

# Process Guide for Applicant Lists

(tenure-track faculty, continuing-status-track academic professionals, multi-year academic personnel, and professors of practice)

Academic Affairs Manual (ACD) policies governing recruitment and appointment: [ACD 505-06](#).

For all stages, do not lock documents. Do not use Adobe Sign, Adobe Certificate, DocuSign, or cursive fonts to sign forms or letters. JPEG signatures are accepted.

Please note that using Interfolio Faculty Search is required for all academic personnel (except faculty associates and academic associates) searches beginning with the 2020-21 fiscal-year hiring plan.

**Step 1. Creation of Applicant List.** Applicant-list portfolios are created when the college is ready to seek approval for on-campus interviews (intermediary zoom interviews may be conducted prior to submitting the applicant list for approval for on-campus interviews). Start by [pulling a report](#) in Interfolio Faculty Search to download the applicant list data. Once the data is correctly formatted and transferred into the [Applicant List form](#), you will need to add additional details regarding the Justifications for Disposition for each candidate.

**Step 2. PDF Portfolio.** Send the following materials in a PDF portfolio to the office of the provost. All sections must be in PDF format, with text recognition applied. All documents should be legible when printed. Please remove all blank and superfluous pages.

The sections of the PDF portfolio will use the following naming conventions.

**01\_Applicant List form**

**02\_ [Faculty and Academic Professional Search Plan form](#)** with a list of search committee members (this form is maintained by the Business and Finance Office at ASU)

**03\_Long Ad**

**04\_Notes/Summaries/Grid** (optional)

**05\_01\_Beaverhausen, Anastasia**

**05\_02\_DeRocks, Scott Shawn**

**05\_03\_ALT\_Vandelay, Art\***

\*As above, please use "ALT" to designate alternates.

- a. **01\_Applicant List form.** Please review to make sure that all sections are completely and accurately filled out.
  - i. The applicant list should be signed by the dean or university librarian.
  - ii. Using the codes provided, the applicant list should include information about candidates' ethnicity and gender.
  - iii. Be sure to include all pages of the Applicant List, including the code key.
  - iv. The correct hiring plan code and job number should be listed.
  - v. If you assigned a candidate the code "2) Does Not Meet Desired Qualifications," you *must* create additional codes (2a, 2b, 2c, etc.) specifying which desired qualifications they did not meet. All these codes must be created using direct language from the advertisement. Be as detailed as possible, assigning candidates more than one Justification for Disposition, if applicable. For example, 2a could mean "Does not meet desired qualification – Strong research agenda as evidenced by major publications," and 2b) could mean "Does not meet desired qualification – At least 5 years of teaching experience." More than one code can be used to describe a candidate.

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- vi. If you assigned a candidate the code “10) Lacks Other Strengths,” you *must* create additional codes (10a, 10b, 10c, etc.) specifying the strengths they lack. “10” codes are for strengths which were not mentioned in the ad. Be as detailed as possible, assigning candidates more than one “10” code, if applicable. For example, 10a could mean “Lacks Other Strengths – Overlaps too much with fields of current faculty,” and 10b) could mean “Lacks Other Strengths – Presentation skills and quality of presentation lacking during interview.” More than one code can be used to describe a candidate.
  - vii. Put the finalists and alternates at the top of the form, if possible. Finalists and alternates are not assigned disposition codes at this stage.
  - viii. List the both the rank and the administrative title (if applicable) of the position at the top of the *Applicant List* form. For example, if the search is for a Professor of Practice and Center Director, make sure that “Professor of Practice” is listed in the Academic Rank field and “Center Director” is listed in the Administrative Title field.
  - ix. The applicant list must be converted to PDF format before adding it to the PDF portfolio.
- b. 02\_Faculty and Academic Professional Search Plan form.** Please review to make sure that all sections are completely and accurately filled out.
- i. If the search was approved to hire one person only, list the FTE as 1.0; if the search was approved to hire two individuals, list the FTE as 2.0, and so on.
  - ii. Remember that advertising with *Diverse Jobs* is free to the units; if neither *Diverse Jobs* nor any other diversity outlets are on the search plan, please note how the search attempted to create a diverse pool.
  - iii. Please include a list of the members of the search committee either typed on the form or on a separate page.
- c. 03\_Advertisement.** Include the long-version of the advertisement.
- d. 04\_Notes section (optional).**
- i. *Notes from the committee.* Useful materials here may include 1) a succinct note addressed to the vice provost for academic personnel about the finalists which details *how they meet the required qualifications*, 2) a succinct note addressed to the vice provost for academic personnel which indicates why particular candidates are not being considered as finalists.
  - ii. *Things which are not helpful.* Please don’t send the informal internal committee notes.
  - iii. *Required Qualifications Grid.* To speed up the process, you may submit a [Required Qualifications Grid for Finalists and Alternates](#). To use the grid effectively:
    1. Include the required qualifications *as they are found in the ad*. Once the ad has been placed, the search committee cannot change its mind about what the required qualifications should be.
    2. Do not list desired qualifications here.
    3. For each candidate, indicate where evidence of a given required qualification can be found. Be specific about the location. If you merely indicate that a required qualification is found “in the CV,” that isn’t helpful, as we’ll still have to search the whole CV. If you write detailed instructions such as “Page 2 of the CV, bottom of the page,” we can confirm the information quickly.

