

## **Preface**

This handbook has been compiled to assist personnel at the University of Texas Medical Branch, Galveston (UTMB) in their efforts to achieve a diverse workforce that mirrors the population served by UTMB. It also is a means for implementing affirmative action at UTMB, which is a commitment of the president and is mandated by various state and federal laws and regulations.

These procedures have been devised with several of the university's missions in mind: to provide the highest quality education and healthcare; to promote cutting edge research; to strengthen voluntary efforts to provide equal opportunity and affirmative action to all applicants and employees; and to comply with anti-discrimination legislation.

One of UTMB's core values is diversity. One way to achieve the diversity we seek is to ensure that every search is designed so that every prospective qualified applicant, regardless of ethnicity, gender, abilities, etc., has an opportunity to learn about the vacancy, is encouraged to apply for the vacancy, is interviewed when deemed qualified and recruited when it is determined the candidate is best suited for the position.

The Director of Diversity is responsible for monitoring compliance with the policies that are designed to increase our diversity. Through the Director of Diversity, assistance is available to individuals and departments in their efforts to carry out the spirit of equal opportunity and affirmative action, i.e., to create the diverse workforce for which we strive. Activities of the Director of Diversity include:

- Monitoring the hiring process of faculty and Administrative & Professional positions.
- Serving on search committees.
- Assisting in the search process to identify underrepresented ethnic minorities and females for vacancies.
- Providing educational programs relative to recruitment activities.
- Reviewing and interpreting equal opportunity and affirmative action laws and policies.

The Office of the Director of Diversity is here to assist your efforts. Please do not hesitate to contact the office at 747-8823 if you have any questions relative to involvement in this area, or if you have questions regarding this handbook. Remember, as long as we work together, we will be able to accomplish much.

Melvin Williams  
Director

**Recruitment and Selection Process  
for  
Faculty and Administrative & Professional Position**

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## **Filling Faculty and Administrative and Professional Positions**

### **I. General Guidelines**

All faculty and administrative and professional positions, including visiting, acting, emergency, internal transfer, interim, temporary and part-time must conform to equal opportunity and affirmative action guidelines.

If there is a possibility that a non-citizen will be selected for an available position, special care must be taken during the search and selection process, as a number of Department of Labor regulations govern the recruitment process. Furthermore, the procedures that apply to permanent appointments of non-citizens are more complex than those that govern temporary appointments. In particular, Department of Labor regulations regarding information included in the advertisement, vehicles selected for advertisement and the length of the advertising period may differ from normal university procedures. Therefore, if there is a possibility that a non-citizen will be in the pool, the search committee should contact the Office of Diversity and International Affairs to ascertain the appropriate procedures. The Office of Diversity and International Affairs is responsible for immigration matters for foreign faculty and staff. In the event that a non-citizen is to be permanently employed by the university, that office will assist in securing the Department of Labor certification that is necessary before such persons can obtain permanent resident visas. Individual faculty members, deans, or department chairs are not to submit these petitions themselves, although they will be required to aid in the preparation of the requisite forms.

UTMB supports upward mobility for its employees. Units are encouraged to promote qualified employees from within their units or from other units whenever possible, when doing so would further the university's affirmative action goals, i.e., when it aides in our effort to create a more diverse population in the particular unit. Proposed internal promotions or transfers are to be reviewed in advance by the Director of Diversity, in accordance with the recruitment guidelines defined in this document.

All Faculty and Administrative and Professional positions are posted simultaneously internally and externally. A description of the planned search process must be approved by the Director of Diversity before such a search is implemented. For those positions to be filled from within UTMB, a notice may be required to be placed with human resources as well as appropriate departmental bulletin boards and in some instances mail or e-mail notices should go out to the entire campus community.

