THE UNIVERSITY OF TENNESSEE
HEALTH SCIENCE CENTER.

INCLUSION, EQUITY, AND DIVERSITY

SEARCH PROCEDURES:

Guidelines for Conducting Academic, Executive and Staff-Exempt Searches

(Updated September 2021)

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Introduction

The University of Tennessee Health Science Center strives to be a University of Choice by creating a positive learning environment for its total campus community. To help create such an environment, the University seeks to recruit, hire, train, and promote qualified administrators, faculty, and staff from diverse backgrounds, cultures, and ideas into its various job vacancies. The University takes affirmative steps to identify and encourage qualified applicants to apply, consider, and accept positions at the university and become a part of the growing campus community. Achieving this goal requires efforts and the total commitment of every individual and department within the campus community. In addition to these institutional goals, employment decisions must be "open, fair, and competitive." The *UT Search Procedures: Guidelines for Conducting Academic, Executive and Staff Exempt Searches at The University of Tennessee, Health Science Center,* was designed to provide procedures and forms to be used for conducting faculty, executive and staff-exempt and administrative searches at the Memphis Campus, the graduate school - Knoxville and the College of Medicine - Chattanooga. The procedures provide a uniform and consistent means of conducting searches, ensure compliance with all federal affirmative action regulations, and that all applicants will receive equal consideration for employment without regard to race, color, national origin, religion, sex, pregnancy, marital status, sexual orientation, gender identity, age, physical or mental disability, or covered veteran status.

Please review the materials carefully. Any questions may be directed to the **Office of Equity and Diversity (OED), 920 Madison Avenue, Suite 825, (901) 448-2112 (telephone); (901) 448-7382 (TTY), (901) 448-1120 (fax) or hsc-oed@uthsc.edu (email).** Additional information needed to conduct a search will be provided at the search committee meeting by a representative of the Office of Equity and Diversity or may be obtained by request to the Office of Equity and Diversity, hereinafter, referred to as OED.

Resources Available from OED

901.448.2112

Forms are available on the OED Website

www.uthsc.edu/oed/faculty-executive-search-procedure.php

EEO/AA Statement and Tagline for Advertisements available at
 www.uthsc.edu/oed/eeoaa.phd

Committee Contact Sheet (to be distributed to all search committee members)
https://www.uthsc.edu/oed/documents/committee-contact-sheet.pdf

Narrative Summary (to be completed before interviews) Interactive

Search Process: Step-by-step

Faculty and Executive Administrative Taleo Manual

Types of Searches

1. **External Searches** - External searches may be conducted on a **national, regional, or local** scope depending on the appropriate level of recruitment. Procedures for conducting external searches <u>provide the standard method for the advertisement and recruitment</u> of applicants for positions which are:

   a. Faculty;
   b. Executive;
   c. Staff exempt; or
   d. "Other academic" vacancies.

The term "other academic" includes staff exempt employees whose primary appointment involves instruction, research, or service, but who do not hold faculty rank.

2. **Internal Searches** – An internal search may be appropriate when the department can identify a sufficient pool of qualified applicants from current UT faculty or staff to be potential applicants for a vacant position in the department or program. An external search would then be required to fill the vacated position remaining as a result of selecting an internal candidate.

NOTE: Additional executive search requirements apply to internal positions titled in the executive and managerial job group (i.e., manager; assistant director; associate director; director; executive director; chair; assistant dean; associate dean; and dean) and/or chief executive and managerial job group (i.e., assistant vice chancellor; associate vice chancellor; vice-chancellor; executive vice chancellor; and chancellor) searches.

3. **Executive Searches –** In accordance with the search guidelines, review and approval from UTHSC's Office of Equity and Diversity are required for any academic administrative position in the EEO job groups of chief executive and managerial or executive and managerial. Further, approval from the Assistant Vice Chancellor of Equity and Diversity and UTHSC's Chancellor is required at various stages in the search process.

Specific requirements of **executive-level** searches are noted throughout this manual. These procedures apply whether an external or internal search is conducted for the executive-level position. These searches follow UT campus procedures with the additional requirements noted throughout.

4. **Positions with Limited or Exempted Search Requirements** - Limited or exempted procedures may be available for the recruitment and hiring of personnel for acting or interim appointments, restricted account positions, promotions in place, postdoctoral research positions, lecturer and instructor positions, coaches and limited duration positions *provided that* all criteria are met. Any other exceptions to the search procedures will be reviewed for approval by OED and will be approved only after consultation with all appropriate administrators. Please consult with OED regarding any request for a search exemption.

Note: As chief affirmative action officer for the University of Tennessee Health Science Center, exceptions may also be granted by the Assistant Vice-Chancellor of the Office of Equity and Diversity, Executive Vice Chancellor and/or the Chancellor, or their designees.

External Search Procedures

There are 10 Basic Steps for conducting an external search at the University of Tennessee Health Science Center:

Step 1 - Form a Search Committee and develop a Position Description. (Page 8)

Step 2 - Advertise for and recruit applicants. (Minimum of 30 business days advertising) (Page 11)

Step 3 – Acknowledge applications. Direct candidates to apply on the HR employment website. (Page 12)

Step 4 – Screen and evaluate select candidate profiles. (Page 12)

Step 5 – Screen and evaluate candidates for the Principal and Secondary Pools. (Consideration of the EEO Self-Identification pulled from Taleo records) (Page 12)

Step 6 - Prepare *and submit Strength and Weakness statements in Taleo and Request OED approval for primary and secondary candidate pools prior to inviting candidates to an on-campus interview.* ***Additional step for Executive-level searches: Prepare a Narrative Summary form; submit for approval for on-campus interview along with a letter or request to interview principle candidates (i.e., chair; assistant/associate dean; dean; assistant/associate vice chancellor; vice-chancellor; chancellor) (Page 13)***

Step 7 – Invite candidates to interview on-campus; Conduct Interviews. (Page 15)

Step 8 – Select Top Candidate(s) and request EEO/AA Hiring Authorization in Taleo for the selected candidate **prior** to making an offer. (Page 15)

Step 9 – Negotiate and make an Offer of Employment. (Page 16)

Step 10 – Contact OED with the candidate's official start date after the offer has been accepted and the candidate clears pre-hire screening.

These steps will be explained in detail in the following pages as are the steps in the Faculty Search Process.

Formation of a Search Committee

The Hiring Official[1] of an organizational unit or department in which a vacancy has occurred recommends a Search Committee to OED and Office of Chancellor for approval prior to scheduling a search committee charge meeting. Every effort must be made to secure diversity in the composition of the search committee unless it is impractical to do so. There is no required number of members. Standing search committees may be created to serve the recruitment and selection needs of a department.

As a general rule:

1. The members of the search committee should reflect the commitment to diversity, inclusion, and the affirmative action initiatives of the UTHSC and thereby should be comprised of a combination of persons including women and underrepresented minorities.
2. Persons outside the hiring department unit may be appointed or invited to serve on an internal search committee.
3. For all internal searches, the search committee shall be chaired by a person from outside the department for which the search is being conducted.

4. **All Executive Administrative searches must have a racially diverse search committee that has been charged by OED.**

Developing a Position Description

Optional Form: Faculty Job Description Template

A properly constructed position description establishes the criteria to be used for advertising and the evaluation of applicants. The position description must include all **required/minimum and desired/preferred** qualifications. As an example, if an advanced degree, a specific field of expertise, professional certification, or experience in a particular field is necessary to perform the job, the position description should so indicate. At the same time, narrowly focused requirements that are not critical for the performance of the job should be avoided as they tend to unnecessarily exclude applicants who might otherwise be qualified for the position.

Position descriptions should generally include the following:
1. Title for the proposed position.
2. Employment classification of the position, i.e., administrative (with/without faculty rank, tenure and non-tenure track), faculty ("Assistant"/ "Associate" professor), or staff exempt. (See page 21 regarding Open-ranked positions)
3. Anticipated starting date and duration of the appointment (if applicable).
4. Salary range or notation stating competitiveness.
5. *Required** and *Desired* qualifications for the positions. In cases where advanced degrees are expected, a hiring nit may designate time parameters for receipt of the degree (i.e., "*Successful candidate must have Ph.D. at the time of appointment*").

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[1]Titles of the administrator initiating the search may vary from unit to unit. The titles "department head", "director", "dean", are not meant to be exclusive. All UTHSC units are also governed by these procedures.

*Applicants who do not meet the standard required qualifications cannot be considered for Principal (Primary) or Alternate (Secondary) candidate status[2]. Stated "required qualifications" cannot be waived without re-advertising the position and inviting all former applicants to reapply.

