UT SEARCH PROCEDURES: GUIDELINES FOR CONDUCTING ACADEMIC AND STAFF-EXEMPT SEARCHES AT THE UNIVERSITY OF TENNESSEE

Including the Knoxville Campus, University –Wide Administration, the University Athletics Departments, the Institute of Public Service, and the Institute for Agriculture

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INTRODUCTION

The University of Tennessee, a land-grant university, is committed to excellence in learning, scholarship, and engagement with society. In an effort to provide quality employment and educational opportunities for all persons who choose to attend and work at the university, the diversity of ideas and cultures must exist as an integral part of the university environment. We seek to recruit, hire, train, and promote qualified administrators, faculty, and staff from diverse backgrounds, cultures, and ideas into its various job vacancies. Therefore, aall qualified 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.

The *UT Search Procedures: Guidelines for Conducting Academic and Staff Exempt Searches at The University of Tennessee, Knoxville Area Units* [herein referred to as *Search Procedures],* was designed to provide procedures and forms to be used for conducting faculty, staff-exempt, and administrative searches, at the Knoxville Campus, University-Wide Administration, University Athletic Departments (Men's and Women's), the Institute of Public Service, and the Institute of Agriculture. These *Search Procedures* provide a uniform and consistent means of conducting searches and comply with federal affirmative action regulations and equal employment policies and practices. As Chief Affirmative Action Officer for the University of Tennessee, exceptions to the search guidelines may also be granted by the President of the University.

Please review the materials carefully. Requests for search materials (forms, envelopes, and data) and questions related to the search process may be directed to:

Office of Equity and Diversity (OED)
1840 Melrose Avenue
Knoxville, TN 37996-3560
865-974-2498 (phone)
865-974-0943
http://oed.utk.edu

These procedures will be monitored and revised as needed. Comments and recommendations are welcomed.

Basic Steps for Conducting A Search

There are ten (10) Basic Steps for conducting a standard search at the University of Tennessee, Knoxville Area Units:

- **Step 1—**Form a Search Committee and develop a Job Description for the pending job vacancy
- **Step 2—**Submit A **Request to Search Form (RTS)** and meet with OED
- **Step 3—**Advertise Position and Recruit applicants
- **Step 4**— Send Acknowledgment Letter and **Equal Employment (EEO) Self-Identification Form** (use prepaid envelopes or on-line reporting option)
- **Step 5**—Screen and Evaluate Applicants
- **Step 6**—Select Principal and Alternate Candidates. Request Self-Identification Report
- **Step 7**—Submit **Narrative Summary Form (NS)**
- **Step 8**—Conduct On-Campus Interviews
- **Step 9**—Submit **Request to Offer Form (RTO)**
- **Step 10-** Close the Search file

These steps are explained in more detail within the following pages. In addition, some opportunities may be available for modified searches—searches exempted from following the full external search process. Those steps will also be discussed within these guidelines.

TYPES OF SEARCHES

1. **External (Standard) Search**—Procedures for conducting external searches provide the standard method for the advertisement and recruitment of applicants for tenure track faculty, upper level administrative positions, and staff exempt positions. These searches may be conducted on a national, regional, or local scope. External searches, however, provide the best opportunities for the University to increase its workforce diversity. (Section I)

2. **Internal Search**—An internal search may be appropriate when the hiring unit can identify an existing pool of qualified applicants from current UT employees (faculty and staff) to be potential applicants for the pending vacancy. The uniqueness of the position, availability of a qualified applicant pool, and past affirmative action efforts of the department will be factors considered by OED regarding approval of a request to conduct an internal search. (Section II)

3. **Upper Level Administrative Search**—Upper level searches include searches conducted to fill the following types of positions: Chancellor, Vice Chancellor, Vice President, Provost, Vice Provost, Associate and Assistant Vice Provost, Dean, Associate and Assistant Dean, Department Head and/or Director (when Director is equivalent to a Department Head of an academic unit). Specific requirements associated with Upper Level Administrative searches are noted throughout the manual. These requirements apply whether the search is conducted as an external or internal search. (Section III)

4. **Modified (Limited or Exempted) Search**—Limited or exempted procedures may be available for the recruitment, hiring, and/or promotion of personnel for acting/interim appointments, promotions in place, non-tenure track faculty positions (lecturer, post doctoral, and/or clinical research positions), opportunity hires, coaches, restricted account positions, and limited duration appointments. Please consult with OED regarding any request for conducting a modified search. (Section IV)

