![ASU Arizona State University logo]

Strength in People

FACULTY AND ACADEMIC PROFESSIONAL SEARCH HANDBOOK

"Using the University's strengths for more successful searches"

INTRODUCTION

ASU is committed to a search process that results in the hiring of the most qualified applicants. All individuals with authority to hire will be accountable for the recruitment, retention, and development of diverse faculty and academic professionals.

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

Equal opportunity results when all applicants are treated consistently and when policy is applied equally to all applicants at each stage of a search. The following pages provide guidelines to the hiring authority to ensure that parity is paramount in the search process.

Occasionally, it may be in the best interests of the university to conduct a "focused recruitment" to designate a candidate for hire without using the process described in this handbook. In such cases, the hiring authority must complete a "Waiver of Recruitment" form (go to http://www.asu.edu/hr/forms/waiverofrecruitment.pdf). For tenure, tenure-track and fixed-year appointments, the vice provost for academic personnel (or designee) must be consulted. A copy of the form must be maintained in the position file, along with a copy of the designated candidate's resume, and copies must be sent to the Office of Equity and Inclusion.

PROACTIVE STEPS IN RECRUITMENT

Academic units should use both a long- and short-term approach to assessing and meeting staffing needs. Both approaches should include affirmative steps that will ensure equal opportunity.

Long-Term Approach

- Based on the strategic plan for the academic unit, assess future workforce needs and diversity goals.
- Determine current and future resource availability to meet workforce needs.
- Assess where individuals with the experience/knowledge needed are located; create/maintain recruitment resource list(s) for the variety of positions within the academic unit.
- Plan ways to interact with and encourage potential applicants before job openings occur to develop knowledge of/interest in the academic unit (e.g., internships, visiting appointments, exchange programs).

Short-Term Approach

- Analyze current workforce for diversity and possession of the experience/knowledge needed to perform the work.
- Determine type of position needed.
- Determine what type of recruitment will result in a well-qualified and diverse pool of applicants (e.g., within the university, local, regional, national).
- Determine what resources are available.
- Determine how to maximize results utilizing ASU resources to conduct recruitment appropriately as well as expeditiously.

Contact the Office of Equity and Inclusion for assistance conducting analyses and/or guidance in maximizing utilization of resources.

SEARCH COMMITTEES/SEARCH PLAN

Search committees are often used to develop position announcements, screen applications, conduct interviews, conduct reference checks, and make recommendations to the hiring authority about whom to hire for a position. Academic unit bylaws and/or the hiring authority determine the specific role of a search committee. For additional information, please refer to ACD 111-01: Faculty Voting Rights.

The search committee, with guidance from the hiring authority should develop a Faculty and Academic Professional Search Plan (to download a copy of the FAP-SP go to http://www.asu.edu/hr/forms/facultysearchplan.pdf) The purpose of the FAP-SP is to document briefly the steps that will be taken to ensure a broad and inclusive search. The FAP-SP should be completed at the beginning of the search. The FAP-SP, and all ad copy related to the search, must be submitted to the Provost's office and the Office of Equity and Inclusion for notification purposes only.

Other critical steps for the search committee include:
- Actively recruit applicants for the position.
- Determine whether to offer applicants who submit incomplete applications the opportunity to provide the missing application material; this should be done consistently so that either all applicants missing some part of the application material are provided this opportunity or no applicant is provided this opportunity.
- Assign someone to communicate with applicants about the status of their application and/or the recruitment process.
- Assure appropriate confidentiality at each stage of the search; see Appendix A for information about the use of emails in the search process.
- Develop criteria to use in evaluating whether applicants meet the required and desired qualifications before evaluating applications, and assure each committee member uses these criteria; see Appendix E Application Reviews for information about screening criteria.
- Develop an interview agenda, including questions, for search committee interviews; assure each individual interviewed is asked the same basic set of questions.

- Assign someone to attend interview functions (unless the function is a one-on-one meeting) to assure inappropriate questions/topics are prevented; see Appendix F Pre-Employment Inquiry.

DEVELOPING POSITION DESCRIPTION AND ANNOUNCEMENT

Position announcements are created by the academic unit and may be unique to each recruitment. Two position announcement examples are included as Appendix B. Visit the Office of Equity and Inclusion Web site for assistance in developing position announcements. Refer also to Appendix G Position Description Survey Questions for questions to aid in preparing a position announcement.

