

OFFICIAL

Policy and Procedure Statement 7.01

Revised: 9/99

Review Cycle: May 1, ONY

Review Date: 5/1/2001

Reviewer: Provost

Dean and Chair Hiring

(74 paragraphs)

GENERAL INFORMATION

1. Texas State University-San Marcos is committed to hiring well-qualified faculty members for every vacant faculty position and will take the necessary steps to ensure that applicant pools are diverse.
2. This Policy and Procedure Statement (PPS) provides guidelines to secure with the resources available the services of the best qualified persons for college dean and department chair vacancies and to support an effective faculty governance system.
3. Deans and chairs are administrative officers of the University and selection is ultimately the responsibility of the President. The Provost and Vice President for Academic Affairs shares this responsibility. Because the quality of one academic program inevitably impacts the quality of others, the general faculty and especially faculty in affected schools and departments also have a legitimate interest in the selection of deans and chairs.
4. Although the appointment of a department chair is the prerogative of the President, as a part of Texas State's policy to encourage the professional development of faculty members, the University selects chairs from the current Texas State faculty whenever practical.
 - a. When a college dean knows of a pending vacancy for a department chair, the dean and the Provost will discuss the current profile of the department to determine whether circumstances warrant a national search. Factors that should be considered in this discussion include, but are not limited to: (1) the need for additional faculty in the department, (2) the likelihood of identifying one or more strong internal candidates in the department, and (3) the impact that limiting the search to internal candidates will have on opportunities for attracting persons with diverse experiences and/or backgrounds into department chair positions. Following this discussion, the dean and the Provost may decide to initiate a search at a national level that is open to both internal and external candidates. If a national search is initiated, it will be conducted without prejudice for inside or outside candidates. A Position Authorization Request ([Attachment A](#)) is prepared by the college dean.
 - b. If the decision is made to review internal candidates before conducting a national search, the dean will initiate a process to determine whether one or more acceptable internal candidate(s) exist(s) among the current faculty. The dean will notify members of

the department of the pending vacancy and will invite individuals to apply for the chair's position or to nominate internal candidates for the position by a specified deadline. The dean will then consult with any individuals who have been nominated to confirm their willingness to be considered.

- c. The dean will prepare an explanatory memorandum and a ballot listing faculty members who have applied or agreed to be considered. This memorandum and ballot will be distributed to all tenured and tenure-track faculty members in the department along with a request to rate each candidate as either a "strong", an "acceptable" or an "unacceptable" candidate for department chair. The ballots should include a date by which they are to be returned to the college dean.
 - d. The college dean will tabulate the ballots received. Any faculty member who is rated "strong" or "acceptable" by at least two-thirds of those voting will be considered to be acceptable to the department.
 - e. The college dean and the Provost will review the list of candidates deemed acceptable to the department. If one or more of those candidates is, in the preliminary judgment of the dean and the Vice President, an outstanding candidate for the position, interviews with the tenured and tenure track faculty, the college dean, the Vice President, and the President may be scheduled to consider the candidate(s). Other interviews may be conducted at the discretion of the dean.
 - f. At any point in the process outlined above, the college dean and the Provost may decide to open the search at a national level to both internal and external candidates. If a national search is initiated, it will be conducted without prejudice for inside or outside candidates.
 - g. While normal practice is described above, nothing in these paragraphs shall be construed to prevent the college dean, the Provost, and the President from appointing an acting department chair or a chair by other procedures if such an action is, in their professional judgment, in the best interest of the University.
5. The appointment of a college dean is the prerogative of the President. Texas State's normal policy is to conduct a national search for a dean. However, if a Texas State faculty member is, in the judgment of the President and the Provost, an acceptable candidate for the position, or if the financial situation dictates that an outside candidate cannot be sought, the Vice President will seek the advice of the College Council and others as may be appropriate. The President and Provost will then determine whether a national search will be initiated or whether an internal candidate will be appointed. If a national search is conducted, there will be no prejudice for inside or outside candidates.

6. The Dean and Chair Hiring Checklist ([Attachment B](#)) is a quick reference to materials and actions needed to hire new deans and chairs.