### **II. Waivers**

Waivers will only be granted in extreme circumstances. Any request for a waiver must contain justification for the waiver and that justification must indicate why it is in the best interest of UTMB to grant the waiver. Waivers may be granted in the following instances: an interim appointment while a search is being conducted; a search has been ongoing for over a year and no viable candidates have come forward; and a term appointment for less than a year to do a special project, are some examples. It cannot be over emphasized that **waivers will not be granted on a routine basis.**

### III. Administrative and Professional Search Format

#### I. Traditional Search Format

In this format the Search Committee is comprised of at least 7 individuals representing various campus entities. The timeline for completion of a search will vary; all searches are to be national searches and as such would be conducted in a fashion that provides for ample advertising, review of applicants and interviews of applicants. Candidates are formally presented and reviewed during scheduled search committee meetings. First round interviews are conducted by the Search Committee and the second round interviews are conducted by the Hiring Authority, including persons who the hiring authority believes should have input regarding the person selected.

#### II. Expedited Search Format

In this format the Search Committee is comprised of 5-8 individuals representing various campus entities. The timeline is compressed (8-12 weeks, with appropriate candidate response) with each committee member committing to the compressed interview schedule. The candidates are posted to a Public folder for review prior to and discussed at scheduled search committee meetings. First round interviews are conducted by the Search Committee and the second round interviews are conducted by the Hiring Authority.

### IV. Overview

UTMB is an equal employment opportunity/affirmative action employer and is committed to employing a workforce that mirrors the population it serves and to the recruitment and selection of highly qualified employees. UTMB is also committed to consistency and equity in its recruitment and selection processes and procedures. Therefore, the manner in which new employees are recruited and hired should ensure an open and accessible process.

The *hiring authority* is responsible for following UTMB's recruitment and equal employment opportunity policies. These policies are located in the Institutional Handbook of Operating Procedures in Section 3.2.1 Equal Employment Opportunity.

Furthermore, it is the policy of UTMB to provide equal opportunity through affirmative action in employment and educational programs and activities. Discrimination is prohibited on the basis of race, color, religion, national origin, citizenship, sex, sexual orientation, age, disability, or special disabled veteran/other eligible Vietnam era veteran status. Equal employment opportunity includes but is not limited to recruitment, hiring, promotion, termination, compensation, benefits, transfers, university-sponsored training, education, tuition assistance, and social and recreational programs.

UTMB is committed to taking affirmative action in increasing opportunities at all levels of employment and to increasing participation in programs and activities by all faculty, staff and students. Affirmative action is directed toward groups whose representation in the workforce does not mirror their general availability; this may include ethnic minorities, women, and persons with disabilities for example.

Affirmative action activities are those positive steps taken to ensure the provision of equal opportunity. Equal employment opportunity ensures that applicants for positions and employees are treated consistently with respect to policies and procedures. The factors cited above, i.e., race, color, sex, age, etc., should not be considered in the employment process or in determining conditions of employment. It is, however, appropriate to take affirmative action by selecting the candidate from the underrepresented category when candidates are substantially equally qualified for a position and there is evidence of underutilization within the hiring department.

**Every search should include a diverse applicant pool. If the pool is not diverse the pool of applicants may not be approved by the Director of Diversity until the pool reflects some diversity. If the pool is not diverse, i.e., does not contain representatives from underrepresented ethnic minority groups and women, justification for their absence must be submitted to the Director of Diversity before approval to hire will be granted.**

The following pages provide guidelines to assist departments in taking affirmative action to provide equal employment opportunity for full-time vacant faculty and A&P positions. The Director of Diversity monitors the recruitment process at two stages to help departments in their affirmative efforts and that is also outlined in this document. The monitoring process consists of the following:

1. **Before posting**—The Director of Diversity reviews the job description and the proposed advertisement, to ensure minimum qualifications are bona fide occupational qualifications under federal guidelines. The recruitment process is reviewed to assure recruitment includes appropriate notification of vacancies to recruitment resources that specialize in identifying ethnic minority and female candidates. The review is also to assure general compliance with university requirements for recruitment including the identification of the essential job functions, creation of a search committee, etc.
2. **When the interview process is complete and a candidate is identified, the search committee Chair or Human Resources Executive Recruiter (or external search firm consultant) will complete and forward the following materials to the Director of Diversity for approval:**
  - A. **Hiring Process Report—Approval to Hire form.**
  - B. **Salary Determination Worksheet.**
  - C. **Draft Offer Letter.**
  - D. **Resumes/curriculum vitae of all qualified applicants.**

All of the above must be approved by the Director of Diversity prior to extending the offer to the candidate. Once the offer has been extended and the candidate accepts or declines the offer, the hiring authority must return the “Status of Position Offered” form back to the Director of Diversity.

