

IOWA STATE
UNIVERSITY

ISU Hiring and Employment Guidelines

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The sections that follow apply to all Faculty, Professional and Scientific, Merit, and Post Doctoral employees at ISU.

EQUAL EMPLOYMENT OPPORTUNITY STATEMENT

Iowa State University (ISU) is committed to achieving excellence through a diverse workforce and is committed to equal opportunity in all aspects of employment for all qualified persons and prohibits discrimination on the basis of race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, pregnancy, gender identity, veteran status, military service, disability unrelated to job requirements, genetic information, or other protected status. Iowa State University is dedicated to compliance with all applicable equal employment opportunity laws and regulations.

All persons with authority and influence over personnel and employment decisions are responsible for ensuring that the personnel decisions, including but not limited to decisions regarding hiring, promotion, tenure, transfers, pay, benefits, training, education, performance, layoffs, discipline, and termination are based on the principle of equal employment opportunity.

All employment decisions shall be based on non-discriminatory, job-related qualifications and performance, using guidance and criteria provided by University Human Resources (UHR), the Office of the Senior Vice President and Provost (SVPP), and the Office of Equal Opportunity (OEO) as applicable. Employment practices will be monitored for disparate impact on any protected class.

AFFIRMATIVE ACTION POLICY

Iowa State University has committed itself to develop and implement affirmative action programs with respect to employment and to comply with all applicable federal, state, and Board of Regents' rules, regulations and policies relative to nondiscrimination.

An Affirmative Action Plan (AAP) is a tool used to identify equal employment opportunities for applicants and existing employees. To remain in compliance with U.S. federal regulations, all contractors doing business with the U.S. Federal government who meet certain employment and contract levels are required to have such a program. Using quantitative analysis, affirmative action plans compare the composition of ISU's workforce to that of relevant labor pools. When minorities and women are not employed or promoted at the rate which would be expected, considering their availability in a relevant labor pool, an affirmative action goal is identified.

Additional information can be found in Iowa State University's [Affirmative Action Policy](#).

Identified affirmative action plan goals impact employment decisions in the following ways.

- Where affirmative action goals have been identified for a given job profile or family, the appointing authority must work with an HR Service Delivery Team on any employment action to ensure positive steps are taken and documented to recruit and employ members of those groups protected by federal regulations and who are not currently adequately represented in our work force.
- A waiver, direct promotion, or internal competitive search may not proceed where underutilization goals exist within the Affirmative Action Plan job profile or job family, unless it is also approved by the OEO, Affirmative Action Officer or designee.
- External competitive recruitments for positions where underutilization exists within the Affirmative Action Plan job profile or job family, must work with a HR Service Delivery Team on creating a recruitment plan with additional outreach efforts to diversify the pool of applicants.

ROLES AND RESPONSIBILITIES

University Human Resources (UHR)

University Human Resource is responsible for the development and oversight of Professional and Scientific and Merit employment procedures and guidelines for hiring, transferring, promoting, classifying, and paying employees in accordance with the established Affirmative Action Plan, EEO guidelines, State of Iowa Board of Regent's policies, and other relevant state and federal regulations.

HR Service Delivery Team

HR Service Delivery Teams, consisting of Senior HR Partners, HR Partners, HR Coordinators and Staff Recruiting Specialists, are responsible for providing front line advice and support to senior leaders, managers, and employees. The HR Service Delivery Team is responsible for administering employment procedures and guidelines to the university community for hiring, transferring, promoting, classifying, and paying employees in accordance with established University Policy, Affirmative Action Plan, EEO guidelines, State of Iowa Board of Regent's policies, and other relevant state and federal regulations.

Provost Office

The Office of the Senior Vice President and Provost is responsible for developing academic appointment procedures and guidelines for hiring, transferring, promoting, classifying, and paying employees in accordance with the established Affirmative Action Plan, EEO guidelines, State of Iowa Board of Regent's policies, and other relevant state and federal regulations.

Office of Equal Opportunity (OEO)

The Office of Equal Opportunity (OEO) exists to ensure that the University's commitment and goals toward equal opportunity are integral components of ISU's policies and practices.

OEO is responsible for fostering an inclusive environment and setting policies and practices that create equal opportunity in employment and set standards for non-discriminatory practices. OEO strives to ensure that all university community members uphold federal, state, and campus nondiscrimination laws.

