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## THE AGA KHAN UNIVERSITY

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### HUMAN RESOURCE POLICIES AND PROCEDURES

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#### FACULTY RECRUITMENT AND SELECTION

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**DISCLAIMER:** If there is a discrepancy between the electronic copy of this policy and / or any other copy of this policy, the original copy held by the Policy owner in Human Resources will prevail.

The Policy owner in Human Resources is required to keep this Policy updated. It will normally be reviewed by Human Resources after 3 years of issuance, or earlier if so required by the University.

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Approved By:



Navroz Surani  
Vice President  
Human Resources

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## 1.0 POLICY STATEMENT

- 1.1 The University aims to hire, develop and retain high-calibre faculty to meet its mission and strategic plans in the areas of education, research, professional service, and leadership.
- 1.2 The Aga Khan University's Human Resource Management philosophy is based on the conviction that its most valued asset is its people. The University recruits and selects applicants for faculty positions who are suitably qualified and trained to carry out responsibilities of budgeted positions in respective entities of the University.
- 1.3 Recruitment and selection for all faculty positions are conducted in an open, transparent and equitable manner, which reflects AKU's commitment to quality and meritocracy, and to be an equal opportunity employer for all.

## 2.0 PURPOSE

- 2.1 The objective of this policy is to have a consistent and efficient faculty recruitment and selection process throughout the University.

## 3.0 SCOPE

- 3.1 Applicable to all faculty positions which include full-time, flexi full-time, temporary, part-time and contract-based positions, including those working in outreach and humanitarian settings, within authorized staffing budgets.  
(Terms of employment for faculty members on flexi full-time appointments are stated in a separate policy).
- 3.2 AKU will follow the safeguarding referencing process for the hiring of faculty who have been previously employed in other agencies of the Aga Khan Development Network (AKDN) and will ensure that it becomes an integral part of the external recruitment or internal network mobility process. The safeguarding reference will be managed and handled by the designated HR contacts at the University who will coordinate with their counterparts at the concerned AKDN agency for required information.
  - 3.2.1 The Safeguarding Referencing process of the AKDN is complementary to and separate from any other forms of due diligence that the University carries out as part of the recruitment process for the purposes of assessing a candidate's suitability for a position.
- 3.3 HR will be responsible for coordinating all stages of the Recruitment and Selection process for hiring of faculty members and will maintain a complete record, including job postings, interview evaluations, professional and employment references being sought and received, and other related information/correspondence.
- 3.4 This policy is an overarching global policy applicable to all entities/ campuses of the University including the outreach humanitarian settings and field sites where the University has its programs. Campuses of the AKU, in each country where it operates, will need to have applicable work procedures for their respective programs/operations to ensure due coverage, compliance, monitoring, and reporting to HR. Actions to be taken for any non-compliance will be as per applicable laws of the respective countries and related policies at AKU.

## 4.0 OBSERVATIONS AND LIMITATIONS

- 4.1 Depending on the position level, as part of the selection process, candidates may be asked to make a presentation on a relevant topic, which would be finalized between the candidate and Chair/Entity Head, as applicable.
  - 4.1.1 This is specifically applicable to candidates shortlisted for positions at level of professor.
- 4.2 For faculty positions, if a candidate shortlisted for an interview needs to travel to the location where the interviews are being conducted, the costs for related travel and accommodation expenses will be borne by AKU.
- 4.3 Incumbents being appointed for faculty positions at AKU but are not resident in the same city as the campus where appointed, will be provided a relocation allowance for self and eligible dependents for airfare, unaccompanied air freight, and moving allowance, as per the relocation benefits applicable to the position (reimbursement of expense(s) should be claimed within 6 months of joining supported by original payment receipts). Eligibility for relocation benefits is subject to the employment contract being for at least 2 years. (Please refer [Annexure X: Relocation Entitlement](#)).
- 4.4 For appointment of senior faculty, a Search Committee comprising senior faculty members and leadership of the University may be formed to fill a vacant position. Based on the position, the Search Committee is normally constituted by the Dean of the Entity in consultation with the VP-HR and finalized with the Provost and the President.
- 4.5 The Business Partners in Human Resources will maintain a pool for all applications received for faculty positions in their respective areas.
  - 4.5.1 Applications received for faculty positions by any department will be forwarded to the concerned Business Partner or Manager in HR who will ensure that these are duly logged timely, and available as required for concerned departments.

## 5.0 COMPLIANCE OF THE POLICY AND/OR RELATED PROCEDURES

- 5.1 The University expects Department Heads/Chairs/Entity Heads and those engaged in implementing the process in HR and other concerned Departments, to comply with the recruitment and selection procedures outlined herein for appointments to faculty positions.
- 5.2 If the University identifies any instances of non-compliance with this policy and/or related procedures, the concerned incumbent can be liable to disciplinary action as per the University's policies.
- 5.3 In case a faculty member is found to have submitted forged documents or to have given false information regarding his/her past records and/or have proven sexual exploitation and abuse allegations during background checks, he/she will be liable to disciplinary action according to the University's policy on Employee Discipline. Relevant documentation will be included in the personnel file/HR records system to avoid any consideration for re-hiring the concerned incumbent at a later point in time.

## 6.0 LIST OF ANNEXURES

- 6.1 [Annexure I:](#) [Procedure](#)
- 6.2 [Annexure II:](#) [Personnel Requisition Form](#)
- 6.3 [Annexure III:](#) [Interview Evaluation Form](#)
- 6.4 [Annexure IV:](#) [Application Form for Employment](#)
- 6.5 [Annexure V:](#) [Employment Reference Check Form](#)
- 6.6 [Annexure VI:](#) [Relocation Entitlement](#)
- 6.7 [Annexure VII:](#) [Terms of Employment](#)
- 6.8 [Annexure VIII \(A to C\):](#) [Referencing for Inter-Agency Employee Movement](#)  
[Annexure VIII \(D\):](#) [Directory of Authorized Personnel for Safeguarding Referencing](#)
- 6.9: [Annexure IX:](#) [Definitions](#)

## 7.0 RELATED POLICIES

7.1 The Policy for Faculty Recruitment and Selection should be read in conjunction with its Annexures and the following HR policies:

- 1. [Policy for Pre-Employment Medical Examination](#) (Policy # HR/RC-03)
- 2. [Policy for Probation](#) (Policy # HR/ER-04)
- 3. [Policy for Employee Discipline](#) (Policy # HR/ER-21)

## **Annexure I: Procedure for the Policy for Faculty Recruitment and Selection PROCEDURE**

1.0 To fill an approved budgeted vacant faculty position (replacement or new), the concerned Department Head/Chair or designee will forward the approval to HR for initiating the hiring process. Recruiters need to ensure that all documentation related to the hiring process, including receipt of the approved [Personnel Requisition](#), is completed before selection is finalized.

1.1 However, if a position is not budgeted for a particular year but is required to be filled due to University's needs, the Chair / Department Head may recommend this to the Dean / Entity Head, who, if in agreement, will propose this to the Provost for special approval to initiate the recruitment for that position. If approved by the Provost, he / she will recommend this to VP-HR and VP-Finance or designee to permit the special approval. The Chair / Department Head will ensure that it is included in the budget for the next year. HR will initiate recruitment on receipt of the approval from VP-Finance or designee.

2.0 The Recruitment and Selection process for faculty appointments will comprise the stages as listed below:

### **2.1 Search**

2.1.1 HR, in collaboration with the relevant department head, will tap appropriate sources for potential candidates, which may include one or more of those listed below as per the needs of the position:

i. Internal announcement	ii. Data bank of active applicants
iii. AKU/AKDN web portal	iv. Advertisements in newspapers, professional journals, and websites of professional societies related to the position
v. Educational and training institutions	vi. Alumni, and faculty members earlier employed at AKU.
vii. Headhunters/ External Consultants	viii. Any other media as agreed upon with Department Head/Chair.

