

1. GENERAL

- 1.01 This revised policy statement incorporates the provisions of Academic Policy Statement 810729, Affirmative Action Procedures for Filling Faculty Positions, which has been rescinded.

2. INSTRUCTIONAL STAFFING

- 2.01 The University assumes responsibility for instructional staffing, and it is expected that all instructional personnel shall be employed in accord with the procedures established in this policy.
- 2.02 Instructional personnel are defined to include those persons who are employed principally to perform instructional duties, i.e., classroom teaching and the directing of research.

3. COMMITMENT TO AFFIRMATIVE ACTION

- 3.01 The overall responsibility for the implementation and administration of Affirmative Action Plans is included in the job duties of the President of Sam Houston State University. As the chief administrator, the President has delegated to the vice presidents, deans, directors, department chairs, the authority and responsibility for carrying out affirmative action plans and procedures at each corresponding level. Each of these individuals is expected to put forth a good faith effort to ensure the success of this plan, and each will be evaluated as to their affirmative action efforts and results on the same basis as other work performance criteria.
- 3.02 For purposes of clarification, the term "academic administrative unit" and herein also referred to as "academic unit" and "hiring unit" is:
- a. an academic department, the administrator of which is a chair; or
 - b. the Newton Gresham Library, the administrator of which is a director.

A chair reports to the Vice President for Academic Affairs through the appropriate academic dean; the Library Director reports directly to the Vice President for Academic Affairs.

- 3.03 Sam Houston State University, as part of its Affirmative Action Plan, is committed to a vigorous recruitment and selection system to ensure the consideration of minority candidates for each vacant faculty, assistant instructor, and laboratory assistant position. It is expected that the recruitment and selection system will be rigorously followed at all levels of employment.
- 3.04 Notices of faculty vacancies are to be sent to predominantly minority institutions. Whenever possible, recruiting visits are to be made to such minority institutions by the appropriate academic personnel. Minority news media and minority publications are to be notified of the faculty vacancy to the fullest extent possible. It is expected that every possible consideration will be given to attracting and selecting qualified minority candidates.

4. POSITION ALLOWANCE

- 4.01 A position allowance is defined as an authorized allocation for faculty staffing which provides the basis for the assignment of instructional personnel to academic program areas of the University.

5. TYPES OF POSITION ALLOWANCES

- 5.01 Each position allowance shall be categorized as either a tenured position, a tenure track position, or a term position.
- 5.02 A tenured position is one in which the occupant holds tenure as a member of the faculty of the University in accord with established tenure policy.
- 5.03 A tenure track position is one in which the occupant is expected to progress toward a tenure decision in accord with established University policy.
- 5.04 A term position is one which is allocated to an instructional program on a term basis, i.e., for one or more semesters or during a summer on either a part- or full-time basis. The University makes no commitment to either a faculty member or to an administrative unit regarding the future of a term position allowance beyond the specified period.

6. ALLOCATION PROCESS FOR POSITION ALLOWANCES

- 6.01 During the preliminary budget request (PBR) cycle each fall semester, each academic dean/director is asked to develop and present to the Vice President for Academic Affairs (VPAA) a statement of position allowance needs for the subsequent academic year.
- a. This statement shall be presented in accord with instructions included as a part of the PBR cycle.
 - b. The statement shall address the number of position allowances required for tenured faculty, the number required for tenure track faculty, and the number requested for term appointments.
- 6.02 On the basis of this compilation of data, the VPAA shall review all requests for positions, whether for new positions or reallocations of existing positions, and shall develop recommendations concerning position allowances which shall be forwarded to the President of the University no later than the conclusion of the fall semester.
- 6.03 The President of the University shall make the final decision regarding the allocation of position allowances and shall inform the VPAA as early as possible in the spring semester so that a maximum amount of time can be utilized for program planning and the associated recruitment of personnel.
- 6.04 Generally, it may be assumed that the number of position allowances for tenured and tenure track positions shall be reaffirmed annually, provided that the occupants of these positions do not change. However, the number of tenured or tenure track positions assigned to an academic unit may be subject to a review at any time.
- 6.05 As a matter of policy, at any time a tenured or tenure track position is vacated, it ceases to exist. It may not be recruited for or filled until the status of the position is confirmed to the appropriate academic dean/director by the VPAA.
- 6.06 A term position is authorized for a specific period of time only, not to exceed one academic year. It is subject to reallocation.