The Office of Federal Contract Compliance Programs (OFCCP) requires an affirmative action plan for any employer receiving federal money, such as grants. Employers are required to actively outreach to minorities and protected classes, and ensure non-discrimination in employment practices. An Affirmative Action Officer within the OEO will oversee compliance with the OFCCP and the development of the affirmative action plan and subsequent goals.

The OEO in partnership with University Human Resources and the Office of the Senior Vice President and Provost will evaluate employment practices in coordination with the Affirmative Action Officer for any potential impact on protected classes and recommend policy or practice revisions.

Managers and Appointing Authorities

Managers and Appointing Authorities will play an important role in administering employment decisions with consideration for the University's EEO statement and commitment to equal opportunity and non-discrimination in employment decisions. They are responsible for adhering to all relevant employment regulations, policies, practices, and guidelines in all employment actions.

It is the responsibility of the Manager and Appointing Authority to follow the policies, procedures, and guidelines set forth by UHR, SVPP, and OEO in making and administering employment decisions.

Employees

Employees are responsible to discuss with their manager or HR representative their interest in development opportunities, promotions, transfers, or raise questions about classification or pay. If employees have concerns about advice given on any of the above actions, they may seek assistance from guidance documentation associated with this policy, University Human Resources, the Office of the Senior Vice President and Provost, or other offices as outlined by the nature of their concerns (OEO, University Ombuds, etc.)

EMPLOYEE SEARCHES

In light of Iowa State University's goal to diversify its employee population, it is the university's policy that when a position is posted internally or externally, the pool of applicants for positions being filled be as broad and diverse as possible. ISU will actively engage in recruitment and selection processes for positions to attract diverse, qualified applicants to meet the unit's employment needs. Recruitment and selection activities shall be based on the position's job-related education, training, experience, knowledge, skills and abilities.

When and why to use a search

A search provides a competitive opportunity to external and internal talent at ISU. The university expects appointing authorities to strategically balance internal career paths and promotional opportunities with internal and external searches for the purpose of hiring diverse backgrounds and experience to enable the department to accomplish its mission.

Internal Competitive Search

To encourage a rewarding and productive work environment and provide current employees opportunities for growth and advancement, an appointing authority may choose to open a vacant position to internal qualified employees only.

- Openings may be available to all ISU employees; openings may not be confined to a specific division, or department.
- External recruiting may take place simultaneously to expedite the process as business needs require; in this scenario, all candidates must be given equal consideration.

As a competitive search, this would follow the same procedures and best practices for an **external search** (defined in the following section) as well as the following additional criteria:

- Posting must be open for a minimum of seven (7) calendar days, with the exception of Merit positions, which must be posted a minimum of 10 calendar days per the Regent Merit System Rules.
- In situations where an internal search is not successful, and the decision is made to post the position externally, the position must be posted for a minimum of 7 days.
- Appointing authorities or an HR Service Delivery Team should conduct internal reference checks prior to offer.

The resulting hire would be considered a competitive promotion, competitive transfer, or voluntary demotion (or for faculty, an administrative appointment).

External Competitive Search

An external search is the competitive recruitment process used to identify the best qualified candidates for a position. A search is visible to potential applicants, provides equal opportunity to applicants, and meets federal and state job listing requirements. It is also referred to as an open recruitment.

Hiring Considerations

Confidentiality

Candidate application materials are considered confidential. The hiring manager and any individuals involved in the interview process should only disclose the selected finalist(s) for searches that become public once those candidates have been notified.

Retention of Job Applications and Search Files

Hiring managers and interview teams are required to document their searches to remain in compliance with university policy and U.S. Department of Labor regulations. The employing unit must retain these documents in accordance with the [Retention of Job Applications](#) policy.

Veterans Preference and P&S Referral

Qualified applicants who have requested veteran's preference or P&S referral (see [Workforce Reorganization-P&S](#) policy) must be interviewed. The UHR Talent Acquisition Team notifies the hiring manager and HR Service Delivery Team if veteran's preference or P&S referral applies.