6. Specific job duties, as appropriate.
7. Preferred deadline for receipt of applications. It may be useful to include the statement that "Review of applications will begin on (DATE) and will continue until the position is filled." This allows the committee to consider applications received <u>after</u> the preferred deadline while identifying a target date for submission by interested applicants.
8. Request for a cover letter, resume or vitae, and references (either names or written references).
9. Contact person with a name, address, and telephone number (usually the Search Committee chair is listed as the contact person).
10. **Executive Exempt titled positions** must also include in the job announcement the following statement: "Applicants should have a demonstrated commitment to and knowledge of equal employment opportunity and affirmative action."

Common problems with position descriptions include:
- A designation of a set number of years of experience such as 5 years. This requirement would mean that an applicant with 4 years and 11 months of experience would be unqualified under the terms of the description.
- Extremely limited degree requirements (although this may be appropriate, depending on the position). In one instance, the type of degree programs required was so limited it would have disqualified graduates from programs at Harvard and Stanford.
- Failure to indicate whether "experience" includes student or graduate-level work.

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[2]As a general rule, this document uses "applicants" to refer to persons who submit an application for a position while "candidate" is used referring to applicants in principal (primary) or alternate (secondary) pools selected by the search committee for consideration for the position.

Initiating A Search

See IRIS Section in [Faculty and Executive Administrative Taleo Manual](#). The process below outlines the steps in initiating a search, beginning in IRIS.

Faculty Search Process

1. Before the position is posted: College/Department will create a posting for the position and form a Search Committee.

2. The designated business manager/designee will enter the position and posting information in the Position Create/Change eForm in IRIS using the steps below:

   a. Originator completes the online e-form using transaction **ZPPOSITION000**.
   b. Originator submits the completed e-form to workflow for electronic approval and receives a position number for the requested position.
   c. Each reviewer/approver on the workflow route reviews/approves the request.
   d. At the final destination on the workflow path (usually the Human Resources Compensation Office), the position request is reviewed before final processing.
   e. Originator receives an email that the process has been completed and the new position is ready for use in IRIS. This email should be forward to designated OED administrator along with the completed [Faculty Job Description Template.](#)

Note: Once the position data is transferred into Taleo, OED will modify the posting data.

3. OED will review and approve the job description and post the position on the HR site.

Executive Administrative Search Process:

1. Designated business manager/designee will enter the position and posting information in the Position Create/Change eForm in IRIS. Once the position data is transferred into Taleo, OED will modify the posting data.

2. Designated business manager/designee will schedule a meeting for an OED representative to Charge the Search Committee, and in some instances, this may include the Office of the Chancellor.

3. OED will review and approve the position posting and post the position on the HR site.

Advertisements and announcements of the position vacancy may be placed in publications immediately upon approval in IRIS. Ad placement may occur prior to the required search committee meeting with OED.

The date of approval by OED serves as the beginning of the requirement that a position is open for at least 4 weeks (business days) unless a reduced time period is approved by OED. *Requests for a reduced time period must be in writing and must set forth justification to support the request.*

NOTE: OED and/or Human Resources (HR) will post all open positions on the website, this information is updated regularly to ensure the accuracy of information. Contact OED for deadlines for posting to the website.

Required Charged Meetings and OED - **The Search Committee Chair, Department Chair, Dean, Director, or Vice Chancellor will respectively attend a charge meeting with OED present to deliver its charge to the Search Committee.** Contact OED at 901-448-2112 to schedule the meeting and request any additional information.

For a search without formal search committees, the requisition review and approval serve as the required meeting.

Advertise for and Recruit Applicants

From the time that the initiated search is approved, a search must remain open to applicants for a minimum of **four weeks (i.e., 30 days).** The Search Committee will determine where and how it will advertise a position. Search Committees are not required to advertise in any particular publication or to contact any particular group; rather, committees are encouraged to spend their time and advertising dollars on publications and methods relevant to the position that will yield a diverse pool of applicants. Each Search Committee member should maintain individual **contact logs** to record recruiting efforts during the search, including, but not limited to, letters, e-mails, and telephone calls. Contact logs are available on the OED website or may be requested by contacting OED at 901-448-2112.

The Office of Equity and Diversity maintains lists of *potential* recruiting resources. **See Appendix A for a complete listing.**

Additional recruiting sources include:

1. Placement of position announcements in professional journals, websites, or vitae bank services.

2. Contact with Departments at other colleges and universities offering relevant degrees, in an effort to solicit applications or nominations of qualified individuals.

3. Promotion of the position via UT and other websites, list serves, e-mail lists, some examples are: www.chronicle.com; www.higheredjobs.com; www.diverseeducation.com; www.academic360.com; www.hercjobs.org

4. Promotion of the position through professional associations and local/regional organizations

5. Contact with prospective applicants identified through referrals or as a result of recruitment efforts, including other UT departments and campuses and current UT employees.

6. Promotion of the position by contact with local and campus-based groups and individuals such as the Office of International Affairs, as well as local community-based agencies, if appropriate.

Confidentiality

Confidentiality must be maintained throughout the search. This is to protect the integrity and candor of member-to-member discussion and to protect the identity of people who have allowed you to consider their names in candidacy. Candidates for university positions expect, and most universities and search committees grant, some level of confidentiality regarding identification and release of candidate-specific information. In addition, it is also generally accepted that there are obligations to protect the committee deliberations leading up to the selection of a final slate of candidates. However, because of Tennessee's Open Records Act, documents related to this search are matters of public record if requested. In accepting committee membership, each member assumed responsibility not to mention any candidate's name or status, or the content of any committee conversation, to any non-committee person within or outside UTHSC.

Acknowledge Applications

Form(s) Required: Letter of Acknowledgement - Template provided by OED

As resumes and curriculum vitae are received in Taleo, the Search Chair should send a letter to each applicant acknowledging the application (each letter should be identical). The Committee Chair may contact OED at 901-448-2112 to request information.

Screening and Evaluating Applicants

Each Search Committee will devise its own methods for review of applicant files. *The process and criteria used must be consistently applied to all applicants.*

1. The Chair of the search (or a subcommittee) may make a preliminary review of files to determine whether the applicant meets the qualifications specified in the position announcements. Files of applicants who do not meet minimum qualifications may be separated from those who meet minimum qualifications; however, the files should still be available for all committee members to review if they so choose. **Files may be uploaded to the OED SharePoint site.**

   Note: For Executive-level searches, All applicants, even those who do not meet the minimum qualifications must be included in the statistics for the *Narrative Summary form.*

2. Search Committee may elect to develop scoring sheets or screening forms. If scoring sheets or other forms are used, they need to be kept as part of the department's search records. OED *does not* need copies of such sheets. Scoring sheets or other evaluative forms, if used, do not need to be signed.

3. Search Committees may select a range of top applicants and develop written questions for their response. This may be particularly helpful in narrowing a very large pool of applicants. The search committee may extend the initial screening process.

4. Search Committees may elect to develop a rating system that assigns weights to particular "required" or "desired" criteria. *See Appendix B*

5. Search Committees may require writing samples, such as copies of journal articles, or other documents as a means of evaluation of applicants.

Any criteria must be applied to *all applicants* at each appropriate level. **Applicant pools may be used to fill more than one position if the requirements of the positions are identical. Please consult with OED if this issue arises.**

Consideration of Self-Identification Form

Information collected electronically, from the EEO Self-Identification section of the online application will provide a profile of the applicant pool. This profile will be provided to the Search Committee Chair by OED. The Search Committee or Chair should review the composition of the candidate pool to evaluate the adequacy of representation of underrepresented minority applicants. If the committee believes that the applicant pool does not adequately represent the composition of available candidates, the committee may consult with the Dean, Director, Vice-Chancellor, or OED for additional ideas to augment or extend recruiting efforts. Other options include:

1. If the search has been advertised without a cut-off date for receipt of applications, additional efforts may be made to broaden the applicant pool.

2. If a cut-off date has been stated in the job announcement, the position may need to be reevaluated and reopened for application via an advertisement in all sources used previously.

3. If the committee determines that reopening the search is appropriate, all applicants should be notified in writing of the reopening and asked to affirm/withdraw their application. Even if an applicant does **not** respond to the request for affirmation, he or she must be considered for the reopened position and must be included in the narrative summary for statistical purposes.

Principal (Primary) and Alternate (Secondary) Candidate Pools

As referenced in the *Administrative and Faculty Taleo Manual*, all candidates must be progressed through the candidate workflow process in Taleo. Pool designation for each qualified candidate must be accompanied by a statement of strengths and weaknesses to obtain pool approval and authorization to interview on-campus.