AFFIRMATIVE ACTION

7. Texas State is committed to full compliance with Titles VI and VII of the Civil Rights Act of 1964 as amended, Civil Rights Act of 1991, Executive Order 11246 and its amendments, Equal Pay Act, Age Discrimination in Employment Act, Section 503 of the Vocational Rehabilitation Act of 1973, Vietnam Era Readjustment Act of 1974, Pregnancy Discrimination Act of 1978, Immigration Reform and Control Act of 1986, the Americans with Disabilities Act, and the Texas State University System policies for maintaining and reporting employment.
8. Texas State's policy is to assure that faculty employment procedures are in conformance with University policies and procedures (see [UPPS 04.04.03](#), Employment, [UPPS 04.04.04](#), Affirmative Action Program, [University Pay Plan](#), and [UPPS 04.04.11](#), University Classification and Compensation Policy). [Attachment C](#) is summary of the Affirmative Action Guidelines implemented in the hiring process.

COSTS

9. The Provost and dean will arrange a means to defray costs associated with correspondence, advertising, and interviews. Ordinarily these costs must be born by the department or college conducting the search. In the case of extreme financial hardship, supplementary funds may be requested for costs over and above those associated with a normal faculty search.

SELECTION OF THE SEARCH COMMITTEE

10. The Search Committee will be recommended to the President by the Provost. Upon the President's approval, the Search Committee and its Chair are officially appointed.
11. In the case of a dean search, the Search Committee will usually include one faculty member from each department in the college. One or more, but not all, will be department chairs. In addition, the Committee will normally include one or two outside deans and a chair of a department outside the school.
12. In the case of a chair search, the majority of the Search Committee will be from the affected department when the size of the department permits. In addition, the Committee will normally include at least one member of the faculty or a chair of an outside department and one outside college dean or associate dean.

13. The composition of each Search Committee must be diversified. If needed to ensure diversity on a Search Committee, the Provost or dean will go outside the department or college for committee members.
14. Following official appointment of the Search Committee, the Faculty Records Office schedules the first meeting at a time when the Provost and the college dean (for a chair search) can meet with the Committee. The Faculty Records Office will reserve a meeting place and notify the committee members of the time and place of the meeting.

INITIAL COMMITTEE RESPONSIBILITIES

15. During the first two meetings, the following should be accomplished:
 - a. The Committee Chair appoints or the Committee elects an administrative assistant to assist in the preparation of materials and correspondence;
 - b. The Committee and the college dean (for a chair search) will discuss the manner in which the Committee will interact with the college dean.
 - c. Draft a tentative schedule which permits conclusion of the search by April 15 or earlier if appointment is to be made for the fall semester or by November 15 or earlier if appointment is to be made for the spring semester. Search Committees should begin the process as early as possible to ensure a large pool of candidates.
 - d. Prepare selection criteria, a Recruiting Plan ([Attachment D](#)) and a tentative Position Vacancy Announcement (see [Attachment E](#)). The ads should allow approximately 60 days between first publication and review or closing date of the position.
 - e. The Committee Chair emphasizes that confidentiality must be maintained with respect to specific candidates; however, reports may be shared relative to the number of candidates, progress of the committee and general quality of the pool.
 - f. The importance of Affirmative Action will be emphasized and specific procedures to be utilized to seek out affected class applicants will be planned.
 - g. Define what items are necessary for a complete applicant file. See Paragraphs 41 and 54 for guidance. Review Checklist for Candidate Folder ([Attachment F](#)) to assure its compliance with the definition of complete file.

RECRUITING AND ADVERTISING

16. The Committee Chair is responsible for completing the necessary materials for recruiting and advertising.
17. The Recruiting Plan ([Attachment D](#)) and the Position Vacancy Announcement ([Attachment E](#)) are submitted together via the dean (for a

chair search) and the Associate Vice President, Human Resources and University Affairs to the Provost for approval. These forms are the same as those used for all faculty recruitment. Advertisements should not be placed without appropriate approvals.

18. The Recruiting Plan should identify the placement of advertisements. Required advertising includes:
 - a. The Texas Workforce Center and the Governor's EEO Office. The Personnel Office is responsible for sending vacancy notices to these agencies. Faculty vacancies will be posted on the Texas State webpage by the Faculty Records Office.
 - b. Sending an ad or flier to one or more of the following to ensure that applicant pools are diverse:
 1. Chronicle of Higher Education;
 2. Black Issues in Higher Education;
 3. Hispanic Outlook;
 4. Colleges and universities with primarily black, Hispanic, or female enrollment, and with graduate programs in the discipline; and
 5. Persons identified in the Committee on Institutional Cooperation (CIC) Directory available in the University Affirmative Action Office.