These forms guide departments in providing important and/or required information about the position, such as the duties, qualifications, application material needed, and the application deadline. These forms also provide the template for information that is included in advertisements about the position.

Essential Functions

Identifying essential functions is mandated by the Americans with Disabilities Act. Although the essential functions do not need to be included in advertisements, ASU must have these on file for every position, thus the forms used to open positions for recruitment request this information. The essential functions are the core or required duties of a position as opposed to marginal responsibilities of the position.

See Appendix C Essential Functions for assistance in developing essential functions.

Qualifications

Qualifications are the education, experience, and/or knowledge needed to perform the essential functions of a position. Key issues to consider in developing qualifications are:
- State qualifications clearly and distinguish between required/minimum qualifications and desired qualifications.
- Required/minimum qualifications should be general enough to assure applicants can meet them and specific enough to assure the hiring authority that applicants have the necessary education, experience, and/or knowledge to perform the essential functions. See Appendix D for assistance in developing qualifications.
- An applicant must meet the required/minimum qualifications to be eligible for an interview.
- Desired qualifications are a further refinement of the required qualifications or additional qualifications that would enhance an applicant's ability to perform the essential functions of a position.
- The initial assessment of applicants is based on whether applicants meet the required/minimum qualifications; secondary assessment is based on whether applicants meet the desired qualifications.

Application deadlines provide applicants assurance that the unit will treat them consistently as well as offer a general timeline for assessing when interviews might occur. A deadline of "open until filled" provides no assurance of equal opportunity and should be avoided.

Application deadlines may be a single date or may also include a cycle for review of applications received after the initial deadline. Examples of appropriate application deadline language are:

Single date:
Applications will be reviewed on September 15, 2008.
Applications must be received by 5:00 PM, September 15, 2008.
Application deadline is September 15, 2008.

Rolling deadlines:
Application **deadline is** January 15, 2009; **if not filled,** every two weeks **thereafter until search is closed**.
Applications **will be reviewed beginning** January 15, 2009; **if not filled**, reviews will occur on the first of the month **thereafter until search is closed**.
(Note: The language in **bold face** must appear in rolling deadline language; the academic unit determines the initial deadline and the cycle.)

Recruitment period: all time frames listed below are recommended minimums **FROM** the date the last ad/announcement appears in the advertising source, or is received by the advertising source in the case of notification of organizations/schools/individuals, **TO** the application deadline:

Local/State: 5 calendar days
Regional: 10 calendar days
National   14 calendar days

ADVERTISING POSITION OPENINGS

The hiring authority should strategically advertise positions to assure a well-qualified and diverse applicant pool. An analysis of available recruitment sources should be conducted that includes recruitment resource target audience, cost, advance time required to place announcements as well as the intervening time to actual publication/posting, and whether the source is recognized and regularly viewed by potential applicants.

Examples of advertising sources include but are not limited to publications, other colleges/universities, Web sites, listservs, professional organizations, special committees and caucuses within organizations, employment assistance organizations, diversity organizations, mailing lists of organizational memberships, and direct contact with potential applicants or with individuals from whom nominations are sought.

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

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

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

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

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

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

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

Send a copy of the advertisement to the Office of Equity and Inclusion for immediate posting to the ASU Job Opportunities Web page. (Note: This is not for approval purposes, but to ensure compliance with a federal regulation that requires government contractors to advertise internally to allow for promotional opportunities.)

Advertisement Copy

Long Ad – includes the complete job announcement: duties, <u>required/desired qualifications</u>, <u>application deadline</u>, <u>application material</u>, EO/AA statement, and criminal

background check statement. Long ads also usually include general information about the department and/or university.

Short Ad – includes shortened version of duties, <u>required/desired qualifications</u>, <u>application deadline</u>, <u>application material,</u> and EO/AA statement.

Very Short Ad – includes a brief statement about the position, <u>application deadline</u>, and EO/AA statement, and refers viewers to a Web site with the complete ad. The language that must be used to refer viewers to a Web site is: "For complete qualification/ application information, see [Web site URL]." (Note: The Web site must contain the long or short ad.)

EO/AA Statements

Federal affirmative action regulations require inclusion of an equal opportunity statement in all ASU publications, including advertisements. The following must be included in advertisements and announcements about position openings:

> *Arizona State University is a VEVRAA Federal Contractor and an Equal Opportunity/Affirmative Action Employer. All qualified applicants will be considered without regard to race, color, sex, religion, national origin, disability, protected veteran status, or any other basis protected by law*.