Pre-Employment Testing

A pre-employment "test" may not be used as a part of the screening process unless it has been validated and approved in advance by UHR and OEO. A test is any performance measure used as the sole basis for an employment decision or which by itself could preclude the hire of an individual.

Search Waiver

See Waiver of Open Recruitment Guidelines

Search Firms

Use of a search firm must be approved by UHR Talent Acquisition, in partnership with the Procurement Services Department. UHR Talent Acquisition may be able to provide search services or otherwise provide consultation on the selection and arrangement of search firms. When using a search firm, hiring managers must comply with the requirements of the following university policies:

- [Employment Verification and Background Checks](#)
- [Appointing Authority](#)
- [Procurement Authority](#)

NOTE: Use of a search firm does not negate the requirement to post positions on the university jobs website.

Search Guidelines

Hiring Manager Responsibilities

In relation to internal and external searches, the hiring manager has primary responsibility for identifying the vacancy need, outlining the work to be done, identifying the job-related criteria for screening and evaluating applicants, interviewing candidates, ensuring reference checks are conducted, and selecting the final candidate for hire. The hiring manager is also responsible for providing an excellent, professional, and consistent candidate experience.

HR Service Delivery Team

Assist the hiring manager with aligning the job profile, outlining a recruitment plan, drafting the advertisement, posting positions, screening and qualifying candidates for interview, managing candidate communications, tracking candidate status, ensuring references and background checks are conducted prior to employment.

Search Committees

Search Committees serve an important role in Faculty recruitment. See "Resource Guide for Recruiting Excellent and Diverse Faculty" at <https://www.provost.iastate.edu/administrator-resources/recruitment/guide/introduction#goals>.

P&S search committees are only recommended for positions at pay grade 38 and above. For positions at a pay grade 37 and below, it is recommended that the HR Service Delivery Team screen and evaluate candidates. Hiring managers may engage key team members when necessary to assist in interviewing.

Search committees are not recommended for Merit positions.

Job Profile and Recruitment Plan

A job profile contains job related criteria and serves as the foundation for establishing position level requirements. Recruitment plans are developed by the hiring manager in collaboration with the HR Service Delivery Team to describe the job-related special qualifications, critical behaviors, key competencies and responsibilities that inform the advertisement and subsequent assessment, evaluation, and interviews. For faculty recruitment, the search committee typically assists in this support for recruitment plans and sourcing requirements.

Recruitment Sourcing Requirements

Iowa State University values diversity and has a strong commitment to affirmative action. Recruitment sourcing is taking proactive steps to search for qualified job applicants. Employing units should work with their HR Service Delivery Team to create a recruitment strategy for external advertising to reach the broadest and most diverse pool of applicants possible. For faculty recruitment, the search committee typically assists in this support for recruitment plans and sourcing requirements.

UHR Talent Acquisition can provide additional consultation by advising HR Service Delivery Teams on recruitment resources.

Advertising Requirements

All advertisements must:

- Include the university's equal opportunity/affirmative action statement

Iowa State University is an equal opportunity/affirmative action employer. All qualified applicants will receive consideration for employment without regard to race, color, age, religion, sex, sexual orientation, gender identity, genetic information, national origin, marital status, disability, or protected veteran status and will not be discriminated against.

- Be posted for a minimum of seven (7) calendar days, with the exception of Merit positions, which must be posted a minimum of 10 calendar days per the Regent Merit System Rules
- Be posted in a manner consistent with the approved posting guidelines
- For positions posted that have affirmative action plan goals, hiring managers will work with their HR Service Delivery Team to outline and document additional outreach activities above and beyond the common standard

UHR Talent Acquisition will be responsible for managing advertising vendor relationships and integrations with Workday for all posted positions.

International – Hiring managers, in partnership with the HR Service Delivery Team, shall consult with the International Students and Scholars Office in advance of initiating recruitment activities for a position on which a labor certification might be based. Print ads and other sources of recruitment efforts may be required if the search is related to a future labor certification need.

Applicants

An applicant must submit a current, certified application and all required materials per the application instructions for each opening to be eligible for consideration.

Screening and Evaluating Candidate Applications

HR Service Delivery Teams and hiring managers are responsible as representatives of ISU to ensure an equitable and fair selection process when reviewing candidate applications. Any person screening and evaluating candidates must use a

consistent, job related screening process. Applicant materials must be evaluated against the required, special required and preferred qualifications advertised in the job posting.