7. FACTORS INFLUENCING THE ALLOCATION OF POSITION ALLOWANCES

- 7.01 The criteria which shall influence the assignment of position allowances among the academic units include:
- a. the number of full-time equivalent (FTE) position allowances presently assigned to the program;
 - b. the student/teacher ratio, as applicable, in that particular program;
 - c. the current role and scope of the program;
 - d. the projected goals and objectives established for the program in the academic master plan of the University;
 - e. the degree and course inventory approved for the program by the Coordinating Board, Texas College and University System;
 - f. data for the most recent five-year period reflecting the number of majors associated with the program, the semester credit hour productivity for each of the five years; and degree production during each of the five years;
 - g. the cost of instruction associated with the revenue generated on the basis of the state formula rate.

8. RECRUITMENT FOR POSITION ALLOWANCES

- 8.01 Once a position allowance has been officially allocated to an academic unit, recruitment for filling the position shall begin.
- 8.02 Complete Personnel Requisition Form SHSU P-001F (see Attachment 1) to include the job requirements.

In Section A, complete appropriate items.

In Section B, indicate the lowest educational and experience levels to be considered, followed by the preferred levels.

In Section C, information should include the proposed number of semester credit hours to be taught, course title(s), and a short description of the course(s).

Section D requires the signature of the chair, the appropriate dean/director, and the Vice President for Academic Affairs.

- 8.03 The personnel representative will secure AA/EEO compliance approval of the University Affirmative Action Officer in order to ensure that the faculty job vacancy is posted and publicized in accordance with University policy.

It is the responsibility of the administrator of the hiring unit to ensure that, as a minimum, all faculty vacancies are posted in the *Chronicle of Higher Education* or a comparable professional journal (see Section 10).

A Purchase Requisition is required for each publication in which the ad will appear and must be approved before the ad is placed. A copy of the ad will be attached for approval. A requisition is not necessary if the ad is run at "no charge." In addition, if an announcement is to be sent to other colleges, universities, or agencies for posting, a copy of the announcement should be included. If Sam Houston University Press is to print an announcement for posting, an Interdepartmental Order must be included as part of the necessary paperwork. A University Publication Approval Form also must be completed and accompany requests for all work to be done on Purchase Requisitions or Interdepartmental Orders.

- 8.04 When the administrator of the hiring unit has forwarded the Personnel Requisition, professional journal listing, Purchase Requisition, and University Publication Approval Form, a copy of the posting will be returned to the hiring unit indicating that the requisition process has been initiated. All job announcements will request that applications be sent to the hiring unit.
- 8.05 All full-time and part-time faculty vacancies will also be posted in a designated area in each department for at least five working days prior to filling a faculty vacancy. During this five-day period, any interim faculty member may apply (see Section 10).

- 8.06 To encourage and facilitate upward movement of faculty, when an opening occurs and a current interim faculty member within the hiring department is imminently qualified by virtue of experience, education, and other established criteria, the posting period may be waived with the joint approval of the Vice President for Academic Affairs and the University Affirmative Action Officer.
- 8.07 Except in cases of bona fide emergency a faculty position vacancy will be advertised locally, statewide, and nationally for a period of forty-five (45) days. Advertisement takes place throughout the appropriate media. It is policy to advertise the position through professional journals, through professional organizations, and through notices to graduate schools producing specialties in the area of the vacancy (see Section 10).
- 8.08 An individual expressing an interest in employment is expected to complete an application form and to furnish official transcript(s) of all academic work. An Applicant Statistical Data Sheet (Attachment 2) should also be submitted (see paragraph 11.03). Applicants deemed to be best qualified for the position are to be interviewed by the administrator of the Sam Houston State University hiring unit and, ordinarily, by senior faculty members within the hiring unit. Utilization of search and screen committees in the selection process of new faculty appointments is encouraged. It is the responsibility of the administrator of the hiring unit to recommend through channels the priority list of the candidates deemed to be best qualified. It is expected that every possible consideration is to be given to attracting and selecting qualified minority candidates.
- 8.09 Criteria for selection from among the applicants include: competitive quality of academic transcripts; recommendations from prior employers; the caliber of previous academic and nonacademic work experience; established record of or potential for research publications or creative activity; and the alignment of the expertise possessed by the applicant with that required of the position.

9. HIRING PROCESSES

- 9.01 The hiring unit will notify the Department of Human Resources as soon as it is determined that a sufficient number of applicants has been secured. The job will be placed in a "hold" status and advertising discontinued for that position.

Additional applicants should not be considered unless the job is reopened with proper administrative approvals.