Diversity Statements

Academic units may also wish to include more general diversity statements to encourage a diverse applicant pool; however, the EO/AA statement must still be in the ad/announcement. Examples of statements that might be used include:

ASU encourages and supports diversity among applicants and employees.
<div align="center">OR</div>
Diversity is a key component of excellence at ASU, and the [name of hiring unit] supports the value of diversity among faculty, staff, and students.
<div align="center">OR</div>
The [name of hiring unit] actively seeks diversity among applicants and supports the diversity of employees.
<div align="center">OR</div>
ASU encourages and values a diverse workforce.

APPLICANT LISTS

As a Federal contractor, ASU is required to complete an annual affirmative action plan. Included in the plan are important demographic data for all applicants and hires. In order to compile this data, the Office of Equity and Inclusion must receive a completed Applicant List (go to http://www.asu.edu/hr/forms/Applicantlist.doc) for every search. The hiring authority/search committee should make a reasonable attempt to collect the requested information for every applicant. Completed Applicant List forms must be

submitted to the Office of Equity and Inclusion within 30 days of the close of the search – regardless of whether or not the search was successful. A copy of the Applicant List must also be maintained by the hiring unit in the position file.

EVALUATING APPLICATIONS

There are multiple methods a search committee can use in evaluating applications; e.g., the committee as a whole can review applications or fewer members may perform this task. The critical equal opportunity issue is assuring consistency toward the applicants in this review process. In all cases, the following guidance applies:

- All applications still incomplete by the advertised deadline must be set aside; these applicants are not eligible for consideration for the position.
- The search committee may, however, follow-up with applicants who have not submitted all required application material.
- Only the information provided via the application material may be used to determine whether an applicant meets advertised qualifications.
- For all complete applications, using the criteria established, determine which applicants do not meet the advertised required/minimum qualifications; only those applicants who meet the required/minimum qualifications are eligible for further consideration for the position.
- If a degree is a required qualification, it must be complete at the start of the appointment for faculty and academic professional appointments. If a degree is not complete at the time of an employment offer, the hiring department must provide evidence from the degree-granting institution that the degree will be completed by the appointment start date.
- For all applicants who meet the required/minimum qualifications, using the criteria established, determine which applicants meet the desired qualifications. When applicants do not meet all of the desired qualifications, the committee may reassess applicants several times based on factors such as the best mix of desired qualifications or possession of the most critical desired qualifications.
- For applicants meeting all appropriate qualifications, an academic unit may use one or more of the following to make an additional assessment of qualifications to determine which candidates will be interviewed: telephone and/or airport screenings, reference checks, and/or requests for additional material, such as philosophical statements, creative portfolios/tapes (e.g., for art/music positions). Phone or airport screening at this early stage is considered part of the initial qualification review process rather than an interview.
- See Appendix E for more information on application reviews.

CHECKING REFERENCES

Applicant references may be checked at any time during a search based on when this information will be most helpful. The hiring authority should advise search committees

as to who is responsible for checking references and when these should be checked. Equal opportunity issues in checking references include the following:

- When names of references are requested, consistency is needed in the following areas:
  - ./ References must be checked for all applicants who make it to the stage of having references checked.
  - ./ Applicants should be notified if the search committee plans to contact references beyond those provided by the applicants.
  - ./ The same basic job-related questions are asked of each reference (see Appendix F, Pre-employment Inquiry Guidelines, for issues to avoid in asking reference questions).
  - ./ Notes from the conversations with references are taken and kept with the position file; the position file must be kept for three years from the date of hire.
- Reference information may also be obtained for ASU employees who are finalists for a position by requesting a review of performance evaluations in their college or department academic personnel file.
- Direct knowledge of work performance may be shared by search committee members as part of reference checking; this must be shared for all applicants for whom direct knowledge exists or a decision must be made not to share direct knowledge about any applicant. Direct knowledge may not be used when determining whether the applicant meets qualifications. Direct knowledge includes direct supervision or experience working directly with the applicant.
- When search committee members receive unsolicited reference information from colleagues, students, etc., the committee must decide whether this information will be shared within the committee; the consistency issue is that information is shared on all applicants for whom unsolicited information has been provided or is not shared for any of the applicants.

