See Attachment C.**

For assistance with preparing job announcements for other EPA positions, please contact the director of compliance or a designee.

In order to comply with our AA/EEO recruitment and hiring goals and obligations, it is imperative that search committees create recruitment plans designed to broaden the applicant pools of qualified individuals and attract individuals from groups that are underrepresented at Appalachian. And it is critical that we have accurate records that document these efforts. Search committees should devote some meeting time to brainstorming about possible outlets for recruitment – national publications, regional publications, professional journals and newsletters, e-mail lists, contacts at Historically Black Colleges and Universities and other institutions that serve groups who are underrepresented at Appalachian, institutions that enroll significant numbers of doctoral and terminal degree students from underrepresented groups, and contacts at other institutions in the USA and abroad. For information on possible recruitment outlets, please review the recruitment resource list on the compliance web site (<http://edc.appstate.edu/recruitment-resources>).

After the search committee formulates the position announcement and the recruitment plan, the chair must complete and sign the “EPA Job Announcement Form and Recruitment Plan” (Form 1). **See Attachment D.** Please complete fully the Recruitment Plan Section of Form 1, and attach additional pages as needed. Form 1 must be reviewed and signed by the department chair/director, the dean (if applicable), the director of compliance, and finally the vice chancellor or designee. The director of human resource services also must approve all research and instructional positions, as well as positions for senior academic and administrative officers (“SAAOs”).¹ After all signatures have been obtained, the vice chancellor’s office forwards a signed copy to the search committee chair and EDC.

¹ Senior Academic and Administrative Officers (“SAAOs”) are academic and administrative officials exempt from the State Personnel Act (“SPA”) who are identified by express statutory reference (president, vice presidents, chancellors, and vice chancellors) and by action of the Board of Governors pursuant to generic statutory reference (presidential “professional staff members” and “senior academic and administrative officers” of the constituent institutions). The Board of Governors has further defined “senior academic and administrative officers” to include (1) vice chancellors, provosts, deans, and directors of major educational and public service activities; (2) associate and assistant vice chancellors, and associate and assistant deans; and (3) specific positions as may be designated by the president, subject to confirmation by the board.

This form must be completed, signed, and returned to the search committee chair prior to advertising the position.

IV. Advertising the Position

Upon receiving an approved copy of Form 1, the search committee may post the job advertisement. EDC automatically posts all EPA job announcements in three (3) online locations: Appalachian HRS site, The Chronicle of Higher Education, and the North Carolina Employment Security Commission. The university pays for these advertisements; all other advertising costs must be covered by the unit, department or college that is conducting the search. After the search committee obtains all approvals for a job announcement on Form 1, please send an electronic copy of the job announcement to EDC (edc@appstate.edu) for posting. Generally, the position will be posted within two (2) days of receipt of the job announcement.

Print ads for faculty positions are no longer required when seeking labor certification applications for university professors. However, if the search committee would like a print advertisement placed in the Chronicle, please forward the advertisement to EDC and EDC will place the ad. A template for faculty print advertisements is available on the forms page of the compliance web site:

<http://edc.appstate.edu/epa-recruitment-and-selection-forms>.

Hiring departments should keep one copy of all advertisements for each position filled. Retain these documents in an easily accessible location; copies of these advertisements are required when processing employment documents for international hires.

V. Reviewing Applications and Communicating with Applicants

It is required that the search committee discuss and agree upon a list of criteria for the position. All members must review all applications, and document their assessment using the criteria. All members will submit their documentation to the search chair upon completion of the search, along with all other written materials related to the search. Most search committees find it useful to use an excel spreadsheet or rubric.

Applicants generally are instructed to send applications directly to the search committee chair or a search committee designee. Upon receiving a complete application, the search committee chair is responsible for sending the applicant an acknowledgment letter along with a request that the applicant complete an “Affirmative Action Data Request Form” (“AA Form”) located on the EDC web site at: <http://edc.appstate.edu/epa-hiring/epa-hiring-policies-and-procedures/forms/affirmative-action-data-request-form>. **See Attachment E.** The letter should 1) include a reference to the position number of the position to be filled and 2) advise applicants that submission of the AA Form to EDC is voluntary and the information will be kept separate from their applications.

Category A: Members of the chancellor’s professional staff (e.g., assistant to the chancellor, legal staff, secretary of the university).

Category B: Those responsible for the administrative direction of separately designated divisions or departments of institutional activity commonly associated with institutions of higher education (e.g., director of administrative computing, director of alumni affairs, director of human resources, director of development, controller/comptroller, etc.). The specific positions to be included in this category will be established by the Board of Governors upon the recommendation of the president.

Category C: Those positions whose primary responsibility is to attract external funds and/or to market the university.

Category D: Other officers holding positions characterized by:

- active, continuing involvement in formulating, interpreting, and implementing institutional policy as it relates to the respective areas of responsibility; and
- the exercise of substantial independence of administrative authority and discretion in areas such as program planning and design and allocation of resources.