2.1.2 In order to attract the best talent to apply, all vacant faculty positions need to be advertised, considering the nature of work at AKU and anticipated work expectations.

2.1.3 (i) or positions of Senior Instructor in the clinical areas of the Medical College, where Fellowship programs exist, graduates of AKU-based training programs will be encouraged to apply; however, they will be required to go through the regular hiring process.

(ii) For positions of Instructor in clinical areas, graduates of the Residency programs at AKU in respective departments will be encouraged to apply; however, they will be required to go through the regular hiring process.

2.1.4 All advertisements for faculty positions will be placed on the University's website.

2.1.4.1 In addition, based on the needs of the position and as advised by the Department Head/Chair, advertisements for positions at the level of Senior Instructor would be placed in local and/or national newspapers and websites. HR will facilitate the placement of such advertisements. Positions at the level of Assistant Professor and above may be advertised at an international level in consultation with concerned Chair/Department Head/Entity

Head based on the nature of the requirements.

2.1.5 In addition to information related to the University and the position, the job announcements will also essentially include the information noted below:

- (i) AKU is an equal opportunity employer and is committed to safeguarding misconduct and expects all faculty members and partners to share this commitment, and
- (ii) Comprehensive employment reference checks will be conducted.

2.1.6 The Department Head/Chair/Section Head or HR may also write to relevant individuals and institutions for their assistance in identifying suitable candidates or request other colleagues to do so on their behalf.

2.1.7 Regardless of where the applications are received from, all applications should be forwarded to the concerned Business Partner or Manager in HR who will arrange for these to be made part of the applicants' pool for the position.

2.1.8 By exception, the need for an advertisement may be waived by the Head of the Entity e.g., Dean of a school or college, if application of a suitable candidate(s) is available in the applicant's pool and recent advertising and extensive search experience over the past few months shows that other suitable candidate(s) have not applied for the position. However, the identified/shortlisted applicant(s) will need to go through the regular hiring process including the interview process for selection and appointment to the position.

## 2.2 **Screening/Shortlisting**

2.2.1 HR will review and forward shortlisted applications for the vacant position to the Department Head/Chair/Dean, as applicable for review and for further short listing, if required.

2.2.2 Applicants shortlisted by the department will be sent to HR to be included for the next stages of the hiring process.

2.2.3 The number of applications shortlisted for the interviews will be based on the number of suitably qualified applicants in the pool, and the level of the position for which interviews are being conducted.

## 2.3 **Interviews**

2.3.1 The interview stage of the selection process may comprise more than one level of interviews based on the level of the faculty position for which the vacancy exists, or the hierarchy of the Entity where the vacancy exists.

2.3.1.1 The schedule/plan for the interviews will be decided between the Department Head/Chair/Entity Head and the Business Partner or Manager in HR who is coordinating the interviews.

2.3.2 Interviews will normally be panel interviews to facilitate time efficiency and will preferably be gender-balanced, as far as possible.

2.3.3 The interview panel will be selected by the Chair in consultation with the faculty member leading the

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interview panel. The number of interviewers will normally vary between 3 to 5 members, depending on the level of the position being interviewed for.

- 2.3.4 Interviewers will normally be senior in faculty rank to the position for which interviews are being conducted and must be well-versed with the job requirements and competencies required for the position. Interviewers may be from the same department or cross functional disciplines, depending on the nature and level of the position.
- 2.3.5 Conflict of Interest: In case a candidate is known to an interviewer or is a family member, he/she should bring this to the attention of the Department Head/Chair in writing as a Disclosure since this could pose a conflict of interest. The Department Head/Chair will discuss with the BP in HR in this regard and whether this member of the panel should continue or otherwise; the Department Head/Chair will respond to the member of the panel accordingly.
- 2.3.6 Normally the initial interview will be led by the concerned Section Head or the Programme Lead or a senior faculty member of the Department who will submit recommendations for shortlisted candidates in consultation with other panelists for next level to the Chair/Department Head.
- 2.3.7 HR will forward all interview evaluations ([Annexure III: Interview Evaluation Form](#)) to the Department Head/Chair, as applicable, along with a covering recommendation from the faculty member who has led the interviews.
- 2.3.7.1 The Chair/Department Head will normally interview up to 3 to 4 shortlisted candidates.
- 2.3.8 During the interview process, the HR representative will discretely inquire from the candidate whether he/she has been involved in any investigation pertaining to misconduct and/or related investigations and outcomes of the same, and will state the findings in his/her interview evaluations (please refer [Annexure III: Interview Evaluation Form](#)).
- 2.3.9 For all faculty positions, the Chair / Department Head will submit his/her recommendation for 2 to 3 candidates to the Dean / Entity Head and also to CEO, AKUH in case of clinical faculty, who at their discretion may interview the candidates or convey their views to Chair / Department Head. VP-HR will be marked a copy of the recommendation both by Dean / Entity Head and also the Chair / Department Head. The VP-HR at his / her discretion may meet with the shortlisted candidates
- 2.3.9.1 For appointment of clinical faculty, interviews of shortlisted candidates at the third level will be conducted by both the Dean, Medical College, and the CEO, AKUH. This interview may be done jointly or separately by both.
- 2.3.10 Selected applicants or those shortlisted for final selection interview will be sent [Annexure IV: Application Form for Employment](#) and will be asked to submit the completed form to the concerned HR Representative within next 2 to 3 days but before the final interview. (The Form requires applicants to self-declare involvement in any instances of sexual misconduct or other related misconduct and/or termination of past employment, criminal records, and concerns registered with government authorities, if any).  
(Please refer to [Annexure IV – Application Form for Employment](#)).

**2.3.11 Credentialing Process (for Clinical Faculty)**

2.3.11.1 HR will inform the shortlisted candidates for the final interview with the Dean/CMO/CEO, AKUH, to submit a copy of their educational and professional degrees/ certifications preferably within next 2 to 3 days (the original documents should also be presented for checking at that time). The most recent and/or relevant degree/certification from the issuing authorities will be sent for verification.

2.3.11.2 HR will send the documents listed below to the Chief Medical Officer to review the eligibility of the prospective candidate(s) and for initiating the credentialing process as part of the selection process as per criteria set in Credentialing & Privileging Policy of AKU:

- i. Current CV of the candidate
- ii. Copy of valid licensure along with the primary source verification
- iii. Copy of basic qualification (e.g., MBBS or equivalent)
- iv. Copy of post graduate qualification(s) e.g.: FCPS, MRCP, American Board certification or equivalent.
- v. Evidence of post graduate training (s) e.g.: completion of training for residency, fellowship etc.
- vi. Evidence of start of primary source verification process by HR for the basic and post-graduate qualification.

**2.4 Selection**

2.4.1 The final selection should preferably shortlist two candidates in case the first priority candidate does not accept the offer for the position.

2.4.2 The approving authorities (please see table below) will convey their decision to the concerned Department Head / Chair, with a copy to HR to prepare the offer of appointment. For clinical faculty, a copy will also be sent to the Chief Medical Officer for initiating the credentialing process. VP-HR at his discretion may interview the selected candidate depending on the level of the faculty position for which incumbent has been selected.

Position	Approving Authority for Appointment		
	Medical College and SONAM	IED and FAS	
Instructor/ Assistant Lecturer/ Senior Instructor/ Lecturer	Chair / Department Head (or equivalent) to recommend shortlisted candidates to the Dean (and CEO, AKUH for clinical faculty of Medical College) for approval.	Dean of IED/FAS, as applicable	
Assistant Professor/ Senior Lecturer	Chair / Department Head (or equivalent) to recommend to the Dean (and CEO, AKUH for clinical faculty of Medical College) for	Dean of IED/FAS, as applicable, to obtain approval of A& P Committee of respective Entities for academic rank	



Position	Approving Authority for Appointment		
	Medical College and SONAM	IED and FAS	
	approval and to obtain approval from A&P Committee of respective Entity for academic rank.		
Associate Professor/ Professor/ all expatriates	Chair / Department Head (or equivalent) to recommend to the Dean (and CEO, AKUH for clinical faculty of Medical College) to obtain approval from University-wide A&P Committee for academic rank.	Dean of IED/FAS, as applicable, to recommend to A&P Committee to obtain approval from University-wide A&P Committee for academic rank.	