Section 1: Conducting an External Search

Form A Search Committee

Search committees are advisory in nature. The purpose of the search committee is to *recruit* a qualified applicant pool, *review* their credentials, and *recommend* acceptable candidates to the hiring unit. The head of the hiring unit (Vice Chancellor, Dean, Department Head, Director, etc.) will recommend the names of persons to serve as members of the search committee. Although, OED does not require a specific number of members that will serve on a search committee, it is expected that every effort will be made to secure diversity in the composition of search committees. As a general rule:

1. Women and minorities should be included as members of the search committee.
2. Committee members from outside the hiring unit may be included on a search committee.
3. Departments may have "standing" search committees.
4. The Chair of any search committee for Dean and Academic Department Head should be appointed from outside the department.
5. Because of its unique nature, dispersed geographic locations, and special state requirements, the composition of search committees for Extension and Experiment Station positions may vary.
6. In situations where the hiring unit needs to fill more than one position at the same title, qualifications, and rank, the unit can use the same applicant pool to fill all pending positions.

Develop a Position Description

Normally, the Request to Search Form (RTS) is submitted prior to the convening of the search committee. However, departments should strongly consider convening the search committee prior to submitting the *RTS Form* and allow committee members to help develop the position description.

The position description will be used as the basis for the RTMS form and must include all **required** and **desired/preferred** qualifications. The qualifications identified in the position description will be used for all advertising as well as the evaluation of applicants. As an example, if an advanced degree, 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. Name and type (faculty or staff) of the position
2. Job Classification Title
3. Duration of the appointment and anticipated starting date
4. Salary range or some notation such as "competitiveness", "dependent on experience" or "negotiable"
5. Required and Desired Qualifications
6. Job duties or responsibilities
7. **Preferred** deadline for receipt of applications. It is strongly suggested that hiring units include the following statement: "Review of applications will begin on (DATE) and will continue until the position is filled." This will allow the search committee to consider applications received throughout the process—to include <u>after</u> the preferred deadline.
8. Request for a cover letter, resume or vitae, and references (either names or written references).
9. Contact person along with name, address, and telephone number and/or e-mail address. Usually the Search Committee Chair is listed as the contact person.
10. Non-Discrimination Statement (Appendix A)
11. Because the University of Tennessee Knoxville campus is committed to recruiting a qualified diverse workforce, all searches (upper level administrative, faculty, and professional exempt level positions) must include the following statement within the general description of the announcement and advertisement sections: *The Knoxville campus of the University of Tennessee is seeking candidates who have the ability to contribute in meaningful ways to the diversity and intercultural goals of the University*.

Applicants who do not meet the stated required qualifications of the *RTS* form cannot be considered as viable (Principal or Alternate) candidates. Stated rank, position title, and/or required qualifications cannot be waived without re-advertising the position and inviting all former applicants to reapply.

Common problems with Position Descriptions include:

1. A requirement for a designated number of years of experience (ex. *5 years of work experience*). This requirement would mean that an applicant with 4 years and 11 months of experience would be disqualified under the terms of the description.
2. Extremely limited degree requirements. Although this may be appropriate, depending on the position, consider that the names of degrees granted at this university may have a different name at another university. In addition, consider whether the needed skill sets can be obtained from degrees from related fields.

3. Failure to indicate whether "experience" includes student or graduate-level work. In some professions, an internship and/or graduate-level practicum may provide the type of experience needed for many entry-level positions.

Submit a Request to Search Form (RTS)

The **Request to Search (RTS) Form** is used to notify all appropriate parties that a position is open and will be filled. Information on the RTS form will be used to advertise the position and form a viable applicant pool. The RTS form includes the position description, which identifies the basic qualifications of the position. All related position announcements, advertisements, and other information disseminated about the position must mirror the wording for the job qualifications (required and desired) given on the RTS form. However, information about the University campus, the Knoxville region, and/or the department[1] itself may be included in position and website listings without also being included in paid advertisements.

Approval of the RTS form by OED begins the advertising and recruitment phase of the search process. Position advertisements and announcements may be placed in publications immediately upon approval of the RTS form by the appropriate signatures. OED will distribute the approval form to all appropriate parties, including Human Resources for posting on the university's vacancy website. The date of approval by OED begins the required minimum posting period[2]. Advertising may occur prior to the required search committee meeting with OED.

Meet with OED

After the RTS form is approved, the hiring unit must contact OED to schedule a search committee meeting. The purpose of the meeting is to provide assistance and answer questions related to the search and interview process. Under very limited circumstances, and for searches conducted by the Extension and Experiment Station, this meeting can be waived or modified.

