ACADEMIC DEAN AND PROVOST INSTRUCTION 12300.1

From: Academic Dean and Provost

Subj: PROCEDURES FOR APPOINTMENT TO THE FACULTY

Ref: (a) USNA Faculty Handbook
     (b) ACDEANINST 12340.1
     (c) USNAINST 12330.1
     (d) USNAINST 12713.5F
     (e) OFFCPM 292127Z Dec 87 (NOTAL)
     (f) 5 Code of Federal Regulations 572.301(B)
     (g) Joint Travel Regulations, Volume 2
     (h) USNAINST 12300.1
     (i) USNAINST 5060.5D
     (j) Intergovernmental Personnel Act (IPA) Mobility Program
         Regulations (5 CFR 334)

Encl: (1) Faculty Ranking/Rating Quantification Form
      (2) Instructions for Applying Veterans' Preference to Faculty
          Hiring
      (3) Certificate of Eligibles for a Faculty Position
      (4) Affirmative Action Report Form
      (5) Faculty Appointment Data Worksheet

1. Purpose. To publish policies concerning the hiring of civilian faculty.

2. Cancellation. ACDEANINST 12713.5C

3. Policy. The policy of the United States Navy is to provide equal employment opportunity for all qualified persons by prohibiting discrimination based on color, national origin, race, religion, gender, disability, marital status, or age. Faculty hiring must be conducted in a professional manner which is fair and impartial throughout and has as its principal goal identification of the best-qualified candidate to serve the mission and institutional goals of the Naval Academy.

4. Definitions

   a. Tenure-track appointment. Initial appointment is for at least 2 years, but generally never more than 3, and is renewable, in accordance with the provisions of references (a) and (b). Tenure-track billets afford opportunity to qualify for permanent tenure at the Naval Academy.

   b. Temporary appointment. This type of appointment addresses a short-term staffing deficit and does not normally exceed 365 days. If converted to tenure track, the period of temporary appointment may be included in the calculation of tenure probation. Faculty appointees to temporary positions do not qualify for health insurance if appointed for less than 1 year (365 days).

   c. Reimbursable appointment. Funds to provide for faculty hire derive entirely from an outside funding source. Funding source and
commitment must be clearly identified in advance of a reimbursable appointment. Regular tenure-track or tenured faculty may be considered for partially reimbursed funding.

5. Tenure Track Hiring

   a. Policy. Tenure-track appointments afford high quality candidates the opportunity for entry into a career faculty position at the Naval Academy to ensure the highest caliber faculty committed to the Academy's mission and institutional goals. All tenure-track appointments are made by the Superintendent. General criteria for appointment to the faculty are found in reference (a), Chapter 3. The Academic Dean and Provost recommends appointment into a tenure-track position when, based on a review of curriculum demands, faculty loads, and requisite faculty expertise, there is reasonable assurance of a long-term staffing requirement in a department or division.

   b. Procedure

      (1) Permission to Initiate Search. Six or more months in advance of the date of a prospective appointment, based on a preliminary analysis of demonstrated need, department chairs may request permission from the Academic Dean and Provost via their respective division director to initiate a tenure-track search. Reference (c) applies. Department chairs should make clear to candidates, hiring committees and departmental colleagues that permission to initiate a tenure-track search does not connote permission to hire. Final permission to hire (see paragraph 5.b.(4), below) is contingent upon a review of resources, requirements, and candidate credentials. For the Physical Education Department and the Division of Professional Development, the authority to approve initiation of a search resides with the Commandant of Midshipmen.

      (2) Advertisement. All tenure track positions will be advertised to the profession nationally. Appropriate publications to announce a prospective tenure-track position include nationally disseminated job information lists sponsored by discipline-specific professional associations, as well as professional and discipline-specific journals with a national audience. All position announcements, including those from Physical Education and Professional Development, must be reviewed by the Academic Dean and Provost as well as the USNA Employment Officer prior to issuance to ensure that the advertisement is consistent with reference (d). Specifically, announcements must include the following phrase: "The United States Naval Academy is an Affirmative Action/Equal Employment Opportunity Employer."

