

Diversity & Recruitment Training and Certification

Faculty & Academic Professional Positions

**Office of the University Provost
Fall 2019**

ASU Charter

ASU is a comprehensive **public research university**, measured not by whom it excludes, but by **whom it includes** and how they **succeed**; advancing **research** and discovery of public value; and assuming **fundamental responsibility** for the economic, social, cultural and overall health of the **communities** it serves.

Eight **design aspirations** guide ASU's ongoing evolution as a **New American University**. ASU integrates these institutional objectives in innovative ways to demonstrate excellence, access and impact.

Leverage Our Place

ASU embraces its cultural, socioeconomic and physical setting.

Transform Society

ASU catalyzes social change by being connected to social needs.

Value Entrepreneurship

ASU uses its knowledge and encourages innovation.

Conduct Use-Inspired Research

ASU research has purpose and impact.

Enable Student Success

ASU is committed to the success of each unique student.

Fuse Intellectual Disciplines

ASU creates knowledge by transcending academic disciplines.

Be Socially Embedded

ASU connects with communities through mutually beneficial partnerships.

Engage Globally

ASU engages with people and issues locally, nationally and internationally.

Basic guidance and principles for searches

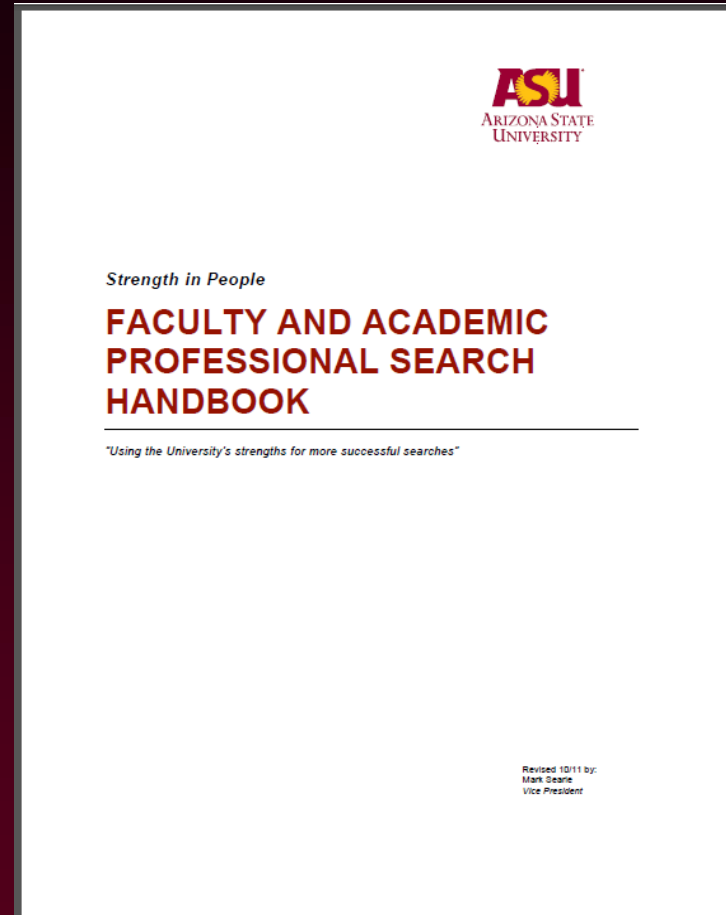
ASU Commitment to Diversity in Employment

Arizona State University will:

- Recruit and hire the **most qualified** applicants.
- Recruit, retain, and develop a **diverse** qualified workforce.
- Comply with EO/AA principles and state and federal laws.
- Hold each individual with authority to hire accountable for recruitment, retention and development of a diverse workforce.
- Apply ABOR and ASU policies consistently

Policies & resources

Faculty and Academic Professional Search Handbook, Faculty Search (APARS) resources, PowerPoint presentation, sample documents, etc. on the provost's webpage for Faculty and Academic Professional Search