Advertise Position and Recruit Applicants

The Search Committee is charged with *recruiting* qualified applicants for the pending positions, *reviewing* their credentials, and *recommending* the most acceptable candidates for consideration. The Search Committee will determine where and how it will advertise the position. The more creative and aggressive a committee is in its recruiting efforts, the more likely it is to generate interest from a diverse pool of qualified candidates. Search Committees are encouraged to spend their time and efforts on methods (conferences,

[1] Hiring units should consult the OED website (http://oed.utk.edu) and UT Media Relations (http://communications.utk.edu/media/) for possible useful information about the university and Knoxville region that could be helpful in recruiting potential applicants.

[2] The minimum posting period is four (4) weeks for regular, external positions; two (2) weeks for regular internal positions. Requests for a reduced time period must be justified in writing.

publications, listservs, and personal contacts) relevant to the position. Each committee member should maintain a **Contact Log** to indicate all contacts (letters, e-mails, telephone calls etc.) made during the search process. (Appendix A or http://oed.utk.edu)

OED maintains information regarding:

- Common Advertising and Recruiting resources for Academic and Service Disciplines
- Listing of Historically Black Colleges and Universities (HBCU), Traditional Women's Colleges and Universities, Native American Colleges and Universities, and local and State (Tennessee) Colleges and Universities
- Managed listserv to Higheredjobs.com (job posting at no cost to the hiring unit) and other related links

The following resources can prove to be helpful supplements to other advertising and recruiting methods used by the search committee:

- Ads placed in professional journals, membership lists or vita bank services
- Departments and contacts at other universities offering relevant degrees
- Personal contacts to colleagues in the profession to solicit names of potential qualified candidates
- Internet resources, listservs, and/or e-mail lists
- Professional associations and conferences serving specific populations (ex. Women in Engineering or Association of Black Psychologists)
- The applicant pool from similar searches conducted by the department or other university departments recruiting similar types of positions
- Current employees
- Local and campus-based special interest commissions (Council on Interculturalism and Diversity, Commission for Women, Commission for Blacks, Commission for LGBT People, Exempt Staff Council, Employee Relations Committee, Center for International Education) as well as local community-based agencies (Knoxville Area Urban League, Community Action Agency, and Tennessee Workforce and Development, particularly the Veteran Administration unit)

Acknowledge Resumes/Vitaes Received

As resumes and vitaes are received, the Search Chair (or designated support staff) should send written correspondence (using the same common language) to each applicant acknowledging receipt of the application. Included with the acknowledgement letter should be the University's Equal Employment Opportunity Self-Identification Form. It is mandatory that the self-identification form be sent to each applicant. However, failure to return the form cannot be used as a means to reject an applicant.

Because information needed on the Self ID Form is individualized to each specific search, this form is not interactive on the OED website. OED will provide a self-identification form, with a specifically assigned number, directly to the hiring unit upon approval of the RTS form. OED can also help the hiring unit create an on-line response process for applicants to use in place of the prepaid envelope. All information gathered from the returned self-identification forms will be compiled by OED and made available to the search committee chair upon request. The search committee should use the information to help determine the diversity of the applicant pool and to respond to questions listed on the Narrative Summary Form (NS).

Screen and Evaluate Applications/Resumes/Vitaes

Each Search Committee will devise its own methods for reviewing and evaluating applicant files. The process and criteria must be consistently applied to all applicants.

- The Search Chair (or subcommittee) may take a preliminary review of all files to determine which applicants meet the minimum qualifications specified in the position announcement. Files of applicants who do not meet minimum qualifications may be separated from those who do. However, all must be counted as part of the total applicant pool for that search. All files should also be available for all committee members to review if they choose to do so.

- Technology can play a role in the review and evaluation phase of the search process. For instance, some search committees have created/used Blackboard programs that allow committee members to receive, review, and evaluate resumes/vitaes. Others have asked applicant to apply directly on-line.

- The use of objective measuring tools has proven to be helpful in the review and evaluative process. Search committees may elect to develop scoring sheets/screening forms/evaluation sheets and/or some form of rating system that assigns weights to particular "required" or "desired" criteria. If such tools are used, they should be kept as a part of the hiring unit's search records.

- As a means to help narrow the applicant pool, search committees, depending on the type of position being filled, may request samples of documents written by applicants, select a range of top applicants and develop written questions for their responses, and/or conduct pre-screen conference calls that allow applicants to respond to a common set of questions.

These are just a few of the evaluation methods that may be considered for use by search committees. Committees have a great deal of flexibility in determining how to select top applicants. However, any criteria used must be applied to all applicants at each appropriate level.