Confidentiality must be maintained throughout the search process, including, but not limited to, the identity of applicants, submitted application materials, reference checks, interviews, committee discussions and deliberations, short list determinations, and final offers. Information gathered during the search process may not be shared with others in the department or unit who do not serve on the search committee without written permission from the applicants. Search committee members should not engage in discussions about the applicants or the submitted application materials outside the confines of a search committee meeting – the only legally- privileged setting for discussion of confidential information related to a search.

While interviewing applicants at professional conferences, members of a search committee may not engage in evaluative conversations with one another about the applicants. Rather, search committee members should record their impressions, observations, and assessments about the applicants, and share this information at the next search committee meeting. As the *Faculty Handbook* requires all search committee meetings to take place on campus, professional conferences may not serve as a meeting place for search committees.

Should a search committee wish to share application materials with others who are not on the search committee, e.g., faculty in a department, the search committee chair must obtain written permission from the applicants before the materials can be shared.

VI. Reference Checks and Telephone Interviews

After the search committee narrows the field of viable candidates who may be considered for on-campus interviews, the search committee chair should contact each candidate concerning the following items: 1) inform the candidate that he/she remains under consideration and ascertain whether the candidate is still interested in the position; and 2) inform the candidate that the committee will be calling both the indicated references and non-indicated references which may include the candidate's immediate supervisor. The chair must receive written permission from the candidate to call indicated references, non-indicated references, and the candidate's immediate supervisor. This may be accomplished via e-mail or fax. On occasion, individuals may refuse to give a reference without a written release from the applicant. In situations where a reference requires a written release before providing information, the chair of the search committee may contact the applicant and request a written release. A sample release is attached for your use. **See Attachment F.**

The committee should identify members who will conduct the reference checks and create a list of questions to ensure equity and consistency. Questions must be related to the qualifications and responsibilities advertised in the position vacancy announcement. A list of permissible and impermissible topics is attached. **See Attachment G.** Each member of the committee should call approximately one-half of the indicated and non-indicated references for one or two candidates. All answers should be recorded in writing and archived with the search committee materials at the end of the search.

Reference information is confidential and should not be shared with anyone other than the members of the search committee. A summary of reference information may be provided to others, e.g., faculty in a department, but the summary should not attribute any comments to a particular referee.

Prior to or after conducting reference checks, search committees may choose to conduct phone interviews or video conferences. Adding this step may provide the search committee with valuable information that will assist the committee in narrowing its final pool of candidates for on-campus interviews.

VII. Creating the Interview List

When the field of candidates has been narrowed to the number of candidates who will be invited for an on-campus interview, the search committee chair must complete an “Interim EPA Recruitment Report” (Form 2a) **before** scheduling interviews. **See Attachment H.** The form must be completed fully and approved by the director of compliance or a designee. The purpose of this form is to provide information regarding which applicants have been eliminated from consideration and the reasons behind the decisions. The information will help us determine the degree to which we are attracting a diverse applicant pool, and ensure that we are eliminating applicants from further consideration based on objective, nondiscriminatory factors. The information from the AA Forms will be used by EDC to complete Form 2b and the Applicant Flow Form, and to evaluate the effectiveness of the recruitment process. The information from the AA Forms regarding individual applicants cannot be shared with the search committee. However, a summary of the data from the AA Forms will be available to the search committee. Candidates should not be invited for interviews until the search committee chair receives a copy of the approved Form 2 from EDC.

VIII. On-Campus Interviewing

Develop an interview schedule that follows a consistent format for each candidate and ensures an equitable process. Identify all individuals and groups who will be involved in the on-campus interviews. Schedule the campus visit and provide all interested campus individuals and groups with a copy of the interview schedule and background information about the candidate. The search committee may seek feedback from non-committee members who participate in the on-campus interviews, and it is recommended that the committee provide a feedback sheet for this purpose. The written comments should be considered at the next search committee meeting and be added to the search committee file.

IX. Selecting the Final Candidate

After all candidates have been interviewed, the search committee must meet to deliberate and vote on the candidates who will be recommended for hire. The voting must be done in accordance with *Robert’s Rules of Order* and all votes recorded in writing. The following suggestions are offered to assist with the voting process:

- The name of only one candidate may be moved in a single motion.
- The chair of the search committee or the EOA counts the votes and reports the results to the committee.
- A simple majority vote (or a seventy-five percent (75%) vote by DPCs as required by the *Faculty Handbook*) will send a candidate’s name to the hiring administrator.

- A non-binding straw vote by secret ballot may be helpful when seeking focus or consensus prior to any official vote.
- Official votes are final and binding.
- All written ballots must be retained by the chair and placed in sealed envelopes – one envelope for each candidate vote.

When the search committee has concluded its deliberations and is ready to make its recommendation(s), the chair must complete a separate “EPA Compliance Report” (Form 3) for **each** person recommended, along with supporting documentation, and send the reports to the applicable administrators. **See Attachment I.** The recommendations of the committee may be listed in priority order, but neither the individual recommendations nor the order in which they are listed is binding on the hiring administrator.

