

MEMORANDUM

TO: Danny O. Jacobs, MD, MPH, FACS
Executive Vice President & Provost, Dean of Medicine

FROM: Kimberly K. Hagara, CPA, CIA, CISA, CRMA 
Vice President, Audit Services

DATE: April 4, 2017

SUBJECT: Faculty Recruitment Process
Engagement Number 2017-011

Attached is the final audit report regarding the Faculty Recruitment Process. This audit will be presented at the next Institutional Audit Committee meeting.

Additionally, please find attached Audit Services audit recommendation follow up policy. Each of the recommendations is classified by type at the end of its identifying number: System Priority (SP), Risk Mitigation (R), or Process Improvement (P). As you will note in the policy, the classification of the recommendation determines the frequency of our follow up. All follow up results are reported quarterly to the Institutional Audit Committee.

Thank you for your cooperation and assistance during the course of this review. If you have any questions or comments regarding the audit or the follow-up process, please feel free to contact me at (409) 747-3277.

Attachments

c: Rex McCallum, MD
Victor Moreno



The University of Texas Medical Branch
Audit Services

Audit Report

Faculty Recruitment Process

Engagement Number 2017-011

April 2017

The University of Texas Medical Branch
Audit Services
301 University Boulevard, Suite 4.100
Galveston, Texas 77555-0150

Faculty Recruitment Process

Engagement Number: 2017-011

Background

The University of Texas Medical Branch's (UTMB Health) institutional vision, "The Road Ahead", includes a strategic goal to "Invest in the Success of our Workforce". Communicated tactics assisting in achieving this goal include robust recruitment and workforce strategic planning. Recruitment of qualified faculty represents an on-going risk to achieving institutional goals.

The Office of Faculty Relations (Faculty Relations) department within the Office of the Provost provides support as needed to the School of Medicine, School of Health Professions, School of Nursing, and Graduate School of Biomedical Sciences on faculty and non-teaching related matters including, but not limited to, recruitment/hiring, appointment changes, compensation, performance management, development and training. Faculty Relations has eight full-time equivalent employees, two of which share responsibility for working with the departments on faculty recruitment. The department reports to the Assistant Vice President, Workforce Operations, for the Academic Enterprise.

Recruitment process documentation and data reside in two institutional systems. The PeopleSoft Human Capital Management (HCM) module serves as the official institutional data repository. Additional data resides in the Office of the Provost's Provost Operations Web Enterprise Resource (POWER) software application. While POWER has the ability to extract certain data from HCM, information entered into POWER does not feed into HCM. Throughout the recruitment process, both parties enter required data and documents in POWER and PeopleSoft HCM.

During fiscal year (FY) 2016, UTMB Health added approximately 92 new and 70 replacement faculty positions. The institutional currently employs approximately 2074 faculty positions.

Audit Objectives

The primary objective of this audit is to assess the efficiency and effectiveness of the processes in place to recruit faculty for UTMB Health.

Scope of Work and Methodology

The scope of work encompassed current faculty recruitment operations and FY 2016 related data. Our methodology included interviews of key personnel; review of relevant supporting documentation; and, workforce data analysis. Data reviewed for engagement purposes pertained to FY 2016 faculty specific positions within the Obstetrics-Gynecology/School of Medicine Outreach Clinics (Ob-Gyn), Anesthesiology, Internal Medicine, Radiology, and Surgery Departments.

The audit was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* as promulgated by the Institute of Internal Auditors.

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Audit Results

HCM Open Position Worklist

After the Office of Human Resources posts a job opening in HCM, it appears on the faculty recruiter's worklist for approval. Upon the approval by the faculty recruiter, the available position is posted on the UTMB career website. The faculty recruiters must receive all recruitment plans supporting documentation from the hiring department prior to approving the position in HCM. Audit Services interviews with Faculty Recruiters indicated they are working to reduce a HCM worklist backlog of opened however not being actively recruited positions dating back to 2015. The backlog appears to be the result of a lack of consistent communication and follow up with departments regarding pending items or other actions such as closure of the position. Additionally, we noted several instances where the faculty recruiters did not timely post items received.

Recommendation 2017-011-01-PM:

Assistant Vice President, Workforce Operations, should develop and implement an action plan, with an appropriate timeline, for reducing the current HCM worklist backlog as well as a process to ensure required documentation or notification of other action related to a pending position is received and acted upon timely.