CONDUCTING INTERVIEWS

Interviews typically involve interactions with multiple employees in a variety of settings. Administrators or peers inside or outside the hiring unit, internal and/or external constituent groups, students, etc., may participate in the interview process in addition to the search committee and hiring authority. Interviews may be on campus, conducted at some other location, or by telephone. The type of interview conducted is based on academic unit bylaws and/or is determined by the hiring authority. There is no minimum number of candidates that should be interviewed for a position.

- The interview method and agenda are the same for all candidates interviewed. The method/agenda of an interview may change; however, depending on whether it is a preliminary interview, initial campus interview, or final campus interview, the consistency of treatment of applicants must be within the interview category.
- Internal candidates interviewed are treated the same as external candidates interviewed.

- The same basic set of questions is asked of all candidates interviewed by the search committee; the same basic set of questions (although usually different than those asked by the search committee) is asked of all interviewees by the hiring authority. See Appendix F Pre-employment Inquiry Guidelines for issues to avoid in asking interview questions.
- Search committee members should make every effort to attend all interviews. In the case of an absence or illness, those members who conduct the interview may share their assessment with the absent member(s).
- Public forums or department/college open forums for candidates may have different individuals attending for each applicant without creating inequities in the search; it is usually impossible to guarantee participation in these situations, and attendees do not have the same role in the search as members of the search committee.
- Develop a variety of methods to assess candidates during interviews in addition to or instead of question/answer sessions. For example, create a skills assessment exercise involving a typical function of the position, request short presentations when appropriate to the position, or provide written questions and ask for written responses.
- Tests may not be used as an evaluative tool unless that test has been validated for the position in accordance with the federal Uniform Guidelines on Employee Selection. The Office of Equity and Inclusion must approve and maintain a copy of the test used to select candidates for employment.
- If an applicant requests a disability accommodation to participate in an interview, contact the Office of Equity and Inclusion for assistance before agreeing to or declining the requested accommodation.

RECORDKEEPING REQUIREMENTS

All ASU forms, written communications (whether electronic or hard copy), application material, notes, and records related to recruitment for a position, referred to as a position file, must be retained by the academic unit for **three years** from the date of hire. Equal opportunity surveys sent by a department and returned by applicants must be kept separate from an individual's application material.

At a minimum, the position file must contain the following documentation:
1. the Faculty/Academic Professional Search Plan (FAPSP), advertisements and any other job posting notice for the position,
2. an Applicant List form that describes the applicant pool; number of applications, sex, ethnicity, and veteran status (as best as possible),
3. the résumés or curriculum vitae, letters of recommendation and all other written material submitted by all applicants,
4. all correspondence with applicants, candidates selected for interview, candidates offered employment, and references,
5. documentation of the search committee findings, including interview notes, committee deliberation notes, and specific reasons the committee considered an individual for interview and any job related reasons for not interviewing an applicant, and
6. when applicable, a copy of a signed Focus Recruitment/Hire form.

Additionally, the hiring leader must maintain the vitae/résumé of anyone considered for the position, any interview questions, notes, reference information, and any correspondence related to the hire.

Within 30 days of an applicant accepting a position, copies of the following documents must be sent from the hiring unit to the Office of Equity and Inclusion:

1) **The ad copy that was used in the recruitment;**
2) **A copy of the search plan with Essential Functions completed (to ensure compliance with ADA);**
3) **A copy of the applicant list, complete with each applicant's name, sex, race, reason(s) for non-interview, reason(s) for non-hire or reason(s) for hire; <u>or</u> a copy of the "waiver of recruitment" form used when an academic unit makes a hire without openly recruiting to fill the position;**
4) **A copy of the CV of the new hire.**

UNIVERSITY POLICIES AND PROCEDURES

For related EO/AA policies:
ACD 401; SPP 101– Equal Opportunity/Affirmative Action
http://www.asu.edu/aad/manuals/acd/acd401.html
ACD 405; SPP 105 – Americans with Disabilities
http://www.asu.edu/aad/manuals/acd/acd405.html

For sample letters and ads and a complete checklist for the recruitment process:
https://provost.asu.edu/academic_personnel/search

APPENDICES

A.   Guidelines for Use of Email in Searches

Please remember that use of email in searches establishes a record that becomes part of the search material that must be retained for three years. Additionally, email may be forwarded with or without changes without the original sender's permission. Email may be considered a public record that must be made public under certain circumstances; therefore, the following guidelines are provided to assist in assuring appropriate confidentiality of the search process.