Screening and Evaluating of Candidates

HR Service Delivery Teams and/or hiring managers may perform additional candidate screening through phone screens, or video calls to identify top candidates for final interviews. Screeners are to ensure an equitable and fair selection process for applicants and represent ISU as an employer by providing a professional candidate experience. Any person screening and evaluating candidates must use a consistent, job related screening process, using the key competencies and behaviors outlined in the recruitment plan. For faculty recruitment, the search committee typically assists in this support for evaluating candidates, particularly in the interview process.

Interviewing

When appropriate, hiring managers may include relevant, key team members in the interview without creating an undue burden on the interviewers and interviewees. Interviewers are to ensure an equitable and fair interview process for applicants and represent ISU as an employer by providing a professional candidate experience. For faculty recruitment, the search committee typically assists in this support for evaluating candidates, particularly in the interview process.

All questions asked of candidates being interviewed must be job-related, using the key competencies and behaviors outlined in the recruitment plan. Each candidate being interviewed shall be evaluated on the same set of interview questions.

The area HR Service Delivery Team is available to help develop interview questions and support candidate logistics for staff (for faculty recruitment, note that the logistics support is departmental support).

Reference Checks

In compliance with the [Employment Verification and Background Checks](#) policy, it is the shared responsibility of the hiring manager and the HR Service Delivery Team to ensure job-related reference information is obtained (at a minimum) for the finalist(s) for positions - including for current employees being considered. It is the responsibility of the HR Service Delivery Team to ensure completion and review of reference checks.

Background Checks

UHR Talent Acquisition is responsible for conducting background checks in accordance with the [Employment Verification and Background Checks](#) policy.

- All offers of employment will be contingent on the successful completion and passing of all required background checks and verifications
- Hiring managers are responsible for ensuring new hires do not start working before backgrounds have passed

Offering Employment

Candidates will be chosen for hire based on job-related criteria identified in the job profile, recruitment plan, and advertisement to ensure that the best qualified candidate is selected.

A formal offer consists of an authorized offer letter with the terms and conditions as outlined in the posting, with approval in accordance with the appointing authority policy.

Prior to making an offer:

- The HR Service Delivery Team must review/approve all offers letters prior to a formal offer letter being extended.
- The salary offered to the selected candidate shall be in accordance with the appropriate policy and/or guidelines for each employee category (i.e. Faculty, P&S, and Merit).
 - The Faculty Handbook contains policy and procedure applicable to Faculty.
 - Merit employee requirements are provided by the [Regent Merit System Rules](#).

- P&S policy for new hire compensation can be found in the [Starting Rate of Pay](#) policy.
- P&S guidance for internal hires can be found in the Promotion/transfer pay guidelines below.

P&S EMPLOYEE MOVEMENT AND COMPENSATION GUIDELINES

The sections that follow apply to P&S employees only.

For information regarding Faculty movement and compensation, please see the Faculty Handbook or contact the office of the senior vice president and provost.

For information regarding merit employee movement and compensation, please see the Regent Merit System Rules or contact UHR Classification and Compensation.

P&S TRANSFER & PROMOTION

Transfers and promotions provide employees the opportunity for career growth and advancement at Iowa State University. Managers are encouraged to consider internal candidates from within departments throughout ISU. Supervisors should be supportive of employees members who have the desire to enhance their skills or develop new competencies to pursue different or greater responsibilities and transfer or promote within the ISU community.

There are specific guidelines, criteria, and qualifying periods for employees applying for a transfer or promotion. Employees must meet the eligibility for promotion and transfer criteria outlined above. Managers and departments must follow the specific guidelines and criteria for each type of movement.

Promotion

Promotions provide employees an opportunity for career growth and advancement at Iowa State University. Managers are encouraged to consider internal candidates from within their departments or throughout the ISU community (via an internal competitive search), therefore managers should be supportive of employees members who have the desire to enhance their skills or develop new competencies to pursue different or greater responsibilities and promote within the ISU community.

Transfer

Iowa State University recognizes that employees motivation, productivity, and retention are dependent upon people working in jobs that are well suited to their interests and skills. Therefore, ISU offers and encourages transfer opportunities for current employees.