      (3) Review of Applications. While specific processes to review dossiers may vary from department to department, department chairs and division directors will ensure that the process is demonstrably fair and in accordance with all aspects of this instruction. At a minimum, however, the departmental review process will include the following:

         (a) Dossiers will be maintained on all candidates until 2 years after the position has been filled.

         (b) Enclosure (1), Faculty Ranking/Rating Quantification Form, will be completed for each candidate interviewed who possessed the appropriate degree, specialization within the discipline and experience. This form shall be retained in the department files for
2 years along with other pertinent information on the candidate.

(c) Enclosure (2), Instructions for Applying Veterans' Preference to Faculty Hiring, provides guidance for ascertaining if a 5 or 10 point veterans' preference is applicable. These points, if applicable, must be added to the candidate's total score and recorded at paragraph 6 of enclosure (1). It is crucial that candidates claiming veterans' preference status submit a DD-214 with their resume and letter of application.

(d) Enclosure (3), Certificate of Eligibles for Faculty Position, will be completed to summarize the scores of each candidate interviewed. Candidates are to be listed in descending order of total scores obtained from line (7) of enclosure (1). Veterans should be identified by placing the letter "V" in the Veteran column.

(e) Enclosure (4), Affirmative Action Report Form, shall be prepared to summarize Equal Employment Opportunity (EEO) data acquired during the selection process. Enclosure (4) will be completed and made a part of the material provided to the Academic Dean and Provost in the selection of faculty. A copy of enclosure (4) will be forwarded to the Deputy Equal Employment Opportunity Office (DEEOO) by the Academic Dean and Provost.

(4) Interview process and campus visit. Highly qualified applicants will be interviewed at national meetings of the appropriate discipline, by invitation to the Naval Academy, or by phone. Due to the potential travel expense involved in interviewing candidates, department chairs and division directors should reach closure with the Academic Dean and Provost on permission to hire before proceeding to the conference or campus interview stage. No faculty candidate will be offered a position without previously having been interviewed at the Naval Academy. The Naval Academy campus visit must include an interview with the Academic Dean and Provost or Associate Dean for Faculty, and must include an opportunity for the candidate to demonstrate his or her potential as a classroom teacher by, e.g., instruction of a class or presentation of a seminar. No promise of hire, hire recommendation or prospective salary level shall be extended to the candidate unless prior authorization has been made by the Academic Dean and Provost or, in the case of the Physical Education Department or the Professional Development Division, the Commandant of Midshipmen.

(5) Recommendation to hire, permission to hire, and determination of salary level. When a department has completed the dossier review and candidate interview process, the department chair should forward the department hiring recommendation, accompanied by enclosures (1), (2), (3), (4), and (5) via the division director, to the Academic Dean and Provost. The recommendation should include a proposed pay step level and term of appointment. The Academic Dean and Provost will review the term of appointment and proposed pay step level, based on an assessment of national, regional, and departmental salary data. Upon review of the recommendations from the chain of command, the Academic Dean and Provost will prepare a letter of appointment and forward the entire package with his recommendation to the Superintendent for final approval and signature. In the case of Physical Education and Professional Development, the hiring package should be submitted via the Commandant of Midshipmen to the Academic Dean and Provost, who will review the submitted materials for compliance with the formal
requirements of this paragraph and will prepare the appropriate letter for the Superintendent's signature.

(6) Acceptance of offer. Candidates accepting an offer of a tenure-track position must do so in writing, as stated in the letter of appointment. Until the Naval Academy has received a written acceptance, the position will not be considered filled and no arrangements for First Duty Station travel may be made (see subparagraph (7), below). In order to be placed on the faculty rolls, moreover, candidates accepting an offer of employment must complete forms SF-86 ("Questionnaire for Sensitive Position"), OF-612 ("Optional Application for Federal Employment"), and OF-306 ("Declaration for Federal Employment"), which are included with the letter offering appointment.