### **Standard Search Guidelines**

1. The Hiring Department will obtain a copy of the Recruitment and Selection Process from the Office of Diversity, Affirmative Action & International Affairs.
2. The department will obtain appropriate departmental approvals to post position.
3. The Human Resources Consultant, the Human Resources Executive Recruiter (or external search firm consultant), works with the hiring department to review the job description, salary range, selection criteria, and minimum qualifications for the position. The hiring department's Human Resources Consultant will review all changes to ensure the considered salary range is competitive. Compensation must review and approve any changes made to the position and enter into the system (PeopleSoft) prior to creating the Job Opening. (A&P Positions)
4. The hiring department must complete a position request through Manager Self Service (MSS) in PeopleSoft and submit the request to their respective EAST team for approval. Once the position is activated in PeopleSoft the Department will create the Job Opening for the position and submit to their respective EAST Group and Recruiter for approval.

5. Establishing a Search Committee:  
The hiring department identifies the Chair for the search committee and the search committee members. In order to prevent bias in the search process, the Hiring Authority may not serve as the Chair of the search committee. A separate individual must be appointed. The Search Committee will have a minimum of seven (7) individuals which may come from other departments and schools within UTMB or from institutions outside of the university.\* The Search Committee needs to reflect ethnic and gender diversity. For Director level positions and above searches the Director of Diversity will identify; (a) a member from either the Core Committee for the support of Underrepresented Ethnic Minorities or the Core Committee for the Support of Women Faculty and Administrators to serve on the committee; additionally the Director of Diversity or designee will serve.
6. The hiring department or the Chair of the search committee will identify a staff person to handle all logistics and scheduling for the search process. The assigned staff person will work closely with the Chairperson, Human Resources Executive Recruiter (or the external search firm consultant), to ensure that all documentation required by the process is properly completed. The format and timeline of the search should be mapped out to address the needs of the hiring department.
7. The Human Resources Executive Recruiter (or the external search firm consultant), will work with the hiring department to submit, (a) Recruitment Plan, (b) Position Description, (c) Copy of the Advertisement, (d) list of the search committee members, and (e) approved Employment Authorization Form (EAF) if required, to the Director of Diversity for approval **prior** to the position being posted. The Director of Diversity will send an approval letter (**Hiring Process Report—Approval to Recruit**) form to the hiring department, with a copy to the Chair of the search committee, and the Human Resources Executive Recruiter, (or external search firm consultant).
8. Once the Director of Diversity approves all forms in step number 7, the Recruiter will release the position for posting on the UTMB website ([www.utmb.edu/hr](http://www.utmb.edu/hr)) via PeopleSoft. And other recruitment sources. The Director of Diversity will finalize the approval process within 48 hours after receipt of the documents.
9. The Chair of the search committee is responsible for defining the selection criteria to be used to evaluate the qualifications of each applicant for the position. Documentation regarding the manner in which the criteria are applied to each applicant is expected. The executive recruiter and/or the Director of Diversity can assist in this process.
10. Once the candidates have been presented to the search committee for review the search committee will determine which candidates will be interviewed and subsequently interviews will be scheduled.
11. Based on the charge presented to the search committee by the hiring authority, the search committee shall submit its final list of candidates to the hiring authority. Once the hiring authority has selected the final candidate, the hiring authority, the Executive Recruiter (or the external search firm) shall submit the **Hiring Process Report--Approval to Hire** form, plus supporting documents to the Director of Diversity.
12. The Director of Diversity will review all documents submitted and return to the hiring authority an approval form (**Hiring Process Report--Approval to Make Offer**) or (**Hiring Process Report--Not Approved to Make Offer**); if the search has met all university requirements the hiring authority will also receive, at this time, the **Status of Position Offered** form. An offer should not be made **prior** to receipt of these forms. Turn around on this material will be accomplished within two days of receipt by the Director of Diversity.
13. Once the offer has been extended and accepted, the Human Resources Executive Recruiter (or the external search firm consultant) will notify all candidates interviewed but not selected for the position and disposition the candidate pool in PeopleSoft.
14. The Human Resources Executive Recruiter (or external search firm consultant) will request a Security and Background Check for all non-UTMB hires. Employment, Education verification

and professional references will be completed by the Executive Recruiter (or Search Firm) on the final candidate only.