2.4.3 The Entity Head in consultation with the concerned Department Head/Chair will determine a tentative faculty rank to be finalized by the concerned A&P Committee. The concerned candidate will be informed of this when making the offer. For Associate Professors and above, the academic rank is subject to approval by the University-Wide A&P Committee.

## 2.5 **Checking Employment Reference**

2.5.1 HR will ensure that the recruitment and selection procedures strictly adhere to the said requirements i.e., that the candidate shortlisted for selection or offer of employment at AKU, including those to be working in humanitarian settings, do not have any known track record/history of sexual exploitation and abuse (SEA) in previous employment tenures through contacting previous and current employers for an employment reference. Employment reference concerning safeguarding misconduct will be obtained for all new hires including those who are currently working at AKDN agencies or have previously done so. (Please refer to [Annexure V – Employee Reference Check Form – Confidential](#)).

2.5.2 Concerned Department Head / Chair will normally be required to request those concerned for professional references from 3 seniors in the fraternity or referees, and will normally request for the same before the selection decision has been finalized. Feedback may be received in due course, but at the latest, within a period of 3 months.

2.5.2.1 Human Resources will request an employment reference from at least 2 former employers, where applicable and the current employer for the selected candidate; employment reference from the current employer will normally be taken only after he/she has accepted the offer formally and has given consent for the current employer to be contacted for a reference. This condition is not applicable to fresh graduates joining the University or those who do not have prior work experience or those who only have work experience with one organization prior to joining AKU.

2.5.3 Employment of all faculty will be subject to receipt of satisfactory references from the previous employer(s). If the employment reference has not been received despite the reminders having been sent, the HR representative coordinating the process should include a file note to this effect and obtain

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concurrence of the Business Partner in HR for the process to be closed with a file note to be included in the new employee's file along with a copy of all correspondence made as a follow-up.

2.5.3.1 However, this matter, i.e., if employment reference is not received till end of probation period should be addressed by HR with the Department Head and concerned faculty member.

2.5.3.2 Faculty positions up to Senior Instructor level are given a probation period, hence options to be considered by HR and Department Head / Chair can be (i) extension of probation, if applicable, and making concerned faculty responsible to provide the reference or (ii) conclusion of employment since employment reference is essential or (iii) confirmation of employment with a provision in the letter that faculty will provide the reference within a specified time period and may be required to provide contact details of other referees for the process to be completed.

2.5.3.3 However, if in case an employment reference is not received for an Assistant Professor or above till 3 months after being sent, this matter needs to be followed up by the Business Partner in HR, and he/she should inform the Department Head/Chair, Director and VP-HR of the same, and seek guidance on the matter. The concerned faculty member will normally be responsible for ensuring that professional and employment references are received from respective referees. Options for addressing the situation would be the same as stated in # 2.5.3.2 above.

2.5.4 If any of the shortlisted candidates have previously worked or are currently working at any of the AKDN agencies, the employment references will need to be obtained by HR from the concerned AKDN agencies as per the process for AKDN employment reference.  
(Please refer # 2.6 below)

2.5.5 **AKDN Safeguarding Referencing for Inter-Agency Employee Movement**

- a. As a standard job announcement at all levels, it will be mentioned that comprehensive employment references are sought as part of the recruitment process.
- b. If an applicant shortlisted for final selection has previously worked for an agency of the Aga Khan Development Network (AKDN), the recruiter at AKU will inform him/her that a comprehensive employment reference, including elements of safeguarding misconduct, will be sought from the concerned agency, and consent for the same will be obtained from the applicant. The recruiter will request the designated HR contact at AKU to obtain the required employment reference on the prescribed form (please see [Annexure VIII-C](#)). This will be obtained from the AKDN agencies who were his/her former employers, the current employer will be contacted for an employment reference after obtaining the applicants, consent in writing. The names of the designated contacts in each agency are featured in the Directory of Authorized Personnel for Safeguarding Referencing. (Please refer [Annexure VIII-D](#)).
- c. (i) In the context of Safeguarding Referencing, it is within the discretion of AKU to request an AKDN Agency to provide further information than the minimum required within the safeguarding reference form/employment reference form, if so required.  
  
(ii) If the AKDN Agency is not able to provide information due to restrictions for compliance and legal frameworks, the University would be informed accordingly by the concerned Agency's designated HR Contact and vice versa for HR at AKU receiving a safeguarding reference request for a current or former employee at AKU.

- d. (i) Normally, before making an offer of employment, the University will duly consider references received from Designated HR Contacts at Aga Khan Development Network Agencies (or any other organization) where the candidate has previously worked or is currently working.  
  
(ii) It is recommended that in case if information for serious allegations, the University should exercise prudence and wait for the outcome of the investigation, if in process, before finalizing appointing the individual.  
(Please refer [Annexure VIII: Safeguarding Referencing for Inter-Agency Employee Movement](#)).
- e. A candidate's misconduct history will be processed and shared in accordance with applicable data protection legislation, regulations, and institutional policies, as applicable in respective countries.
- f. A candidate's misconduct history as received by AKU can only be shared with the candidate if so required by law, policy, or governance framework. This will be done only by an authorized officer in Human Resources after obtaining required approvals from the VP-HR or designee at the campus.

## 2.6 **Job Offer**

2.6.1 Once the decision for the selected candidate is finalized by the concerned authority, HR will determine a suitable salary offer for the selected candidate in consultation with the Chair/Department Head and Entity Head. This will be as per applicable salary structure in line with the University's policy and a comparative analysis of other faculty members working at a similar level and having comparable qualifications and experience; this however will not be applicable for cases where incumbents are hired on entry level positions as entry level salaries will be offered. Benefits will be as applicable to the position as per faculty rank determined by the A&P Committee.

2.6.1.1 In the case of an additional academic administrative responsibility (e.g., Section Head or Programme Director, etc.), an additional allowance will be paid to compensate for the additional responsibility for the applicable tenure; this will be determined jointly by HR and concerned Entity Head.

2.6.2 For non-clinical faculty, upon accepting the offer, the selected candidate will be required to submit a copy of his/her educational and professional degrees/ certifications preferably within next 2 to 3 days, (the original documents should also be presented for checking at that time). The most recent and/or relevant degree/certification from the issuing authorities will be sent for verification. HR will compile related documents (please refer 2.3.11.2) and will address documents verification requirements.

2.6.2.1 For clinical faculty, the selected candidate will be given the appointment letter for the job offer.

2.6.3 (i) HR will be responsible for making the final offer, which will initially be in terms of informing him/her of being selected for the position and salary and benefits being offered; HR will also clarify that this offer is subject to clearing the pre-employment medical examination and receipt of satisfactory professional and employment references.

(ii) The selected candidate will be advised to complete the required formalities such as Pre-Employment Medical Examination and the Conflict-of-Interest Disclosure Form; and will be conveyed that on clearance of the same, he / she will be given a formal employment offer and will be asked to provide the date on which he/she would be commencing the appointment at AKU.

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2.6.4 In the case of an expatriate, concurrently HR will start working on obtaining the work visa for the concerned incumbent.

2.6.5 HR will normally inform candidates who were part of the final round of interviews (but not selected), of the outcome of the interview process with reference to their case i.e., shortlisted but not selected. This can be done either by informing the candidate via phone call or sending a ‘letter of regret’ via email, which will be done within one week of the selected candidate having accepted the offer.