(7) First duty station travel. Per reference (e), the Head, Human Resources Department (HRD), U.S. Naval Academy has local authority to approve first post of duty travel expenses for selectees not currently employed as federal civil servants. This benefit is discretionary. The department chairs must advocate the request, which must be endorsed by the division director and Academic Dean and Provost before being forwarded to HRD. If requested, First Duty Station travel must be funded from departmental resources and the accounting data for the travel must accompany the request. For HRD approval, requests must meet the substantive criteria outlined in reference (f). In accordance with reference (g), requests must be made and approved prior to the issuance of travel orders.

6. Temporary Faculty Hiring

a. Policy. The Academic Dean and Provost will entertain requests for hiring temporary faculty to address a short-term teaching requirement, or when budgetary or curricular uncertainty makes a longer term appointment imprudent. Salary levels will be based on the number of course hours taught and will be commensurate with temporary faculty salaries at regional undergraduate institutions. The Academic Dean and Provost will make all temporary faculty appointments.

b. Procedure

(1) Permission to initiate search. As with the tenure-track search, departments should forward their request for a temporary hire to the Academic Dean and Provost, via the division director. The request should include a clear statement of demonstrated need for a temporary hire. Temporary hires will not be approved to support full-salaried sabbatical leave.

(2) Advertisement. Search requirements for short-term appointments may be limited to local or regional job announcements. Department chairs may wish to contact the Human Resources Department for further information about federal job announcement media.

(3) Recommendation to hire, determination of salary level, and permission to hire. Upon completion of a search, department chairs will forward, via the division director, a recommendation to hire a temporary faculty. The recommendation should include a resume, the number of courses to be taught by the temporary hire, and the proposed term of appointment.
7. Special cases. The above procedures may need to be amplified if one or more of the following conditions pertain:

    a. Non-U.S. Citizens. The Naval Academy may hire non-U.S. citizens as members of the faculty. Close liaison with the Office of the Academic Dean and Provost and the Naval Academy Security Officer is essential if non-U.S. citizens are to be brought onto the faculty roles in a timely fashion. Depending on their status, one or more of the following steps must be undertaken in order to hire a non-U.S. citizen:

        (1) For all non-US citizens, including Resident Aliens (holds a "Green Card"), being hired as faculty:

            (a) Completion of SF-86, Questionnaire for Sensitive Position.

            (b) Letter request for Chief of Naval Operations (CNO) approval for exemption of Information Security Standard.

        (2) For non-US citizens who are not Resident Aliens, the following additional items are required:

            (a) Completion of ETA 9035, U.S. Department of Labor Condition Application for H-1B Non-immigrants.

            (b) Completion of OMB Form-I129, U.S. Immigration and Naturalization Service Petition for a Non-Immigrant Worker.

    b. Faculty funded from reimbursable resources. Departments may recommend that faculty be appointed using resources from outside funding sources. The following conditions apply in order to appoint faculty funded from outside sources:

        (1) There must be firm assurance from the funding source that adequate resources are available through the entire term of proposed faculty appointment.

        (2) There must be clear indication that the proposed appointment is of benefit to and consonant with the U.S. Naval Academy mission.

        (3) Department chairs and division directors must maintain firm oversight of timekeeping procedures for all reimbursable faculty to ensure that salaries are paid from the appropriate account.

    c. Appointment to advanced rank. The normal initial rank for new faculty holding the Ph.D. degree is Assistant Professor. Departmental recommendations for higher academic rank must first be reviewed by the Yard Promotion and Tenure Committee before being forwarded to the Academic Dean and Provost and the Superintendent.

    d. Appointment to the Physical Education Department. In accordance with references (a) and (b), entry-level Physical Education Department faculty may be appointed at either the rank of Instructor or Assistant Professor. Criteria for the Physical Education Department faculty outlined in reference (a) apply.

    e. Visiting faculty. In addition to the categories of temporary
and reimbursable faculty outlined above, there is a variety of additional opportunities by which individuals may be appointed to the Naval Academy faculty:

(1) Volunteer intermittent experts. Reference (h) provides for qualified volunteers to teach Naval Academy courses. Candidates proposed as volunteer intermittent experts must have credentials and expertise commensurate with that of the regularly appointed faculty.

