

To: Deans, Directors and Chairs - Norman Campus

From: Nancy L. Mergler, Senior Vice President and Provost

Date: September 9, 2009

Subject: Recruiting Procedures for Ranked Faculty (Assistant, Associate, Professor)
2009-2010

Attached for your information are the University's current recruiting procedures for **tenure, tenure-track or renewable term** faculty at the rank of assistant professor, associate professor or professor. As we recruit faculty during 2009-2010, I encourage your efforts to recruit minorities and women in keeping with our strategic planning goals to ensure a diverse workforce. Your recruiting efforts in 2008-2009 have, so far, resulted in the appointment of a total of 51 ranked faculty including the 27 women/minority faculty, or 53 percent of the regular faculty positions successfully recruited. The Provost, deans and chairs/directors have a continuing responsibility to build the diversity of our university faculty.

- During the FY10 academic year a presidential approved freeze form is required before opening a faculty search.
- **All official offers for permanent faculty positions can only be made by the Senior Vice President and Provost.** If a department wishes to indicate the terms of an offer in writing, it should be clearly stated that it is a recommendation to the Senior Vice President and Provost, who will make the official offer, and that all offers are contingent upon approval by the University of Oklahoma Board of Regents.
- See minimum faculty salaries link at:
www.ou.edu/provost/pronew/content/Minimum-faculty-Salaries-8-1-08.pdf
- Departments are asked to **reimburse travel expenses** for the faculty candidate using the State of Oklahoma travel voucher form.
- If your offer includes **reimbursement of moving expenses**, please follow the policies and procedures outlined in the relocation policy, see www.ou.edu/aa/moving.htm. For additional information see <http://www.ou.edu/purchasing/home/contracts/services.htm#relocation> or contact Mr. Mark Keesee in Purchasing, 325-8519. Moving vendors and procedures are updated occasionally; please check the websites for the most current information.

As we recruit new faculty, I also wish to call your attention to the attached University policy (page 11) regarding faculty who are being recommended for initial appointment with tenure. These procedures also are described in the annual "Call for Tenure and Promotion Recommendations" letter.

The faculty recruiting procedures outlined on the attached pages are necessary for compliance with Office of Equal Opportunity requirements as well as current lecture-interview and appointment procedures. It is the responsibility of the chairs/directors to coordinate Points 2 and Points 7-17 with the Office of Equal Opportunity and to be familiar with the procedures concerning the interview and appointment process.

Questions regarding reimbursement of travel should be addressed directly to the appropriate dean. If you have any questions about the equal opportunity procedures described, please contact Ms. Cindy Cash in the Provost's Office or the Office of Equal Opportunity. Thank you for your assistance in continuing to recruit outstanding faculty to the University of Oklahoma.

NLM/crc

Attachments

cc: President David L. Boren
Assistant to the Provost, Mechelle Gibson
Equal Opportunity Officer, Shad Satterthwaite
Director, Academic Personnel and Financial Operations, Cindy Cash
International Faculty/Staff Advisor, Olga Baumgardner

Checklist for Faculty Recruiting

Provost:

- 1) OU Freeze Exemption Form
- 2) Financial Planning Schedule to Recruit for an Endowed Faculty Position form (if applicable)
- 3) Prepare job description to be used in national advertisement
- 4) Request for an Academic Position Hire
- 5) Request for Permission to Recruit for Tenure, Tenure-Track or Renewable Term Faculty Position (see minimum faculty salaries letter).
- 6) For endowed chair searches, Provost attends first meeting of search committee
- 7) For endowed chair searches, the chair sends the Provost a vita of individual that search committee recommends; Provost obtains President=s approval

Office of Equal Opportunity:

- 8) EO initial meeting with search committee chair and approval of advertisement. EO will assist posting advertisement to JOBS.OU.EDU.
- 9) List of search committee members
- 10) List of advertisement sources used and outreach efforts for minorities and women
- 11) Screening criteria for first and second screening
- 12) As applications are received chair should assign a number and send a business reply mail postcard to each applicant
- 13) After the initial screen process, notify the EO of how many applications were received for the position by sending a list of the applicants' names and ID numbers. This will constitute the initial pool
- 14) The chair should provide EO with a list of assigned ID numbers of those persons who meet the first screening criteria, this will constitute the qualified pool
- 15) EO will send the chair a report on the race and gender make-up of the initial and qualified pools; if the qualified pool is judged to be not representative, the chair should provide the EO with a statement regarding efforts made to create a representative pool
- 16) The chair should provide EO with a list of assigned ID numbers of those persons who meet the second screening criteria, this will constitute the screened applicant pool
- 17) The chair should provide EO with a list of assigned ID numbers of those persons who will constitute the interview application pool
- 18) Chair should send EO the assigned ID number of individual to be recommended for appointment and answer under-utilization questions, if applicable
- 19) The search committee chair or proxy should notify HR at 325-1826 or ohr@ou.edu when they want the position to be put on hold
- 20) EO will certify the search process and send a certification to the chair and Provost=s Office

Dean:

- 21) Recommendations for appointment should be forward to the dean who, will submit the College=s Recommendation form for Tenure, Tenure Track or Renewable Term Appointment to the Senior Vice President and Provost with the personnel action form, faculty vita, paperwork to secure a visa (if applicable), and any other relevant correspondence to the offer
- 22) Official offer letter will be sent by Senior Vice President and Provost
- 23) Acceptance of offer will be copied to the dean and to the chair/director and placed on the next University of Oklahoma Board of Regents agenda

2009-2010
NATIONAL RECRUITING PROCEDURES
for
FACULTY AND ACADEMIC ADMINISTRATORS

1. **Vacancy:**

Prior to advertising or recruiting for any faculty or academic administrator position (new/vacant), it is the responsibility of the dean to request approval from the Senior Vice President and Provost (see attached "Request" form). There must be recurring funds (E&G or endowment) identified that are sufficient to meet the salary range at which the vacancy will be advertised. National searches are to be conducted for tenure, tenure-track, and renewable term faculty at the rank of assistant professor, associate professor and professor and academic administrators unless exceptions are approved in advance by the Office of Equal Opportunity and Office of the Senior Vice President and Provost. **(See Policy on Internal Searches, page 9)**. If the Senior Vice President and Provost approves recruiting for the position, the dean and the Office of Equal Opportunity will be notified. The dean will in turn notify the chair/director that approval has been granted.

2. **Initial Meeting:**

Upon being notified of a vacancy, the Office of Equal Opportunity will initiate a meeting with the search committee chair to review procedures. At this time, the Office of Equal Opportunity will assign an identification number to the vacancy that should be used when corresponding with the Office of Equal Opportunity.

3. **Search Committee:**

A. Endowed Chairs and Professorships - Prior to initiating external search procedures for any endowed chair or professorship, the dean should meet with the Senior Vice President and Provost to discuss the budgetary considerations related to the search. The Financial Planning Schedule to Recruit an Endowed Faculty Position form should be completed and forwarded to the Provost's Office. The President, with advice and counsel of the provost, dean and department head, will appoint a search committee and provide the Office of Equal Opportunity with the members' names and/or that of the person responsible for coordinating the search. Search committees for occupants of endowed chairs and professorships shall be composed of (1) two faculty members from the academic unit concerned, (2) two outside individuals distinguished within the relevant area and appointed by the President, and (3) either the dean of the relevant college or a faculty member appointed by that dean. (The University of Oklahoma Board of Regents prefer and expect the dean to serve on the search committees for occupants of endowed chairs.) At least one member will be from outside the University and at least one member from another college. The President and Senior Vice President and Provost **will attend** the initial meeting of the search committee. The Senior Vice President and Provost, after consultation with the search committee, makes a final recommendation to the President. The President may approve and forward the appointment to the University of Oklahoma Board of Regents or may reject it and request further searching.