Principal (Primary) Pool

When the Search Committee is comfortable with the quality and composition of the applicant pool, it should devise a list of **Principal (Primary) Candidates**. The pool should provide a selection of qualified candidates who will be invited for a campus interview and considered for the position. All Principal (Primary) Candidates **must** be invited to interview (although a candidate may turn down an invitation to interview.) The Search Committee must identify, in Taleo (and the ***Narrative Summary*** form for Executive-level searches), each Principal Candidate's relative strengths and weaknesses.

Alternate (Secondary) Candidate Pool

A list of **Alternate (Secondary) Candidates** may also be developed. Alternate (Secondary) Candidates should be those candidates who are under further consideration for the position in the event that none of the Principal Candidates are selected for the position. These candidates must also meet the minimum qualifications for the position. *If no one is selected from the Principal (Primary) pool following interviews or offers of interviews, the Search Committee may elect to interview one or more candidates in the Alternate (Secondary) pool. Alternate (Secondary) pool candidates may be interviewed one-by-one, in no particular order.*

Note: The statement of strength and weaknesses is **required** in Step 6 of the Taleo candidate workflow as discussed in the *Faculty and Executive Administration Manual.*

Strength and weakness statements for each Alternate Candidate must also be included as an attachment to the *Narrative Summary* form for Executive-level searches.

If females have applied for the position, but none of the female candidates were selected for the Principal or Alternate pools, the committee must include a brief description of the strengths and weaknesses of each excluded female applicant.

Likewise, if self-identified underrepresented minorities have applied for the position, but none of the minority candidates were selected for the Principal or Alternate pools, the committee must include a brief description of the strengths and weaknesses of each excluded underrepresented minority.

In an Executive Exempt job titled search, strengths and weakness statements must be provided for <u>all</u> applicants where underutilization is present.

The Narrative Summary Form for Executive-Level Searches

Form(s) Required: Narrative Summary Form

The *[Narrative Summary]* form must be approved <u>before</u> candidates can be invited for on-campus interviews. The *Narrative Summary* documents the activities of the search committee, and the methods and actions taken to advertise the position, recruit applicants, and select the Principal (Primary) and Alternate (Secondary) candidate pools. This documentation is required to show that diligent efforts have been made to ensure that all appropriate equal employment opportunity and affirmative action, and diversity initiatives have been taken.

Note: The Narrative Summary form has been developed to simplify the Narrative Summary process. Contact OED (901)448-2112 or visit our website to access a copy.

Information to be included in the *Narrative Summary* form:
1. General Search information (department, position, OED File Number);
2. Search Committee composition;
3. Recruiting and advertising efforts;
4. Professional organizations, caucuses and referral sources with which the vacancy was listed, dates of the listings;
5. Explanation of extraordinary efforts used to contact and encourage applications from qualified

women and minority candidates.
6. List of all candidates and EEO Self-identification information (obtained from OED) using the format similar to the example contained in the Narrative Summary form;
7. All required signatures and the date of review lines (department, chair, dean, Vice-Chancellor, OED, **Executive Exempt: Systems Administration**);
8. Required attachments to the Narrative Summary form:
   a. Copies of completed *Summary of all Individual Contacts* forms,
   b. List of all candidates with the principal (primary) and alternate (secondary) pool candidates identified,
   c. Strength and weakness statements for the principal (primary) and alternative (secondary) candidates,
   d. List of strength and weakness statements of excluded female or underrepresented minority applicants **only if** women and/or underrepresented minorities have applied, but were excluded from the principal (primary) and alternative (secondary) pools (**Executive Exempt job titles:** strengths and weaknesses of all underrepresented minority candidates);
   e. Curriculum vitae or resumes of all principal (primary) or alternate (secondary) candidates.

Invite Candidates to Interview; Conduct Interviews

Upon approval of the Taleo Primary/Secondary pools or *Narrative Summary* form by all appropriate parties, identified principal candidates may be invited for interviews.

The Chair or Search Committee should determine who should be involved in the interview process. **(Hiring Officials should not be directly involved with any portion of the search process once the committee has been charged, more importantly, a Hiring Official should not have any direct involvement with an active search after charging the Search Committee.)** Ideally, this planning should take place shortly after the search has begun.

Selection of Top Candidate(s)

After the interview process is complete, the Search Committee will evaluate and recommend the top candidate(s) for consideration to the Hiring Official over the hiring unit. Top candidates do not have to be submitted in any ranked order *unless* so requested.

The Hiring Official will communicate to the designated Hiring manager and Assistant Hiring Manager with Taleo access, to initiate EEO/AA Hiring Authorization request in Taleo for the selected candidate(s). OED will review the hiring and interview process prior to the approval of the proposed hire.
Official offers of employment can only be extended by the appropriate Vice Chancellor, Chancellor or Dean.

If the offer is rejected, please see **Initial Offer is Rejected**.

Making an Offer of Employment

Only the Vice Chancellor, Executive Vice Chancellor, or Chancellor may extend the formal offer of employment to positions titled Executive Director, Dean, Executive Dean, Assistant Vice Chancellor, Associate Vice Chancellor, or Vice Chancellor.

The process of making a formal offer of employment involves several steps.

While some of the processes below do not specifically involve Search Committees or OED, the entire process is provided in response to suggestions from Department Chairs that it be included for information. **Non-Faculty Staff Exempt and Staff Non-Exempt positions require directive from HR**. The steps are:

1. **Staff Exempt Employees:** (initiated by the Hiring Official)
    a. Once a candidate is selected from the OED approved interview applicant pool, the Business Manager/designee initiates electronic employment authorization naming selected candidate and all other candidates with justification for non-selection for approval by Human Resources.
    b. The HR Office will complete the recruitment process and make a formal offer of employment. Further, HR will make the necessary changes in the selection.

2. **Faculty and "Other Academic"**
    a. The Business Manager/designee initiates the electronic personnel requisition;
    b. Completion of relevant institutional IRIS approvals;
    c. OED reviews the job description and advertising information;
    d. OED reviews and approves primary and secondary pools in Taleo;
    e. Search Committee conducts interviews of approved qualified applicants;
    f. The offer of employment is made upon affirmation of acceptance by the selected candidate.
    g. In collaboration with Faculty Affairs, the Faculty Appointment Agreement and other related documents are completed.

Internal Searches

Internal searches must follow the same procedures as external searches (outlined on Page 7) except that:

1) the department must make a written request which includes a rationale for conducting the search outside of the standard search procedures;
2) the request must be approved by the Dean, the Vice-Chancellor or Vice President, and the Assistant Vice Chancellor of OED.
3) such searches are only open to current UT System and campus employees;
4) advertising is **not** required; however, the position must still be placed on the UT System [Human Resources Job Board](#) with a designation that it is an **internal search**, and appropriate steps should be taken to notify potentially qualified applicants within the University System; **and**
5) position vacancies need only be open for **ten business days** (rather than four weeks) from the dates of full signatory approval signed by the appropriate campus administrators and Assistant Vice Chancellor of Equity and Diversity. **The position will be removed at the end of the tenth business day.**

An internal search is not an appropriate mechanism to affect a promotion. Internal searches are an exception to the standard search process and will be carefully considered by OED. Requests for internal searches should be able to identify the existence of a *potentially qualified applicant pool* that already exists within the University of Tennessee System.

Note: Executive Exempt searches approved as internal searches must still follow the additional requirements set on page 18.

Quick Reference for Conducting Executive Exempt Searches

"Executive Exempt" searches include searches conducted for the following positions:

1. Vice President
2. Associate or Assistant Vice President or Chancellor
3. Associate or Assistant Vice Chancellor
4. Dean
5. Associate or Assistant Dean
6. Academic Department Chair

Additional Requirements: Executive Exempt searches must follow the procedures outlined on Page 10, along with the following additional requirements. These additional procedures apply whether an external or internal search is conducted for the executive exempt job titled position:

1. Pre-approval to conduct an Executive Exempt job titled search must be obtained from the UTHSC Office of the Chancellor *before* the search begins;
2. Search committees must include women, members from underrepresented minority groups, or members from underutilized groups as identified in the affirmative action plan;
3. The job postings must contain the following statement: "Applicants should have a demonstrated commitment to and knowledge of equal employment opportunity, affirmative action, and diversity and inclusion;"
4. The Assistant Vice Chancellor for Equity and Diversity must review an Executive Exempt search at all levels (*Narrative Summary*);
5. Minutes must be kept for all upper-level Executive Exempt Search Committee meetings and submitted along with the *Narrative Summary* form;
6. Strength and weakness statements must be submitted for **all** women and underrepresented minority candidates regardless of any representation of underrepresented groups including women in the Principal (Primary) or Alternate (Secondary) pools of an upper level (Executive Exempt) search.