When a search recommends the hiring of an international candidate who is not a citizen or permanent resident, the chair of the search committee must complete additional paperwork and submit a report to the Office of International Education and Development (OIED). This report must be delivered to OIED prior to the preparation of a contract letter of offer to an international candidate. For more information, please contact the Director of International Student and Scholar Services in OIED.

When hiring is approved, it is the responsibility of the chancellor, the provost, or the appropriate vice chancellor to issue the contract and to receive the signed contract.

After the offer has been accepted, the search committee chair notifies all other applicants that the position has been filled. EDC should be notified by e-mail (edc@appstate.edu) that the position has been filled or that the search has failed.

X. Documenting the Search

The search committee file must be retained for three (3) years after the search has ended. After a search has been concluded, the chair of the search committee must gather all materials related to the search and forward the materials to University Archives and Records for storage. Applicable forms are found on the university’s electronic forms page under “University Archives and Records” as well as on the compliance web site (<http://edc.appstate.edu/epa-hiring-policies-and-procedures/archiving-search-materials>).

The search committee file should include, but not be limited to, the following documents: a list of members of the search committee, the job announcement, a list of applicants, all applications and supporting materials, correspondence, notes of committee members, lists of interview questions, rating sheets and/or lists of criteria, reference checks, records of votes, and the list of candidates recommended for hire.

Thank you for taking the time to review this material. Please do not hesitate to contact EDC if you have questions or need further information.

ATTACHMENT A

Policy for Requesting a Waiver of EPA Recruitment Procedures

Appalachian State University Office of Equity, Diversity and Compliance

The university is committed to equal employment opportunity and affirmative action practices and principles, and hires without regard to race, color, age, sex, creed, religion, national origin, political affiliation, disability, sexual orientation, gender identity and expression, veteran status or genetic information. Consistent with these principles, the university has established procedures for recruiting and hiring EPA faculty and administrators that are designed to increase our applicant pools and attract interest from diverse, qualified individuals.

Generally EPA positions are filled through external national searches that incorporate a comprehensive recruitment plan in accordance with the Recruitment and Selection Procedures for EPA Faculty and Administrators issued by the Office of Equity, Diversity and Compliance. However, there may be situations where the needs and goals of the university require a temporary or permanent waiver of the EPA recruitment procedures in order to fill an EPA position. These situations might include the following:

1. There is insufficient time to conduct a full, competitive search, and the hiring administrator can identify a pool of one or more qualified candidates.
2. The hiring administrator wishes to make an interim academic or administrative appointment for a finite period while a full search is conducted.
3. Hiring is needed to fill unanticipated openings or vacancies, including, but not limited to, grant positions, post-doctoral positions, and those resulting from leaves of absence, medical emergencies, deaths or resignations.
4. Administrators seek to hire faculty or EPA administrators to fill part-time, temporary or time- limited positions including, but not limited to, assistant deans, associate deans, and directors of administrative units.
5. The hiring administrator wishes to make an exceptional hire where the university has the opportunity to hire someone with outstanding skills and experience along with the one or more of the following factors: 1) experience working with diverse populations; 2) academic scholarship; 3) teaching; 4) exceptional achievements; 5) outstanding leadership and service; or 6) other special talents so as to confer a distinct benefit to the institution's mission.

All requests for a waiver of EPA recruitment procedures must be pre-approved by the appropriate vice chancellor. The hiring administrator then must complete a **Request for Waiver of EPA Recruitment Procedures** with written justification that explains the legitimate nondiscriminatory reasons for such a waiver. Where a request is made for a temporary waiver, the appointment will be made for one year with an opportunity to renew the waiver for an additional one-year period. The Request for Waiver must be approved by the department chair/director, dean (if applicable), director of compliance or designee, and appropriate vice chancellor.

ATTACHMENT A
Request for Waiver of Recruitment for EPA Position
Appalachian State University
Office of Equity, Diversity and Compliance

1. Department/Unit: _____ School/College: _____
2. Position title: _____ (attach the job description and required qualifications)
3. Is this a new position? Yes No (if yes, provide copy of position approval) Position Number: _____
4. EPA category of position:
 Tenure-Track Appointment Professional, without Academic Rank
 Temporary Appointment – One Year Non-Tenure-Track Faculty
 EPA Administrative
5. Name of person recommended: _____ Salary: _____
(please attach current curriculum vitae/resume of candidate)
Is the candidate a current employee? Yes No
If yes, department: _____ Title: _____
6. Effective dates of appointment: From _____ To _____ or At-Will Employment _____
7. Indicate recruitment action taken to identify candidate:
 Identified through another search Referral
 Other (specify): _____
8. Attach a Letter of Justification. Describe how the request is consistent with the Policy for Requesting a Waiver of EPA Recruitment Procedures.