- 9.02 From each applicant, the hiring unit will request pertinent, job related information, (e.g., vitas, copies of research, teaching evaluations, compositions, and references). Using an initial screening device (see attachment), the hiring unit will evaluate each candidate and may choose to invite one or more applicants to provide additional job-related information or to visit the campus for a more detailed interview. During the campus interview the candidates may meet with the departmental chair and faculty, make a professional presentation, and be personally evaluated with respect to the posted job requirements. The hiring unit will develop job-related interview questions to be asked of all candidates during the interview. Questions and answers are to be recorded and maintained.
- 9.03 Once a priority list has been established, the administrator of the hiring unit presents a written recommendation through channels for the employment of the preferred candidate. Along with a proposed rank, salary level, and recommendation for years transferred for tenure purposes, the file will contain an SHSU faculty application, official transcripts, at least three letters of recommendation, the evaluation tool, criteria for ranking candidates, and the interview questions and answers. If the dean concurs, his/her written recommendation, along with the entire file, is forwarded to the Vice President for Academic Affairs.

The Office of the Provost and Vice President for Academic Affairs, prior to an official offer to an applicant, will ensure AA/EEO compliance in the hiring procedure by reviewing the evaluation tool that shows how the candidate compared to the requirements for the position, the criteria used in the evaluation, and the interview questions and answers. Upon favorable recommendation of the Vice President for Academic Affairs and the subsequent concurrence of the President, a letter of offer for the position will be issued to the successful candidate by the President with appropriate notification to the administrators involved.

- 9.04 When a signed response from the potential faculty member accepting the employment offer is received by the President, the position is considered to be filled.

Appointments to the faculty must be approved by the Board of Regents, The Texas State University System.

- 9.05 Each office within the recruiting/hiring function is expected to be prepared to offer cogent reasons with appropriate documentation for the endorsement or non-endorsement of preferred candidates.
 - 9.06 Upon request, all applications for a faculty position may be examined by the appropriate academic dean, the Vice President for Academic Affairs, or the President.
 - 9.07 It is the prerogative of the academic dean, the Vice President for Academic Affairs, or the President to request a reconsideration of the recommendation for employment if it is judged that a well-qualified minority candidate may have been omitted.
10. APPOINTMENT OF INTERIM FACULTY MEMBERS ON AN EMERGENCY BASIS
- 10.01 As a result of the need for unique academic expertise, unexpected increases in student enrollment or other unforeseen events, it may become necessary for the University to authorize the emergency employment of interim faculty members on a semester-by-semester or summer basis. In such cases, the following procedures will apply:
 - a. Minimum required recruiting effort will be a local job posting for five (5) working days preceding the actual appointment. This requirement may be waived only under the most urgent circumstances by special permission of the Vice President for Academic Affairs.
 - b. The filling of such positions on an interim basis must be recommended by the appropriate academic dean/director and approved by the Vice President for Academic Affairs. Recommendation(s) for employment are to be accompanied by an official SHSU faculty application, official transcripts, and letters of recommendation, all of which are to be prepared and/or assembled by the hiring unit.

- c. Some academic programs may be subject to student enrollment levels which vary widely from semester to semester and which result in situations requiring additional instructional assistance on an urgent and immediate basis. Programs in this category will strive to develop a pool of highly qualified applicants which also reflects the affirmative action/equal employment goals of the University. Hiring managers will attempt to build a diverse pool of qualified applicants through contacts with nearby community colleges, files of former applicants, and local professionals. As emergency situations arise, applicants will be selected from these pools on a rotating basis and, subject to availability, be recommended for an emergency one-semester appointment. In addition, a routine posting soliciting short-term applicants may be made prior to each semester, listing the categories of instructional personnel frequently needed on an emergency basis. Such postings will clearly indicate that these positions will be filled only if enrollments dictate the need. This procedure will also assist in the development of a viable applicant pool.

10.02 When an academic unit is forced to utilize the emergency hire provisions, the hiring manager will supply the Provost and Vice President for Academic Affairs a report outlining the details of the emergency hire(s) to include reasons for the hire(s), the date the hiring manager had knowledge of the vacancy, date the request was made for an emergency hire, and what efforts were made to conduct a regular search.

11. REQUIRED APPLICANT DATA AND RECORD RETENTION

11.01 The Rules and Regulations of the Board of Regents, The Texas State University System, 1989, Chapter V, Paragraph 2.11, require that "each university shall maintain records of all information required by the Equal Employment Opportunity Commission, the Department of Education, and the Department of Labor as instructed by the General Counsel of The Texas State University System."

11.02 An individual is considered to be an "official applicant" only when an official University faculty application is received in the hiring unit.