Job Profile Structure

An employee's Job Profile should reflect the work the employee is performing. Job profiles are groupings of positions that have similar job duties/responsibilities and require comparable levels of experience, knowledge, training, education, scope of responsibility, and decision authority. This creates the foundation for equal pay for equal work across the institution by providing a consistent structure for evaluating individual positions and assigning pay grades. The structure is also designed to provide opportunities for career paths.

Job profiles, by their nature of being broad descriptions of work, allow managers to dynamically reassign work as needed to manage their unit's mission and provide employees with challenging and rewarding opportunities. Position descriptions associated with any job profile should align to the core content of a job profile and should be utilized to help set specific expectations for individual positions.

Employee Eligibility for Transfer & Promotion

Employees must meet the following criteria to be eligible for transfer or promotion.

To qualify for a Transfer or Promotion an employee member must:

- Have been in his/her current position at ISU for at least six (6) continuous months
- Be in a regular, non-temporary, non-emergency role
- Successfully pass any special screening processes required for the position of interest, including but not limited to background investigations, reference checks, drug screens, and pre-employment testing
- Have education, experience and other qualifications that meet or exceed the minimum required qualifications as documented on the job profile
- Additional criteria may be outlined below specific to the type of employee movement

It is the responsibility of the respective HR Service Delivery Team to facilitate the sharing of an employee's work record, including but not limited to performance, attendance, efforts to develop job-related skills, demonstrated competencies, and behaviors may be used as valid criteria for determining suitability for promotion, and transfer.

ISU supports the movement of employees to further their career interests in support of the overall mission and provide opportunities to better understand and gain experience in departments across the institution. ISU expects units and departments to collaborate and work together to support employee movement and development. Employees and managers each have a responsibility to facilitate these transitions.

Affirmative Action Plan Goals

Where affirmative action goals have been identified for a given job profile or family

- the appointing authority must work with an HR Service Delivery Team on any employment action,
- promotions or transfers may not proceed unless it is also approved by the OEO, Affirmative Action Officer or designee.

Promotion

A promotion is the movement of a P&S employee to a job with greater responsibility and typically one with a higher pay grade than the employee's present job.

Promotions provide employees opportunity for career growth and advancement at Iowa State University. Supervisors are encouraged to consider internal candidates from within their departments or throughout the ISU community. Supervisors should be supportive of employees who have the desire to enhance their skills or develop new competencies to pursue different or greater responsibilities within the ISU community.

Promotions may result from the following:

- Application and resulting offer from an **external** or **internal competitive search**
- Movement to the next level within a defined **career progression** within a department
- **Reclassification** of a position due to significant misalignment of responsibility to the position's job profile
- Manager's discretion based on exceptional organizational need and unique qualifications or experience

Employees must meet the eligibility for promotion and transfer criteria outlined above. Managers and departments must follow the specific guidelines and criteria for each type of movement.

Managers have the discretion to assign work and responsibilities as needed to maintain the operations of their unit, complete project work, and continue the mission of the university. The following actions do not necessarily result in a promotion or additional pay:

- Increased workload
- Reassignment of duties
- Assignment of new duties or projects
- Temporary back fill of other positions, including higher level positions
- Assignment of higher-level responsibilities

Managers should work with their designated HR Service Delivery Team to determine whether a promotional opportunity is has presented itself for an individual employee.

Promotion Compensation

To ensure promotions support ISU's compensation philosophy, the following considerations apply:

- Promotions should be internally equitable with immediate supervision, any direct reports, peer relationships, and other internal comparisons

- Promotional recommendations should reward the individual's performance, contribution, experience, and expertise
- It is the responsibility of the HR Service Delivery Teams, in partnership with UHR Classification and Compensation, to provide promotional salary recommendations that are consistent across ISU.

In general, promotions are usually accompanied by a salary increase.

In determining a promotion increase, the individual's position in the current and new pay ranges and the amount of time since the last promotional increase may be considered.

In rare instances, it may be appropriate to grant a promotion without an accompanying increase in salary. This may be considered when the current pay level is above the first third percentile of the new salary range.

Increases resulting in pay above the first third of the new grade are not typical, and will require documented justification and approval from UHR Classification and Compensation.