1. Acceptable uses of email by search committee members:
   - Set meeting time/location
   - Distribute/discuss recruitment process information, e.g., drafts of ad copy, search plans, interview itineraries and questions, reference questions/process, criteria to evaluate whether qualifications are met
   - Appropriate communication with applicants, e.g., provide information about the status of the search, request reference names, provide itinerary/information about interviews, offer option to provide missing application material
   - Appropriate communication with references, e.g., request letters of reference, set appointments for telephone reference calls
   - Contact potential candidates to alert them to vacancies, provide ad copy, provide general information about the department, college, and/or university

2. Unacceptable uses of email by search committee members:
   - Discussion by name about candidates' qualifications and status in the search (e.g., on the short list, to be interviewed, etc.)
   - Discussion about specific reference information about named candidates or named references
   - Providing confidential search information to anyone, i.e., if the information is confidential, it is best not to share even with appropriate individuals via email
   - Soliciting additional or clarifying information from an applicant on an *ad hoc* basis

Email Applications

We recommend accepting applications through email. It accelerates the receipt of applications, and electronic letters of application and curriculum vitae facilitate sharing with the search committee.
1. Decide whether email applications are acceptable; if not, indicate email applications will not be accepted in all advertisements about the position.
2. Email application material must be printed. If format is destroyed in the process of printing, the applicant will be alerted to the problem and offered an opportunity to submit material in a different format or to resubmit electronically. Remember, the search committee must be consistent with all applicants.
3. In inviting email applications, units may want to have all documents come as PDF files so no changes may be made to any submitted document.

B.   Position Announcement Examples

1)   Counselor Education and Counseling Psychology

The Counseling and Counseling Psychology programs in the College of Education at ASU invite applications for an Assistant/Associate/Full Professor to have joint appointments in the Counselor Education master's program (CACREP accredited) and the Counseling Psychology doctoral program (APA accredited). Specific areas of research, teaching and practice are open. **Required qualifications** include: a doctorate in Counseling Psychology or Counselor Education; an active research program with a record of publication appropriate to rank and professional affiliation; evidence of ability to supervise, as appropriate to rank, theses/dissertations. **Desired qualifications:** as appropriate to rank, include: evidence of multicultural interest; evidence of school counseling interest; and/or record of successful external funding for research and/or training.

Application Deadline/Procedures: Application review will begin November 15, 2007; additional applications will continue to be reviewed on the 1st and 15th of each month thereafter until the search is closed. Applicants must send: 1) a letter of interest outlining their qualifications; 2) vita; 3) reprints of representative publications; 4a) at assistant professor rank, please supply three letters of reference; 4b) at associate/full professor rank, please supply names and contact information for three professional references to: Counselor Education and Counseling Psychology Search Committee, Division of Psychology in Education, P.O. Box 870611, Arizona State University, Tempe, AZ 85287-0611. For further information, contact Search Committee Chair: (Name), email: (Email address). A background check is required prior to employment. AA/EOE.

2)   Faculty Positions in (Department) at Arizona State University

The Department of ------------- at Arizona State University (provide link to department) announces openings for two tenure-track faculty positions at any rank. ASU is a Research I University with outstanding research facilities and infrastructure support and is located within the rapidly growing metropolitan Phoenix area with 3.5 million people. The university is in the process of transforming into one of the nation's leading public metropolitan research universities, marked by the recent establishment of several centers of excellence, including the ------------ Center (provide link) and the --------- -------- Center (provide link).

Successful candidates will be expected to develop and maintain internationally recognized, externally-funded research programs, teach at the undergraduate and graduate levels, and participate in service activities in the departmental, college and university.

A PhD in ------------ or related field and a record of publications in scholarly journals appropriate to the desired appointment level is required. Applicants for an Assistant Professor position must show exceptional promise in research and teaching, whereas applicants for the Associate and Full Professor ranks must have demonstrated excellence in research and teaching appropriate to the rank. Candidates in all areas of research specialization relevant to --------- will be considered, with preference given to those who are in the areas of -----, -----, ----, and -----. Potential for successful interaction with ASU's existing centers of research excellence is also desirable.

ASU is an affirmative action/equal employment opportunity employer and is dedicated to recruiting a diverse faculty community.

Interested candidates must submit a letter indicating research specialization and desired rank, a research plan, a teaching philosophy and plan, current curriculum vitae including names, telephone, mail and email addresses of --- references to Professor -----, Department -----, Arizona State University, Campus Box ---, Tempe, AZ 85287----. Applications will be reviewed beginning November 18th, 200-; if not filled, then again on the 15th of each month until the search is closed. For further information, contact Professor ---- at (XXX)XXX-XXXX or (email).