Consideration of the Self-Identification Form

Information from the UT Self-Identification Form will provide a demographic profile of the applicant pool. If the search committee believes that the applicant pool does not adequately represent the composition of available potential candidates, the committee may consult the Department Head/Director, Dean, Vice Chancellor, Vice Provost, or OED for additional ideas to augment the recruiting efforts. Remember:

- If the search has been advertised without a cut-off date for receipt of applications, the committee can broaden the recruiting efforts to identify additional applicants.
- If the search has been advertised with a cut-off date, the position may need to be re-advertised. Use this opportunity to re-evaluate the job position to include qualifications, timing of search, recruiting sources, job title/rank, etc.
- If the committee decides to extend the search and re-advertise, all applicants who have applied should be notified in writing of the re-opening and asked to affirm their continued interest. If an applicant does not respond to the request for affirmation, he/she should still be included in the narrative summary for statistical purposes.
- The department also can elect to close the search and open a new search at a later date.

Select Principal and Alternate Candidates

When the Search Committee is satisfied with the quality and composition of the applicant pool, it should devise a list of **Principal Candidates**. All Principal Candidates must be invited to interview (although a candidate may turn down an invitation to interview). Since each search is different and will yield a different applicant pool, it would be difficult to set numerical limits (minimum or maximum) on the number of candidates that should e placed in the principal pool. Such direction will normally be provided y the Department Head/Director or Dean. The Search Committee must identify, in the Narrative Summary Form, each Principal Candidate's relative strengths and weaknesses and attach a copy of each candidate's resume/vitae.

Alternate Candidates are those candidates who are under consideration in the event that none of the Principal Candidates are selected for the position. Alternate Candidates must meet the minimum qualifications of the position. The search committee may or may not elect to have an Alternate Candidate Pool. If there is an Alternate Pool, the search committee may or may not elect to interview candidates from the Alternate Pool. If interviewed, candidates in the Alternate Pool may be interviewed one-by-one, in no particular order. As with the Principal Pool, strength and weakness statements must be provided for each Alternate Candidate in the Narrative Summary Form along with a copy of each candidate's resume/vitae.

The Search Committee will recommend which applicant will be selected as principal and/or Alternate Candidates as well as those eliminated from further consideration. This recommendation is a very serious one and should not be taken lightly. Therefore, the Search Committee should gather as much information as possible about the applicants prior to the submission of the narrative summary (or selection of principal and alternate candidates) Such information will include the applicant's detailed resume/vitae, contacts to the applicant to clarify information provided on the resume/vitae, and most importantly, information gathered from conducting reference checks. Search committees should document all reference checks made in the department's search file. Committees are strongly encouraged to use a common set of questions posed to all references. Questions posed should be objective and designed to yield information that will demonstrate the applicant's ability to perform the responsibilities associated with the pending position.

Submit the Narrative Summary (NS)

The **Narrative Summary Form (NS)** must be approved before candidates can be invited for an official on-campus interview. The Narrative Summary documents the activities of the search committee—methods and actions taken to advertise the position, recruit applicants, and select Principal and Alternate candidates. This documentation is required to show that all appropriate equal employment opportunity and affirmative action initiatives have been taken to identify and consider a qualified diverse applicant pool. The NS Form should be reviewed and signed by all appropriate administrators. Also, the NS Form should provide the following information regarding the applicant pool:

- If self-identified 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 self-identified female applicants; and

- If self-identified racial minorities (African Americans, Native Americans, Asians, Hispanics/Latinos) 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 self-identified racial minority.

Conduct On-Campus Interviews

Candidates may be contacted and interviews scheduled upon approval of the Narrative Summary Form by OED. Since the interview process can be time intensive and will involve meeting with busy administrators, careful advanced planning on the part of the search committee can help make the process move efficiently and effectively. It may be helpful to arrange potential interview schedules and/or blocks of potential interview time with administrators even before candidates have been finalized.

The interview process provides the department an opportunity to further assess a candidate's credentials and for the department and university to promote the position and campus to the potential candidates. Therefore:

- **Pay Attention to Detail**—The candidate's first impression of the campus will begin with the scheduling of the interview. Lack of proper planning may be perceived as a lack of interest in the candidate.