(2) Emeritus faculty. In order to teach a full Naval Academy course, as opposed to guest lecture, all retired faculty, including emeritus faculty, must be appointed as volunteer intermittent experts, under the terms described in the paragraph above and in reference (i).

(3) Intergovernmental Personnel Act Mobility Program faculty. As a federal institution, the Naval Academy qualifies for participation in the Intergovernmental Personnel Act Mobility Program, regulations of which are outlined in reference (j). Typically reserved for distinguished visiting faculty, this program allows the Naval Academy to contract with their home institution for the services of these faculty.

8. Part-time appointment to the faculty of personnel already assigned to the USNA/AAC complex. From time to time, personnel officially employed in other funded, non-faculty positions at the USNA/Annapolis Area Complex, both officers and civilians, have both interest and appropriate credentials to teach an academic course. As a matter of general policy, such part-time teaching appointments are encouraged, but are in all cases subject to prior review and approval by the Academic Dean and Provost. Departments wishing to appoint as faculty individuals already on board the USNA/AAC should forward this recommendation to the Academic Dean and Provost via the respective division director along with a resume outlining the qualifications of the prospective part-time faculty member and the course(s) to be taught. All such prospective part-time instructors must be appointed to the faculty in writing prior to assuming classroom duties.

ROBERT H. SHAPIRO

Distribution:
A-1
FACULTY RANKING/RATING QUALIFICATION

Candidates Name____________________ Department___________________

Rater's Name_______________________ Date_________________________

1. Possess appropriate degree in required discipline 0-20 Points____

2. Possess professional expertise in special area 0-20 Points____ within discipline. Be able to teach required and those specific elective courses identified by the department as crucial to the academic breadth of the major for which this department has cognizance.

3. Possess teaching experience at a comparable 0-15 Points____ undergraduate level.

4. Potential for academic growth as evidenced by the 0-15 Points____ individual's progress to date in his or her field of specialization including published research.

5. Ability to express oneself clearly and cogently. 0-15 Points____ Present an appearance consistent with dress codes required at the Academy. Show promise of extended collegiality.

6. Veterans' Preference

   Please read the veterans' preference instructions at enclosure (2) and check the appropriate block(s) below. Candidates will be ranked and listed on the certificate of eligibles, enclosure (3). In cases where a veteran and a non-veteran have the same numerical score, the veteran will be ranked ahead of the non-veteran. Justification must be clearly documented when selecting a non-veteran ranked below a veteran.

   (a) Does candidate claim 10 point preference? YES___ NO____

   (b) Does candidate claim 5 point preference? YES___ NO____

   (c) Check below the proof candidate submitted for preference claimed (a copy must be supplied for the selected candidate's Official Personnel Folder (OPF)).

       _____ 1. DD-214
       _____ 2. SF-15
       _____ 3. Letter from Veterans Administration
       _____ 4. Other official military documentation

   Total Points awarded to candidate for veterans' preference ____

7. Candidate's total score including veterans' preference awarded __
INSTRUCTIONS FOR APPLYING VETERANS' PREFERENCE TO FACULTY HIRING

1. To be considered a preference eligible for appointment purposes, a member of the Armed Forces must, a) have been discharged under honorable conditions as evidenced by a DD-214, or, b) be a disabled veteran as evidenced by submission of an SF-15 and a letter from the Veterans Administration or other similar documentation dated within 6 months verifying claim.

2. A person who is eligible for a campaign badge and who originally enlists in a regular component of the Armed Forces after September 7, 1980, must serve a minimum of 24 months of active duty (or complete the period for which they were called or ordered to active duty if that period is less than 24 months) to qualify for preference unless the person meets the definition of "disabled veteran".

3. In order to claim a 10 point preference a veteran must:
   - (a) Have a compensable service-connected disability of 10% or more, or
   - (b) Have a service-connected disability of less than 10%, or
   - (c) Be receiving compensation, disability retirement benefits, or pension under laws administered by the Veterans Administration or a military department, or
   - (d) Have been awarded the Purple Heart for wounds received in action.