The request and justification must contain sufficient information to demonstrate that the appointment of the candidate is based on legitimate, nondiscriminatory reasons.

Approved by:

Department Chair/Director: _____ Date _____

Dean (if applicable): _____ Date _____

Director of Compliance: _____ Date _____

Vice Chancellor: _____ Date _____

ATTACHMENT B

Search Committee Checklist

Appalachian State University Office of Equity, Diversity and Compliance

Organizing the Committee

- Charge to search committee by the hiring official or his/her designee
- Appointment/election/recognition of search committee chair
- Establish search committee meeting schedule
- Identify tasks to be completed by the search committee
- Identify the person(s) responsible for documenting search committee meetings, votes, etc

Position Description

- Develop or review a position description with the department/unit head and all members of the search committee
- Ensure position description contains only job-related criteria; identify essential functions of the position as well as required and preferred qualifications
- Review and address AA/EEO policies, procedures and forms
 - Review advertisement language, sources, and posting information
 - Ensure inclusion of AA/EEO statements in all postings; all job advertisements must contain the following: “Appalachian State University is an Affirmative Action/Equal Opportunity Employer”
 - Identify outreach strategies to locate and encourage underrepresented persons to apply and develop comprehensive recruitment plan designed to broaden the applicant pool

Organizing the Search

- Develop timelines for search, including initial review date, interview schedule, and target dates for submitting hiring recommendations
- Complete “[EPA Job Description Form and Recruitment Plan](#)” (Attachment D) and submit for approvals *This form must be completed and signed prior to advertising the position.*
- Post the job advertisement
- Send an electronic copy to EDC (edc@appstate.edu) for posting on three (3) web sites
- Determine if interview will occur at professional conferences; review confidentiality requirement for conference interviews

Communicating with Applicants

- Send a Letter of Acknowledgment to all applicants and ask them to complete the on-line “[Affirmative Action Data Request Form](#)” located on the EDC web site; advise that completion of the form is voluntary and the form will be kept separate from application materials

Reviewing Applications

- Develop criteria and create evaluation sheet
- Review materials submitted by the applicants

Checking References

- Identify persons to conduct telephone and written reference checks
- Determine the questions to be asked each reference; all references should be asked the same questions, allowing for individualized follow-up questions as needed
- Chair of the search committee must obtain permission from each candidate to contact indicated references, non-indicated references, and direct supervisors, if applicable; obtain written permission to share applicant files with department faculty and others, if applicable

- Select candidates to be interviewed
- Complete the “[Interim EPA Recruitment Report](#)” and “[Applicant Flow Form](#)” (Attachment H). EDC will complete the AA/EEO information on the Applicant Flow Form
The search committee may not contact semi-finalists until the director of compliance has approved and returned the Interim EPA Recruitment Report.

Conducting Interviews

- Design the interview process and campus visit with AA/EEO principles in mind; review list of permissible topics for discussion during interviews and social time with candidates
- Identify all persons and groups to be involved in the interview process
- Develop specific job-related questions to ask each candidate; all candidates should be asked the same questions, allowing for individualized follow-up questions as needed
- Collect written comments from others who interact with the candidates; retain and include in the official search file

Evaluating the Candidates

- Document all decisions, comparing credentials and qualifications of the semi-finalists and those who did not receive further consideration
- Evaluate candidates on their qualifications and full range of strengths and contributions

Selecting the Final Candidate

- When the search committee has concluded its deliberations and is ready to make recommendation(s) to the hiring official, the chair completes a separate “[EPA Compliance Report](#)” (Attachment I) for each person recommended, along with supporting documentation, and sends the reports for approval
- When a contract is issued, it is the responsibility of the chancellor, provost, or the appropriate vice chancellor to issue the contract
- After the offer has been accepted, the search committee chair should inform the other interviewees and all other applicants that the position has been filled; notify EDC by e-mail (edc@appstate.edu) that the position has been filled or the search has failed
- After an offer of employment has been made and accepted, and prior to the beginning of employment, the chair of the search committee or the hiring authority is required to obtain the candidate’s consent to conduct a criminal background check using the approved form from HRS. The authorization forms are provided at the following link: <http://www.hrs.appstate.edu/announcements/26>

Documenting the Search

- Gather all search committee materials and forward the materials to the Office of Archives and Records; the file should include, but not be limited to, the following: a list of members on the search committee, the job announcement, all applications and supporting materials, a copy of all completed and approved EEO forms, correspondence, notes of committee members, lists of interview questions, reference checks, rating sheets and/or lists of criteria, records of votes, and the list of candidates recommended for hire

09/2011

ATTACHMENT C

MEMORANDUM

TO: Deans and Department Chairs

FROM: Lori S. Gonzalez
Provost and Executive Vice Chancellor

DATE: February 2012

SUBJECT: Template for Advertising Faculty Positions

Attached is a sample template for advertising faculty positions. The idea for providing such a template emerged from observations by deans and other administrators that Appalachian's advertisements have been inconsistent and sometimes inaccurate in their descriptions of the university and of faculty responsibilities. Departments are not obligated to use the exact wording of this template, but they are responsible for including the items listed below, unless the appropriate dean approves an exception. Deans' offices are expected to monitor the quality of the ads and the inclusion of the required items.