Additionally, advertising should be conducted through one or more of the following:

- a. Professional journals, newsletters or publications;
- b. University Placement Services;
- c. Direct mailing to appropriate graduate departments.

In an effort to make the responses as inclusive as possible, advertising should request a list of references rather than letters and should not require original transcripts.

19. Committee members should be encouraged to inform outstanding individuals of the availability of the position.
20. The Provost will review and approve the Recruiting Plan and Position Vacancy Announcement. Once approved, the Faculty Records Office will:
 - a. assign a posting number,
 - b. notify the Committee Chair of the posting number; and
 - c. distribute copies of the approved forms to the Committee Chair, the department chair, and the college dean.
21. Following approval of the Recruiting Plan and Position Vacancy Announcement by the Provost, the chair submits advertisements to

appropriate media. The ads should allow approximately 60 days between first publication, and closing or review date of the position.

ESTABLISHING THE CANDIDATE FILE

22. Upon receipt of a nomination or a letter of intent to apply, the chair begins a file on that individual. (See a sample checklist in [Attachment F](#)).
23. The complete applicant file consists of items as defined by the Committee. (See paragraph 15.g.).
24. The files should be kept in a secure place designated by the Committee Chair.

CORRESPONDENCE

25. The Committee Chair will acknowledge the following correspondence: (Sample letters in [Attachment G](#)).
 - a. The nominator and nominee upon the receipt of a nomination,
 - b. The applicant upon receipt of a letter of intent,
 - c. References, and
 - d. The applicant, when file is incomplete and upon completion.

BEFORE THE CLOSING DATE

26. As applications arrive and before the closing date, the committee's administrative assistant sends the Faculty Records Office (weekly or any time several have accumulated) labels with the names and addresses of all applicants. Faculty Records will mail the Confidential Faculty Applicant Data Form to insure confidentiality of the data. A cover letter will accompany the labels identifying the department and the posting number.
27. Within the week prior to the closing date or earlier, the Committee Chair may meet with the Committee to review the criteria for rating the applicants.
28. The chair reserves a convenient and secure location for review of the candidate files by the members of the Committee.

AFTER THE CLOSING DATE, BEFORE INTERVIEWS

29. Within one working day after the closing date for the position, send remaining name and address labels of applicants to the Faculty Records Office (See paragraph 26 above).
30. Within one week after the closing date, the Committee Chair sends the Committee a list of the applicants in alphabetical order and rating forms, and sends information on the location and access to the files. (Sample Initial Rating Sheet in [Attachment H](#). The criteria for rating candidates

- can be modified to meet the needs identified by the Search Committee.)
31. Each member of the Committee, working independently, reviews and rates the applicants. As committee members review files, the chair may ask members to make comments about each applicant for the reasons for not interviewing.

SELECTING THE INTERVIEWEES

32. Through a series of meetings, if necessary, the list of applicants are narrowed down to the top three or four to be interviewed. Recommended procedures are outlined in paragraphs 33 to 40.
33. Normally at least three committee meetings are needed to select the top twenty, top ten, and top three or four candidates.
34. Secret ballots are used for each elimination.
35. If a member disagrees with the outcome in regard to any candidate, the committee re-examines and discusses the candidate's credentials.
36. In case of a tie, the affected candidates are discussed and another ballot is marked. If the vote remains tied, the tied candidates are retained.
37. A separate committee meeting may be necessary to review any internal candidates that were rejected in the initial screening.
38. Normally, the top ten candidates are sent a letter of continued interest, allowing two weeks for return of additional materials necessary to complete the file. (Sample letter in [Attachment G](#)). A complete applicant file at this point consists of:
 - a. completed application for academic employment;
 - b. a list of references, and
 - c. vita or resume.
39. Normally, reference checks are made for the top ten candidates via telephone or personal contact. Care should be taken to assure consistency in the information sought. Reference information is shared with the committee for discussion before selecting the top three or four candidates.
40. During this phase of the search, some additional information should be secured from those selected for interview:
 - a. Official transcript(s) showing all degrees for use during the final screening, and
 - b. Reference letters or telephone reference checks.