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### e. 05\_Candidate materials.

- i. Always send CVs, but also consider including materials which provide evidence that the candidates meet the required qualifications; this may include cover letters, for example.
- ii. Be consistent with the materials you send. For example, if cover letters were documents required per the advertisement, then if you submit a cover letter for one interviewee, send cover letters for all interviewees.
- iii. Sometimes candidates send materials which were not requested in the advertisement. If you find that the extra materials are helpful in understanding how the candidate meets the required qualifications, you may submit that in the portfolio. In the case of unsolicited materials, it's okay for a candidates to have a slightly different set of materials.
- iv. Submit the same materials for alternates as you do for people you are already planning to interview.
- v. Don't send research/creative materials, e.g., scientific articles which the candidate authored. Please be considerate and remove these materials before submitting to the provost office.
- vi. Each candidate's materials should be in its own separate section; CVs should be the first document and cover letters should be the last.
- vii. For those appointments which include an administrative title, it's best to assume that we will want to see cover letters.
- viii. Material sections for on-campus-interview candidates should be named "05\_01\_LastName, FirstName."
- ix. Material sections for alternate candidates should be named "05\_02\_ALT\_LastName, FirstName."

The more organized and complete the portfolio, the quicker it can be evaluated and approved. For the name of the PDF portfolio, use the naming convention "COLLEGE-UNIT-ApplicantList-Hiring Plan Code." Example: "CLAS-English-ApplicantList-BP1222."

Please include the hiring plan number (HPC#) in the subject line of the email used to send the portfolio.

**Step 3. Approval.** The provost office may ask for additional materials or information before approving the applicant list. Once the applicant list has been approved, the provost's office will send back a PDF which will include:

- a. *Applicant List* form with initials from the vice provost for academic personnel
- b. *Faculty and Academic Professional Search Plan* form with attachments (search committee list and list of publications)
- c. Long ad



### ADDITIONAL NOTES

**Rolling deadlines.** If you receive additional applications after the initial closing date and wish to seek approval to interview additional candidates, send another complete portfolio with applicant list, search plan, etc., to the provost's office. In your email, give us a head's up that this an updated pool.

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**Required qualifications.** Be thoughtful when drafting the ad for your search. For example, if one of your required qualifications is “must have a PhD,” you will not be able to interview someone without a PhD, no matter well they fit the rest of the qualifications. “must have a PhD or other terminal degree,” for example, might give you the kind of flexibility you want.

Similarly, restricting the degree to a particular field will not allow you to consider promising candidates with degrees in other disciplines. So consider carefully language such as “must have terminal degree in x or related field.”

**Expedition.** Requests for expedition must be routed through the dean to the vice provost for academic personnel. Another way to expedite an applicant list is to fill out the *Required Qualifications Grid* mentioned above.

**Using search firms.** If a search is being conducted by an external search firm, before on-campus interviews are scheduled, send the provost office the usual documents in portfolio form (*Applicant List* form, advertisement (if applicable), *Search Plan*, CVs, etc.).

However, please note the following.

1. Use the demographic information the search firm collects to fill out the *Applicant List* form.
2. In filling out the *Search Plan* form:
  - a. Be sure to list the essential functions; this is required for each search by the *Americans with Disabilities Act*.
  - b. Under “Recruitment Sources,” you need only indicate “Search Firm.”
3. Similar to a waiver hire, only the information about the candidate ultimately recommended for hire will be entered into Interfolio. Refer to the [Process Guide for Hires Made Outside Faculty Search](#).