## 2.7 **Letter of Appointment**

2.7.1 Upon acceptance of the offer by the selected candidate, HR will prepare the letter of appointment. The signatory for the appointment letter will be based on the position at which the incumbent is being hired, in line with the approved authorities matrix:

Position	Authorized Signatory for Appointment Letter
Instructor/Assistant Lecturer/ Senior Instructor/Lecturer	Senior Manager/ Manager, Human Resources
Assistant Professor/Associate Professor/ Senior Lecturer	Director Human Resources and concerned Dean/Director.
Professor	VP-HR and concerned Entity Head
Clinical Faculty at rank of Assistant Professor, Associate Professor, and Professor	VP-HR, Dean, Medical College and CEO, AKUH

2.7.2 (i) The Letter of Appointment will be issued to the selected candidate along with a Summary of Benefits and other related documents on satisfactory completion of the requirements. The faculty member will return a signed copy of the appointment letter to HR, which will be kept in the faculty member’s personnel file.

(ii) The appointment letter should normally be issued to the selected candidate within 5 working days of acceptance of the offer, which should be before his/her date of joining the University.

2.7.3 HR will assign an employee number to each new employee and will communicate the same to him/her on the day he/she joins. If the new faculty member is a re-hire, he/she will be assigned the same employee number as was in his/her previous employment at AKU.

2.7.4 The terms of the contract (e.g., duration of contract, notice period for contract and probation) for faculty members at each faculty level are given in [Annexure VII – Terms of Employment – Faculty](#). Faculty members being appointed at the level of Assistant Professor and above will not have a probation period.

## 2.8 **On-boarding/General Orientation**


2.8.1 HR will ensure completion of all the joining formalities for the newly hired faculty members. These include issuing a circular announcing new appointments at the level of Assistant Professor and above (when the faculty member joins, processing relocation claims as per the entitlement and arranging an orientation to AKU in coordination with the Learning and Organizational Development team.

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- 2.8.2 On the date of joining, the Department Head will give the faculty member his/her Letter of Expectations, which the faculty members will need to sign and return it to the Department Head/Chair; a copy of this will be sent by Department Head / Chair to the Business Partner in HR for including in the faculty member's file.
- 2.8.3 As part of the on-boarding process, each employee/trainee is required to complete the New Employee Orientation Program in which one of the sections will orient new hires on protection against sexual exploitation and abuse (PSEA). This Orientation Programme may be an online programme taken up by the faculty member at his/her convenience to be completed within one week of joining AKU. In addition, an Exclusive Orientation is conducted for faculty members at the level of Assistant Professor and above, and he/she will be registered for this by the HR Business Partner for the Department.
- 2.8.3.1 Faculty members will also be required to complete the departmental orientation, which would be coordinated by the faculty member's Department Head/Chair who will ensure timely completion within a week.

2.9 **Period of Probation**

- 2.9.1 Faculty members up to position of Senior Instructor will be required to serve an initial period of probation as stated in the appointment letter, during which his/her performance will be assessed by the Chair / Department Head to evaluate suitability for the position. (Please refer [Annexure VII – Terms of Employment – Faculty](#)).
- 2.9.2 Confirmation of employment will be subject to the faculty member's satisfactory performance, receipt of satisfactory employment and professional references, and completion of the New Employee Orientation Programme, as applicable based on the position level, and fulfilling any other terms of employment required for confirmation of service, if applicable.
- 2.9.3 Faculty members at the position of Assistant Professor and above are not required to serve a probation period. However, performance in position will be assessed by Chair / Department Head.
- 2.9.4 If employment references received are not satisfactory or have a reference to any instances of misconduct by the faculty member, or if employment references have not been received despite reminders, HR will discuss the matter with concerned Department Head / Chair for next steps as per the University's policy for Probation.
- 2.9.5 Please refer to the [Policy for Probation](#) (Policy # HR/ER-04).

Approved by:   
Navroz Surani  
Vice President  
Human Resources

July 19, 2024

**Annexure II: Personnel Requisition**

<b>1. Requisition Date</b>	<b>2. Department / Cost Centre</b>	<b>3. Division</b>	<b>4. Position Title</b>
<b>5. Bands</b>		<b>6. Position Number</b>	<b>9. Budget Information</b>  Budgeted position  <input type="checkbox"/> Yes  <input type="checkbox"/> No  If not budgeted, approved via line allocation <input type="checkbox"/> Yes  _____ Signature of Divisional Budget Manager  _____ Date
<b>7. Position Particulars</b>  <input type="checkbox"/> To fill new position (Complete Section 8) Or <input type="checkbox"/> Replacement for:  Last Name _____ First Name _____ Concluded on: Date: _____  Promoted on _____ Date: _____  Transferred on _____ to _____ Date Dept.			<b>10. Requirements</b>  <input type="checkbox"/> Incumbent required as soon as possible  or <input type="checkbox"/> No earlier than Date: _____  Requisitioning Department Division wishes to be involved in pre-screening: <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>8. To be completed for new position</b>  Position should be  <input type="checkbox"/> Permanent  <input type="checkbox"/> Temporary From: _____ To: _____ Date: _____ Date: _____  <input type="checkbox"/> Full-time  <input type="checkbox"/> Part-time _____ Hours Per Week			
<b>Additional Remarks:</b>   			
<b>12 (a). Department Head / Chair</b>  Position: _____  Signature: _____		<b>12 (b). Entity Head / Dean</b>  Signature: _____  Position: _____	
<b>13. A completed position description must be attached, or should be on file, for Human Resources to activate requisition</b>			
<b>To be completed by Human Resources</b>			
_____ Name of person appointed against this requisition  _____ Authorized Signature		_____ Date of Joining  _____ Date	

July 19, 2024

**Aga Khan University**  
**Annexure III: Interview Evaluation Form**  
**Faculty and Staff (Executives / Experts / Professionals)**

Name of candidate: _____					
Position considered for: _____			Department: _____		
Name of Interviewer: _____			Position Title: _____		
Your rating of each factor should be reflected by placing a tick <input type="checkbox"/> in the appropriate section on the scale, that best represents your evaluation.					
<b>U</b> <b>Unacceptable</b>	<b>M</b> <b>Marginal</b>	<b>A</b> <b>Adequate</b>	<b>G</b> <b>Good</b>	<b>E</b> <b>Excellent</b>	
<b>U</b>	<b>M</b>	<b>A</b>	<b>G</b>	<b>E</b>	
<b>Work Experience:</b> Consider similar job duties, similar working environment, same degree of supervisory and management responsibility. Comments:					
<b>Education Training &amp; Professional Qualifications:</b> Consider formal education, major fields of study, specialized training received for the relevant position, results/grades achieved. Comments:					
<b>Technical Competence:</b> Consider knowledge, understanding and technical expertise of candidate as it relates to the requirements of the position. Comments:					
<b>Appearance Manner and Personality:</b> Consider general appearance, speech, nervous mannerisms, self-confidence, aggressiveness, poise, composure, overall presentation and maturity. Comments:					
<b>Supervisory and Leadership Qualification/Potential:</b> Consider previous supervisor/leadership experience, degree of assertiveness, confidence level, acceptance of authority and responsibility, ability to motivate others. Comments:					
<b>Attitude, Stability and Maturity:</b> Consider friction with former supervisors, relationships, reasons for leaving jobs, frequency of job changes, consider sense of responsibility, attitude towards work and towards family. Comments:					