- B. Chairs and Directors** - Prior to initiating search and nomination procedures for department chair, the faculty of the department should meet with the dean of the college to discuss the needs and expectations of the department as they relate to the appointment of a new chair, the role of the chair, and the type of search (i.e., internal or national) which will most likely assure that an appropriate candidate is recommended, and to discuss any budgetary considerations related to the search and appointment of a new chair. Subsequently, the faculty will recommend to the dean whether the search should be internal or national. If the dean does not concur with the department faculty's recommendation, the dean will meet with the department's faculty to discuss reasons for disagreement. However, the dean's decision will be final and must be consistent with the University's Equal Opportunity policies. For national searches, a search committee will be formed consisting of elected departmental faculty members, one or two students reflecting undergraduate majors and graduate students to the extent appropriate, and members appointed by the dean, including one current department chair. Elected departmental faculty shall constitute the majority. The search committee will review applications and, in consultation with the department faculty, will recommend to the dean the candidates for on-campus visits. After the campus visits, both the search committee and the faculty will rank the acceptable candidates and recommend them to the dean. The dean will forward his/her recommendation to the Senior Vice President and Provost. The campus Senior Vice President and Provost will approve all appointments of department chairs prior to submission to the President's Office and the University of Oklahoma Board of Regents.
- C. Other Faculty** - It is the responsibility of the chair/director in consultation with the dean of the college to form the search committee. The search committee should reflect diversity by race and gender. It is the expectation of the Provost's Office that all search committees include at least one member from outside the academic unit. At the time of the initial meeting, the search committee chair should provide the Office of Equal Opportunity with the names of search committee members and/or the person responsible for coordinating the search.

4. Advertising:

It is highly recommended that the job description/advertisement appear in print in at least one publication, which is a requirement for internationals applying for green cards. At the time of the initial meeting, the search committee chair should provide the Office of Equal Opportunity with a draft of the job description/advertisement. The Office of Equal Opportunity will then review the job description/advertisement by the criteria in the attached guidelines and send the search committee a response identifying the minimum and preferred qualifications. The Office of Equal Opportunity is to be notified in writing of any advertising and outreach efforts made to create an applicant pool.

OU campuses will be listing their regular faculty job searches on JOBS.OU.EDU. The recruiting system can now accommodate faculty recruiting for all three OU campuses at no additional cost. The chair should send a final advertisement version to the Office of Equal Opportunity. Once approved, the chair will receive a Quick Link that could be used in other ads or on the unit/college website. Application material will continue to be sent directly to the search committee address. The search committee chair or proxy should notify HR at 325-1826 or ohr@ou.edu when they want the position to be put on hold. The Provost Office will notify HR of hire when the offer letter is sent to the candidate.

5. **First Screening:**

In this step, only the presence or absence of those qualities expressed as required in the job description is established for each applicant to determine which applicants are and which are not qualified. The search committee chair should send the Office of Equal Opportunity a memo outlining this process before the first screening date or the date set to begin reviewing applications. For those required qualities for which screening criteria are obvious (the presence or absence of a Ph.D., the presence or absence of teaching experience, etc.), the memo need only cite that these were applied uniformly to all applicants. For those required qualities for which screening criteria are not obvious ("potential for productive research," "ability to provide dynamic leadership," "Ph.D. or equivalent experience," etc.), the memo should cite specifically how the presence or absence of these qualities will be measured.

6. **Second Screening:**

In this step, qualitative judgments are made on the required qualifications, and any preferred qualifications also are taken into consideration. The search committee chair should send the Office of Equal Opportunity a memo outlining this process before the application deadline date or the date set to begin reviewing applications. This should include any weighting/ranking systems that are devised, and any internal forms developed to aid the search committee in its screening procedure should be attached. If there were any qualities in the job description that were defined preferred (as opposed to required), the memo should indicate the criteria to be used in measuring these (see Point 5 where this was described for the required qualifications).

7. **Initial Applicant Pool:**

As applications are received, the search committee chair should (a) have each application assigned a number to use for identification of that applicant when corresponding with the Office of Equal Opportunity and (b) send a business reply mail postcard to each applicant for the position. The search committee chair should notify the Office of Equal Opportunity of how many applications were received for the position by sending a list of the applicants' names and identification numbers. The Office of Equal Opportunity will send the search committee chair a report on the make-up of the initial applicant pool after the cards are received and tabulated.

8. **Qualified Applicant Pool:**

The search committee chair should provide the Office of Equal Opportunity with a list of the assigned identification numbers of those persons who will constitute the qualified applicant pool. The Office of Equal Opportunity will send the search committee chair a report on the race and gender make-up of the qualified applicant pool.