1. The department or area in which the position is located
2. The nature of the position (e.g., nine-month tenure-track)
3. Proposed rank or range of ranks
4. Beginning date of appointment
5. Minimum and preferred qualifications
6. Duties outside classroom teaching, generally including but not limited to
 - a. Scholarship or creative activity
 - b. Service
 - c. Advising
 - d. Curriculum development
 - e. On-line instruction and/or instruction at off-campus sites
7. An accurate description of the department and university (or links to appropriate web sites)
8. Specific contents of application
9. Person and address to whom application should be sent (specify whether materials may be submitted electronically)
10. Initial date for review of complete applications
11. The following AA/EEO statement: "Appalachian State University is an Affirmative Action/Equal Opportunity Employer. The university has a strong commitment to the principles of diversity and inclusion, and to maintaining working and learning environments that are free of all forms of discrimination."
12. The following additional statements are required: "Individuals with disabilities may request accommodations in the application process by contacting [search committee chair]. Any offer of employment to a successful candidate will be conditioned upon the University's receipt of a satisfactory criminal background report. Documentation of identity and employability of the applicant will be required before the hiring process can be finalized."

Template for Tenure-Track Job Description

The Department of *[insert name]* at Appalachian State University invites applications for a tenure-track nine-month faculty position at the rank of *[insert rank(s)]* beginning *[insert date]*. The requirements for the position are a Ph.D. in *[insert appropriate field(s)]* or a closely related field and *[if applicable, indicate any area of specialization required and minimum number of semesters of teaching experience required]*. Candidates who are ABD will be considered, but the position requires completion of all doctoral requirements in *[insert discipline]* by *[insert date]*. Instructional duties will include *[insert duties]*. Faculty members are expected to maintain an active program of scholarship as well as participate in service activities.

[Insert description of the department including a brief description of programs, number of faculty members, and number of majors and graduate students.]

Appalachian State University is a member institution of the sixteen-campus University of North Carolina. Located in Boone, North Carolina, the university has approximately 17,000 students, primarily in bachelors and masters programs in both liberal arts and applied fields. Appalachian has both a traditional residential campus and a variety of distance education programs. Additional information about the *[insert department name]*, the university, and the surrounding area is located at: *[URL]*

Applicants must send a complete application consisting of *[insert application components]*. Applications should be sent to *[insert postal or electronic address information]*. The initial review of complete applications will begin *[insert date]* and will continue until the position is filled.

Appalachian State University is an Affirmative Action/Equal Opportunity Employer. The university has a strong commitment to the principles of diversity and inclusion, and to maintaining working and learning environments that are free of all forms of discrimination.

Individuals with disabilities may request accommodations in the application process by contacting *[insert search committee chair]*. Any offer of employment to a successful candidate will be conditioned upon the University's receipt of a satisfactory criminal background report. Documentation of identity and employability of the applicant will be required before the hiring process can be finalized.

Sample Print Advertisement for Faculty Positions

The Department of *[insert name]* at Appalachian State University invites applications for a tenure-track nine-month faculty position at the rank of *[insert rank(s)]* beginning *[insert date]*. The requirements for the position are a Ph.D. in *[insert appropriate field(s)]* or a closely related field and *[if applicable, indicate any area of specialization required and minimum number of semesters of teaching experience required]*. Candidates who are ABD will be considered, but the position requires completion of all doctoral requirements in *[insert discipline]* by *[insert date]*. Instructional duties will include *[insert duties]*. Faculty members are expected to maintain an active program of scholarship as well as participate in service activities.

Applicants must send a complete application consisting of *[insert application requirements]* to:

[insert name of search committee chair]

Appalachian State University

Department of *[insert]*

ASU Box *[insert]*

Boone, NC 28608-2115

Electronic applications *[will or will not]* be accepted. *[If electronic applications are acceptable, provide format requirements, e.g., pdf only, and e-mail addresses.]* Review of complete applications will begin on *[insert date]*, and continue until the position is filled.

Any offer of employment to a successful candidate will be conditioned upon the University's receipt of a satisfactory criminal background report.

AA/EEO Employer

For more information, please visit

<http://www.hrs.appstate.edu/employment/epa-jobs/academic-affairs>

ATTACHMENT D

EPA Job Announcement Form and Recruitment Plan

**Appalachian State University
Office of Equity, Diversity & Compliance**

Form 1

This form is to be completed prior to advertising for a vacant or newly created EPA position. A copy of this signed form must be sent to the department chair/director, dean (if applicable), director of compliance or a designee, and vice chancellor or designee for their approval. Please note that the position is not to be advertised until the search committee chair receives her/his copy which has been signed by all the appropriate persons. Add additional pages as needed.