- **Develop Appropriate and Consistent Itinerary**—Determine who should participate in the interview (faculty, staff, administrators, students). Consult calendars and schedule interview appointments as early as possible. Include campus constituents with whom the candidate will interact since it help the candidate understand the relevance of pending position to each person participating in the interview process. Provide a copy of interview schedule to all persons involved in the interview process. Consider scheduling breaks during the day(s) for the candidate. However, avoid having large unscheduled gaps of time during such visits. **Remember:** OED must be included as part of the itinerary for all on-campus interviews of upper level candidates.
- **Meet and Transport Candidate**—Make arrangements for meeting the candidate at the airport and transporting him/her to the pre-arranged hotel or housing. Confirm arrangements in advance to include itinerary. Include the name of the person(s) who will provide transportation to and from the airport and to and from the various interview sessions.
- **Develop Appropriate Questions**—Interviewing candidates is a critical step in the hiring process. Review questions in advance and consult *Appropriate and Inappropriate Areas of Interview Inquiries* (http://oed.utk.edu) or Appendix B.
- **Internal Candidates**—Treat all internal candidates with the same professionalism and decorum as exhibited to all external candidates. The itinerary for internal candidates should mirror that designed for interviewing external candidates.

Submit Request To Offer Form (RTO)

Upon completion of the on-campus interview process, the Search Committee will evaluate all candidates and recommend the acceptable candidates to the Department Head/Director of the hiring unit. The acceptable candidates do not have to be submitted in any ranked order unless so requested by the Department Head/Director. The Department Head/Director selects the candidate that will receive the job offer.

The administrative head then submits the **Request to Offer (RTO) Form** for review and signature by all other appropriate administrative offices (Dean, Vice Chancellor, Provost, Vice President, and OED). Informal negotiations may occur before final terms are reached. However, all official offers of employment can only be extended by the Chancellor, Provost, Vice Chancellor, Vice President, or President. For more specific requirements, see http://provost.utk.edu/hiring for faculty positions and (http://hr.utk.edu/) for all other positions.

Close the Search File

Once the search has been concluded and the position has been filled, all parties will be notified of this status. The hiring unit should submit a written notice to OED to close the search file. Human Resources should forward a copy of the letter of acceptance signed by the newly hired employee to OED. OED will close the search file with the appropriate notice from the hiring unit and Human Resources.

Records of all searches must be retained[3] for a period of ten (10) calendar years after the effective date of appointment of an individual into the job position. The hiring unit is required to retain all records that substantiate information provide don the official UT records. These will include copies of the RTS Form, Narrative Summary Form, RTO Form, all candidate files, and all supporting materials (ex. Scoring sheets, evaluation forms, and notes regarding reference checks) used to substantiate decisions made. OED will maintain a copy of all information received on searches monitored by OED.

Section II: Conducting an Internal Search

Internal searches represent exceptions to the standard (external) search process and will be carefully considered by OED along the following factors:

- Hiring unit's past affirmative action efforts
- Requestor's ability to identify the existence of a potentially qualified, diverse applicant pool that already exists at the University

Internal searches must follow the same basic procedures as external searches with the following exceptions:

- The department must submit a written request to appropriate administrators (Dean, Provost, Vice Chancellor, Vice President, and OED) that includes the rationale for conducting an internal search.
- Internal searches are open to all **currently employed regular UT personnel** regardless of the campus location (Knoxville area units, Tullahoma, Chattanooga, Martin, and Memphis)
- External advertising is **not** required, however, the position must be posted on the HR job vacancy listing with a designation that it is an internal search
- The position must be posted for a minimum of **two weeks** from the date that OED signs the RTS Form
- The hiring unit must ensure that all efforts are used to notify all currently employed regular UT personnel of the pending job vacancy

Section III: Conducting an Upper Level Search

Upper level searches include the following types of searches:

- Chancellor or Vice President
- Provost
- Vice Chancellor
- Dean
- Associate and Assistant Dean

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[3] All search file records may be forwarded to Records Management and held for the required period or may be physically maintained in departmental files.

- Department Head and Director when equivalent to administrative head of an academic unit

Upper level searches follow the procedures outlined in Sections 1 and 2 and include the following additional requirements:

- Membership of the search committee must be diverse, particularly in terms of gender and race.
- The following statement must be included within the general description of the announcement and advertisement sections: *The Knoxville campus of the University of Tennessee is seeking candidates who have the ability to contribute in meaningful ways to the diversity and intercultural goals of the University.*
- Minutes must be kept for all upper level Search Committee meetings and submitted along with the Narrative Summary Form
- Unless waived, the Office of Equity and Diversity (OED) must be included as part of the interview itinerary for all on-campus interviews held.