July 19, 2024

	U	M	A	G	E
<b>Inter-personal and communication skills:</b> Consider liking for and ability to get along with people; ability to maintain pleasant inter-relationships with supervisors, peers and subordinates; ability to communicate ideas and thoughts in a clear, concise and organized manner Comments:					
<b>Ambition and Motivation:</b> Consider clarity of future goals and direction, aspiration for success, drive and energy level. Comments:					
<b>Problem Solving Skills and Analytical Reasoning Ability:</b> Consider articulation organization of information, thoughts and ideas during interview; mental alertness, grasp of complex ideas, problem solving ability, etc. Comments:					
<b>For Expatriate Applicants</b>					
<b>Cultural Sensitivity:</b> Consider applicant's concept of living and working in a different culture; understanding of how cultural differences can affect communication and understanding; grasp of the realities of cross-culture experiences. Comments:					
<b>Flexibility, Adaptability and Adjustment Ability:</b> Consider applicant's appreciation of living in a foreign country, adjusting to a new environment and ability of family to adjust. Comments:					
<b>Overall Rating of the candidate:</b> Consider all the facts you have learned about the applicant, how suitably s/he matches the job requirements and how well can fit into our Organization. Comments:					
<b>Additional Comments</b>					
<b><u>To be completed by HR Representative present during the interview:</u></b> Has the candidate been subject to any inquiry regarding any instances of involvement in any acts of sexual misconduct and/or related investigations: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details:   					
<b>Recommendation</b> <input type="checkbox"/> Short list <input type="checkbox"/> Further Interview <input type="checkbox"/> Hire <input type="checkbox"/> Do not hire <input type="checkbox"/> other _____   					
_____ Date			_____ Signature of Interviewer		





آغا خان یونیورسٹی  
THE AGA KHAN UNIVERSITY

## Annexure IV

# Application Form for Employment

1. The information provided will be treated confidential.
2. Please attach your recent photograph, a copy of your computerized national identity card (CNIC) and copies of degrees, certificates and testimonials.

Position applied for:		Date available for work		
Full Name (as it appears on CNIC) Dr/Mr./Ms.		Email Address:		
		Cell Number:		
Name of Father or Husband if Married		Marital Status / Date: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other		
Date of Birth (dd/mm/yy)	Place of Birth	Nationality		
CNIC Number	CNIC - Date of Expiry (dd/mm/yy)	Passport Number (for expatriates only)		
Present Address <input type="checkbox"/> Preferred for mail		Telephone Number (s)		
Permanent Address <input type="checkbox"/> Preferred for mail		Email ID		
EDUCATION				
Qualification	Name of Institution	Date of Attendance		Major Subjects/ Field of Study
		From (dd/mm/yy)	To (dd/mm/yy)	
Matriculation / O' Levels				
F.Sc./ F.A. / A' Levels/ Other (specify)				
Bachelor				
Master				
Professional Certifications				
License (if any)				
Other				

Dt. –

July 19, 2024

**Employment History (in chronological order)**

Employer's Name & Address	Period		Position(s) Held	Last Drawn Salary	Reason for Leaving
	From (dd/mm/yy	To (dd/mm/yy			
<b><u>Current Employer:</u></b>					

**Previous Employers:**


Note: AKU, at its discretion, will contact previous employers for a comprehensive employment reference including instances of misconduct, if any ☐ Agreed ☐ Not Agreed

**Particulars of other members of immediate family (spouse and children only)**

Name	Relationship	Age	Occupation

Language Proficiency	English	Urdu	Other _____	Other _____
Spoken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Written	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Other Activities: (e.g. participation in sports/games, membership of clubs/associations, hobbies etc.)**

**Membership in Professional/ Scientific Associations**

Dt. –

July 19, 2024

May we approach your current employer for a comprehensive employment reference including any instances of safeguarding misconduct? ☐ Yes ☐ No

If No, Please specify:

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**Employment References (Mandatory): Please provide details of at least 2 professional referees**

Name of Department Head	Organization	Position	Email Address	Contact No.

Are you under any service bond with your present employer ☐ Yes ☐ No

If yes, provide details of the bond. \_\_\_\_\_

Have you applied before for any position with the Aga Khan University? ☐ Yes ☐ No

If yes, when and for which position? \_\_\_\_\_

Have you worked with the Aga Khan University or any Agency of the Aga Khan Development Network before?

☐ Yes ☐ No If yes, please complete the following details:

**1 At Aga Khan University:**

Employee # & last Position Title: \_\_\_\_\_ Period of Employment: \_\_\_\_\_

Department : \_\_\_\_\_ Reason for Leaving: \_\_\_\_\_

**2. At Aga Khan Development Network:**

Employee # & last Position Title: \_\_\_\_\_ Period of Employment: \_\_\_\_\_

Department : \_\_\_\_\_ Reason for Leaving: \_\_\_\_\_

Dt. –

July 19, 2024

Are any of your family members\* working with the Aga Khan University? ☐ Yes ☐ No

If yes, please complete the following details:

	Name of family member	Relationship	Department
1.			
2.			

**Declaration:**

I hereby declare that to my knowledge, the foregoing information is true and complete and I understand that a false statement may disqualify me for employment, or result in dismissal. I understand that if I am offered employment, such employment shall be subject to the screening and authentication of my bonafide credentials, and satisfactory comprehensive employment reference including Safeguarding references.

Please mark ✓ for applicable statement and mark x for the statement that is not applicable:

☐ I further declare that I have not faced any penalty or disciplinary action due to an investigation related to sexual misconduct, fraud, bribery, corruption and/or misappropriation. Also, I have not left any job while being investigated nor have declined to cooperate in that or any other investigation of a similar nature.  
OR ☐ I further declare that I have faced penalty or disciplinary action due to an investigation related to sexual misconduct, fraud, bribery, corruption and/or misappropriation. Also, I have left a job while being investigated and/or have declined to cooperate in that or any other investigation of a similar nature.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Applicant

\***Family Member** refers to the concerned employee's/trainee's spouse, domestic partner, parents, children, siblings, or the same relationship by marriage or adoption.

**Annexure V: EMPLOYMENT REFERENCE CHECK FORM – CONFIDENTIAL****Employment History**

<b>Organization:</b>		
<b>Applicant name:</b>		
<b>Period of Employment:</b>	<b>From:</b>	<b>To:</b>
<b>Recent Position held:</b>		
<b>Last drawn Salary:</b>		
<b>Other Benefits:</b>		

**Performance Evaluation**

Please rate the performance which applies to the applicant on the scale of 1 to 5:

Particulars:	Outstanding 5	Commendable 4	Moderate 3	Competent 2	Needs Improvement 1	N/A
<b>Overall Attitude:</b>						
<b>Leadership &amp; Managerial Skills:</b>						
<b>Attitude to Work:</b>						
<b>Productivity &amp; Multi-Tasking:</b>						
<b>Punctuality:</b>						
<b>Interpersonal Relations:</b>						
<b>Ability to Work Under Pressure:</b>						
<b>Potential for Advancement:</b>						
<b>Technical Competence: (If Applicable)</b>						

Other Information		
Reason for leaving employment?		
<b>If dismissed / terminated from services, please supply details</b>		
Any financial obligations with your organization?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>If yes, please supply details</b>		
During employment was applicant subject to any Disciplinary procedure?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>If yes, please supply full details and outcome</b>		
Would you re-employee applicant?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>If no, please state reasons why</b>		
Has this incumbent been involved in, or suspected of being involved in, any acts of sexual misconduct, fraud, or misappropriation during his/her tenure at your Organization? <b>If yes, please provide related information and nature of disciplinary action or any other action taken</b> <div style="display: flex; justify-content: space-around;"> <span>Yes <input type="checkbox"/></span> <span>No <input type="checkbox"/></span> </div>		

Referee Details	
<b>Name:</b>	
<b>Organization:</b>	
<b>Position/Title:</b>	
<b>Phone:</b>	
<b>Email/Address:</b>	