11.03 The information requested on the Applicant Statistical Data Sheet Form E (see Attachment 2) should be submitted by the applicant directly to the Personnel Department. When this form is received in the Department of Human Resources, the data is input by the terminal operator; the data sheet is then filed in the appropriate job file if an opening exists. If there is no current opening, a departmental number is assigned for the particular discipline and it becomes a part of the faculty applicant pool.

12. RESPONSES TO FACULTY VACANCY INQUIRIES

12.01 Inquiries made in Academic Departments. When a job inquiry is made directly to the hiring unit, the action taken will be dictated by the current staffing situation (see Attachment 4).

- a. If a vacancy exists at the time of inquiry, a letter is sent by the hiring unit indicating that an enclosed application must be completed and returned to the hiring unit for consideration to be given, although applicants will be considered only for vacant positions for which they specifically apply. All applications received will be retained for record purposes by the hiring unit for 24 months.
- b. The inquirer must also be sent the Applicant Statistical Data Sheet (see Attachment 2) and requested to return the completed form to the Department of Human Resources in a separate envelope supplied by the hiring unit.
- c. If a vacancy does not exist at the time of inquiry, a letter should be sent (returning any credentials which have been received) to inform the inquirer that a vacant position does not exist at the time.

12.02 Inquiries Made In Department of Human Resources. When a job inquiry is made directly to the Department of Human Resources, the following actions will be taken:

- a. Upon receipt of a telephone inquiry concerning a faculty job vacancy, the inquirer will be requested to contact the appropriate academic unit.

- b. If a letter or other credentials are received concerning a faculty position, the Department of Human Resources will send the information to the appropriate academic unit.

13. RECRUITMENT AND HIRE OF ASSISTANT INSTRUCTORS

- 13.01 The term "Assistant Instructor" as used at Sam Houston State University indicates a graduate student who is employed on a part-time basis, usually one-quarter or one-half time, to teach laboratories and lower-division courses under the supervision of a full-time faculty member.
- 13.02 Position vacancies for Assistant Instructors are usually advertised through fliers and handbills widely distributed to other colleges and universities. Sam Houston State University, as part of its Affirmative Action Plan, vigorously advertises and seeks qualified minority applicants for Assistant Instructor positions.
- 13.03 Assistant Instructor positions are allocated by the appropriate academic dean based upon available funding. Once a preferred candidate has been selected by the hiring unit, it is the responsibility of the dean to make a written offer to the candidate. If the position is accepted, the dean will forward the entire personnel file to the Vice President for Academic Affairs. The file should contain an Application for Assistant Instructorship, official transcript(s), at least three letters of recommendation, a Payroll Action Form, and other pertinent sign-up papers as required by the Department of Human Resources.
- 13.04 The appointment of an Assistant Instructor must be approved by the Board of Regents, The Texas State University system.
- 13.05 Criteria for selection of Assistant Instructors include: undergraduate grade point average; experience; performance on the Graduate Record Examination; and letters of recommendation.
- 13.06 Assistant Instructors at Sam Houston State University are expected to be enrolled in a graduate program and must maintain a minimum 3.0 grade point average.

14. RECRUITMENT AND HIRE OF LABORATORY ASSISTANTS

- 14.0 Laboratory Assistants may be either graduate or undergraduate students. Notices are generally posted on bulletin boards to inform students of the availability of these positions.
- 14.02 Laboratory Assistants may be employed by the hiring unit by submitting a Personnel Action Form and required sign-up papers through channels to the Vice President for Academic Affairs. Stringent efforts must continue to attract and select qualified minority students for these positions.
- 14.03 Important criteria for selection of Laboratory Assistants are grade point average and academic performance.

15. PROCESSING NEW FACULTY EMPLOYEES

- 15.01 As early as possible after the employment decision has been completed and before the starting employment date, the new faculty member should meet with the appropriate personnel representative for payroll and benefits sign-up.
- 15.02 It is the responsibility of the hiring unit to inform a new employee that this is to be accomplished as early as possible.

16. ELIGIBILITY FOR PAYROLL

- 16.01 To be eligible for pay, a new employee must complete all required forms in the University Department of Human Resources at the time of being entered on the payroll. A payroll check cannot be prepared without the completion of all personnel forms.
- 16.02 It is the responsibility of the hiring unit to inform each employee of this procedure and to ascertain that the new employee is in prompt compliance.

Attachments

[\(Next\)800114 Attachment 1](#)

APPROVED: _____
James F. Gaertner, President

DATED: _____