Positions with Limited or Exempted Search Requirement

1. **Acting Appointments -** Acting appointments (also sometimes referred to as "interim" appointments) are filled with internal candidates and normally continue for a period of *up to one year*. Any acting appointment extending beyond the one-year limit must be approved by the Provost, the appropriate Vice Chancellor or Chancellor, and by the Assistant Vice Chancellor for OED. A written request seeking the extension of an acting appointment must include a rationale as to why a search for a permanent appointment cannot be made during the year. *If the acting or interim appointment will involve an **upper level (executive exempt titled)** position, approval must also be obtained from the Office of Equity and Diversity.*

Because the University recognizes the unequaled opportunity that an acting appointment creates to train, expose, and enhance the credentials of candidates for future permanent positions, such appointments should be made only after careful consideration of **all** potential appointees.

Acting appointments may only be filled with internal candidates.

- *An ACTING appointment is defined as a position filled on a temporary basis to replace a regular incumbent employee on leave**.** The expectation is that the regular employee will be returning to his/her regular position in the future. An acting appointment is temporary.*

- *An INTERIM appointment is defined as a position filled on a temporary basis while a search is being conducted, or a department/unit reorganization is taking place. When appointing someone to an Interim position through a competitive process, the Hiring Official must consult with the OED to engage the search process.*

2. **Restricted Account ("soft money") positions** – A standard is not required for positions funded by soft money; however, the hiring department must follow these steps:
   a. The department must identify the restricted account information in the requisition. Approval by HR and Finance will occur electronically;
   b. The vacancy must be posted for a minimum of one week on the University's vacancy list (contact HR regarding staff positions except those in the executive and managerial job family);
   c. Applicants for the position should be sent a letter of acknowledgment;
   d. The department must maintain all records that substantiate information regarding searches for faculty, academic administrator, or executive administrator positions. These records include all applicant files and all records of the selection of an individual for ten (10) calendar years after the effective date of appointment of the individual. These records may be sent to Records Management or held within departmental files.

3. **Promotions in Place –** A search conducted in accordance with standard search procedures is not required provided that:
   a. The promotion, if effected, does not leave a residual vacancy to be filled, **and**
   b. The promoted individual does not move to another office, organization structure or location, **and**
   c. The request to affect a promotion is justified in writing and receives approval from the appropriate budgetary unit, Office of Chancellor, and OED **prior to** the effective date of

the promotion.

Examples of "promotions in place" include such actions as the reclassification of an individual from Assistant Dean to Associate Dean or the reclassification of an individual from Computer Programmer Analyst to Senior Computer Programmer Analyst.

4. **Lecturer and Instructor** – The position of Lecturer and Instructor is a renewable, year to year, non-tenure track appointment. These positions may post for seven (7) days as an expedited search, ten (10) days if they are non-tenure track, or thirty (30) days as a preference of the Hiring Official.

5. **Limited Duration Appointments** – This procedure may be available for short-term (12 months to 3-years) staff positions, that are non-recurring, project-specific, or purposes of uncertain or limited duration. Please contact OED or HR for information regarding the applicability of this procedure for the vacancy in question.

Joint Appointments

Definition – Faculty handbook file:///C:/Users/dcrock12/Documents/2018-august-uthsc-faculty-handbook-final.pdf

Joint appointments involve the faculty member's participation in the activities of two or more departments. The "base" department is the principal department to which the faculty member is attached. The "primary" appointment is the appointment to the base department. Any appointment in another department or academic unit is called a "secondary" appointment. Thus, a faculty member may have faculty appointments in two or more departments; collectively, these appointments are called "joint" appointments. On personnel matters for a faculty member with joint appointments, there must be appropriate consultation between the base department and the Chair(s) and faculty of the secondary academic unit(s). In the unusual situation where joint appointments involve equal time divided between two or more departments, the faculty member must elect one of the departments to be the base department.

In the case of joint appointments, the faculty member who is to receive joint appointments should have documented credentials in the discipline of each department. In addition, the joint appointee should have a documented bona fide role in each department. The Chairs of the departments involved have shared responsibilities to reach an agreement on the joint appointments and should work in concert in developing recommendations to the Dean(s) concerning such appointments, with the agreement of the faculty member involved. The academic rank need not be the same in each department and, if different, generally is higher in the base department. In considering joint appointments, each Chair should bear in mind the value of the faculty member's contribution to UTHSC or the college, not just his or her own department. An individual, holding joint appointments in two or more departments, should be evaluated regularly by the respective Chairs for his or her contributions to each respective department, with the frequency of such evaluations depending on the classification of the joint appointments (Section 6.2).

Intercampus Joint Appointments

Intercampus academic appointments are joint faculty appointments, involving UTHSC and either another UT campus or a non-UT college or university. Intercampus academic appointments are sometimes authorized when a faculty member at one university campus has expertise that qualifies him/her for participating in the work of a department on another university campus and when the other department has need of his/her services. The definition and extent of such intercampus participation are determined by mutual agreement among the faculty member, the Department Chairs in consultation with appropriate faculty of the academic units involved, and the respective deans or other campus officers. In such cases, the following guidelines are observed:

1. The appointment is usually without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment), and tenure status (if any) and salary continue to be linked with the base department.

2. In the cooperating department on the other campus, the title of the faculty member is determined by mutual agreement between that Department Chair and the faculty member, subject to approval by the appropriate campus officers.

3. Following informal discussion or negotiation, the Department Chair of the base department recommends the intercampus appointment to the Department Chair of the cooperating department.

4. The appointment is made by the cooperating department, subject to the standard approvals of the other campus.

Consult with OED for joint appointments involving non-faculty exempt staff employees within a college/department and administrative unit (e.g., Academic unit/Administrative unit).

Adjunct Appointments at Other Institutions

A UTHSC faculty member may accept an adjunct or volunteer faculty appointment in a non-UT college or university. An adjunct appointment must be approved by the faculty member's Chair.

Open-Rank Positions

Applicants for faculty openings should be apprised of the criteria[3] that enable consideration for the various rank in the advertisement because it removes any ambiguity, and more importantly, it will enhance the search committee's ability to be effective in the search process. OED strongly encourages departments/colleges to be more deliberate in communicating what determines consideration for the various open rank opportunities.

Instructor is the entry-level rank for those who have recently completed their postdoctoral training, residency, or fellowship training. This rank is appropriate for new faculty, generally with M.D., Ph.D. or equivalent degrees, who have the potential for academic advancement. In some instances, an Instructor holds a minimum of a master's degree or equivalent, has completed most or all requirements for the doctorate or equivalent, and is expected to demonstrate effectiveness primarily as a teacher.

Assistant Professor level faculty will be required to have an established research agenda, a commitment to teaching and scholarly or professional work of high caliber and a clear potential for external funding, and potential for scholarship or creative expression to complement and expand existing expertise in the division.

Associate Professor level faculty meets the requirements for appointment as an assistant professor, enjoys a national reputation as a scholar or professional, shows a high degree of teaching proficiency and commitment, and demonstrates public, professional, or University service beyond the department.

Full Professor level faculty meets the requirements for appointment as an associate professor, and, in addition, will be required to have a well-developed scholarly/research portfolio with evidence of multi-disciplinary applications and external funding appropriate to complement and expand existing expertise in the division/department/college. To include a distinguished record of accomplishment that leads to an international or, as appropriate, national reputation in his or her field.

All candidates should have demonstrated experience working in and fostering a diverse faculty, staff, and student environment or commitment to do so as a faculty member at _____ University.

Some examples are offered below.

_____

EXAMPLE I
Open-Rank, Tenure-Track Faculty Position in the Department of Genetics, Genomics, and Informatics

The Department of Genetics, Genomics and Informatics at the University of Tennessee, College of Medicine seeks outstanding candidates for open-rank, tenure-track faculty positions with a research focus in translational genomics, genome Informatics, or systems genetics. Investigators working at the interface between genetics, neuroscience, human development, and pharmacogenetics *should demonstrate the ability to conduct high quality research, secure extramural funding, teach relevant courses and advise students in degree programs*. Rank of appointment and seed funds will match experience, productivity, and support history. Applicants should possess a doctoral degree (PhD, MD,) in _____, _____, _____, or a related discipline at the time of appointment.

The new Department of Genetics, Genomics, and Informatics is made up of a small group of basic science faculty with research interests in the genetics of complex diseases using murine models. A larger group of faculty with expertise in human genetics (and potential collaborators) are housed in other departments and colleges at UTHSC and affiliated institutions—including the Oak Ridge National Laboratory, St Jude Children's Research Hospital, and the University of Memphis. UTHSC is a research hub for the field of systems genetics and has been responsible for the creation of new models and novel statistical genetic approaches.