15. The Staff person will submit the **Status of Position Offered** form to the Director of Diversity once the selected candidate has accepted or declined the position.
16. The hiring department will process the hire in PeopleSoft and follow the New Employee Orientation procedures and departmental new hire procedures. The Human Resources Executive Recruiter and/or the Human Resources Consultant will assist in the relocation process if requested by the department.

### **Other Appointments**

While residents, part-time, and “visiting” appointments to faculty are not subject to these procedures, the hiring authority is encouraged to make active efforts to identify underrepresented minority and female individuals who can make important contributions to the university.

In the event it becomes necessary to convert any of the appointments described above, i.e., part-time, visiting or resident, to a regular, full-time appointment, the recruitment and selection procedures described above will apply.

Consistent with the university’s commitment to equal opportunity and affirmative action, deans, vice presidents, department chairs and service directors will be held accountable for the recruitment and selection process described above.

### **Additional Information**

These procedures may only be waived when such action is in the best interest of the university and with the approval from the Director of Diversity.

\*If the search is for a faculty member or non-teaching position, a minimum of three (3) individuals must be on the search committee.

## **V. Search Committee Procedures**

Search committees are formed for the purpose of finding the best candidates to fill a particular vacancy. There is no affirmative action requirement for using a search committee although university policy requires use of search committees in some cases. The benefits of using a search committee, however, include multiple evaluations of applicants that provide greater opportunity for overall consistency of interpretation of credentials, employee participation in the hiring process and more thorough screening of applicants.

The names of members of the various search committees, when the search is active, will be posted on the HR/Diversity, Diversity Council and the core committee web sites. Persons, who believe they know an individual(s) who is qualified for the vacant position, may contact a member of that particular search committee and provide the name and other pertinent information to the committee member. This will provide another avenue for greater participation of faculty and staff in the hiring process.

Each search committee will choose its own particular method to accomplish this task: however, certain processes must be followed to ensure compliance with legal and ethical standards. The chairperson of a search committee will generally appoint an individual to serve as the staff person for that committee. This individual will coordinate the activities of the search committee and prepare all necessary paperwork. A copy of the *Search Committee Checklist*, which identifies the role the committee plays, is available. (See Exhibit 1.) The following procedures are designed to assist the chairperson, the search committee and the staff person in the execution of the search process. The Department of Human Resources Executive

Recruitment can provide assistance to the chair and staff member in support of the search process for A&P positions. The following is a brief overview of this mechanism.

1. The members and chair of the search committee are appointed by the hiring authority (i.e., Dean, department chairperson, etc) and will include the Director of Diversity and at least one member of the core committees, i.e., Core Committee on the Status of Women Faculty or the Core Committee for the Support of Underrepresented Ethnic Minority Faculty. It is important to ensure a critical mass of women and underrepresented ethnic minorities on the search committee, i.e., the search committee makeup should include more than one female who represents the Core Committee in Support of Females or one ethnic minority who represents the Core Committee of Ethnic Minorities.
2. Search committee meetings are held at the call of the committee chair. The hiring authority charges the committee at the first meeting.
3. The search committee chair identifies a staff person to coordinate activities of the search committee and to prepare all necessary paperwork.
4. The search committee shall:
  - a. Review current position description to ensure accuracy and understanding of position.
  - b. Send the position description, a draft of the advertisement and a description of the recruiting plan to the Director of Diversity for review.
  - c. If the recruiting plan involves placing advertisements, determine the appropriate advertising source(s). Upon approval by the Director of Diversity, place the advertisement(s) in the chosen sources(s).
  - d. Review the curricula vitae/resumes of candidates. Identify the candidates to be interviewed.
  - e. Develop standard interview questions to ensure consistency in the interview process.
  - f. Determine with whom the candidates should meet while on campus.
  - g. Identify social and/or other activities for each candidate during his/her visit.
  - h. If the final candidate has a spouse who will require employment as a condition of accepting the UTMB offer, HR Executive Recruitment should be notified immediately and efforts will be initiated to assist the spouse in locating employment in the Galveston/Houston area.
  - i. Conduct candidate evaluation and make recommendation to hiring authority.
5. The following resources shall be utilized during the search process:
  - a. The Director of Diversity to assist in the search by serving on the search committee.
  - b. The Core Committee on the Status of Women Faculty and Administrators and the Core Committee for the Support of Underrepresented Ethnic Groups to serve on search committee.
  - c. The Department of Human Resources Executive Recruitment may be contacted for information packets that can be sent to candidates. These packets contain campus and city maps, brochures on points of interest and various UTMB reports and publications.