Management's Response:

In the short term, Faculty Relations will coordinate with Human Resources on how to clear worked items automatically or in a timely manner, if a manual process is required. In addition, Faculty Relations (FAC/NT recruitment) will identify a process for reviewing draft job openings and cancelling draft job openings if not submitted within a specific timeframe (to be communicated to departments).

In the long term, Faculty Relations will coordinate with HR Recruitment on the implementation of Taleo which will replace TAM in HCM and ultimately, replace the worklist and improve the process for worklist maintenance in Taleo.

Implementation Date:

Short Term: Implement by July 31, 2017

Long Term: TBD – Hope to be able to provide an implementation date during the Fall of 2017, pending HR Recruitment's timeline.

Application/Screening Process

Individuals applying for faculty positions can complete an online application through the UTMB Health career website or submit their curriculum vitae directly to the hiring department. Interviews with Faculty Recruiters and the departments included in our audit scope indicated the majority of candidates submit information directly to the hiring departments. Faculty Recruiters screen online applications and the departments screen all other candidates.

UTMB Career Website Applications

Faculty Recruiters monitor their assigned job postings daily in HCM for newly applied candidates. The recruiters screen the applications based upon the requirements established by

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the hiring department and included in the detailed job posting. The recruiters identify qualified applicants to the hiring department through a HCM routing process. If the applicant does not qualify, the recruiter indicates that in HCM and the applicant is rejected from the position applicant pool.

Once a qualified applicant is identified and routed to the department in HCM, that information interfaces with the POWER Candidate Module, the web-based application for the departments to manage faculty data at UTMB and to monitor the applicants for the job opening.

Audit Services reviewed a sample of 20 screened applicants from FY 2016 HCM faculty data to determine the validity of rejecting or routing an applicant to a hiring department. All 20 applicants appeared to have legitimate reasons documented for being routed or rejected.

Applications Sent Directly to the Department

As noted earlier in this report, most candidates submit their applications directly to the hiring department. The documented recruitment process requires each department to enter these applicants into POWER Candidate Module. However, Audit Services noted that two of the five departments reviewed only enter those applicants interviewed into POWER. As a result, information on the full applicant pool is not being entered into or maintained in the official data repository, HCM. Without a complete applicant pool, UTMB Health cannot demonstrate compliance with state and federal regulations related to equal employment and affirmative action.

Faculty Relations' recruiters receive an automated notification from POWER when applicant information is entered into POWER requiring updating in HCM. Since the interface between POWER and HCM does not allow for automated updating from POWER to HCM, faculty recruiting manually updates HCM with the same applicant information previously entered into POWER by the department resulting in a duplication of effort.

During interviews with a faculty recruiter, it was noted that on occasion they will wait until the end of the recruiting process, once a lead candidate is selected, to update HCM with the applicant information which risks applicant information not be entered into HCM timely or at all. Audit Services also noted during our review of 25 positions in the FY16 faculty data within POWER that POWER contained 73 applicants of which only 66 were entered in HCM. Currently, there is not an established reconciliation process between POWER and HCM applicant data to ensure all applicants entered into POWER are entered into HCM.

Recommendation 2017-011-02-RM:

The Assistant Vice President of Workforce Operations, Provost Office, should establish a process to ensure the complete applicant pool for faculty positions are maintained within HCM and to that applicant information maintained in the POWER Candidate Module is routinely reconciled to HCM.

Management's Response:

In the short term, Faculty Relations (FAC/NT recruitment) will run monthly reports of

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accepted offers/positions to ensure applicants listed in POWER/Candidate are also in HCM.

In the long term, Faculty Relations will coordinate with HR Recruitment on the implementation of Taleo and recommend an online application for faculty which will eliminate the need to manually load applicants in POWER (which currently requires Faculty Relations to then load the applicants in HCM).

Implementation Date:

Short Term: Implement by May 31, 2017

Long Term: TBD – Hope to be able to provide an implementation date during the Fall of 2017, pending HR Recruitment’s timeline.

Recommendation 2017-011-03-RM:

The Assistant Vice President of Workforce Operations, Provost Office, should consider reviewing the current process/division of responsibility for data entry between the departments and Faculty Recruitment to reduce the duplication of effort.