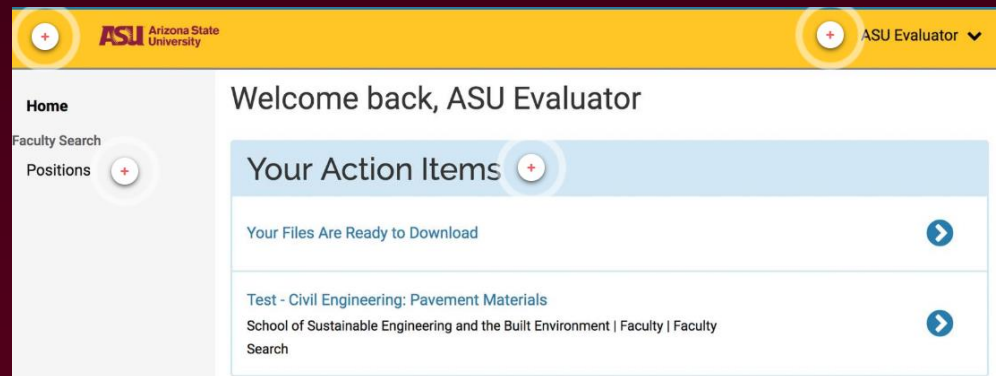


Policies & resources

Faculty Search (APARS)

- Effective July 1, 2019, all new academic personnel searches on the 2020-21 fiscal year hiring plan (both competitive and targeted) for faculty and academic professional positions at ASU **must** be conducted through the Academic Personnel Actions Reporting System **Faculty Search**.
- The only exceptions are Faculty Associate and Academic Associate positions, which may be conducted outside Interfolio if the hiring unit so chooses.
- Academic Personnel Actions Reporting System (APARS):
Faculty Search

<https://provost.asu.edu/academic-personnel/faculty-search>



Policies & resources

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>
- ABOR 1-119 & ABOR 1-120 addresses non-discrimination matters

Failed searches

A successful search may come up empty, but a failed search is one in which the **wrong** person was hired

Some keys to successful searches

- Consider what you really need in the position you are filling: **essential functions, required qualifications**
- Think about ways to embed diversity as an intellectual/academic component of the job
- Conduct a broad look in the marketplace for potential colleagues – this improves the quality and diversity of your search
- Move quickly and advance your search
- Use rolling deadlines – keeps your options open

Some successful strategies for increasing diversity

Recruitment strategies for enhancing faculty diversity

- **Create job descriptions that clearly address ASU's dedication to diversity so that diverse groups of highly qualified candidates are inclined to apply.**
- **Review programs for premier conferences in your discipline and those of disciplinary organizations.**
 - **When attending these conferences, participate in the various caucuses devoted to diverse fields of study and attend panels that feature faculty and/or graduate students interested in such topics.**

Further suggestions to identify a diverse pool of candidates

- Identify the top 5-10 candidates who are from under-represented backgrounds publishing in your discipline.
- Contact the top 10 departments in the nation and collaborate to identify:
 - Recent and soon-to-be PhDs and post-docs (as potential new assistant professor hires).
 - Senior scholars (as potential speakers or visiting scholars)
- From the above efforts, generate a list of 10-15 such candidates for potential hire on tenure track.

Advertise in outlets that reflect diverse constituencies

- **General:** *Diverse: Issues in Higher Education* (formerly *Black Issues in Higher Education*); see <http://diverseeducation.com> (also note their “*Top 100 Producers of Minority Degrees*”)
- **Native American:** *Tribal College Journal of American Indian Higher Education*, *Native Peoples Magazine* (not directly aimed at scholars, but many NA faculty members subscribe), *Indian Country Today* (same as above, international in scope)
 - Scholarly journals that include ads: *Studies in American Indian Literatures*, *American Indian Culture and Research Journal*, *American Indian Quarterly*, and *Wicazo Sa Review*.

Advertise in outlets that reflect diverse constituencies (cont'd)

- **African American & Ethnic Studies:** *Journal of Blacks in Higher Education, African American Review, Meridians, Afro-Hispanic Review, Callaloo: A Black South Journal of Arts & Letters, CLA Journal*
- **Ethnic & Racial Studies:** *DuBois Review: Social Science Research on Race, Journal of African American History, Journal of Black Studies, MELUS: The Society for the Study of the Multi-Ethnic Literature of the United States, National Political Science Review, Phylon, Souls: A Critical Journal of Black Politics, Culture & Society, Urban League Review: State of Black America*

Advertise in outlets that reflect diverse constituencies (cont'd)