In those situations where hiring units choose to use an external consulting firm to help with their recruiting efforts, such firms must be apprised of OED search procedures and requirements. The hiring remains responsible for following the OED search process to include submission of a Request to Search Form, Narrative Summary Form, and Request to Offer Form that meet OED requirements.

Section IV:
Positions With Modified (Limited or Exempted) Search Requirements

The Office of Equity and Diversity (OED) will work with Human Resources (HR) and the hiring unit in those instances where a full, external search is not appropriate. To help track such positions, the hiring unit must submit the **Request for Exemption: Faculty and Exempt Staff Form (*Exemption Form)*** to OED, signed by the appropriate administrators, along with written justification of the needed type of job change. The types of positions that might require limited or exempted search procedures could include:

Acting/Interim Appointment: An Acting/Interim Appointment can only be filled with an internal candidate and for a limited period of duration (normally continues for a period of up to one year). Any Acting/Interim Appointment extended beyond the one-year limit must be approved by the appropriate administrator and OED. A written request seeking the extension of an Acting/Interim Appointment must include the rationale why a search for a regular appointment cannot be made during the year.

Because the University recognizes the unequaled opportunity that an Acting/Interim Appointment creates to train, expose, and enhance the credentials of candidates for future regular positions, such appointments should be made only after careful consideration of all potential appointees.

Promotion in Place/Reclassification—Promotions in Place/Reclassifications represent promotions/title changes to currently employed UT personnel. Under the Promotion in Place/Reclassification, the hiring unit proposes to add additional responsibilities to duties already being performed by an existing employee. As such:

- The promotion, if effected, does not leave a residual vacancy that must be filled by another person;
- The promoted individual does not move to another office, organizational structure or location; and
- The promotion can be justified because of department need and employee merit.

Lecturer—The position of Lecturer is a renewable, year to year, non-tenure track appointment. The UT offices of the Provost, OED, and HR have developed a yearly recruiting process designed to recruit persons interested in Lecturer positions. Departments are requested each Spring by the Office of the Provost to identify their anticipated needs; HR posts a vacancy listing in the Chronicle of Higher Education; and OED serves as the central search office. (See http://provost.utk.edu/hiring/ or contact OED at 974-2498).

Coaches—Because of the unique nature of college and university coaching, specific job requirements, and because vacancies can occur suddenly with limited time for completion, an expedited search process may be necessary to fill some coaching vacancies. The UT Athletic Departments should consult OED to determine the process to be followed in such situations.

Other-- Hiring units should contact HR to fill all Non-Exempt Staff vacancies, Exempt Staff Positions funded through grants and contracts (Restricted Accounts), temporary Exempt Positions (Limited Duration Appointments), and Post-Doctorate Research Appointments. (See http://hr.utk.edu/. Hiring units should contact the Office of the Provost to fill positions under the Opportunity Hires process. (See http://provost.utk.edu/hiring/)

Section V: Problems That May Arise During A Search

Experience has shown that every search effort is different. Occasionally, situations will arise during a search that requires special attention. Some are listed below:

Inadequate Candidate Pool—If a search committee is not satisfied with the quantity and/or quality of the applicant pool, it may consider:

- Revising the job requirements—Re-evaluate the qualifications of the position. If revisions are made, the new job description must be reviewed by OED and the position must be re-advertised. All applicants from the former position must be notified of the revision and invited to re-apply.
- Re-advertise the position in different venues—Consider expanding recruiting and advertising efforts to include a wider range of regional or national publications as

well as making personal contacts with potential applicants in the academic discipline or service profession.

- Recruit from Within—Consider searches currently underway (or recently completed) at the university. If they represent job positions at the same rank, job title, and require the same job qualifications, consider contacting members of that applicant to encourage them to consider applying for your pending position.

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 written request to place the search on "**Hold".** The request, submitted to all appropriate administrators, should identify the job position, status of the search, and reason (s) for the "Hold" request.

Extension of a Search—Usually, a search is approved for a year or less, beginning with the approval date on the Request to Search Form. If a search goes beyond the expected one year period, the Department Head/Director should submit a letter to all appropriate parities requesting an extension of the search and explaining why an extension is needed. If an extension is granted, applicants for the existing search must be notified of the status and asked if they wish to remain as applicants for the extended search.

If OED determines that the length of the extended search may render the existing applicant pool to be non-viable, OED may recommend closing the existing search and opening a new one. If this occurs, applicants for the existing search must be notified of the status and asked to consider re-applying for the newly opened search.