Management’s Response:

As stated in the previous response, Faculty Relations will coordinate with HR Recruitment on the implementation of Taleo and recommend an online application for faculty which will eliminate the duplication of effort and the need to manually load applicants in two systems.

Implementation Date:

TBD – Hope to be able to provide an implementation date during the Fall of 2017, pending HR Recruitment’s timeline.

Monitoring/Tracking of Open Positions

The academic departments use the POWER Candidate Module to manage their applicants for all open positions and this information ultimately should be entered into HCM. Audit Services interviews with key personnel in the selected departments indicated the process for monitoring faculty vacancies varied among the departments, as some maintained data through the POWER Candidate Module while others created separate hiring logs to track documentation on the status of the open positions and later updated POWER. In reviewing the departmentally provided vacancy/open position reports and/or hiring logs to POWER and HCM, Audit Services noted a lack of consistency between the three data sets.

Additionally, we noted the HCM worklist backlog appears to be a contributing factor for some of the lack of consistency of the HCM job openings for which the departments are not actively recruiting. Currently, there is not an established reconciliation process to ensure all the departmental vacancies reconcile to HCM.

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Recommendation 2017-011-04-RM:

The recruiting departments should establish a process to ensure the accuracy when monitoring and tracking vacancies/open positions at the department level and ensure the PeopleSoft HCM data is updated timely.

Management's Response:

Similar to the response for recommendation 2017-011-01-PM, Faculty Relations (FAC/NT recruitment) will identify a process for reviewing draft job openings and cancelling draft job openings if not submitted within a specific timeframe (to be communicated to departments). In addition, once the job opening is cancelled, the department will be responsible for inactivating the vacant position.

Implementation Date:

Short Term: Implement by July 31, 2017

Interview/Disposition Candidates

Applicant interviews are managed at the departmental level by the Search Committee members/support and are documented on each job opening recruitment plan. The departmental divisions track the status of applicants through paper files until the department makes a selection to extend an offer. The Chair of the search committee will then notify the departmental POWER administrator of the status of all candidates interviewed on an ongoing basis until the selection of a lead candidate. Additionally, any candidates not selected for interview must be dispositioned before a lead candidate can be selected and a pre-offer letter prepared within POWER.

Audit Services selected a sample of 97 applicants for 35 positions to determine if they were dispositioned in POWER prior to the selection of a lead candidate. Our review indicated 8 of the 97 applicants were not dispositioned in POWER. Additionally, we noted all 8 candidates were associated with positions that had been cancelled after the inception of the recruitment process. Seven of the eight candidates were not documented in HCM.

Other Observations

The Institutional Handbook of Operating Procedures (IHOP) Policy 05.03.05 *Faculty Recruitment* was updated January 2017. Audit Services noted this update deleted the requirement for search committees to undergo diversity/inclusion training for consistency with IHOP Policy 03.03.02 *Faculty and Administrative & Professional Recruitment*. In consideration of recent University of Texas System directives around inclusive candidate pools, Audit Services inquired of Human Resources Talent Management (Talent Management) leadership on the availability of such training. Talent Management indicated they do not currently offer this training; however, it could be provided upon request. Faculty Relations should consider maintaining a proactive approach to providing diversity/inclusion training to help ensure qualified candidates are given equal consideration for posted positions in alignment with established affirmative action/equal opportunity policies.

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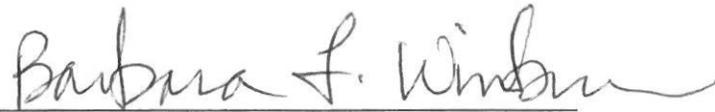
Conclusion

Audit Services assessed the efficiency and effectiveness of the processes in place to recruit for UTMB Health's faculty and noted opportunities exist for Faculty Relations and the recruiting departments to work together to establish more efficient processes to mitigate the duplication of effort in ensuring PeopleSoft HCM maintains information on the full applicant pool.

We greatly appreciate the assistance provided by Faculty Relations, Human Resource staff as well as the Ob-gyn/School of Medicine Outreach Clinic, Anesthesiology, Internal Medicine, Radiology, and Surgery department staff and hope that the information presented in our report is beneficial.



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