EXAMPLE II

Physical Therapy - Tenure-track, an open rank position with a joint appointment. The primary responsibility is in the Human Gross Anatomy Laboratory. Responsibilities include performing cadaver pro-sections to support instructional design, delivery, and student learning. Additional needs in teaching include musculoskeletal and neuroanatomy related courses.

Qualifications include an earned academic doctorate in Anatomy or a closely related discipline and a background in kinesiology, neuroscience, or biomechanics will be beneficial. ABDs will be considered at the rank of instructor with the completion of the doctorate within twelve (12) months of appointment. Also required: a minimum of three years of teaching experience in an academic and/or clinical setting; a record of scholarly achievement and eligibility for PT licensure in Tennessee (if physical therapist). A review of applications will begin on November 1, 2020, and continue until the position is filled.

Multiple Openings

Instances of having multiple openings for a position requires one posting on the applicable hiring sites. Departments may specify the availability of multiple openings within the advertisement.

Problems That May Arise During A Search

Occasionally, problems will arise during a search. Listed below are a few situations that may require special attention.

Inadequate Candidate Pool

If a search committee is not satisfied with the applications received for a position, it may wish to consider:

1. Revising the job requirements – the search committee may wish to change the stated required qualifications for the position. If this occurs, the new job description must be reviewed by OED and must be re-advertised. **This may require the current requisition/pin to be closed and a new one created in IRIS.** Additionally, applicants for the former position must be contacted and invited to reapply (see templates in Appendix C). This can be accomplished through email correspondence.
2. Advertising the position in different publications (second round of ads) – the committee may wish to consider expanding its advertising efforts to include a wider range of regional or national publications.
3. Increasing personal contact efforts – the committee may wish to consider participating in regional or national conferences as part of its recruitment efforts.

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[3]Source: Boston University, "Classification of Ranks and Titles", Retrieved on September 5, 2019, https://www.bu.edu/handbook/appointments-and-promotions/classification-of-ranks-and-titles/

Placing a Search on "Hold"

Sometimes a department will begin a search that cannot be filled as expected. In such situations, the department should submit a request to place the search on "Hold". The request should identify the search, the status of the search, and the reasons why the "hold" is requested. The request should be submitted to all appropriate parties (Dean, Vice Chancellor, or Chancellor and OED) for review and signature. (See templates in Appendix C.)

Extension of a Search Beyond a Period of One Year

Usually, a search is approved for a period of one year or less beginning with the position approval in IRIS. If a search goes beyond the expected one-year period, the Department Head must submit a letter to all appropriate parties explaining the status of the search and the reason for the requested time extension. Extensions are typically granted, applicants for the existing search should be notified of the status and asked whether they still wish to be considered as applicants for the extended search.

If it is determined by OED that the length of the extended search may compromise the applicant pool, OED may recommend that the existing search be closed and that a new search be opened. If this occurs, the existing applicant pool should be notified of the status of the search and asked whether they wish to reapply for the position. (The goal is to refrain from carrying open positions with applicants across multiple Affirmative Action Plan years.)

Candidates Who Apply After Approval of the *Narrative Summary* ("late" applicants)

It is recommended that all searches be advertised with open dates for applications (see page 13). If a search has been advertised in this manner, the Search Committee can continue to consider applications until the job has been filled. If it is the opinion of the Search Committee that a "late" applicant should be considered a **principal (primary)** or **alternate (secondary)** candidate, the committee chair may consult with OED and add the applicant to the *Narrative Summary* form.

To add an applicant to the principal (primary) or alternate (secondary) pool, the requesting department should write a memo to the appropriate Dean or Department Chair explaining the circumstances. The memo should include signature lines for the Dean/Vice Chancellor/Chancellor and OED. A copy of the applicant's resume/vitae and strengths and weaknesses should be attached to the memo.

Initial Offer is Rejected

If an offer is made to a candidate who then rejects the offer, the Hiring Official will work collaboratively with their Business Manager/designee and OED to make the necessary adjustments in Taleo to update the newly selected finalist. The new proposed finalist must be someone identified in the approved search candidate pool. Upon approval by OED, the offer process can be initiated.

If the position is not accepted by any finalist, the Hiring Official should provide written notification to all appropriate offices and consult with OED to determine what actions will be taken on the existing search.

Principal candidates may be contacted, and interviews scheduled as soon as the primary and secondary pools have been approved by OED in Taleo. The interview process can be time-intensive. Careful, advanced planning on the part of the search committee can help make the process as productive as possible. The interview process provides the department an opportunity to further assess a candidate's credentials; additionally, it provides an opportunity to promote the position and the campus to the candidate.

Note: *It may be helpful to start arranging potential interview schedules and time frames even before candidates to be interviewed have been identified. It is especially helpful to prearrange blocks of time for interviews with campus administrators whose schedules are often full well in advance.*

Scheduling and Conducting Interviews

Scheduling the Interview

1. Pay attention to detail. The candidate's first impression of the campus may come from the scheduling of the interview. Lack of proper planning may indicate a lack of real interest in the candidate.
2. Make arrangements for meeting the candidate at the airport and transporting him or her to the pre-arranged hotel or housing. Confirm all arrangements as far in advance as possible. Fax or send a copy of the itinerary, transportation, and housing arrangements to the candidate. Be sure to include the name of the person(s) who will provide transportation to and from the airport, and to and from the interview sessions.
3. Determine who should participate in the interview (faculty, staff, administrators, students). Consult calendars and schedule interview appointments as early as possible. Be sure to include those campus constituents with whom the candidate will interact. It can be very helpful to candidates if the relevance of each person involved in the interview process is explained. **Executive Exempt** searches: OED must be consulted during the interview process for candidates in an upper-level search.
4. Be consistent with the interview format and questions. Consider preparing a list of questions that will be asked of all candidates. Review the questions in advance and consult "Appropriate and Inappropriate Areas of Interview Inquiries," p. 26, or Appendix D.
5. Avoid altering an interview itinerary. Confirm the interview schedule with each person involved in the process prior to the candidate's visit to campus.
6. Consider scheduling breaks during the day(s) for the candidate; however, avoid having large unscheduled gaps of time during the visit.
7. Provide an interview schedule for those involved in the interview process.

Conducting Interviews

Information Regarding Appropriate/Inappropriate Areas of Inquiry During the Interview, Reference Check stage of the Hiring Process

Interviewing candidates and checking references are critical steps in the hiring process. In an effort to provide guidance to members of search committees, interviewers, and those involved in reference checks, the following suggestions and information are provided:

Age: Avoid questions or inquiries into age. The Age Discrimination Act prohibits discrimination against applicants age 40 and over on the basis of age. This means that **anyone** over the age of 40 is protected by this law. As a general rule, there are **no** acceptable inquiries regarding age.

Disabilities: Under the Americans with Disabilities Act (the ADA), an employer is prohibited from asking about an applicant's disabilities, either directly or indirectly. For example, an employer cannot ask about an applicant's medical history, whether an applicant is disabled, or about the nature of any obvious disabilities. Prior to the ADA, employers often asked applicants whether they had any "physical or mental disabilities that would substantially limit the ability to perform the essential functions of the job".
This is no longer allowed under the ADA; **however,** you may still ask whether an applicant has the ability to perform the essential functions of the job (with no reference to physical or mental impairments or disabilities).

Note: The University no longer includes "handicap" or "disability" status on its Affirmative Action Self-Identification form for data purposes.

The ADA also limits pre-hire medical exams. With certain types of jobs, an employer can require a medical exam <u>after</u> an applicant has been hired. This issue will come up very rarely in the hiring of exempt staff and faculty at the University; however, if it does, the hiring department should contact HR before instituting such a requirement.

Note: The ADA covers many issues that may arise during the course of employment of an individual with disabilities; it would be impossible to cover all of the potential issues here. Departments with questions should contact OED at 901-448-2112.

Gender: Making employment decisions based on a candidate's gender is illegal (with very few bona fide exceptions) under Title VII and the Pregnancy Discrimination Act. Many inappropriate areas of inquiry related to gender issues:

    Availability for weekend or evening work: You may ask whether the candidate is available for weekend or evening work **so long as** both male and female candidates are asked **and** there is a true business need for the information (i.e., performing the job requires weekend and evening hours). Be careful to avoid inquiries into religious practices that might occur during these times.

    Children/Marital Status/Family: Avoid inquiries relating to pregnancy, future childbearing plans, or the number or ages of the candidate's children. In the past, some employers have had policies of hiring men but not women who have preschool-age children based on an assumption that the woman would be responsible for the care of the children (thus resulting in more absences).