C.   Essential Functions

The Americans with Disabilities Act (ADA) requires ASU to identify the essential functions for all positions. Essential functions are:
- the core or critical duties of a position that, in effect, define the job;
- used in helping determine whether a requested accommodation for a disability is appropriate; and
- used in assisting the determination of whether an applicant can perform or an employee is performing the job, with or without accommodations.

The following are the federally defined criteria for determining essential functions of a position:
- the reason the job exists is to perform a particular function (e.g., clean rooms for a custodial position);
- there are a limited number of employees available among whom the performance of a job function can be distributed (e.g., perform medical examinations for a physician position);
- function may be highly specialized so that a person is hired for his/her expertise or ability to perform a particular function (e.g., conduct DNA testing for a research specialist position);
- employer's judgment that a function is essential (e.g., answer phones for a receptionist position);
- the amount of time spent on the job performing the function makes it essential (e.g., provide programming to create reports for a computer programmer position);
- the consequences of not requiring the incumbent to perform the function make it essential (e.g., landing planes for a pilot position);
- the work experience of past incumbents in the job makes a function essential (e.g., maintain budget information for a program coordinator position); and
- the current work experience of incumbents in similar jobs (e.g., provide word processing for an office assistant position).

Examples of essential functions, which may be appropriate for some positions, are listed below. Note the essential function begins with a verb. Ideally there should only be from three to five essential functions per position. Essential functions must be appropriate to the position and may vary for the same position title from academic unit to academic unit.

Assistant/Associate Professor:
- Contribute to curriculum development
- Deliver excellent in-class instruction at the undergraduate, master's, and doctoral level
- Conduct research that is publishable in premier academic journals
- Participate in internal and external committees and associations
- Assist and/or develop grant proposals

Faculty with Administrative assignment (Chair/Department Director/etc.):
- Provide intellectual leadership to the department
- Promote the development of a shared vision of academic excellence
- Lead the department in the development of new initiatives
- Facilitate cross-disciplinary interactions

Assistant Librarian:
- Provide reference services utilizing print and web information
- Develop print and web-based library instructional material
- Provide service to the library and the profession
- Communicate orally and in writing

Research Specialist:
- Conduct lab tests using appropriate equipment and protocols
- Maintain tissue samples in appropriate and secure manner
- Analyze and report results of tests conducted

D.   Developing Qualifications

Required/minimum qualifications are those that are absolutely necessary to perform the essential functions of a position. These need to be general enough so that applicants can meet these qualifications and specific enough to be able to determine whether an individual can perform the essential functions of the position.

Desired qualifications are either a refinement of some of the required qualifications or additional qualifications that better demonstrate an individual's ability to perform the functions of the position.

The Office of Equity and Inclusion recommends expressing qualifications as either "experience" or "demonstrated knowledge" of particular areas. Experience means an applicant clearly demonstrates performing a function or using a tool (such as computer software). Demonstrated knowledge means someone lists the appropriate language on a résumé/vita but does not have to show experience. When "skill" is listed as a qualification it must be in an area that can be demonstrated within the application material, e.g., editing skills (i.e. no typographical errors, etc.), communication skills, and/or organizational skills (i.e., how the application material was organized).

Examples of qualifications and issues are listed below.

Qualifications that may be **too general**:

- Bachelor's degree – Without indications of acceptable disciplines, the question is what experience/knowledge is gained by the degree that will assist someone in performing essential functions?
- Experience in higher education – Technically, anyone who has attended a class at a higher education institution meets this qualification; therefore, how does this help determine whether someone can perform an essential function?
- Computer skills – Although individuals list "computer skills" on résumés, there is usually no indication of the actual "skill"; there is evidence the individual uses appropriate language but no evidence of the skill level or whether the skill has actually been demonstrated anywhere.

Qualifications that may be **too specific**:

- Master's degree in Nuclear Physics – Can the academic unit document that performing the essential functions truly requires a degree in one discipline only?
- Experience using Excel, Access and MySQL to create interactive, relational databases for personnel tracking – Applicants would have to show that all three (Excel, Access and MySQL) were used in creating interactive, relational databases specifically for personnel tracking purposes, and it may be difficult to find individuals who have this specificity of experience.