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 Signature

---

 Date

## Annexure VI: Relocation and Initial Accommodation Entitlement for Faculty and Staff Appointments in Pakistan

### A. Relocation Entitlement

Levels	Expatriate Faculty/ Staff	Repatriate Faculty/ Staff	National Faculty/Staff (coming from outside Karachi)
Entity Heads & above	<ul style="list-style-type: none"> <li>Business class airfare for self, spouse and dependent children from home base to Karachi on commencement and completion of contract</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$8,500</li> </ul>	<ul style="list-style-type: none"> <li>One way business class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$8,500</li> </ul>	<ul style="list-style-type: none"> <li>One way business class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Moving allowance (reimbursable against actual expenses) up to Rs.20,000/=</li> </ul>
Chairs/Associate Deans/Professors/ Divisional Heads	<ul style="list-style-type: none"> <li>Economy class airfare for self, spouse and dependent children from home base to Karachi on commencement and completion of contract.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$8,500</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$8,500</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Moving allowance (reimbursable against actual expenses) up to Rs.20,000/=</li> </ul>
Associate Professors/Assistant Professors/Programme Directors/Managers	<ul style="list-style-type: none"> <li>Economy class airfare for self, spouse and dependent children from home base to Karachi on commencement and completion of contract.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$7,000</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance (reimbursable against actual expenses) up to US\$7,000</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Moving allowance (reimbursable against actual expenses) up to Rs.20,000/=</li> </ul>

Contd. on next page



### Annexure VI: Relocation and Initial Accommodation Entitlement for Faculty and Staff Appointments in Pakistan

Levels	Expatriate Faculty/ Staff	Repatriate Faculty/ Staff	National Faculty/Staff (coming from outside Karachi)
Senior Instructors / Staff in bands AD5/AC3/AH4/NS5 and MD2	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Air freight of up to 30 kg per person</li> <li>Moving allowance</li> <li>(reimbursable against actual expenses) up to US\$3,000</li> </ul>	<ul style="list-style-type: none"> <li>One way economy class airfare for self, spouse and dependent children from home base to Karachi on commencement of employment.</li> <li>Moving allowance (reimbursable against actual expenses) up to Rs.20,000/=</li> </ul>

**Note:** Upon relocation to Karachi, any utilized balance for the moving allowance may be used for purchase of furniture, fixtures and household equipment. Reimbursement of expenses incurred will be permitted if employee submits payment to Human Resources for reimbursement of expenses within 6 months of joining AKU.

#### **B. Accommodation and Meals:**

- i. During the first month, accommodation (normally at the University's guesthouse), meals and pick and drop facility would be provided free of cost to eligible faculty/management staff coming from abroad/outside Karachi.
- ii. Stay at the guesthouse would normally be for a period of up to one month. However, in special cases, it may be extended for a further period of up to one month if the employee has not been able to identify suitable permanent housing.
- iii. During the second month, accommodation would be free of cost, but meals would be charged to the faculty/staff member as per the guesthouse policy.
- iv. If, for any reason, the stay needs to be further extended, the faculty/staff member will be charged for accommodation as well as meals.
- v. Approval of the Department or Entity Head and Senior Manager, Human Resources, would be required for any extension beyond one month.

#### **C. Eligibility Criteria:**

- i. A faculty/staff member would qualify for relocation benefits if the offer is made / negotiated while he/she is abroad/outside Karachi.
- ii. The duration of the contract should not be less than two years.

Approved by: 


Navroz Surani  
Vice President  
Human Resources

## Annexure VII: Terms Of Employment for Contracts of Faculty Members in Pakistan

Position	Duration of Employment Contract	Probationary Period	Notice Period for Employment Conclusion
Instructors/ Assistant Lecturer	1 Year	3 Months	1 week during probation 1 month after confirmation
Lecturer / Senior Lecturer	1 Year	-	1 month for full duration of contract
Senior Instructors	2 Years	6 Months	1 month during probation 3 months after confirmation
Assistant Professors/ Associate Professors/ Professor	3 Years	-	3 months for full duration of contract

Note 1: These terms apply to faculty in Pakistan. For campuses in other countries, terms of employment will be based on the specific legal provisions of the country and the University's needs.

Note 2: Once the initial 3 years contract is completed for regular full-time Assistant Professors / Associate Professors / Professors, they may be given an open-ended contract based on the recommendation of the Chair.

Approved by:   
Navroz Surani  
Vice President  
Human Resources

## **Annexure VIII**

### **Safeguarding Referencing for Inter-Agency Employee Movement Framework and Guiding Principle**

## I. Premise

- As part of the Network's commitment to safeguarding, Agencies are committed to individually and collectively take measures that aim to prevent harm. These commitments encompass the application of high standards in recruitment and due diligence/reference check processes. This, in turn, relies on access to reliable information to form an accurate picture of whether a candidate may pose a safeguarding risk to beneficiaries, staff and other associates.
- The Safeguarding Referencing process facilitates the disclosure and receipt of relevant information about individuals who may have committed misconduct relating to safeguarding, (e.g., sexual exploitation, sexual abuse, or sexual harassment (SEAH), harassment and bullying, fraud and misappropriation)<sup>1</sup> for the primary purpose of making informed recruitment and talent movement decisions.
- The Safeguarding Referencing process is designed to offer a structured approach to the sharing of information. The Safeguarding Referencing is reliant upon the ability of agencies to access and disclose such information while ensuring appropriate safeguards are in place that duly take into consideration the interests of candidates for whom the disclosure of misconduct history may have significant consequences.
- It is proposed that Agencies would integrate this framework to the fullest possible extent, having regard to applicable legal and regulatory requirements (including General Data Protection Regulation, GDPR). Agencies are encouraged to be transparent about any difficulties they encounter in applying the process so that it can be refined/improved based on lessons learned.

## II. Scope

- This Framework sets out the principles and processes for safeguarding referencing, according to which agencies provide a candidate's safeguarding reference (**Annex B**) as part of the candidate due diligence process.
- The Safeguarding Referencing process is complementary to and separate from any other forms of due diligence that agencies may carry out as part of the recruitment process for the purposes of assessing a candidate's suitability for a position. In this context, it is within the discretion of each agency to request or provide further information than the minimum required within the safeguarding reference.
- As part of this framework, agencies agree to a minimum exchange of relevant sensitive information, based on transparency and trust, while respecting applicable legal and regulatory requirements. A best practice example of how the framework can be incorporated into an agency's core recruitment process is provided in attachment (**Annex C**).

---

<sup>1</sup> For terminology and definitions please refer to **Annex A** of this document.

### **III. Shared Principles**

- The proposed framework:
  - is based upon the belief that sharing relevant information during the recruitment process will facilitate mobility in the best conditions and will enhance informed recruitment decisions, while mitigating safeguarding concerns;
  - is consistent with the AKDN's commitment to safeguarding, respecting each agency's independent governance structure and existing recruitment procedures; and
  - will encourage agencies to communicate with each other and build on, adapt, and improve on the process based on lessons learned and emerging needs.
- Agencies are encouraged to follow the safeguarding reference process for the hiring of staff who have been previously employed in other network agencies, and to ensure that it becomes an integral part of the external recruitment or internal network mobility.
- To uphold confidentiality and ensure data protection, it is proposed that the safeguarding reference be managed and handled by the designated HR contacts within each agency and that it be used for the sole purpose of assessing the eligibility of a candidate for a position or internal network mobility, as part of the appointment process.
- The following considerations are needed to ensure that the process works smoothly:
  - Allegations of misconduct are followed up and acted upon appropriately in line with each Agency's governance, internal processes, legal framework and procedures.
  - It is important that the identity of those who are involved in a safeguarding incident, apart from the candidate, are protected and not revealed at any time during this process.
  - Disciplinary measures are documented (in accordance with each Agency's procedures) to support the accuracy of the information that can be identified and shared.
  - A candidate's misconduct history is processed in accordance with applicable data protection legislation, regulations, and internal policies.
  - A candidate's misconduct history can be made accessible to the candidate if required by law, policy, or governance framework.
- It is proposed that Agencies adopt or adapt the framework and process, in accordance with their internal processes and regulatory frameworks. If an agency is not able to provide information due to their compliance and legal frameworks, the requesting agency would be informed accordingly.
- Candidates at all levels will be informed by their employing or prospective agency that references are sought as part of our recruitment process, and that the reference checking process includes the area of safeguarding, including with previous AKDN employers.