4. In order to claim a 5 point preference a veteran must:
   - (a) Have served on duty during any war (April 6, 1917 through July 1, 1921 and December 7, 1941 through April 28, 1952), or
   - (b) Have served active duty in any campaign or expedition for which a campaign badge has been authorized, or
   - (c) Have served active duty during the period April 28, 1952 through July 1, 1955, or
   - (d) Have served active duty for a period of more than 180 consecutive days, any parts of which occurred after January 31, 1955 and before October 15, 1976.

Note: A Human Resources Department (HRD) representative is available for consultation should you need assistance in applying these instructions. Please contact your representative on extension 32698 or 33822.

List of Wars, Campaigns, and Expeditions for which a Campaign Badge (Service Medal) has been authorized. (This listing is not inclusive. Please contact HRD for any War, Campaigns, or Expeditions prior to September 1939).

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<th>War</th>
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<td>War</td>
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World War I 6Apr 1917-2Jul 1921
World War II 7Dec 1941-28Apr 1952

Campaign or Expedition

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<td>China Service</td>
<td>7Jul 1937-7Sep 1939</td>
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<td>American Defense Service</td>
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<td>Navy Occupation of Trieste</td>
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<td>Army Occupation of Austria</td>
<td>9May 1945-27Jul 1955</td>
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<td>Units of the Sixth Fleet (Navy)</td>
<td>9May 1945-25Oct 1955</td>
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<td>China Service Medal (Extended)</td>
<td>2Sep 1945-1Apr 1957</td>
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<td>Korean Service</td>
<td>27Jun 1950-27Jul 1954</td>
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<td>Vietnam Service Medal</td>
<td>3Jul 1965-28Mar 1973</td>
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Armed Forces Expeditionary Medal (AFEM) for these operations:

- Berlin: 14Aug 1961-1Jun 1963
- Lebanon: 1Jul 1958-1Nov 1958
- 1Dec 1987:
  - Quemoy and Matsu Islands: 23Aug 1958-1Jun 1963
  - Taiwan Straits: 23Aug 1958-1Jan 1959
- Cuba: 24Oct 1962-1Jun 1963
- Conga: 14Jul 1960-1Sep 1962
  - and 23-27Nov 1964
- Dominican Republic: 28Apr 1965-21Sep 1966
- Cambodia Evacuation: 11Apr 1975-13Apr 1975
- Vietnam Evacuation: 29Apr 1975-30Apr 1975
- Mayaguez Operation: 15May 1975............
- Operations in the Libyan area: 12Apr-17Apr 1986
- Persian Gulf Operation: 24Jul 1987 to.......
CERTIFICATE OF ELIGIBLES FOR FACULTY POSITION

Department of ________________

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<tr>
<th>Recommend</th>
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_________________________________       ___________
Chairperson/Selecting Officer         Date

USNA CCA 12300/2 (10-95)
Enclosure (4)

(___________________________)

(_______)

AFFIRMATIVE ACTION REPORT

From: Chairperson, ____________________ Department
To: Academic Dean and Provost
Via: (1) Director, Division of _________________________
(2) ADF

Subj: AFFIRMATIVE ACTION

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No. of Applicants: __________________________________________

No. of Women Applicants: _____________________________________

No. of Qualified Applicants*: _________________________________

No. of Qualified Women: _______________________________________

No. of Interviewed: __________________________________________

No. of Women Interviewed: ____________________________________

No. of Veterans Interviewed: _________________________________

___________________________

(signature)

*Attach to this form the statement of qualifications including the specific area within the discipline in which applicant is expected to have expertise.

Note: It is not always possible to determine minority group membership from an application; however, close scrutiny of membership in professional organizations and schools attended may indicate minority status.

USNA CCA 12300/3 (10-95)
Enclosure (5)

FACULTY APPOINTMENT DATA WORKSHEET

1. Name:

2. Current Mailing Address:

3. Citizenship:
   If not a U.S. citizen, what is immigration status?

4. Proposed pay step and rank:*  

5. Proposed term of initial appointment:*  

6. Is first duty-station travel required:*  

7. Reason for hiring:*  

8. What special resources, e.g. laboratory facilities, equipment, office space, will this individual require if appointed?*

*New appointments only.