1. Department: _____ Position Number: _____
Position Title: _____ Suggested Salary Range: _____

EPA Category Administrator Tenured/Tenure-Track Faculty
(Check one) Professional, without Non-Tenure-Track Faculty
Academic Rank

Initial Review Date: _____ Proposed Date of Hire: _____

2. **Recruitment Plan**

a. Publications/Electronic Media List (List serves etc.)

Keep copies of all advertisements, or proof of payment, used in the search and attach to the final compliance report (Form 3) at the end of the search.

Names of Publications/List serves:

The university automatically posts EPA job announcements in the following three (3) online locations: Appalachian HRS, The Chronicle of Higher Education and the North Carolina Employment Security Commission.

List all other publications/list serves utilized:

Print ads for faculty positions are no longer required when seeking labor certification applications for university professors. However, if the search committee would like a print advertisement placed in the Chronicle of Higher Education, please forward the advertisement to edc@appstate.edu, and EDC will place the ad.

Name of person to whom the invoice should be sent:

b. Indicate organizations or associations within a discipline or special contacts to whom recruitment letters will be sent.

Person/Organization:

c. Conference recruitment will occur at:

Conference Location Date(s) University Representative

d. Attach an outline of all efforts that will be made to locate and recruit underrepresented populations.

3. Search Committee Chair:

Chair: _____
Name

4. Please attach advertisements.

I CERTIFY THAT THE ABOVE INFORMATION IS ACCURATE.

Search Committee Chair _____ Date _____

Approved by:

1. Dept. Chair/Director _____ Date _____

2. Dean (if applicable) _____ Date _____

3. Director of HRS (if applicable) _____ Date _____

4. Director of Compliance _____ Date _____

5. Vice Chancellor or designee _____ Date _____

Appalachian State University
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An Affirmative Action/Equal Opportunity Employer

This form may be accessed and submitted electronically at:
<http://edc.appstate.edu/epa-hiring/affirmative-action-data-request-form>

ATTACHMENT E

Affirmative Action Data Request Form

**Appalachian State University
Office of Equity, Diversity and Compliance
Boone, North Carolina 28608
828.262.2144**

Thank you for your interest in a position opening at Appalachian State University. We would appreciate your assistance by providing the information requested on this form. The university is subject to certain governmental recordkeeping and reporting requirements for the administration of civil rights laws and regulations. In order to comply with these laws, the university invites applicants to voluntarily self-identify their race, ethnicity and sex. Submission of this information is voluntary and refusal to provide it will not subject you to any adverse treatment. The information obtained will be kept confidential and may only be used in accordance with the provisions of applicable laws, executive orders, and regulations, including those that require the information to be summarized and reported to the federal government for civil rights enforcement. When reported, data will not identify any specific individual. Although completion of this form is voluntary, the information you provide is vital to the university's compliance with applicable AA/EEO laws and university policies. The information also assists the university with its ongoing efforts and commitment to providing equal employment opportunities and increasing diversity in the workplace. This document and the information provided will be maintained separate and apart from your application. Thank you for your cooperation.

Position Applied For _____
(Department or Area) (Title) (Position Number)

Name _____
(Last) (First) (M.I.)

How did you find out about this position opening?

- ASU Employment Web Site Employment Security Commission Chronicle of Higher Education
 Professional Organization

Other _____

Sex: _____

Ethnicity:

Are you Hispanic or Latino – A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race?

- No
 Yes

Race (Please select **one** or **more** of the five race categories listed below):

_____ White – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

_____ Black or African-American – A person having origins in any of the black racial groups of Africa.

_____ Asian – A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand or Vietnam.

_____ American Indian or Alaskan Native – A person having origins in any of the original peoples of North and South America (including Central America), who maintains tribal affiliation or community attachment.

_____ Native Hawaiian or Other Pacific Islander – A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Please mail, FAX, e-mail or submit electronically.

Office of Equity, Diversity and Compliance
123 I. G. Greer Hall
ASU Box 32053
Appalachian State University
Boone, North Carolina 28608
FAX: 828.262.6646
E-mail: edc@appstate.edu
Web: www.edc.appstate.edu

Appalachian State University
A member institution of The University of North Carolina
An Affirmative Action/Equal Opportunity Employer

06/2011

ATTACHMENT F

Form Release to be Signed by Persons Concerning Whom References Will be Contacted:

To whom it may concern:

I have applied for employment with Appalachian State University (the "University"), and I have authorized the University to obtain from my current and former employers, colleagues, and educational institutions I have attended, information that might bear on my qualifications and fitness for employment. Such information might include information on (but would not be limited to) quality of work, relationships with co-workers and supervisors, work attitude, productivity, and trustworthiness.

I hereby request and authorize you, as a current or former employer, colleague, or educational institution, or as an agent or employee of a current or former employer, or educational institution, to provide to the University, in writing or orally, all such information about me as the University may request, and I release the University and you from and hold you and the University harmless for any and all liability arising out of or related to the provision or the University's use of such information. Further, I authorize the University to maintain as confidential any letter of reference you may provide and any notes of your oral statements of reference. Finally, I irrevocably waive any right I might have, pursuant to law or otherwise, to review or to be apprised of the contents of such references, written or oral.