Avoid questions about marital status or a spouse's job. You may ask in general terms whether an applicant has any commitments or responsibilities that would preclude the applicant from regularly meeting work schedules.

Race: Avoid all questions of this nature. Federal and state civil rights laws and University non-discrimination policies make it unlawful to discriminate on the basis of race.

Religion: Avoid all questions of this nature. Civil rights laws make it unlawful to discriminate against an applicant on the basis of religious denomination, beliefs, and practices.

National Origin: As mentioned under "Citizenship," avoid questions about an applicant's national origin. It violates civil rights laws to discriminate against an applicant because of his or her lineage, ancestry, descent, country of birth or national origin. If the job legitimately requires the ability to read, write or speak a foreign language or English, it is permissible to inquire whether the applicant has these skills.

Citizenship: This can be a *very* confusing area. On one hand, an employer is required by federal law to hire only those who are legally allowed to work in the United States. On the other hand, federal civil rights laws prohibit any discrimination on the basis of national origin (i.e., you can't decide NOT to hire someone only because he/she comes from another country). To be safe, you **may** ask whether an applicant is lawfully authorized to work in the U.S. Avoid all other questions regarding citizenship until after an offer of employment is made. At that point, if the offer is accepted, you are then required to request proof that the employee is legally able to work in the U.S.

Other Common Areas of Concern

Discrimination Complaints (filed with previous employers): Avoid questions about this possibility. Civil rights laws prohibit retaliation against an applicant because he or she has filed a discrimination charge, or testified, assisted, or participated in a discrimination investigation or proceeding. Do not confuse this prohibition with whether it is proper or improper to consider true information from a previous employer about someone with a record of engaging in discrimination.

Education: Obviously, it is proper to ascertain whether an applicant has the proper educational credentials for the position. You may verify the types and dates of degrees earned.

Employment History: You may consider where applicants have worked, length of prior employment, specific jobs held, and actual tasks, skills, and responsibilities performed in previous employment. You may also consider the applicant's record in regard to punctuality and attendance, as well as work quality and quantity. You may consider why the applicant no longer works for the previous employer and whether the termination was voluntary. You may also ask applicants to explain periods of unemployment.

Photographs: Avoid any requirement that a photograph accompanies an employment application.

Workers' Compensation Claims: Avoid all questions on this topic.

Reference Checks

Many search committees on campus find that it is most useful to limit reference checks to those candidates identified as being in the "Principal" pool or in both the "Principal (Primary)" and "Alternate (Secondary)" pools. When the committee is at the point of checking references, it is a good idea to consider what information the group deems important to receive from the references. Questions should be consistently asked of the references for the different candidates.

Often, a candidate or a candidate's reference will **voluntarily** provide information that may be inappropriate. If this happens, the interviewer or the person checking the reference should include only that information received that is appropriate to consider in determining whether a candidate is qualified for the position.

Approach to Contacting a Reference Check

It is preferable that you contact references by phone. Writing to the reference often results in little information or no response and does not provide an opportunity for clarification or additional information.

References should be contacted by a member of the Search Committee or Human Resources. If contact is to be made by Human Resources, please email the following information to an HR Generalist in the Employment, Compensation, and Technology area:

- Set of questions to be asked
- List of candidates and associated references
- Name of the person who the reference checks should be returned

Conducting a Reference Check

Conducting a reference check[4] is considered doing your due diligence in making a hiring decision. Well-constructed questions that evoke information about a candidate's past job duties, skills, and abilities are valuable to the process of selecting a candidate. We recommend that you:

- Identify yourself, your position, the candidate you are calling about, and the reason you are calling.

- Make sure you are calling at a convenient time or schedule a telephone call for later.

    o Ask the reference if they need to retrieve a file or other information.

- Describe the position the candidate has applied to and the necessary knowledge, skills, and abilities for the position.

- Make sure you are calling at a convenient time or schedule a telephone call for later.

    o Ask the reference if they need to retrieve a file or other information.

- Describe the position the candidate has applied to and the necessary knowledge, skills, and abilities for the position.

- Ask the same questions of all the references.

    o Determine the knowledge, key skills, and abilities needed for the position.

o   Write questions related to key points.

- Document the questions and responses.

- Thank the reference for his/her time and assistance.

Record-Keeping Requirements

Records of staff exempt (i.e., January 2012) and faculty and executive exempt (i.e., March 2019) searches executed through Taleo are maintained in three locations: The Office of Equity and Diversity, Human Resources, and the departmental office.

Records Maintained by OED: The *Narrative Summary* materials, and the electronic records in IRIS and Taleo constitute the official UT record of recruitment efforts. These will be maintained on file by OED and HR.

Records Maintained by the Department: Departments are required to retain all records (i.e. for 10 calendar years) that substantiate the information provided on the official UT records. These will include copies of the *Narrative Summary* materials, and any other information substantiating the search. In addition to substantiating documentation, departments must keep all candidate files and all records of scoring or selection.

Records must be kept for ten calendar years after the effective date of appointment of an individual to the position. These records may be sent to Records Management to be held for the required period or may be maintained in departmental files.

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[4] Source: "Guide to Checking References", Miami University, Retrieved September 9, 2019, https://miamioh.edu/human-resources/managers/hiring-process/guide-to-checking-references/

Faculty and Executive Administrative Search Process

Faculty Search Process:

1. **Before Position is Posted**: College/Department will create a posting for the position and form a Search Committee.

2. The designated business manager will enter the position and posting information in the Position **Create/Change eForm** in **IRIS**. Once the position data is transferred into Taleo, OED will modify the posting data.

3. OED will review and approve the position posting and post position on the HR site.

4. **Applicant Intake**: the designated business manager will go into Taleo to download applicant files and CVs and email documents to the Search Committee chair.

5. **Initial Screening**: Search Committee Chair will communicate with the business manager to update the status of applicants in Taleo. The business manager will add strength and weakness statements into applicants file with explanations regarding status changes (i.e. Does not have a requisite degree, currently funded, etc.)

6. **Before On-Campus Interviews**: Search Committee Chair will communicate with the business manager to update the status of applicants whom they would like to move into the primary and secondary pools. The business manager must add notes into applicants' files with explanations regarding status changes (i.e. Very little experience in a specific area, currently funded, etc.)

7. OED will review and approve primary and secondary pools in Taleo.

8. **Before Making an Offer**: Search Committee will communicate the selected candidate and information regarding the offer to the business manager to enter into Taleo for OED review.

9. OED will review and approve EEO/AA hiring authorization in Taleo and close position.

10. Once the candidate accepts the offer, clears hiring screening and acquires a start date, OED can close the position in Taleo.

Executive Administrative Search Process:

1. The designated business manager will enter the position and posting information in the Position Create/Change eForm in IRIS. Once the position data is transferred into Taleo, OED will modify the posting data.

2. The designated business manager will schedule a meeting for the OED representative to Charge the Search Committee.

3. OED will review and approve the position posting and post position on the HR site.

4. **Applicant Intake**: the designated business manager will go into Taleo to download applicant files and CVs and email them to the search committee chair.

5. **Initial Screening**: Search Committee Chair will communicate with the business manager to update the status of applicants in Taleo. The business manager must add notes into applicants file with explanations regarding status changes (i.e. Does not have a requisite degree, currently funded, etc.)

6. **Before On-Campus Interviews**: Search Committee Chair will communicate with the business manager to update the status of applicants whom they would like to move into the primary and secondary pools and upload a Narrative Summary to Share Point that includes the Strengths and Weaknesses of finalists for OED review.

7. OED will review Narrative Summary and obtain the appropriate signatures and upload to Share Point.

8. OED will review and approve primary and secondary pools in Taleo.

9. **Before Making an Offer**: Search Committee will communicate the selected candidate and information regarding the offer to the business manager to enter into Taleo for OED review.

10. Once the candidate accepts the offer, clears hiring screening, and acquires a start date, OED can close the position in Taleo.

Appendix

Appendix A – Potential Recruiting Sources

The Office of Equity and Diversity maintains a list of *potential* recruiting resources, including lists for:

- Advertising and Recruiting resources for Academic and Service Disciplines
- Historically Black Colleges and Universities
- Native American Colleges and Universities
- Local and State Colleges and Universities

Additional recruiting sources include:

1. Placement of position announcements in professional journals, websites, or vitae bank services.

2. Contact with Departments at other colleges and universities offering relevant degrees, in an effort to solicit applications or nominations of qualified individuals.

3. Promotion of the position via UT and other websites, list serves, e-mail lists, some examples are: www.chronicle.com; www.higheredjobs.com; www.diverseeducation.com; www.academic360.com; www.hercjobs.org

4. Promotion of the position through professional associations and local/regional organizations

5. Contact with prospective applicants identified through referrals or as a result of recruitment efforts, including other UT departments and campuses and current UT employees.