9. **Representativeness of Qualified Applicant Pool:**

Before the screening process can continue beyond Point 8, the search committee chair should receive from the Office of Equal Opportunity a statement as to whether the qualified applicant pool was judged to be representative. Representativeness will be determined by data on race and gender in the Office of Equal Opportunity files developed by or in conjunction with the department/school. If the qualified applicant pool is judged to

be not representative, the search committee chair should provide the Office of Equal Opportunity with a statement that (a) an affirmative effort (documented) was made and a representative qualified applicant pool could not be produced or (b) the search will be extended.

Search committees are encouraged to make an affirmative effort to strongly consider minorities or women already in the applicant pool by contacting the Office of Equal Opportunity for assistance in identifying such candidates.

10. Screened Qualified Pool:

If the qualified pool is narrowed down to a smaller pool to help determine who will be invited for an interview, the search committee chair will send the Office of Equal Opportunity a list of those individuals.

11. Interviewed Applicant Pool:

When the screening process is completed, the dean will send the candidate an invitation to lecture/interview with a copy to the chair. In addition, the search committee chair will send the Office of Equal Opportunity a list of the assigned identification numbers of those persons to be invited for lecture/interview. The Office of Equal Opportunity will send the search committee chair a report on the make-up of the interviewed applicant pool.

NOTE: An interview with the Senior Vice President and Provost (or his/her designee) should be arranged for candidates for departmental chairs or directors and for distinguished professorships or endowed chairs.

12. Reimbursement of Lecture/Interview Expenses:

The candidate should be asked to send an itemized expense account to the chair/director. This must bear the candidate's Social Security Number. Receipts for expenses other than meals are required. Requests for reimbursement should be sent to the dean's office, where they will be checked for allowable expenses before requesting that a check be issued to the candidate. Usually two or three weeks are required for the processing of checks, and the chair/director should so inform the candidate during his or her visit. Departments are asked to reimburse travel expenses to the candidate using the State of Oklahoma travel voucher form instead of the University's honorarium form. In this way, the reimbursement is not reported to the Internal Revenue Service as income to the candidate. If you have questions about this, please contact Mechelle Gibson.

NOTE: The candidate cannot legally be authorized to charge any expenses to the department/college. Except for airline tickets, all expenses should be paid by the candidate, who should then claim reimbursement in the statement of expenses. Departments may purchase airline tickets for candidates in advance by requisition to the Purchasing Department and charging the amount to the departmental account. This method will help defray the cost the candidate must bear until reimbursements are made. In many instances, the departments may be able to find less expensive airfares for their candidates. The airfare is the only expense that can be handled in this manner.

Expenses for car rentals, toll road fees, long-distance telephone calls, and bar bills will not

be honored. When a candidate is entertained for a meal by a faculty group, only the candidate's meal is to be charged to the candidate's expenses. The expenses of others involved must be handled separately. The department/college cannot pay the travel expenses of a spouse or other dependent of the candidate with state funds. Only travel within the United States will be reimbursed.

13. Recommendation for Appointment:

Before the recommendation(s) for appointment is (are) made, the search committee chair should send the Office of Equal Opportunity a list of the assigned identification number(s) of the individual(s) to be recommended for appointment as well as answers to the following questions:

- A. Will this appointment improve the under-utilization of women and/or minorities in the University?
- B. If not, what are the specific reasons that such an appointment could not be made?

The Office of Equal Opportunity will send the search committee chair a report on the race and gender makeup of the person(s) recommended.

If the initial offer for an appointment is not accepted, this step should be repeated for any and all subsequent offers.

Recommendations for **regular faculty appointment** should be forward to the dean who, in turn, will transmit them to the Senior Vice President and Provost.

Recommendations for **regular faculty appointment with tenure** should include the letters of recommendation received by the search committee. Each academic unit and college may stipulate what additional information, if any, beyond the standard materials compiled by the search committee, to include in a recommendation, should be forwarded to the dean, who, in turn, will transmit them to the Senior Vice President and Provost.

All commitments for start-up support (including offices responsible for the commitment) should be detailed in writing.

14. Certification of Search Process:

Once all of the above steps have been completed satisfactorily, the Office of Equal Opportunity will certify the search process. This certification will be sent to the search committee chair as well as to the Provost's Office.