- **Hispanic:** *Hispanic Outlook*, American Association of Hispanics in Higher Education
- **Women's Studies:** *Feminist Studies*, *Journal of Women's History*, *NWSA Journal*, *Women's Review of Books*, *Women's Studies International Forum*, *SIGNS – Journal of Women in Culture & Society*
- **listservs (low cost) that reach out to diverse populations:**

Sisters of the Academy:

<http://www.sistersoftheacademy.org/>

Mujeres Activas en Letras y Cambio Social (for Latinas and indigenous women): <http://malcs.org/>

Search committees

Search committees

- **Hiring authority** (chair, dean or provost) determines the search committee's charge in keeping with unit and college bylaws and university policy.
- **Search Committee** may be asked to:
 - ☐ Develop position announcement(s)
 - ☐ Screen applications
 - ☐ Conduct interviews
 - ☐ Conduct reference checks
 - ☐ Make reports to the hiring authority.
Normally, reports list each candidate's strengths/weaknesses, but do not rank candidates.

Critical points for search committees

- **Actively develop diverse applicant pool for the position**
- **Proactively address incomplete applications**
- **Chair of the committee is the primary contact with applicants**
- **Maintain confidentiality throughout search**
- **Develop criteria to evaluate applicants BEFORE looking at applicant pool**
- **Develop an interview agenda & questions**
- **Committee Chair or designee should attend interview functions to ensure inappropriate topics are avoided**



Search process

Faculty and Academic Professional Search Plan (FAP-SP)

Initiated by: The unit hiring authority or designee.

Approvals: The unit hiring authority or designee.

Purposes:

- Documents the **essential functions** for every position for which a search is conducted.
- Documents **recruitment strategies** to be used to ensure a qualified, diverse, and inclusive applicant pool

Submit to: Office of Diversity, Equity and Inclusion for assignment of a job order number and posting to the ASU employment website. Any ad copy developed to support external recruitment efforts must be submitted with the FAP-SP. (Must be submitted to the Office of Diversity, Equity and Inclusion and posted on ASU page before posting at other sites.)

Framing your search:
Essential functions
Required qualifications
Desired qualifications

Statement of **essential functions**: the core or required duties of a position

Example: Advertisement for Assistant/Associate Professor

- Contribute to curriculum development
- Deliver instruction at the undergraduate, master's, and doctoral level
- Supervise honors, master's and doctoral Students
- Conduct research publishable in top-tier academic journals in the discipline
- Participate in professional and university service
- Develop grant proposals for external funding as PI or co-PI.

- Identifies the key abilities needed for a person to succeed in job.
- A statement of **essential functions** is required by the Americans with Disabilities Act. Though not required to be included in advertisements, **ASU must have these on file for every position.**
- This statement guides the recruitment and selection activities.

Required qualifications

- **Required qualifications** ensure that an applicant can perform the **essential functions** of the position.
- These qualifications should be specific enough (i.e., measurable) to assure the hiring authority that applicants will have the necessary education, experience, and/or knowledge to perform the essential functions.
 - If terminal degree is required, please specify whether it needs to be in-hand at time of application or completed by time of appointment.
- Only applicants meeting the **required qualifications** are eligible for further consideration in the search.

Desired qualifications

- **Desired qualifications** are those 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** qualifications. Secondary assessment may consider whether applicants meet any of the **desired** qualifications.

Advertising: Some legal requirements

Advertising position openings

For faculty positions, only an electronic ad is required. You may choose to use a mix of print and online advertisements as well as direct contact.

PLEASE NOTE:

A copy of the advertisement must be sent to the Office of Diversity, Equity and Inclusion for immediate posting to the ASU Job Opportunities Web page.

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.

This step must happen before ad is posted in other sources.

Federal law considerations for advertising position openings

- Searches that might lead to the hiring of an individual who is not a U.S. citizen have **specific** advertising requirements.
- 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.

Federal law considerations for advertising position openings

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.

Federal law considerations for advertising position openings

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.

Federal law considerations for advertising position openings

While the national electronic or print ad is necessary, it alone is not sufficient to satisfy Department of Labor requirements — evidence of other recruitment sources utilized is also required.

The Department of Labor 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.