### **IV. Requesting Safeguarding References**

- It is proposed that designated HR contacts within the requesting agency will request a safeguarding reference from all known AKDN agencies where the candidate has worked.

The names of these designated contacts in each agency feature in the **Directory of Authorised Personnel for Safeguarding Referencing**. (See **Annex D**).

- It is important that requesting agencies inform candidates that a safeguarding reference is being requested as part of the recruitment process.
- The safeguarding reference contains valuable information to inform best hiring decisions, and it is important to duly consider references received before making an offer of employment, or the commencement of employment.

## **V. Providing Safeguarding References**

- It is proposed that the designated HR contacts within the agency responding to a request will provide a safeguarding reference for candidates who are currently employed by them, or who have left the responding agency and are undergoing a recruitment process for a position with the requesting agency.
- If an investigation process is commenced or concluded after a safeguarding reference has been provided, the responding agency will provide an updated safeguarding reference to the requesting agency once the investigation is concluded.<sup>2</sup>
- In line with the local legal and compliance frameworks, responding agencies are encouraged to take necessary measures to ensure that the candidate is informed, if required, of the content and provision of the safeguarding reference, and other appropriate information.
- It is recommended that agencies retain copies of the safeguarding reference in line with applicable data protection legislation, regulations, and internal policies, and for the allowed timeframe. It is important that agencies give careful consideration to where this information is best kept safely and confidentially within their internal systems.

## **VI. Adoption, implementation, and revision of the Framework**

- This Framework is applicable as of August 01, 2024
- This Framework will be reviewed annually by the HR EXCOM to ensure it remains up to date and that implementation challenges are identified and addressed.

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<sup>2</sup> It is suggested that the hiring agency follow-up with the responding agency within one month, should they not receive an update on an ongoing investigation. If an investigation is still underway, the hiring agency would exercise good judgement on the appointment. It is recommended that for more serious allegations, hiring agencies exercise prudence and wait for the investigation outcome before appointing an individual.

## ANNEX A –Terminology

**“Designated HR contact”** refers to the individual(s) within the Network Agencies who is/are authorised to access an employee’s Misconduct History, and who is/are responsible for managing and processing Safeguarding References. A **Directory of Authorised Personnel for Safeguarding Referencing** will be established to facilitate the Safeguarding Referencing process (**Annex D**).

**“Candidate”** refers to an individual who works, or has worked, for the Network at any given point in time as an employee and who is seeking employment or re-employment within the AKDN.

**“Disciplinary measure”** means the sanction/disciplinary actions applied by a Network Agency to a Candidate who is found to have committed a safeguarding misconduct, or the sanction that would have been applied in circumstances where an Investigation Process concluded with a finding of safeguarding misconduct after the Candidate has left the Agency.

**“Investigation process”** refers to each Agency’s internal investigation process to determine whether a Candidate has committed Misconduct.

**“Allegation”** is a statement, made without giving proof, that someone has done something that constitutes a Safeguarding misconduct.

**“Lifetime of safeguarding misconduct”** there is no prescription for safeguarding misconduct; it is therefore vital that information of this type is kept in a safe place by each agency for future record.

**“Safeguarding misconduct”** covers any form of sexual exploitation, sexual abuse, or sexual harassment (SEAH), harassment and bullying, fraud and misappropriation that leads to dismissal.

**“Misconduct history”** means the following information relating to a Candidate held by an Agency:

- Whether the Candidate was found to have committed safeguarding misconduct during or prior to the period of employment with the agency.
- The nature of the safeguarding misconduct.
- The Disciplinary Measure imposed for the safeguarding misconduct.
- The date of the Disciplinary Measure.

**“Agencies”** refers to the different entities of the AKDN.

**“Recruitment process”** means the process by which Agencies assess the suitability of a Candidate for a position, to decide whether to hire the Candidate.

**“Requesting agency”** means the Agency requesting a Safeguarding Reference about a Candidate.

**“Responding agency”** means the Agency providing a Safeguarding Reference about a Candidate.

**“Safeguarding Reference”** means the statement provided in the proposed document/template (**Annex B**) used to provide referencing information on Safeguarding related matters to a requesting Agency.

**“Safeguarding referencing”** shall mean the Inter-Agency Referencing Process for the disclosure of safeguarding-related misconduct

**ANNEX B – STRICTLY CONFIDENTIAL: LIMITED CIRCULATION/ACCESS  
SAFEGUARDING REFERENCE**

This **Safeguarding Reference** is part of the **Safeguarding Referencing for Inter-Agency Employee Movement** process for the hire of candidates that are currently employed or have been previously employed by an Agency of the Network.

*(to be pre-filled by requesting agency)*

**Name of candidate:**

**Position being considered for:**

**Date of request:**

**Reference requested by:**

*(to be completed by providing agency)* **Reference**

**given by:**

**Telephone number of Referee:**

**Referee based in (location):**

**Currently/Formerly employed by:**

**Duration of employment/term with**  **: from**  **to**

**Date of response:**

**The Agency providing the reference adopts the definitions of sexual exploitation, sexual abuse, sexual harassment, harassment, fraud, and misappropriation provided in the Charter.**

1. Has the candidate been involved in misconduct related to sexual exploitation, sexual abuse, sexual harassment, harassment, fraud or misappropriation?

☐ Yes, the nature of the Misconduct is:

☐ Yes, but I am unable to specify the nature of the Misconduct because of the following legal/regulatory requirements:

☐ No

2. If the answer is yes, was a Disciplinary Measure imposed upon the Candidate?

☐ Yes, the Disciplinary Measure was . Date of Disciplinary Measure:

☐ No, for the following reasons:

☐ I cannot provide an answer to this question for the following reason(s):

3. Is the Candidate currently being investigated for an allegation of sexual exploitation, sexual abuse, sexual harassment, harassment, fraud or misappropriation?

☐ Yes. The nature of the Misconduct is:

☐ No

☐ I am unable to provide an answer.

4. Are you aware of any misconduct or other information (current or historical) that would make this person unsuitable to work within the Agency and its various stakeholders?