Should the employee's salary still be below their new range minimum after a promotion, their salary should be increased to the minimum of the new pay range. If the promotion occurs at the same time as a salary increase is being given, the salary increase should be calculated first.

An employee may only receive one promotion and resulting promotional increase during a 12-month period. This will ensure adequate time is allowed for the employee to demonstrate competency in the new position before another promotion is considered. Exceptions will require approval from UHR Classification and Compensation.

Transfer

A lateral transfer is the movement of an individual to another job within the same grade and pay range as their present job.

Iowa State University recognizes that employee motivation, productivity, and retention are dependent upon people working in jobs that are well suited to their interests and skills. Therefore, ISU offers and encourages transfer opportunities for current employees.

Transfers may result from the following:

- Application and resulting offer from an **external** or **internal competitive search**
- Organizational need, where a department or division needs to transfer a role to another area for business reasons
- **Reclassification** of a position due to significant misalignment of responsibility to the position's job profile

Transfer Pay

Lateral transfers typically occur without an increase in salary.

On an exception basis resulting from changes in scope or complexity, an individual may be eligible for an increase.

Any proposed lateral transfer with an increase must be reviewed and approved by UHR Classification and Compensation.

Demotion

A demotion is the movement of an individual to another job with a lower grade and pay range than their present job.

A demotion may occur for any of the following reasons:

- Voluntary (P&S employee-initiated demotions) within their department or through the application and resulting offer from an **external** or **internal competitive search**

- Re-assignment to a job with less (or different) responsibilities to enhance overall University, college, or department performance, as in the event of a **reorganization**
- Involuntary demotions related to performance management are outlined in university process and guidelines.

Demotion Pay

When a demotion occurs, salary treatment may vary.

- Reorganization demotions that occur for non-performance reasons will not typically result in the individual's salary being reduced; however, the individual's performance must meet expectations.
- Performance-based demotions may result in the individual's salary being reduced to fall within the new pay range. However, if the P&S employee's current pay level falls within the range of the new pay grade, there may be no reduction in pay.
- Voluntary demotions may result in the individual's salary being reduced to fall within the new pay range. If the P&S employee's current pay level falls within the range of the new pay grade, there may be no reduction in pay.
 - If the voluntary demotion occurs within 6–12 months of a promotional increase, and the individual returns to their previous position, the promotional increase provided at the time of the original promotion will be reversed.

Approval from UHR Classification and Compensation and UHR Employee and Labor Relations is required for non-voluntary demotions.

Reclassification

ISU believes an employee's job profile should reflect the work they are performing.

A reclassification is used when the work an employee is performing no longer aligns with their job profile. The lack of alignment should be substantial for a reclassification to occur. A reclassification typically arises when the nature of a job has changed over time, and a reclassification is utilized to assess the current work performed and determine the appropriate job profile (based upon the work being or to be performed) and the associated pay grade.

UHR Classification and Compensation will conduct a reclassification review by analyzing the current work being performed and comparing to the current job profile to determine whether the current job profile is appropriate or whether the work being performed aligns better with a different job profile. A reclassification can result in a promotion, lateral, or demotion depending on the change required.

A reclassification should be treated the same as a promotion when the reclassification results in a higher pay grade, as a lateral when it results in the same grade, and as a demotion when it results in a lower pay grade.

If an employee feels their job profile needs to be reviewed, they should discuss this with their manager. A manager can then request that an HR Service Delivery Team initiate the request to UHR Classification and Compensation. UHR Classification and Compensation will approve all reclassification requests.

P&S Interim Assignment Guidelines

Interim Assignments occur when an employee is asked to perform all of the duties of a vacant position, at a higher level than their current position, on a time-limited basis.

Interim assignments are typically three (3) to eighteen (18) months in length. Assignments should not exceed eighteen (18) months except in exceptional circumstance which require documentation and UHR Classification and Compensation approval.

Approval to initiate an employee's interim assignment follows the appointing authority guidelines and the employee should be provided salary consideration.

Employees performing interim duties may receive an increase to their base salary dependent on the market for the position they are filling and their qualifications to perform said position.

At the end of an interim assignment, the employee's salary and position title will revert to their former appointment. Any salary increases that the employee would have received in their former appointment will be included in their salary when the return from an interim appointment.