A special point about advertising ACADEMIC PROFESSIONAL openings

In conducting an open and competitive search for an Academic Professional that does not have teaching responsibilities, one full print advertisement must appear in a national advertising venue (e.g., *The 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.

A special point about advertising ACADEMIC PROFESSIONAL openings

Just as before, 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.

EO/AA statements in advertisements

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

Searches posted through **Faculty Search (APARS)** will already auto-generate this statement and all required links to the advertisement.

Searches done **outside Faculty Search (APARS)** with electronic advertisements will need a link to ASU's full non-discrimination statement (ACD 401) at <https://www.asu.edu/aad/manuals/acd/acd401.html>, and also a link to the Title IX policy at <https://www.asu.edu/titleIX>.

Clery Act in advertisements

The Clery Act requires ASU to provide prospective employees with a notice of availability of the Annual Security and Fire Safety Report. The following statement **must** be included in advertisements and openings:

In compliance with federal law, ASU prepares an annual report on campus security and fire safety programs and resources. ASU's Annual Security and Fire Safety Report is available online at <https://www.asu.edu/police/PDFs/ASU-Clery-Report.pdf>. You may request a hard copy of the report by contacting the ASU Police Department at 480-965-3456.

Searches posted through **Faculty Search (APARS)** will already auto-generate this statement and all required links to the advertisement.

Searches done **outside Faculty Search (APARS)** with electronic advertisements will need a link to the Clery Report.

Choosing deadlines

Choosing application deadlines

Application deadlines provide applicants assurance that the unit will treat each of 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. Instead, for flexibility, a rolling application deadline language should be used:

Application deadline is (date). Applications will continue to be accepted on a rolling basis for a reserve pool. Applications in the reserve pool may then be reviewed in the order in which they were received until the position is filled.

Choosing application deadlines

- If you are advertising for **a month or less**, per ACD 505-06, the **minimum time span** 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 is:

Local/State: 5 calendar days

Regional: 10 calendar days

National:/International: 14 calendar days

- If you are advertising for **a month or longer**, the deadline may be as early as 30 + 14 days after the advertisement first appears for a national search, or 30 + 10 for a regional search, or 30 + 5 days for a local/state search.

**Getting closer...
the Applicant List**

Applicant List

Documents the names and demographic data of all applicants for a Faculty or Academic Professional position, along with the reasons that an applicant was interviewed (or not interviewed) and hired (or not hired)

<https://provost.asu.edu/academic-personnel/personnel-processes/academic-personnel-forms>

The information required for the Applicant List will be pulled in a report from Interfolio Faculty Search (APARS).

Initiated by: Unit hiring authority or designee.

Approvals: Unit hiring authority or designee, dean, and provost

Submit to: Office of Diversity, Equity and Inclusion **within 30 days** of the hire(s) being made or the close of the search – whether or not a hire was made.

Comments: The data contained in the Applicant List are collected and reported annually as part of the ASU Affirmative Action Plan. This form is reviewed for completeness.

Applicant List Codes

It is ASU policy to promote open and competitive searches for all faculty and staff hires. The Applicant List creates an important record that demonstrates the number of complete applications received by the hiring unit and the consistent manner in which all applications were reviewed for advertised qualifications to ensure equal employment opportunity. Additionally, the data contained in the Applicant List must be collected and reported annually as part of the ASU Affirmative Action Plan.

All academic personnel searches must abide by ASU policy and processes.
A process guide for applicant lists is available at <https://provost.asu.edu/academic-personnel/search>

[A guide on how to pull a report from Interfolio Faculty Search to create the Applicant List is available at:
https://asu.service-now.com/sp?id=kb_article_view&sysparm_article=KB0018377](https://asu.service-now.com/sp?id=kb_article_view&sysparm_article=KB0018377)

Codes for use on the applicant list:

Ethnicity:	Sex/Gender:	Veteran Status:
W - White	F - Female	V - Protected Veteran
B - Black	M - Male	N - Not a Protected Veteran
H - Hispanic	O - Other	D - Declined to state
A - Asian	D - Declined to state	U - Unknown
P - Pacific Islander/Native Hawaiian	U - Unknown	
N - American Indian/Alaskan Native		
D - Declined to state on EEO Survey		
U - Unknown		

Justification for Disposition: Reason for non-interview, non-hire

1 – Does not meet required qualifications

2 - Does not meet desired qualifications

Use "2" codes only for desired qualifications which were mentioned in the ad. Create codes as needed starting with 2a; this is mandatory if using a "2" code. Example: 2a - Does not meet desired qualification - Strong research agenda as evidenced by major publications. Add as many "2s" as needed.