15. Letters of Offer:

Only the Senior Vice President and Provost is authorized to make official offers for the University. No offer will be extended by the Senior Vice President and Provost until the Office of Equal Opportunity certifies that the above process is satisfactorily completed. If the report from the Office of Equal Opportunity is negative, the offer of appointment will be held in the Provost's Office until the Office of Equal Opportunity has certified to a satisfactory process. **The dean will forward his/her recommendation to the Senior Vice President and Provost** with the Personnel Action Form, vita, and other supporting materials. (The College=s Recommendation form should be used to submit the dean=s

recommendation.)

16. Acceptance of Offer:

Copies of the candidate's written response to the offer of appointment will be sent to the dean and to the chair/director.

If the offer is accepted, the Provost's Office will either arrange to have the appointment placed on the next University of Oklahoma Board of Regents agenda for action or process it directly to Payroll. No appointment is official until it has received approval by the Senior Vice President and Provost and by the University of Oklahoma Board of Regents in accordance with the prevailing policy of the University of Oklahoma Board of Regents. All regular faculty appointments (tenure, tenure-track, and renewable term at the ranks of Assistant, Associate, and Professor), and all other renewable term faculty appointments (lecturers, instructors) require Regents' approval. After Regents' approval, a contract letter is mailed to the new faculty member. If University of Oklahoma Board of Regents' action is not required, the Senior Vice President and Provost will mail a notice of appointment letter to the new faculty member.

IMPORTANT NOTE: Academic units/search committees are required to maintain all records of the search process (including all application materials) for a minimum of three years from the date an appointment is finalized.

HIRING OF FACULTY MEMBERS WHO ARE NOT UNITED STATES CITIZENS

At the request of the United States Bureau of Citizenship and Immigration Services (formerly Immigration and Naturalization Service), we have centralized all University contacts with the BCIS concerning faculty and staff. Routine contacts are handled by Ms. Olga Baumgardner, International Faculty/Staff Advisor (NEL 205, phone 325-4010). Responsibility for coordinating with the Office of Legal Counsel rests with Associate Provost Greg Heiser.

Criteria for noncitizens in the candidate pool should be identical to those for citizen candidates. Any concerns about visas or other immigration issues that arise for a noncitizen candidate will be handled by the above offices and should not be raised with the candidate or otherwise considered during the search, except that clearance to work in the United States may be noted as a requirement of the position.

Whenever you are considering recommending a faculty appointment (either tenure-track or non-tenure-track) for a noncitizen, please contact Ms. Baumgardner before you make any commitments and as much in advance as possible to discuss the situation and to determine the best way to proceed. The complexity of immigration laws and the uniqueness of each situation require individual review before any commitments are made to the prospective faculty member about what the University can do to assist with immigration and naturalization matters.

We will do everything we can to help. Immigration law and BCIS agency procedures are complex and rapidly changing. Because of this and the special circumstances of each case, it is crucial for any new international appointee to contact Ms. Baumgardner and provide all requested information and documents promptly. The University will be responsible for its legal duties as an employer, but in all cases the basic responsibility for complying with immigration laws must rest with the individual to whom the offer is being made. The University will help in any way it can and will work carefully to see that we as an institution carry out our responsibilities in accordance with the law. This is essential if we are to continue to be able to secure truly outstanding faculty.

REQUIREMENTS FOR TEMPORARY APPOINTMENTS

It is University policy that all employment appointments regardless of classification, rank, or tenure of appointment follow a University approved and published appointment procedure. The options for all faculty appointments (other than promotions) are only two: (1) the National Recruitment Procedure itself (Section 3, pages 10-11 of the 2009 Affirmative Action Plan) and (2) the Acting, Interim, and Other Temporary Appointments Policy (which follows below in this memo).

The National Recruitment Procedure should be used for continuing tenure, tenure-track, and renewable term appointments. The Acting, Interim, and Other Temporary Appointments Policy that follows should be used for temporary, non-tenure-track, and non-ranked renewable term appointments (such as those of instructors; lecturers; research associates, research professors, and visiting, acting, and adjunct faculty) and for temporary administrative appointments (such as interim dean, acting chair, and interim director). Any temporary appointment must be made for a specific and limited time. In addition, any such appointments should be made without regard to race, color, national origin, sex, age, religion, disability, or status as a veteran.

Temporary appointments should be made according to the guidelines below (except for staff appointments less than 90 calendar days*):

*Employment of staff persons for less than 90 calendar days does not have to be listed with the Office of Human Resources but should be coordinated with them for determining an appropriate compensation level.