6. Promotion of the position by contact with local and campus-based groups and individuals such as Office of International Affairs, as well as local community-based agencies, if appropriate.

Appendix B – Candidate Evaluation Sheet
Source: https://advance.umich.edu/resources/

Candidate Evaluation Sheet

The following offers a method for department faculty to provide evaluations of job candidates. It is meant to be a template for departments that they can modify as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Candidate's Name: _____

Please indicate which of the following are true for you (check all that apply):

☐ Read candidate's CV
☐ Read candidate's scholarship
☐ Read candidate's letters of
☐ recommendation Attended candidate's job talk

☐   Met with candidate
☐   Attended lunch or dinner with candidate
☐   Other (please explain):

_____

_____

Please comment on the candidate's scholarship as reflected in the job talk:

Please comment on the candidate's teaching ability as reflected in the job talk:

Please rate the candidate on each of the following:

	excellent	good	neutral	fair	poor	unable to judge
Potential for (evidence of) scholarly impact						
Potential for (evidence of) research productivity						
Potential for (evidence of) research funding						
Potential for (evidence of) collaboration						
Fit with department's priorities						
Ability to make positive contribution to department's climate						
Potential (demonstrated ability) to attract and supervise diverse graduate						
Potential (demonstrated ability) to teach and supervise diverse undergraduates						
Potential (demonstrated ability) to be a conscientious university community						
Potential (demonstrated ability) to mentor diverse students						

Other comments?

Appendix C – Candidate Contact Templates

Notification of Elimination Letter (After Initial Screening)

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

The Search Committee for the position of _____ at the _____ met on _____ to review the applications received. After careful review of your job-related qualifications, the committee decided that other applicant's qualifications more closely matched the requirements for the job. Therefore, your application is no longer under active consideration.

The Search Committee would like to express its sincere appreciation for your time and interest in _____.

Sincerely,

Chairperson, Search Committee

Letter of Notification of Non-Selection after Phone Interview

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

Thank you for your interest in the position of _____ at _____. Your credentials were very impressive; however, at this time the search committee has selected other candidates to participate in the second part of the interview process.

Again, thank you for your interest in _____. I wish you much success in achieving your career goals.

Sincerely,

Chairperson, Search Committee

Letter of Notification of Non-Selection After Interview

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

Thank you for your interest in the position of _____ at _____. Your credentials were very impressive; however, another candidate was selected whose qualifications more closely matched the requirements of the position.

Again, thank you for your interest in _____. I wish you much success in achieving your career goals. Thank you for your interest in the University of Tennessee Health Science Center.

Sincerely,

Chairperson, Search Committee

Letter of Notification of Candidate's Status (After Interview)

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

While we are in the process of reaching a decision about the position for which you have applied, a final decision has not yet been made. Therefore, you remain under active consideration for the position. We would like to keep your application in our active file until a final decision is reached.

We should be contacting you within four to six weeks regarding the decision process. Please contact us if your application status changes.

Thank you for your interest in the University of Tennessee Health Science Center.

Sincerely,
Chairperson, Search Committee

Letter of Notification of Non-Selection for Interview (After Second Screening)

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

Although your qualifications are impressive, the search committee found others whose qualifications more closely match the needs of the department. You, therefore, are not among those under active consideration at this time.

We have not made a final decision, however. We would like to keep your application in our active file until a final decision is made. You should hear from us in four to six weeks regarding future decisions.

Thank you for your interest in the University of Tennessee Health Science Center.

Sincerely,

Chairperson, Search Committee

Failed (OR Terminated) Search Letter

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

Thank you for applying for the [Add name of position] position in [Add the college/department name]. We appreciate your desire to join the College of _____ at the University of Tennessee Health Science Center.

It is with regret that I am writing to inform you that the search (was not successful or was terminated) and no one in the pool of applicants is being further considered for the position.

On behalf of the Search Committee and Dean _____, I wish to thank you for your interest in the position and for your time and effort in applying.

Please continue to consider the University as a future employer. We encourage you to continue monitoring the University's Human Resources website at https://ut.taleo.net/careersection/uthsc_faculty/jobsearch.ftl?lang=en&portal=34100010159 for other employment opportunities.

Again, thank you for your interest in the University of Tennessee Health Science Center and best wishes for success in your job search.

Sincerely,

Chairperson, Search Committee

Letter to Inform Candidates They Are Still Being Considered

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

All of the completed candidate files for the position of _____ at the University of Tennessee Health Science Center have been reviewed by the search and screen committee. Because of the number of well-qualified applicants, screening to identify those who are most highly qualified has been difficult.

I am pleased to tell you that you are one of the candidates still actively being considered for the position. At this time, we wish to inform you that [PROCEDURE AND RATIONALE FOR NEXT STEP(S): *for example, finalists will be identified in the next four to six weeks; or we will be contacting you to schedule an interview, or the position is on hold because of uncertainty of funding, etc.*].

We appreciate your interest in the position and will keep you informed regarding the status of your application.

Sincerely,

Chairperson, Search Committee

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

It is a pleasure to confirm your visit to the University of Tennessee Health Science Center (UTHSC) campus as a finalist for the position of Executive Associate Dean in the College of Dentistry. Enclosed is a Finalist Information Packet that will help to answer any questions you may have about the College of Dentistry, UTHSC, and the city of Memphis. The packet references web sites for Memphis/Shelby County cities.

I have attached a copy of your interview schedule beginning [Date]. We have made reservations for you at the nearby [hotel name and location]. The College of Dentistry is located just east of the Peabody Hotel at 875 Union Avenue. Maps of the campus and city are enclosed for your convenience.

As I explained over the phone, we ask you [briefly describe the type and length of presentations expected]. We will arrange to have [specify materials, equipment for presentation requested by finalist] for your presentation.

Please feel free to call me with any questions or requests you may have. In the meantime, we look forward to meeting you.

Sincerely

Chairperson, Search Committee for Executive Associate Dean
Enclosures: Finalist Information Packet

Search on "hold" template

Date

Dr. Janet Smith
9026 Country Maple Cv
Cordova, TN 38018

Dear Dr. Smith:

All of the completed candidate files for the position of _____ at the University of Tennessee Health Science Center have been reviewed by the search and screen committee. Because of the number of well-qualified applicants, screening to identify those who are most highly qualified has been difficult.

At this time, we wish to inform you that the position is on hold due to [PROCEDURE AND RATIONALE FOR NEXT STEP(S).

We appreciate your interest in the position and will keep you informed regarding the status of your application.

Sincerely,

Chairperson, Search Committee

Appendix D – Legal and Illegal Interview Inquiries

Subject	What May Be Asked	What May NOT Be Asked
Name	Whether the applicant has worked for the University under another name. Whether any other information, such as a nickname or initials, is needed to check the candidate's work and educational record.	Maiden name of a married woman. Inquiries about the name that would seek to elicit information about the candidate's ancestry or descent.
Age	Discussion should be kept to questions about the applicant's career stage.	Inquiry into the date of birth or age of an applicant.
Gender	No questions.	Inquiry into an applicant's maiden name or any question that pertains to only one sex.
Sexual Orientation	No questions.	Inquiry into applicant's sexuality.
Religion	No questions, except in extremely rare and narrow circumstances where religious beliefs and practices could be a *bona fide* occupational qualification for a position, with the employer bearing a heavy burden to show that this is so.	Inquiry into an applicant's religious denomination, affiliation, church, parish, pastor, or religious holidays observed. Avoid any questions regarding organizations and/or affiliations that would identify religion.
Birthplace	No questions.	Birthplace of applicant or of applicant's parents, partner/significant other, or other close relatives.
Relatives	Names of applicant's relatives already employed by Harvard.	Names, addresses, ages, number, or other information concerning applicant's children or other relatives not employed by Harvard.
National Origin	An employer may require an employee to produce documentation that evidences his or her identity and employment eligibility under federal immigration laws.	Inquiry into the applicant's lineage, ancestry, national origin, descent, parentage, or nationality; nationality of parents or partner/significant other; applicant's native language.
Citizenship	Are you legally authorized to work in the United States?	Inquiries about citizenship or whether the applicant intends to become a U.S. citizen.
Language	What languages do you read fluently? Write fluently? Speak fluently?	Inquiries into how applicant acquired the ability to read, write, or speak a foreign language.
Education	Inquiry into the academic, vocational, or professional education of an applicant for employment.	Questions about education designed to determine how old the applicant is.
Experience	Inquiry into work experience. Inquiry into countries the applicant has visited. Inquiry into references.	Inquiry into organizations of which the applicant for employment is a member, the nature, name or character of which would likely disclose the applicant's protected class status.