Qualifications that may be **unclear**:

- Experience supporting a senior administrator – What does "support" mean, and what qualifies as a "senior administrator"? This qualification does not assist the applicant in understanding what the department wants as a qualification.

E. Application Reviews

Are the applications* complete? The first step in screening applications is checking to see if the applicant provides all application material required in the announcement of the position. If not, this is an incomplete application and either a) should not be reviewed, or b) all applicants with incomplete applications should be notified and given an opportunity to complete the applications by a specified date. (Requiring an email address from all applicants can speed communication in these and other cases.)

Has criteria been established to determine what information the applicant must provide to demonstrate the required and desired qualifications have been met? For example, if a qualification is "four years of related experience," examples of what constitutes "related experience" should be determined in advance of reviewing applications. It would be appropriate to look at the essential functions to determine what type of experience is related to the ability to perform those functions; this does not, however, constitute screening from the essential functions since the person must still have four years of related experience. See Checklist below for examples of criteria for assessing qualifications.

Has a checklist of the required and desired qualifications been made available to persons screening applications? A checklist that itemizes the qualifications with the distinction between the required and desired qualifications helps evaluators clearly indicate whether an applicant meets the qualifications. Points for how well a person meets those qualifications are not necessary. For example:

Checklist

> **Required Qualifications:**
> Teaching Experience
> > TA only
>
> Tenure-track experience
> > Community college level
> > University
> > Undergraduate
> > Graduate
>
> **Desired Qualifications:**
> Four years related experience:
> > Performs word processing
> > Organizes meetings
> > Creates reports/documents
> > Uses MS Office products

The indented items above are examples of criteria used to determine whether candidates meet the qualifications. When completing the Applicant List, weaknesses should be listed as "less teaching experience" or "lack of appropriate teaching experience" or "less related experience" rather than "only TA experience" or "no experience organizing meetings" **UNLESS** the department provides the Office of Equity and Inclusion with the checklist identifying the criteria used for the required or desired qualifications.

Do the application material of persons recommended for interview explicitly demonstrate the required qualifications are met? Evaluators must be sure all of the required qualifications are evident on the application material. For example, have the number of years of experience required been checked on the application material; if supervisory experience is required, does the application explicitly indicate supervision? When a specific number of years of work experience are required, this means full-time work experience. Evaluators need to remember graduate assistant and student work experience is usually not full-time experience. Personal knowledge of an individual's work/educational experience may not be used to qualify the person for an interview; the qualifying information must be evident on the application.

Has the evaluator changed the rules of the process (e.g., the application material required or the required/desired qualifications) based on what the applications are actually like? For example, if the advertisement requires three letters of reference and none of the applicants provide this, then none of the applications are complete and cannot be reviewed until they are complete. It is inappropriate to decide in the middle of the process that a qualification or some part of the application material is no longer relevant just because it will exclude an otherwise excellent candidate from consideration.

The purpose of affirmative action is to establish the rules and then follow them so candidates are assured of equal opportunity.

*"Application" is used as a generic term and refers to whatever material the academic unit has asked applicants to provide.

F.   Pre-Employment Inquiry Guidelines

Questions about any of the following may only be asked when these factors are bona fide occupational qualifications (BFOQs). It is imperative, therefore, that persons interviewing applicants, participating in the interview process, or checking references be aware of and follow these guidelines on information that should **NOT** be sought from applicants or references. It is important to remember to ask only job-related questions during interviews and reference checks.

Address – Specific inquiry into foreign addresses that would indicate ancestry or national origin is prohibited. It is permissible to ask for the current address of an applicant.

Age and Date of Birth – Federal law prohibits discrimination on the basis of age. Restriction of employment is permissible only when age is a BFOQ.

Arrest/Conviction Record – It is inappropriate to ask about an applicant's arrest record. If inquiry into the conviction record of an applicant implies an absolute bar to employment, it is unlawful for most positions. An academic unit may have the right to exclude persons convicted of certain offenses from consideration for certain types of jobs. ASU, as of July 1, 2005, requires completion of a criminal background check before an individual is hired.

Birthplace and Citizenship – It is inappropriate to ask the birthplace of an applicant. It is acceptable to ask applicants if they are legally eligible for full-time employment in the United States and, if the answer is yes, to ask for the immigration status (e.g., J1, F1 OPT, H1B). Applicants may not be asked for the country of their citizenship.