An acting, interim, visiting, non-ranked (lecturer, instructor) renewable term or other temporary appointment may be made (as opposed to tenure-track; tenure; or ranked, renewable term faculty appointments), if one of the following five conditions is met:

1. There is not enough time for a search before classes meet.
2. The appointment is for a short period of time, ordinarily no longer than a year, and repeated temporary reappointments are usually not expected. Some lecturers or instructors have renewable terms for up to 5 years.
3. The purpose is to fill a temporary vacancy because of leaves of absence, terminations, or other reasons.
4. The appointment is a special one designed to bring a distinguished individual with special expertise to the campus, ordinarily for only a semester or year.
5. A search was conducted and no candidate for a continuous appointment was found.

The responsibility for recommending an individual to the President and the University of Oklahoma Board of Regents through the usual channels to fill a position on a temporary basis is the responsibility of the officer or authority in the University with the direct responsibility for supervising the position to be filled. The appointing officer should consider as wide a range of candidates as possible and appropriate to the anticipated period of temporary service, taking into consideration the immediate complexities of the tasks involved and the time available to make a decision. The selection process should basically follow the appropriate employment procedure, either the University's Staffing Plan or the National Recruitment Procedure. External advertising and monitoring by Personnel Services or the Office of Equal Opportunity is not required. Internal notification to prospective applicants is expected.

If an individual filling a regular position on a temporary basis under this policy is a candidate for the position, he or she shall be subject to the same processes and reviews that are applied to other candidates for the position. If a search (either under the University's Staffing Plan or the National Recruitment Procedure) was conducted, and a person from the qualified pool is chosen on an interim basis, that person may be reappointed to the regular position at a later date without an additional search.

POLICY ON INTERNAL SEARCHES

To the extent that budgetary constraints have allowed, the University policy has consistently been to engage in national searches for academic officers (deans, associate/assistant deans) of the University. While internal promotions have been made in this category, it has been with the knowledge that it was an exception to our usual procedure. Some examples of exceptions are internal promotions made from among eligible faculty who would retain their faculty status while concurrently serving in an academic administration role on a part-time basis, reorganization that eliminates the former position of the person selected, and targeted internal promotion to appoint a minority or woman as an academic administrator, etc.

Whenever an internal search is being considered for associate/assistant deans or endowed chairs, the dean of the college should send a formal request to the Senior Vice President and Provost. The request for internal search must contain the following information in a cover memo with the Request for Permission to Recruit form:

1. Description of the duties of the position including whether it is part-time or full-time.
2. Minimum qualifications required to be eligible for consideration.
3. Brief description of the screening and selection process including criteria for screening.
4. Justification for the internal search: this should include the reasons for not conducting a national search; the impact on minority/women recruiting; the track-record of the college/unit on recruiting minority/women; and any data to support the internal search, such as OU and national data on eligible minority/women applicants, etc.
5. A copy of the position description that will be sent to all faculty who may be interested.

**POLICY ON FACULTY TO BE RECOMMENDED FOR
TENURE UPON INITIAL APPOINTMENT**

Academic units should work with the deans to notify them as expeditiously as possible of faculty being recommended for tenure upon initial appointment. The normal routing procedure is:

- A. Faculty or Search Committee
- B. Departmental Committee A (if applicable)
- C. Chair/Director
- D. College Committee A (if applicable)
- E. Dean=s Advisory Committee (if applicable)
- F. Dean
- G. Senior Vice President and Provost
- H. President
- I. University of Oklahoma Board of Regents

The materials forwarded to the Senior Vice President and Provost for such appointments should include all letters of recommendation information secured during the search process. To the extent possible, there should be evidence of effective teaching and evaluations from external distinguished individuals qualified to evaluate the candidate's research, scholarship, and creative activities. Each academic unit and college may stipulate what additional information, if any, beyond the standard materials compiled by the search committee, to include in a recommendation to appoint with tenure. All such materials, in addition to the letters of recommendations, should be forwarded to the dean, who, in turn, will transmit them to the Senior Vice President and Provost.

The dean is responsible for ensuring that the search procedure produces the information required an informed decision to appoint with tenure. As with other tenure recommendations, the Senior Vice President and Provost can go back to a unit for additional information about faculty being recommended for tenure with initial appointment.