- d. The current chair of the Minority Faculty Council should be contacted for assistance in identifying minority candidates, advertisement placements and aiding recruitment when campus visits are scheduled.
- e. The current chair of the Women's Faculty Caucus should be contacted for assistance in identifying women candidates and for aiding in recruitment when campus visits are scheduled.
- f. The President's office should be contacted, if there is a need to involve the President in the interview process, of potential senior faculty and administrators.

## **VI. Staff Activities for Search Committee and Department**

The chairperson of a search committee will generally appoint an individual to serve as the staff person for that committee. This individual will coordinate the activities of the search committee and prepare all necessary paperwork. The following guidelines have been prepared to assist the staff person in the execution of the necessary duties.

1. Send a position description, draft of the advertisement and a description of the recruiting plan (i.e., letter to all chairs of a particular discipline to seek recommendations) to the Director of Diversity for review. The advertisement should include the following statement: "UTMB is an equal opportunity, affirmative action institution which proudly values diversity. Candidates of all backgrounds are encouraged to apply."
2. If the recruiting plan involves placing advertisements, determine the appropriate advertising sources. Upon approval by the Director of Diversity, place the ad(s) in the chosen source(s). Include a copy of the Director of Diversity approval with the purchase order.
3. Following the placement of the advertisement, meet with the chairperson of the search committee to review recruitment procedures.
4. A search committee meeting should be scheduled once several applications have been received. Copies of curricula vitae/resumes, reference letters, any additional data and evaluation forms should be sent to the committee members in advance of the meeting. It is suggested committee members complete their evaluation prior to the meeting.
5. At the search committee meeting, candidates are reviewed and ranked. Actions of the committee are reflected in the minutes of the meeting. Through the review, the search committee will determine who should be invited for interview. If the review warrants, the search committee chairperson will extend an invitation to candidates to visit campus. The candidates will be given the name of the staff person coordinating the visit.
6. A follow-up committee meeting may be required if additional information is received.
7. If possible, obtain dates when members of the search committee and key individuals on campus will be available.
8. The staff person will contact the candidate to discuss and coordinate the recruitment activities. The department or dean of the respective school will be responsible for:
  - a. Paying related expenses.
  - b. Coordinate air and ground transportation for the candidate. Determine individual to meet candidate at airport if needed.
  - c. Coordinate hotel reservations and arrange for direct billing of appropriate expenses.