Printed Name

Signature

Date

ATTACHMENT G
Interview Guidelines
Appalachian State University
Office of Equity, Diversity and Compliance

ITEM	IMPERMISSIBLE INQUIRIES	PERMISSIBLE INQUIRIES
AGE	Age, birth certificate. Federal law prohibits discrimination on the basis of age over 40. Inquiries as to date of high school or college graduation.	Whether candidate meets minimum or maximum age requirement that is a bona fide occupational qualification, such as for police officer or firefighter.
ALCOHOL OR DRUG USE	Alcoholism is a covered disability under the ADA. Current users/abusers of illegal drugs are not protected under the ADA.	None.
ARREST RECORD	Any inquiry relating to arrest.	None.
CITIZENSHIP	It is an unfair employment practice to discriminate on the basis of citizenship. The law does not protect unauthorized aliens. It protects citizens and intending citizens, which includes aliens who are lawful permanent residents, as well as temporary residents under the amnesty program who complete a declaration of intention to become citizens. It is not an unfair employment practice for an employer to prefer to hire a citizen or national of the U.S. over another individual who is an alien if the two individuals are equally qualified for the job (8 USC 1324b).	Whether candidate is legally eligible to work in the U.S.
CONVICTION RECORD	Inquiries relating to convictions that do not relate to the job in question.	Inquiries about convictions that reasonably relate to performing the job in question. Consider both nature and number of convictions, facts surrounding each offense, the job-relatedness of each conviction and the length of time since conviction, plus applicant's employment history since conviction.
CREDIT RATING	Inquiries relating to credit history or credit rating that do not relate to the job in question.	Inquiries about credit history that relate to the job in question.
DISABILITIES	In general, the employer may not ask disability-related questions at the pre-offer stage.	Questions about the applicant's ability to perform specific job functions, with or without reasonable accommodations.

ITEM	IMPERMISSIBLE INQUIRIES	PERMISSIBLE INQUIRIES
EDUCATION	Degree status or level of education unless employer has proven that the specific degree is the only way to measure a candidate's ability to perform the job in question.	Inquiries regarding degrees or equivalent experience. Information regarding courses relevant to a particular job.
GENETIC INFORMATION	Information about an individual's genetic tests, information about the genetic tests of a family member, family medical history, requests for, and receipt of, genetic services by an individual or family member.	None
HEIGHT OR WEIGHT REQUIREMENTS	Height or weight requirements not related to job.	Height or weight requirements necessary for the job.
MARITAL AND FAMILY STATUS	Childcare issues or problems, marital status, number and/or ages of children or dependents, pregnancy, medical history of pregnancy, future child bearing plans, support orders, schooling, name, address or employment status of spouse etc.	Questions about whether candidate can meet work schedule. Ask of both sexes.
MILITARY SERVICE	Under federal law, federal contractors may only invite veterans to self-identify if it is in connection with an affirmative action effort. Preferring applicants with honorable discharge rather than dishonorable discharge may be race discrimination under the adverse impact theory. Federal law protects against discrimination on the basis of military service. However, a less than honorable discharge can be the basis for denial of reemployment. Cannot ask about military convictions, unless job related.	Type of experience or education in military as it relates to job.
NAME	Inquiries to determine national origin, ancestry, or prior marital status.	Whether candidate has ever worked under a different name.
NATIONAL ORIGIN	Lineage, ancestry, descent, mother tongue, birthplace, citizenship. National origin of spouse or parents. Refusal to hire because of a foreign accent or lack of facility with English could be construed as national origin discrimination. Individuals must be able to communicate well enough to perform the job.	Whether candidate is legally eligible to work in the U.S.
ORGANIZATIONAL AFFILIATIONS	All not related to professional discipline	Inquiry into candidate's membership in organizations which are job related.
PERSONAL APPEARANCE	Questions about the person's appearance or making unnecessary comments on personal appearance.	Okay to state guidelines for on- the-job dress code that serves a reasonable business purpose, and to advise of ASU rules regarding standards of appearance or dress to prevent a danger to the health, welfare, or safety of employees or others.

ITEM	IMPERMISSIBLE INQUIRIES	PERMISSIBLE INQUIRIES
POLITICAL AFFILIATION	Questions regarding the applicant's past or present political affiliation or lack of political affiliation.	None.
RACE, COLOR or ETHNICITY	Complexion or color of skin; ethnic background or ancestry.	None.
RELIGION	Religious preference, affiliation, or practice; church membership or place of worship.	Whether applicant can meet work schedule with reasonable accommodation if necessary.
SEX	Sex of applicant, where sex is not a bona fide occupational qualification (BFOQ).	Sex of applicant where BFOQ exists, such as actor or actress.
SEXUAL ORIENTATION	Questions about the person's sexual orientation, partner or living arrangements.	None (in accordance with ASU nondiscrimination policy).
UNION AFFILIATION	The Labor Management Relations Act makes it illegal for employers to discriminate on the basis of union membership.	None.