Subject	What May Be Asked	What May NOT Be Asked
Disability	You can ask an applicant about his or her ability to perform job-related functions, as long as the questions are not phrased in terms which would elicit whether the applicant has a disability, and as long as such questions are asked of all applicants similarly situated (such as in all interviews).	Inquiry into whether the applicant has a physical or mental disability/handicap or about the nature or severity of the disability/handicap. Inquiry into whether an applicant has ever been addicted to illegal drugs or treated for drug abuse/alcoholism. Inquiry into whether an applicant has AIDS. Inquiry into whether an applicant has ever received workers' compensation. Inquiry into whether an applicant has ever been hospitalized/treated for medical or mental health conditions. Inquiry into whether an applicant has ever been absent from work due to illness. An employer may not inquire as to the nature, severity, treatment, or prognosis of an obvious handicap or disability or of a hidden disability or handicap voluntarily disclosed by an applicant.
Marital Status	No questions.	Are you married? Where does your partner/significant other work? Is there a partner/significant other who would also need to find a job in the area? What are the ages of your children, if any? What was your maiden name?
Address	Applicant's place of residence.	Do you rent or own your home? How long at each particular address?
Height, Weight, Strength	Questions regarding height, weight, or strength may be asked only if the employer can prove these requirements are necessary to do the job.	n/a
Photograph	No questions.	An employer cannot ask for a photograph to accompany an application.
Military	Applicant's work experience, including names, addresses of previous employers, dates of employment, reasons for leaving.	Inquiry into an applicant's type of discharge.
Criminal Record	Inquiry into actual felony convictions (not arrests) that relate reasonably to fitness to perform a particular job.	Inquiry relating to arrests or misdemeanors. Any inquiry or check into a person's arrest, court, or conviction record if not substantially related to functions and responsibilities of the prospective employment.
Memberships	Are you a member of any professional societies or organizations? (Exclude inquiries into specific organizations the name or character of which indicates the race, creed, color, or national origin of its members.)	Inquiry into applicant's membership in nonprofessional organizations (e.g., clubs, lodges, etc.)

Search Committee Considerations

Search Committee Chairperson's Role

The role of the chairperson is to coordinate all aspects of the recruitment and selection process with the hiring official, including:

1. Assuring the search process conforms to UTHSC guidelines and applicable state and federal laws;

2. Coordinating communication with the appropriate representative of the Human Resources Department, OED, the search committee, and candidates;

3. Facilitating interviews and search committee meetings; and

4. Resolving conflicts should any arise.

Search Committee's Advisory Role

The Committee's responsibilities generally include:

1. Assisting in the development of the employment announcement and recruitment sources;

2. Establishing criteria to be used in evaluating a candidate's qualifications for a position (as outlined in the job profile);

   • Minimum qualifications are the education levels, skills, and credentials that an applicant must have in order to be considered for the position. If an applicant lacks a minimum qualification, he/she is considered unqualified for the position.

   • Preferred qualifications are additional skills and qualifications that would enhance an applicant's ability to successfully perform in the position. These qualifications are typically used to establish the interview pool. Candidates who meet the minimum qualifications normally must satisfy all or most of the preferred qualifications to be considered for an interview.

3. Screening and evaluating resumes in order to develop a "shortlist", specifically;

   • The search committee must evaluate the applicant pool by screening resumes based on the advertised minimum and preferred qualifications.

   • The committee must use the minimum requirements specified in the posting and the priorities expressed by the hiring official in order to have a consistent frame of analysis for committee members to evaluate the candidates in the applicant pool.

4. Recommending candidates for a campus interview; and

5. Interviewing candidates and making recommendations to the hiring official.

EEO, Affirmative Action and Diversity

- Equal Employment Opportunity is the right of all persons to be considered on their ability to meet the requirements of the job. Because EO does not typically change existing conditions, further action is necessary. That is where affirmative action efforts come in.

- Affirmative Action refers to efforts made to expand an employment opportunity for members of a particular race, gender, or ethnicity group previously excluded from employment opportunities. These efforts are made consistent with applicable laws and regulations.

- Diversity is a commitment to recognizing and appreciating the variety of characteristics that make individuals unique in an atmosphere that promotes and celebrates individual and collective achievement.

Search Mediums and Resources
- HigherEd Jobs
- Inside Higher Ed
- Diverse Issues in Higher Education
- The Chronicle of Higher Education
- Academic Keys

Campus Interview
Establish evaluation criteria[5]

Deciding in advance of reviewing applications which criteria will be used, and how they will be weighted, will help evaluators avoid common cognitive errors such as:

- **elitism**—assuming that individuals from prestigious institutions are the best candidates without viewing all applications more closely and/or considering the needs of the department;
- **shifting standards**—holding different candidates to different standards based on stereotypes;
- **seizing a pretext**—using a minor reason to disqualify a candidate without properly considering all other criteria;
- **ranking prematurely** - designating some candidates as more promising than others without fully considering the strengths and weaknesses of all applicants; and
- **rushing to judgment**—having strong group members, particularly those with seniority, reach and express consensus without sufficient discussion, which may make it difficult for others to challenge those conclusions.

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[5]Source: "Guide to Best Practices in Faculty Search and Hiring", Columbia University, https://provost.columbia.edu/sites/default/files/content/BestPracticesFacultySearchHiring.pdf
Retrieved on September 10, 2019

Advertise and Recruit

Successful advertisement and recruitment should include the following:

- A plan for marketing and advertising the position, placement of ads, and distribution of the position announcement.
- Discussions focused on networking, especially at conferences and meetings to identify future and current leaders in the discipline area.
- Expanded networks to identify the best candidates, especially using the networking of women and faculty of color.
- Development of materials to send to all applicants, and separate/additional materials to send to interviewees to promote the community, local, and university resources. This may include materials from the Chamber of Commerce and the university.

Identify Your Biases

Search committees should take precautions to avoid preconceived biases in recruitment practices. In an effort to capture the best talent, longstanding biases should be avoided. The website below is a free survey from the Association of American Medical Colleges (AAMC) evaluating Unconscious Bias in the Search and Recruitment Process.

What You Don't Know: The Science of Unconscious Bias and What To Do About It in the Search and Recruitment Process: There is overwhelming scientific evidence that unconscious bias may influence the evaluation and selection of candidates from entry-level to leadership positions in all types of organizations, including medical schools and teaching hospitals.

https://surveys.aamc.org/se.ashx?s=7C7E87CB561EC358

Not Eligible To Work In the U.S.[6]

Searches that may lead to the hiring of an individual who is not eligible to work in the U.S. have specific advertising requirements.

For faculty searches, UTHSC must demonstrate that a competitive recruitment and selection process was used and that the foreign national was more qualified than any U.S. worker applicant. UTHSC can demonstrate this through the use of the protocols set forth in the UT Search Procedures.

In conducting an open and competitive search, electronic or web-based national professional journals may be used in lieu of a print journal to satisfy the provision found at 20 CFR 656.18(b)(3), which requires the use of a national professional journal for advertisements for college or university teachers. The advertisement for the job opportunity for which certification is sought must be posted for at least 30 calendar days on the journal's website.

Documentation of the placement of an advertisement in an electronic or web-based national professional journal must include evidence of the start and end dates of the advertisement placement and the text of the advertisement. An example of a national outlet that meets these criteria is the Chronicle of Higher Education. If a search process does not include one national electronic or print ad and the finalist turns out to be a non- U.S. citizen, the hiring department will need to re-recruit for the position to meet the U.S. Department of Labor (DOL) certification requirements.

While the national electronic or print ad is necessary, it alone is not sufficient to satisfy DOL requirements - evidence of other recruitment sources utilized is also required. The DOL does not specify what those other sources need to be, but it is clear that more than just the national electronic or print ad is required.

Department of Labor requirements vary for academic professional searches. In conducting an open and competitive search, one full print advertisement must appear in a national advertising venue (e.g., Chronicle of Higher Education). If a search process does not include one national print ad and the finalist turns out to be a non-U.S. citizen, the hiring department will need to re-recruit for the position to meet the U.S. Department of Labor (DOL) certification requirements.

While the national print ad is necessary, it alone is not sufficient to satisfy DOL requirements - evidence of other recruitment sources utilized is also required. The DOL does not specify what those other sources need to be, but it is clear that more than just the national print ad is required.

Additional Information

Additional information regarding OED points of contact or other search and recruitment resources, please visit http://uthsc.edu/oed/faculty-executive-search-procedure.php

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[6]Source: https://provost.asu.edu/sites/default/files/page/1567/academicsearchhandbook_09-15-14.pdf. Retrieved on July 24, 2020