GETTING INTERVIEW APPROVALS

41. The following materials should be submitted via the dean (for a chair search) and the Associate Vice President, Human Resources and University Affairs to the Provost for interview approvals:
 - a. List of top ten candidates with the top three or four indicated but not ranked,

- b. Files of top ten candidates, and
 - c. Applicant Log Form (see [Attachment I](#)) with the following information completed:
 - 1. The upper portion of the cover page of the Faculty Applicant Log Form listing position information and list of candidates for interview.
 - 2. Continuation pages of the Log Form as needed to list:
 - the name and social security number of applicants
 - teaching experience and related qualifications;
 - the designation of applicants to be interviewed; and
 - the reason(s) for not interviewing those who will not be interviewed. (Changes can be made to the log later if more applicants need to be interviewed.)
42. The committee may be required, with the approval of the Provost, to interview additional applicants.

INTERVIEWS

43. With the concurrence of the Associate Vice President, Human Resources and University Affairs, Provost and the President (for dean searches) and the college dean, Associate Vice President, Human Resources and University Affairs, and Provost (for chair searches), interviews are scheduled. (See sample agenda, [Attachment J](#)).
44. It is the responsibility of the Search Committee to verify the following on the top candidate(s):
- a. Certification of the candidate(s) degree;
 - b. Accreditation of awarding college; and
 - c. Validity of transcripts.
45. In a dean search, the schedule should include meetings with the following: The President;
- a. The Provost (two meetings are scheduled, one early in the candidate's visit and another as an exit interview);
 - b. The Academic Deans;
 - c. The current Dean of the College;
 - d. The College Council;
 - e. The Search Committee;
 - f. Faculty within and outside the school (informal meetings); and
 - g. Other groups, as appropriate.
46. In a chair search, the schedule should include meetings with the following:
- a. The President;
 - b. The Provost;
 - c. The Dean of the College;
 - d. The Dean of the Graduate College;

- e. The Search Committee;
 - f. The College Council;
 - g. Faculty within and outside the college (informal meetings);
 - h. Selected departmental students at the undergraduate and graduate levels; and
 - i. Other department chairs/program chairs; and
 - j. Other groups, as appropriate.
47. One hour is scheduled for the public presentation and the Committee Chair introduces the candidate.
 48. For both dean and chair searches, a copy of the candidates' vita should be sent to the Provost's office and the President's office at least two days before the interviews.
 49. In a dean search, the Committee Chair sends a copy of the schedule to each dean, each academic department, and the Provost Office.
 50. In a chair search, the Committee Chair sends a copy of the schedule to each chair within the college, the dean, each faculty member within the department, and to those outside the department and college who are to meet with the candidate.
 51. The chair or other member of the Search Committee arranges for moving the candidate from one scheduled event to the next and for hosts/hostesses at lunches and dinners. The cost of the candidate's lunches and dinners will be reimbursed by the University.
 52. The interviewee must be informed that only the President has the authority to issue contracts.

SELECTION OF THE CHAIR OR DEAN

53. The Search Committee should seek either formal or informal input from the college council, department faculty, and students prior to the committee's meeting to discuss the candidates qualifications.
54. Following the interviews, the Committee Chair prepares a ballot and convenes the committee. The qualifications of the candidates are discussed, and committee members rank their choices on a ballot as either "acceptable" or "unacceptable." A memorandum summarizing the results of this ballot and outlining the major strengths and weaknesses of each acceptable candidate is then prepared.
55. The memorandum should be forwarded with the files of all acceptable applicants, via the dean (for a chair search) to the Provost. After consultation with the President, a chair or dean is selected.
56. The Search Committee will forward, via the Associate Vice President, Human Resources and University Affairs to the Faculty Records Office, all required documents for hiring and contracting. Specifically:
 - a. A completed Faculty Employment Application;
 - b. A current vita or resume;