08/2012

ATTACHMENT H
Interim EPA Recruitment Report
Appalachian State University
Office of Equity, Diversity and Compliance

Form 2a

1. Department/Unit _____ 2. College/School/Division _____

3. Title and Position Number _____

4. EPA category of position (Check one only)

- Administrator Tenured/Tenure-Track Faculty
 Professional, without Academic Rank Non-Tenure-Track Faculty

5. Total number of applications received _____ 6. Number excluded from further consideration _____

7. Application Flow: _____ Check to indicate that Applicant Flow Form is attached.

Using the Applicant Flow Form, provide the name and application date of each applicant. Specify the disposition for each applicant by indicating the corresponding code from the applicant disposition codes listed on the Applicant Flow Form.

8. List all candidates still under consideration. _____ Check here if additional list is attached.
(i.e., candidates on the short list)

Current Employer Indicate if current Appalachian Employee (specify the following: SPA/EPA, department and position title)

(check box if inviting for on-campus interview)

Name:

- | | | |
|----------|-------|--------------------------|
| 1. _____ | _____ | <input type="checkbox"/> |
| 2. _____ | _____ | <input type="checkbox"/> |
| 3. _____ | _____ | <input type="checkbox"/> |
| 4. _____ | _____ | <input type="checkbox"/> |
| 5. _____ | _____ | <input type="checkbox"/> |
| 6. _____ | _____ | <input type="checkbox"/> |
| 7. _____ | _____ | <input type="checkbox"/> |
| 8. _____ | _____ | <input type="checkbox"/> |

9. By signing, we certify that the information provided above and on the Applicant Flow Form is accurate. Furthermore, we understand that no candidates may be interviewed until this form is approved by the director of compliance.

Search Committee Chair

Date

Director of Compliance

Date

Approved form will be returned to the search committee chair by EDC.

06/2012

Form 2b

Applicant Flow Form

Appalachian State University
Office of Equity, Diversity and Compliance

Department: _____
Title and Position #: _____

Race/Ethnicity Codes:

- 1) White
- 2) Black or African-American
- 3) Hispanic or Latino
- 4) Asian
- 5) American Indian or Alaskan Native
- 6) Native Hawaiian or Other Pacific Islander
- 7) Two or More Races

Sex Codes:

- 1) Male
- 2) Female
- 3) Unknown

Disposition:

- 1) Still under consideration
- 2) No longer under consideration
(provide explanation)

Reasons:

- 1) Accepted another position
- 2) Did not meet advertised qualifications
- 3) Incomplete or late application
- 4) Issue with preliminary interview
- 5) Not enough related experience
- 6) Unavailable for interview
- 7) Unsatisfactory reference check
- 8) Withdrew candidacy
- 9) Not as strong as chosen finalists (explain)
- 10) Other (explain)

* Data will be filled in by the Office of EDC.

Applicant Name	File Start Date	Application Complete Date	AA Data form received *	Race *	Sex *	Disposition	Explanation if no longer being considered (see reasons above)
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							

Director of Compliance _____ Date _____

*The Office of EDC will complete and retain the Applicant Flow Form.

ATTACHMENT I

EPA Compliance Report (request for approval to make verbal offer)

**Appalachian State University
Office of Equity, Diversity and Compliance**

Form 3

This form is to be used for each recommendation for each EPA appointment. Copies of this Compliance Report are routed to the chairperson/director, dean (if applicable), director of compliance and vice chancellor (or chancellor). Please note that the position is not to be offered until the applicable administrator receives her/his copy, which has been signed by all the appropriate persons. Attach additional pages, if necessary.

Department Name:
Position Title:

Position Number
Salary:

Final Statistical Description of Applicant Pool (*email request to: edc@appstate.edu) in Office of EDC for this information):

Total number of applications received: Total number of candidates interviewed:

	White	Black/ African American	Hispanic/ Latino	Asian	American Indian / Alaskan Native	Native Hawaiian / Other Pacific Islander	Two or More Races	Un- known	Total
Males									
Females									
Sex unknown									
Totals of all applicants									

Candidate Recommended: (Please provide a short paragraph in support of the recommendation for hire and list the rationale for recommending this candidate.)

Name:

Short Paragraph:

Description of other candidates interviewed:

Date	Applicant's Name

***Attach copies of all advertisements used in the search. If the candidate is a foreign national, please contact the Director of Student and Scholar Services in OIED**

ALL new hires must complete an I-9 form.

Search Committee Chair _____ Date _____

Approved by:

1. Dept. Chair/Director _____ Date _____

2. Dean (if applicable) _____ Date _____

3. Director of Compliance _____ Date _____

4. Vice Chancellor or designee _____ Date _____

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09/2011