Disability – It is unlawful to ask applicants whether they have a disability. Academic units may ask whether applicants can perform the essential functions of a position. The applicant's response to the question must be taken at face value. If an applicant requests a disability accommodation for an interview, contact the Office of Equity and Inclusion for assistance before agreeing to or declining the request.

Education – It is permissible to inquire about an applicant's academic, professional, or vocational educational background when it is a job-related requirement. Asking about the national, racial, or religious affiliation of a school is prohibited.

Financial Data, Credit Record, Garnishment Record, or Fidelity Bonds – Questions to applicants about these issues are considered unlawful unless the department can show a business necessity for this information.

Height and Weight – These factors may not be requested from applicants nor should they be considerations for employment unless they have been validated as BFOQs.

Lowest Salary – It is best not to ask this question of applicants since in the past such information was often used for discriminatory purposes.

Marital Status and Relatives – Questions about an applicant's relatives, marital status, and/or dependents are prohibited. Employment decisions are to be made without regard to whether relatives of the applicant work at ASU unless the employment would involve supervision of or being supervised by a relative. Contact the Office of Equity and Inclusion, Human Resources, or the Provost's Office when this becomes an issue in employment.

Military Service – It is permissible to ask about military experience in the armed forces of the United States. The hiring authority should be careful, however, about using information concerning discharges since the military has stated that discharges given under other than honorable conditions during specific periods of time were discriminatory. It is desirable to afford applicants an opportunity to voluntarily

disclose whether they are an other-protected veteran or a Vietnam era veteran. The university is required to take affirmative action in the employment of persons in these categories.

Name and National Origin – No inquiry may be made about an applicant's maiden name, any previous name, lineage, ancestry, national origin, or descent. Names should only be used to identify applicants.

Organizations – It is permissible to ask about professional organizational memberships provided the applicant is made aware of his/her right to exclude the name or character of any organization that is of a predominantly racial, religious, or sexual character.

Photographs – Photographs may not be required or asked for prior to employment.

Religion/Creed – Inquiry into an applicant's religious denomination, affiliation, parish, pastor, or holidays observed is prohibited.

Social Security Number – Social Security numbers may only be required of applicants who are to be reimbursed for expenses incurred as a result of interviews.

G. POSITION DESCRIPTION QUESTIONS

INTRODUCTION

The following set of questions is intended to be used at the very beginning of an academic search, to help the dean or dean's designee working with the Search Committee prepare to write the position description and announcement. The questions should also assist in clarifying the committee's collective understanding of the needs of the position and the priorities that will determine the criteria used in making decisions during the selection process.

The questions can be answered individually by the dean or dean's designee and each committee member and then discussed by the group, or used as the basis for a group discussion without individual responses.

SET 1
Department (unit, college, etc.) Profile

1. How would you describe the stature of this department (or unit, or college, etc.)?
   • within ASU
   • nationally/internationally

2. What are the three major strengths of the department (unit, college, etc.) for which this position is being searched?

3. What are the three major weaknesses of the department (unit, college, etc.)?

4. Where would you like to see this department (unit, college, etc.) in five years relative to its current position within ASU and nationally/internationally?

5. What do you consider to be the three major barriers to achieving the goals in #4?

SET 2
Successful Candidate Profile

6. Describe the three most important qualities you would like to see in the person chosen for the position to be searched.

7. What would you like to see the successful candidate accomplish in the first year after hire?

8. What kinds of experience do you believe are essential for the new hire to have in order to succeed in this position?

9. Describe one essential element that you would like to see the successful candidate articulate in his or her vision for the department (unit, college, etc.)

10. Describe, in your judgment, the three most important minimum qualifications for the position, in priority order.

RECONCILING SETS 1 AND 2
How do the answers in Set 2 relate to the responses in Set 1?

• If there is a clear and consistent connection between the two sets of answers, it is time to proceed with the position description and announcement!

• If the profile of the department (unit, college, etc.) and the profile of the successful candidate appear to be "out of synch," the committee needs to work on creating a better relationship between the needs of the department (unit, college, etc.) and the desired qualifications of the candidate.

• Since the profile of the department (unit, college, etc.) is based upon the current situation, the qualifications of the candidate need to be matched to the needs of the department (unit, college, etc.).

• A sound approach might be to review the department (unit, college) profile, particularly its weaknesses and five-year goals, and create a candidate qualification list that contains the skills and experience that would best address those weaknesses and goals, at the same time building upon strengths.