☐ Yes

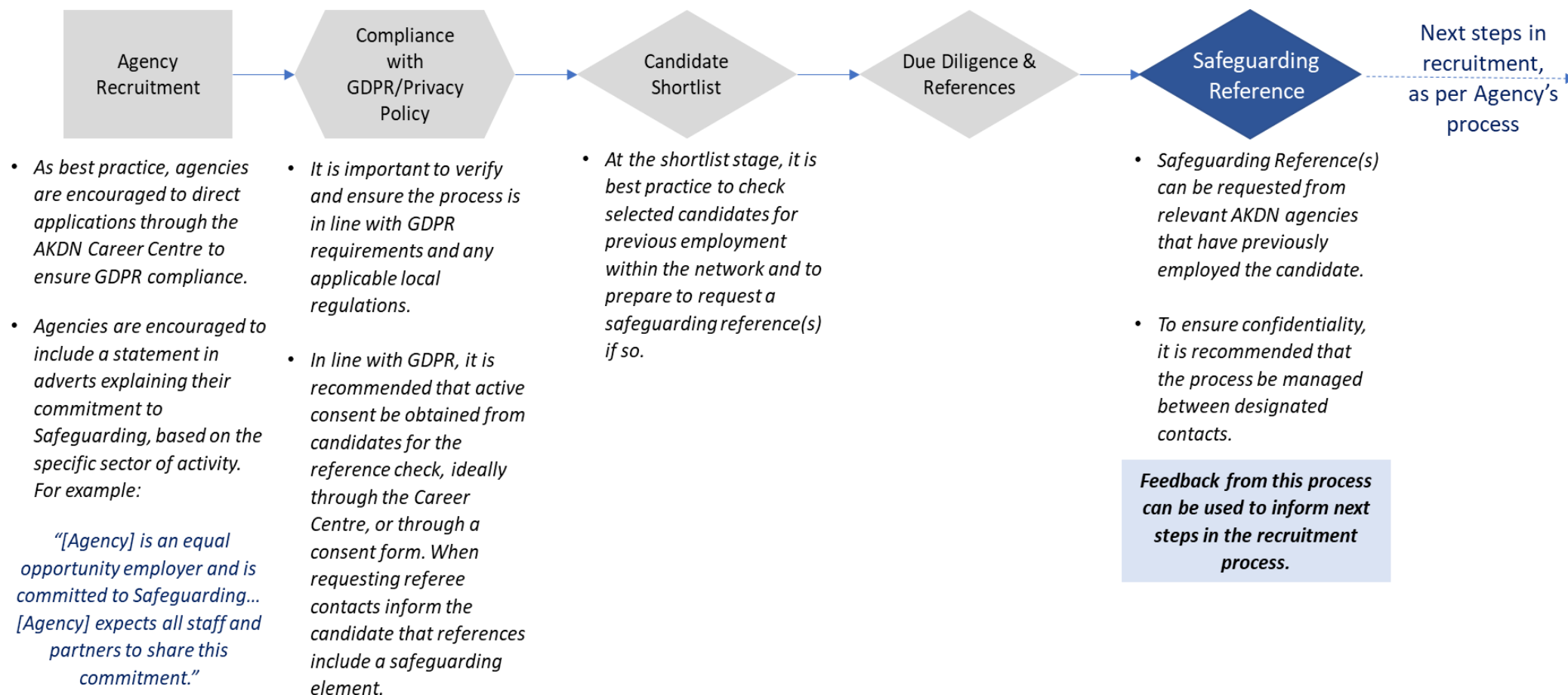
☐ No

**If the answer is yes, please follow-up with a reference over the telephone to provide further clarification.**



## AKDN Safeguarding Referencing for Inter-Agency Employee Movement

### ANNEX C – Example: How to incorporate the Safeguarding Referencing Framework



**AKDN Safeguarding  
Referencing for Inter-Agency Employee Movement**

**ANNEX D – Directory of Authorised Personnel for Safeguarding Referencing**

Please refer to separate Excel Tool.

## Annexure IX: DEFINITIONS

1. **Agencies** refer to the different entities of the AKDN. (Reference/Source: AKDN: Safeguarding Referencing for Inter-Agency Employee Movement, please refer [Annexure VIII: AKDN – Safeguarding Referencing for Inter-Agency Employee Movement](#)).
2. **Designated HR Contact** refers to the individual(s) within the AKDN Agencies who is/are authorised to access an employee's Misconduct History, and who is/are responsible for managing and processing Safeguarding References. A Directory of Authorized Personnel for Safeguarding Referencing is available to facilitate the Safeguarding Referencing process (Please refer to [Annexure VIII-D: Directory of Authorized Personnel for Safeguarding Referencing](#), Reference/Source: AKDN: Safeguarding Referencing for Inter-Agency Employee Movement).
3. **Humanitarian Setting** is one in which an event (e.g., armed conflict, natural disaster, epidemic, famine) or series of events has resulted in critical threat to the health, safety, security and well-being of a community or other large group of people. (Reference/Source: UN Documents).
4. **Job – Related Criteria** will be determined on the basis of the job responsibilities for the position, which clarifies responsibilities and related aspects of the job/position, which will help to identify qualified candidates who meet the specified requirements.
5. **Personnel Requisition (PR)** is the completed form sent as a formal request by the Department Head to Human Resources (including approval by the Entity Head and Finance) to activate the recruitment process for a job vacancy in his/her department. It must include all the information required to proceed with the recruitment and selection process.
6. **Family Member** in this policy refers to spouse, parent, son, daughter, brother, sister, grandparent, grandchild, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, and/or daughter-in-law.
7. **Safeguarding Misconduct** covers any form of sexual exploitation, sexual abuse, or sexual harassment (SEAH), harassment and/or bullying, fraud and/or misappropriation that leads to dismissal. (please refer [Annexure VIII: AKDN Safeguarding Referencing for Inter-Agency Employee Movement](#)).
8. **Safeguarding Reference** means the employment reference provided or received in the document/template (Please refer to [Annexure V: Employment Reference Form](#) and [Annexure VIII-B: Referencing for Inter-Agency Employee Movement](#)) by an Agency of the Aga Khan Development Network (AKDN) to provide referencing information on Safeguarding related matters to the Aga Khan University. (Reference/Source: AKDN: Safeguarding Referencing for Inter-Agency Employee Movement) (please refer [Annexure VIII: AKDN – Safeguarding Referencing for Inter-Agency Employee Movement](#)).
9. **Safeguarding Referencing** shall mean the Employment Referencing Process of the AKDN agencies for the disclosure of safeguarding-related misconduct, if any, of an applicant of the University. (please refer [Annexure VIII: AKDN – Safeguarding Referencing for Inter-Agency Employee Movement](#)).

- 10. The Recruitment Process** refers to the various strategies used for the search process for attracting suitably qualified applicants to apply for the said vacancy. Sources used will normally vary depending on the level of the faculty position, and would include internal job posting, advertisements in newspapers and journals, up to appointing a head hunter to help identify a suitable incumbent to fill the said vacancy for senior positions and those positions for which there is difficulty to recruit.
- 11. Sexual Exploitation and Abuse:**
- 11.1 Sexual Exploitation** is defined as an actual or attempted abuse of someone's position of vulnerability (such as a person depending on you for survival, food rations, schoolbooks, transport, or other services), differential power or trust to obtain sexual favours, including but not only, by offering money or other social, economic or political advantages. It includes trafficking and prostitution. (Reference/Source: UN Documents).
- 11.2 Sexual Abuse** means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. It includes sexual slavery, pornography, child abuse and sexual assault. (Reference/Source: UN Documents).
- 12. The Selection Process** refers to the process of screening/shortlisting applicants and identify suitably qualified candidates for hiring and decision to offer the position to the selected candidate. It includes any one or more of the methods listed below for screening and shortlisting and final selection offer to be made to the selected candidate.
- i. Assessment tests (written or online), as applicable
  - ii. Interviews (preferably with gender-balanced and cross functional panel based on level of position being interviewed for)
  - iii. Presentations, if position is at a senior level or on a need basis.
- 12.1.1** The process will focus on assessment of the candidate vis-à-vis job-related criteria and suitability for the position, and will aim to provide objectivity and consistency in the hiring process.
- 13. Approved Vacant Positions** refers to (i) those to be filled as a replacement on account of a recent or in-process separation, promotion (or appointment to a higher position) or transfer. (ii) a new position which is to be filled for the first time, which could be budgeted or unbudgeted; if unbudgeted, the procedure laid down herein will need to be followed.
- 14. An Expatriate** is an employee who works in a country other than his/her country of citizenship. The work arrangement could be temporary or permanent.
- 15. A Repatriate** is an employee who returns back to the country of his/her citizenship and takes up employment.
- 16. A National Employee** refers to a legal citizen of the country in which he/she is employed in.

- 17. Credentialing** is the process of granting a designation, such as a certificate or license, by assessing an individual's knowledge, skill, or performance level. It involves verifying a healthcare provider's qualifications and backgrounds to ensure that they meet the standards for patient care to be eligible for entitlement to clinical privileges.

Nota Bene: The definitions used in this policy are based on and derived from global generally accepted understanding(s); provided that in the event of any conflict between any definitions used in this policy and (the applicable and relevant) national/local law\*, the latter shall prevail and supersede.

\*means and includes any common or customary law, constitutional law, any statute, regulation, resolution, rule, ordinance, enactment, judgment, order, code, decree, directive, notification, clarification, guideline, policy, requirement or any other governmental direction having the force of law and any form or decision of or determination by or interpretation of any of the foregoing by any competent authority or governmental body or department, now or hereafter in effect, in each case as amended, re-enacted or replaced, to the extent relevant and applicable.