2a - Does not meet desired qualification -

2b - Does not meet desired qualification -

2c - Does not meet desired qualification -

2d - Does not meet desired qualification -

2e - Does not meet desired qualification -

3 – Incomplete application / Applicant did not respond

4 – Applicant withdrew

5 – Application received after review period

6 – Search closed without hire

7 - Hire of

8 – Hired

9 – Met required qualifications and was a finalist, but not as strong as candidate(s) selected for hire

10 – Lacks Other Strengths

Use "10" codes for other strengths which were not mentioned in the ad. Create codes as needed starting with 10s; this is mandatory if using a "10" code. Example: 10s - Lacks Other Strengths - Overlaps too much with fields of current culture, or 10b - Lacks Other Strengths - Presentation skills and quality of presentation found lacking during interview. Add as many "10's" as needed.

10a - Lacks Other Strengths -

10b - Lacks Other Strengths -

10c - Lacks Other Strengths -

10d - Lacks Other Strengths -

8/15/2019



Applicant List

College			
Department		VP Approval	
Academic Rank		Dept Code	
Administrative Title (if applicable)		Hiring Plan Code	
Search area (optional)		Job #	
Total # of applicants:		FTE	
Chair/Director Signature		Date	
Dean Signature		Date	

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Equal Employment Opportunity Survey

- ASU seeks to promote diversity in hiring in order to hire the most qualified applicants
- Each applicant should be strongly encouraged to fill out the **EEO survey** to provide ethnicity, gender, and veteran status information for the pool. This is the only place this information is gathered.
- The **EEO survey** is automatically offered to applicant completing applications through Faculty Search (APARS).
- Searches done outside Faculty Search can find the EEO survey at https://asu.co1.qualtrics.com/jfe/form/SV_3kLYImgVY2Vfyzb
 - You will need to provide the applicant the job order number for your position, the job title, and the department name
 - This information **MUST** be kept separate from all application materials

Finishing the search:

References for candidates

Evaluating applicants

Conducting interviews

Checking references

- Reference checks for all applicants or for all finalists can be done at **any time** during a search.
- Applicants should be notified if references are being contacted beyond those provided.
- The same basic job-related questions are asked of each reference. You can follow up on statements offered by references to explore what they mean but **at minimum, all references should be asked the same questions.**
- Notes from references are kept with the position file.
- A current ASU employee finalist may have personnel file reviewed (e.g. move from lecturer in one unit to asst professor in another).
- *Direct knowledge* includes direct supervision or experience working directly with the applicant.
- Unsolicited reference information: Committee Chair must decide whether this information will be shared within the committee.

Evaluating applicants

The critical equal opportunity issue is assuring **consistency** toward the applicants in the review process.

Evaluating applicants

In evaluating application materials, the committee as a whole can review applications or fewer members may perform this task.

In all cases, the following guidance applies:

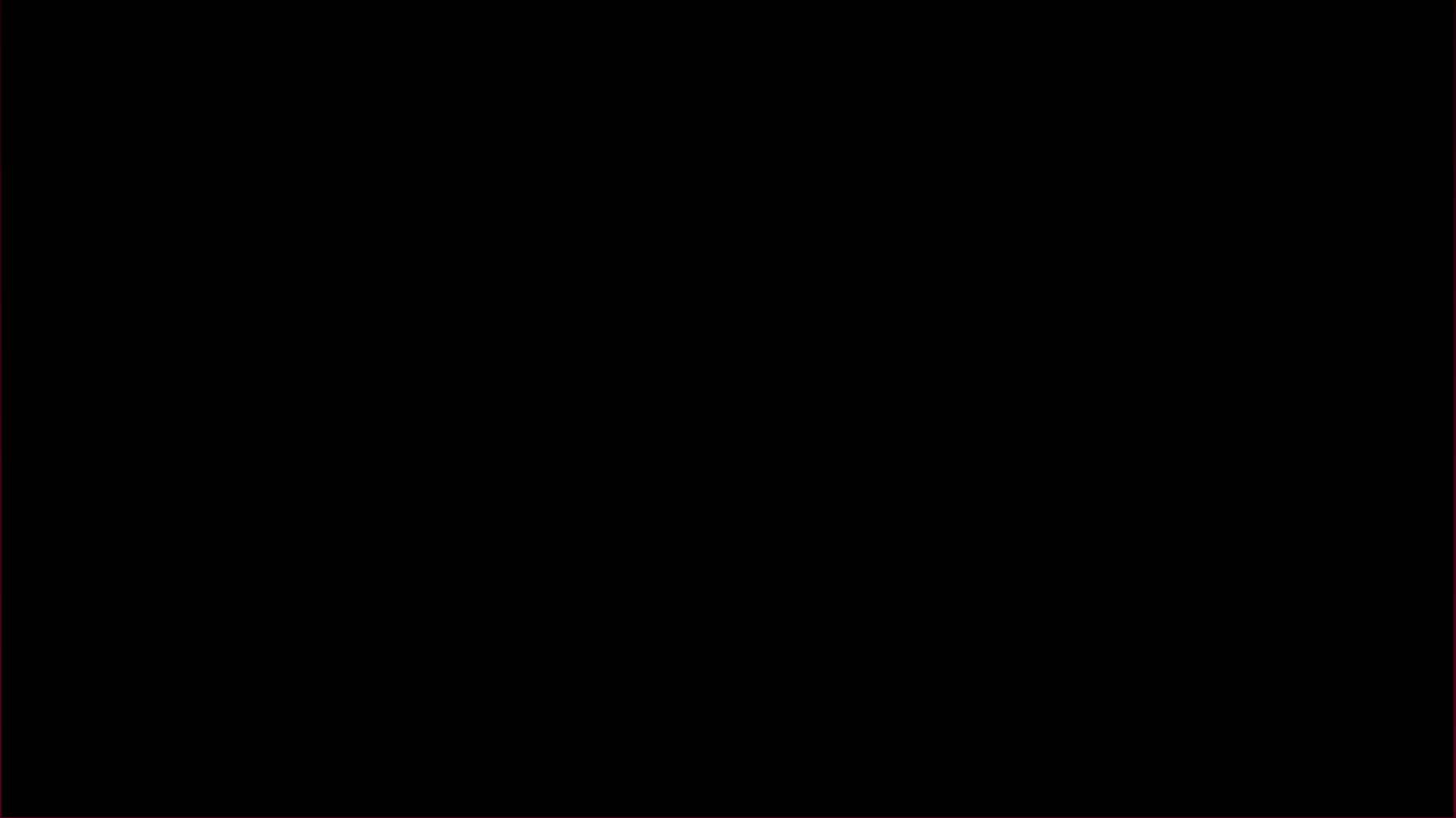
- Incomplete applications are not eligible for consideration.
- Only the application materials provided are used to determine if applicant meets advertised required qualifications.
- Only applicants who meet the **required qualifications** are eligible for further consideration.
- Applicants can be further assessed by the best mix of **desired** qualifications.
- Additional criteria for interview decision may include telephone screenings, reference checks, requests for additional material, etc.

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.
- There is no minimum number of candidates that should be interviewed for a position.
- Interviews may be on campus, conducted at some other location, or by telephone.
- Develop a variety of methods to assess candidates.

Conducting interviews

- Interviews must be **consistent**.
 - The interview method and agenda are the **same** for all candidates.
 - Internal candidates are treated the **same** as external candidates.
 - The **same** basic set of questions is asked of all candidates.
 - Committee members should make every effort to attend **all** interviews.
 - Appoint a staff member to reach out to ascertain any special requests.
- If an applicant requests a disability accommodation to participate in an interview, contact the Office of Diversity, Equity and Inclusion.



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.
- The following must be submitted to the Office of Diversity, Equity and Inclusion within 30 days of the position being filled:
 - ☐ Faculty/Academic Professional Search Plan and Advertisement Copy
 - ☐ The completed Applicant List.
 - ☐ The résumé or *curriculum vitae* of the person(s) hired.

Permanent residency for academic positions

Contact the International Students and Scholars Office at 480-727-4776 for resources related to hiring international faculty.

Questions about visa status or other immigration related matters should also be directed to that office.

Questions?