- c. Official transcript(s) from all degree granting institutions;
 - d. At least three letters of recommendation or memoranda documenting telephone reference checks;
 - e. Contract Offer Recommendation ([Attachment K](#)), including statement of proposed contract terms, salary computation, and, where applicable, special hiring inducements;
 - f. Completed Faculty Applicant Log;
 - g. Test results for candidates whose primary language is not English, or a memorandum indicating the candidate's agreement to testing at the next available testing date; and
 - h. Dual employment documents for candidates simultaneously employed by another state or federal agency.
57. If none of the candidates are acceptable to the Committee, a memorandum stating that fact as well as a recommendation for future action (additional candidates from the remaining pool who should be interviewed or re-opening of the search) is prepared instead. The memorandum is forwarded via the dean (for a chair search), and Associate Vice President, Human Resources and University Affairs, to the Provost.
58. In a dean search, the final selection is made by the President in consultation with the Provost. The Provost makes the offer to the candidate. In a chair search, the final selection is made by the President in consultation with the Provost and the college dean. The college dean makes the offer to the candidate. If a position is offered and accepted by the candidate, the remaining candidates are notified. (See sample letter in [Attachment G](#)).

HIRING AND CONTRACT

59. The Faculty Records Office will prepare a contract for signature after receipt of items a-h in paragraph 56. The contract will be sent via e-mail as appropriate for review prior to signature by the Provost and President. Any special conditions of employment are subject to final approval of the Provost, President, and the Board of Regents.
60. Following approval and signature by the Provost and President, the contract is mailed by the Faculty Records Office to the candidate unless directed otherwise. The contract is subject to the stated deadline for acceptance. Upon receipt of the approved contract, the Faculty Records Office will send a copy of the signed contract to the department chair, with a copy to the dean.
61. The department chair shall complete and forward an RBC, a completed Employment Eligibility Verification (I-9 form) and a Benefit Replacement Pay Worksheet via the Dean's Office to the Faculty Records Office for payroll processing.
62. If none of the top candidates accepts the appointment, the Committee

Chair convenes the Committee to decide whether to consider the remaining pool of candidates or to recommend reopening the search. If the latter recommendation is made and the Provost and President concur, the remaining candidates are notified.

EXTENDING A SEARCH

63. Occasionally a search does not produce any qualified applicants or a qualified applicant who accepts the offer. The search may be extended if time remains to expand recruiting efforts.
64. To extend a search, the Committee Chair should send a memo, via the college dean (for a chair search), and the Associate Vice President, Human Resources and University Affairs, to the Provost requesting extension of the closing date. The memo should state the original posting, the new closing date, and posting number, reasons why the extension is necessary, and what new recruiting efforts will be made.
65. The Faculty Applicant Log Form should include all applicants who applied under either closing date.

CLOSING/REOPENING A SEARCH

66. In the event a search does not produce a qualified candidate or a candidate who accepts the offer, the search may be closed and reopened if there is not time to expand recruiting efforts on the original search.
67. Appropriate disposition of the original position should occur by closing the position indicating no one was hired. A memo should be sent to the Provost, via the college dean (for a chair search) and Associate Vice President, Human Resources and University Affairs stating the posting number and reason for closing without hiring.
68. To reopen a search, submit the Recruiting Plan and Position Vacancy Announcement following the steps beginning in paragraph 17 of this PPS.

RETENTION OF APPLICANT FILES

69. Files related to a dean search are retained in the Office of the Provost for three years after which they are archived according to the State of Texas Records Retention Schedule.
70. Files related to a chair search are retained in the Dean's Office for three years after which they are archived according to the State of Texas Records Retention Schedule.

WHEN A POSITION IS FILLED

71. In the case of a department chair, the dean will, or in the case of an

academic dean, the Provost will counsel the newly hired employee regarding expectations, responsibilities, conferences/meetings, in-service orientation and other employment related matters.

72. A visit to the Personnel Office is scheduled for employee benefits enrollment.

73. New chairs and deans are required to attend a New Faculty Orientation Session sponsored by the Faculty Advancement Center. This orientation session is held at the beginning of each fall semester one week prior to the beginning of classes.

CERTIFICATION STATEMENT

74. This PPS has been approved by the reviewer listed below and represents Texas State's Division of Academic Affairs policy and procedure from the date of this document until superceded.

Review Cycle:

Review Date:

Reviewer:

Date:

Approved:

Date:

Perry Moore

Provost and Vice President for
Academic Affairs