Candidates Who Apply After Approval of the Narrative Summary—It is strongly suggested that all searches should be advertised with open dates for applicants (ex. *Applications will be accepted until the position is filled).* This would allow the Search Committee to receive and consider applications until the position has been filled. If the Search Committee wants to add a "late" applicant to the approved principal and alternate pool list, the committee chair should consult with OED to amend the narrative summary form. This will involve a written memo from the Department Head/Director to OED and any other appropriate administrator explaining the circumstances, a copy of the applicant's resume/vitae, and strength and weakness statements regarding the candidate.

Initial Offer is Rejected—If an offer is made to a candidate who rejects the offer, the Department Head/Director can review the viable pool of acceptable principal and alternate candidates. If the Department Head/Director wishes to make an offer to one of those candidates, the Department Head submits a RTO Form with the name of the new proposed candidate for review and approval by all signatory offices. Upon approval by OED, the offer process can again be initiated. If the offer is not accepted by any candidate, the Department Head/Director should provide written notice to all appropriate offices and consult with OED to determine what actions will be taken on the existing search.

Section VI: Ways That Might Help To Expedite Search Efforts And/Or Identified Qualified, Diverse Candidates

The guidelines provided within this manual have been developed to help the University recruit a qualified, diverse workforce in a consistent and fair manner. Because each search effort can be unique, there are things that a hiring unit might consider to help expedite their particular recruiting efforts. Consider the following:

- For hiring units, especially professional programs, where at a national level, the professional field has developed a fairly *standardized* method for recruiting applicants AND where the hiring unit at UT has shown commitment toward recruiting diversity, OED will work with the hiring unit to modify the search process to accommodate the *standardized* method used by that profession.
- Hiring Units recruiting to fill more than one job vacancy requiring the same job title, qualifications, and responsibilities can use the same applicant pool of candidates. Advertisement should note the number of job vacancies being recruited.
- Colleges and departments conducting more than one search at a time should stay informed of the status of the department's searches underway. Search committees can notify other search committees of qualified candidates who might be interested in knowing about and considering applying for other job vacancies.
- Always remember that, in a search having open review dates, applicants can apply and be considered until the position is filled. Search committees can always modify or amend approved Narrative Summaries to include new applicants. Therefore, remember that you are always in a recruiting mode.
- When possible, some hiring units (ex. Athletics searching to fill Coaching positions) use what is considered to be a "Running Applicant Pool". When a position that requires a short turnaround period exists, the hiring unit might consider opening up a search (submit a Request to Search) with appropriate approvals from all necessary offices. As candidates become known and qualified, OED and other appropriate offices are notified of their potential candidacy, a copy of the resume is submitted, and candidates are added to the search file for interview.
- In situations where the hiring unit *Anticipates* a job vacancy either because they have been notified by an existing job holder of a pending retirement/resignation or the unit anticipates creating a new position (rather than filling a replacement), OED will work with the hiring unit to advertise for an *Anticipated* Job Vacancy. If the vacancy does not materialize, the hiring unit should contact OED and terminate recruiting efforts.
- Hiring units, particularly academic units, seeking to increase the number of qualified, diverse academicians in their discipline as well as within the university should (1) be creative in identifying and nurturing current PhD candidates who might be interested in academic appointments and (2) establish exchange programs with peer institutions interested in sharing PhD candidates. An exchange of PhD candidates, for a period of time and through arrangements that will allow such candidates to return to their home institution after gaining needed

experience and completion of the PhD, can help higher education, in general, increase the pipeline of qualified, diverse candidates AND provide a method to recruit, in the future, qualified, diverse candidates to UT.

APPENDIX A

UT Search Forms (see http://oed.utk.edu)

EEO/AA Statement/Non-Discrimination Statement

Request to Search Form (interactive)

The University of Tennessee EEO Self-Identification Form[4]

Narrative Summary Form (interactive)

Request to Make Offer Form (interactive)

Summary of All Individual Contacts Form

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[4] Because information needed on the Self ID Form is individualized to each specific search, this form is not interactive on the OED website. OED will provide a self-identification form, which will have a specially assigned number, directly to the department upon approval of the RTS form. OED will create an on-line response process for applicants to use in place of the prepaid envelope. All information gathered from the returned self-identification forms will be compiled by OED and made available to the search committee chair upon request. The search committee should use the information to help determine the diversity of the applicant pool and to respond to questions listed on the Narrative Summary Form (NS).

Appendix B:

Information Regarding Appropriate/Inappropriate Areas of Inquiry During the Interview and Reference Check stages 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).

The University no longer includes “handicap” or “disability” status on its Affirmative Action Self-Identification form for data purposes. Please check with OED if you have any questions about whether you are distributing the most up-to-date version of the form.