- d. Arrange for the candidate to meet with a realtor, local school officials etc. if candidate desires.
  - e. Contact the Department of Human Resources Executive Recruitment for information packets on UTMB/Galveston and the surrounding area.
  - f. Establish a list of individuals who will interview the candidate and/or take part in social activities. If appropriate, contact the President's Office regarding the availability of the president and the president's spouse during campus visits of potential senior faculty and administrators.
  - f. Draft interview itinerary.
  - g. Inform the Director of Diversity of the names, and interview itinerary of each of the candidates invited for an interview.
9. If appropriate, the candidates may be asked to make a presentation while on campus, (i.e., grand rounds or a seminar). If this is the case, obtain the title or topic and arrange for any needed equipment, publicity, etc. Additionally, a "Specialty Service Prior Approval" form must also be completed, if some service is to be preformed.
  10. Place a follow-up call to the candidate to see if his/her packet was received, confirm arrangements, and respond to any questions.
  11. Make arrangements for all social activities. Be sure that the individual hosting the activity or signing the bill is aware of all arrangements.
  12. Determine who will escort candidate to each interview. If the candidate is to make a presentation, provide whatever assistance is necessary.
  13. For interviews that take two days, at the end of the first day, remind the candidate to check out of the hotel the next morning. Reconfirm directions and transportation arrangements for the following morning.
  14. Candidates must complete and sign the W-9 Request for Taxpayer Identification Number and Certification form and a Supplier Information form before departure. Provide the candidate with a stamped, self-addressed return envelope and a note requesting any original receipts for reimbursable expenses. Once the completed W-9 form is received fax to Purchasing at ext 78032. Once Purchasing has loaded it in the system a voucher entry may be completed. Note: Refer to the PeopleSoft website for reimbursement instructions.
  15. Following the candidates' visits, the search committee will meet to determine final candidate(s) to be invited for a second visit. Evaluations from various interviews should be solicited, collected and summarized at this stage.
  16. If appropriate, candidates invited for a second visit should provide a detailed description of equipment, personnel, space requirements, and financial support they would require.
  17. Schedule meetings for the candidate's visit as directed by the chairperson of the search committee. Create and distribute itineraries, with curricula vitae-resume, and evaluation forms.

18. Follow the same procedures for subsequent visits as the initial visits (i.e., make appropriate travel, hotel, and social arrangements). Evaluations should again be solicited, collected and summarized.

## VII. Departmental Responsibilities

These are general guidelines. Departments/Schools may have procedures specific to their area.

1. Request the position through Manager Self Service in Peoplesoft.
2. Prepare an offer letter. Templates are available through the department of Compensation.
3. Complete the **Hiring Process Report – Approval to Hire** (Exhibit 2) and submit to Director of Diversity **before** offer is made to candidate. The items listed below shall be included as documentation:
  - a. Curricula vitae/resume
  - b. Application
  - c. Lists of persons who applied
  - d. List of persons interviewed
  - e. Interview Itinerary(ies)
  - f. Interview Questions
  - g. Salary Determination Worksheet
  - h. Copy of Offer Letter
  - i. References – if appropriate
4. Obtain approval from the Director of Diversity prior to offer being extended.
5. **Prior** to offer being extended, a security check and State and Federal Exclusion List **must** be checked. Contact Patsy Esser in the Department of Human Resources regarding these security clearances. **If they are not cleared then the applicant cannot be hired.**
6. Notify candidates not selected.
7. Prepare Memorandum of Appointment (MOA) if applicable. Notify the Department of Human Resources to prepare a MOA for applicable A&P Positions. Faculty MOA's are completed per school policy.
8. Following the candidate's acceptance (or decline) of the position, complete *Status of Position Offered* form and submit to the Director of Diversity. (See Exhibit J for copy of form.)
9. During this visit, the candidate is requested to:
  - a. Obtain three moving bids in preparation for the move to Galveston;
  - b. Provide specification of any new equipment that will be purchased for start-up;
  - c. If the candidate is licensed, follow school procedure on licensing guidelines;
  - d. If research grants are involved, contact Research Administration Services for assistance in transferring the grant(s) to UTMB
  - e. Provide a name of a contact person at the candidate's home institutions upon his/her departure for coordination purposes.
10. Follow-up with appropriate support to set up office space, telephone, furniture, research equipment etc.
11. Contact the Initialization office to notify them of on-boarding employee.

## VIII. Advertising Guidelines

Advertising in publications and notifying colleges and universities, and relevant organizations such as, professional associations, will help to facilitate a larger pool of candidates and convey UTMB's commitment to equal opportunity and diversity.

Advertising for faculty positions is typically composed and coordinated by the department. The Department of Human Resources Executive Recruitment is available to coordinate advertising for A & P positions.

All advertising must be forwarded to the Director of Diversity for approval. The statement “[UTMB is an equal opportunity, affirmative action institution which proudly values diversity. Candidates of all backgrounds are encouraged to apply,](#)” should be included in all advertisements.

Advertisements should be placed in diverse publications or on websites that reach a large audience or a targeted field or minority group. Search committees are also encouraged to contact organizations that represent minorities and women.