The ADA also limits pre-hire medical exams. With certain types of jobs, an employer can require a medical exam after 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.

The ADA requires that employers “reasonably accommodate” applicants with disabilities unless the reasonable accommodation would cause an undue hardship to the business. For example, an interviewer might have to provide a guide to a blind applicant who has been invited to interview.

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 the University’s ADA Coordinator at the Human Resources office (HR) at 974-2456.

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 relate 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/Ethnicity/Color

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/ethnicity/color.

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 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 accompany 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" and "Alternate" 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.

APPENDIX C:

Processing Newly Hired Faculty (http://provost.utk.edu/hiring/)

Tenure-Track Regular Faculty

1. When the department is ready to make an official offer, it sends the request to the Dean's Office and then to the Provost's Office for approval. The request should be accompanied by:
   - The Recommendation for Faculty Appointment Form,
   - The Request to Make an Offer Form,
   - A curriculum vitae,
   - And the English Competency Form (if the native language is not English).

2. The Provost's Office sends the Request to Make an Offer and accompanying documents to OED. OED approves the offer and sends an e-mail containing the position title and number that has been approved to the Provost's Office. OED distributes copies of the approved documents to the appropriate departments.

3. The official appointment letter is produced and mailed by the Provost's Office.

4. When the offer is accepted, the Provost's Office sends the original signed appointment letter to the department head. If the offer is rejected, the department may request approval from the dean and the provost to offer the position to another candidate. Steps 1, 2, and 3 are repeated for new offers.

5. The department contacts the new faculty member to communicate information about joining the department and informs the candidate of the steps required to complete the hiring process. The department or new faculty member contacts Human Resources at (865) 974-1927 to schedule a New Employee Orientation session.

6. The department prepares the initial hire/rehire form and forwards it along with the original signed acceptance letter and the curriculum vitae to the Dean's Office for signature.

7. The Dean's Office then submits all documentation to Human Resources.

8. HR enters the new hire information into IRIS after the faculty member has attended orientation and completed the necessary hiring documents. This entire process must be completed before the new faculty member can receive a check from the university.

Non-Tenure-Track Faculty on Regular Appointments (Lecturers, Clinical, Research, etc.)

1. When the department is ready to make an official offer, it sends the request to the Dean's Office and then to the Provost's Office for approval. The request should be accompanied by the appropriate hiring documents, 1) the Recommendation for Faculty Appointment Form, 2) a job description, 3) a curriculum vitae, 4) the English Competency Form (if the native language is not English) for teaching

faculty, 5) and a record of the faculty vote for research, clinical, and adjunct professors.

2. The offer letter is produced and mailed by the Provost's Office. The candidate signs and returns the acceptance letter to the Provost's Office. The Provost's Office forwards the original signed acceptance letter to the department head and a copy of the signed letter to OED.

3. The department contacts the new faculty member to communicate information about joining the department and informs the candidate of the steps required to complete the hiring process. The department or new faculty member contacts Human Resources at (865) 974-1927 to schedule a New Employee Orientation session.

4. The department prepares the initial hire/rehire form and forwards it along with the original signed acceptance letter and the curriculum vitae to the Dean's Office for signature.

5. The Dean's Office then submits all documentation to Human Resources.

6. HR enters the new hire information into IRIS after the faculty member has attended orientation and completed the necessary hiring documents. This entire process must be completed before the new faculty member can receive a check from the university.

Non Tenure-Track Regular Faculty (Continuations)

1. HR provides departments with a blank spreadsheet and the department indicates on the spreadsheet those individuals to be continued on the basis of performance evaluation and submits the spreadsheet to the college. The college returns the spreadsheet to HR for preparation of a continuation letter.

2. This spreadsheet is for the preparation of continuation letters only. Any changes in pay or terminations must be routed through the appropriate channels.

3. HR prepares and sends the continuation letter.

Non Tenure-Track Faculty on Term Appointments or Term Continuations

1. The department sends the request to the Dean's Office and then to the Provost's Office for approval. The request should be accompanied by the appropriate hiring documents.

2. The offer letter is produced and mailed by the Provost's Office. The candidate signs and returns the acceptance letter to the Provost's Office. The Provost's Office forwards the original signed acceptance letter to the department head and a copy of the signed letter to OED.

3. The department prepares the initial hire/rehire form and forwards it along with the original signed acceptance letter and the curriculum vitae to the Dean's Office for signature.

4. The Dean's Office then submits all documentation to Human Resources.