

VII-1
POLICIES ON OPEN RECRUITMENT FOR ACADEMIC APPOINTMENTS
(Revised 4/26)

It is the policy of the University of California not to engage in discrimination against any person seeking employment with the University. In addition, it is the policy of the University to undertake actions consistent with its obligations as a Federal contractor. Conducting open searches for employment positions supports the University of California in fulfilling its requirements under federal and state laws. The University of California [Anti-Discrimination policy is available at: https://policy.ucop.edu/doc/1001004/Anti-Discrimination](https://policy.ucop.edu/doc/1001004/Anti-Discrimination)

An open recruitment is required for all academic positions unless the recruitment is exempt under the specific criteria listed in section II below.

These laws expand pay equity and pay transparency by requiring California employers to disclose pay scales and prohibiting employers from seeking or relying on applicants' salary history information, including compensation and benefits, in the recruitment process. These laws further safeguard the right of all persons to obtain and hold employment without discrimination based on specified characteristics or status, and they are intended to address inequity in pay practices based on gender, race, color, religion, sex, national origin, disability, age, protected veteran status, gender identity, or sexual orientation.

I. Recruitment types and requirements

As appropriate, a Department will recruit both within and outside the workforce to obtain broad pools of qualified applicants. For Senate faculty the level of position advertised is based on the level of search approved by the Executive Vice Chancellor and Provost. Non-Senate searches may be at a specific rank or at open rank.

External Recruitments are open to all applicants and are listed in various off-campus publications and the UC Recruit job board. Typically, external recruitments generate the largest and most robust applicant pools consistent with the campus commitment to equal opportunity.

In some unique situations, an internal recruitment may be utilized. Internal recruitment requests require consultation, prior to the beginning of the recruitment, with the Equal Opportunity and Policy Compliance office and Academic Personnel.

Recruitments may be conducted in the following ways:

One-time recruitment: The recruitment is advertised for the duration of the recruitment for a specific position or positions. Most often the one-time recruitment will be for a single hire, however occasionally a single recruitment may yield multiple hires. This may be either the result of multiple positions being available at the beginning of the search, or may occur through a special request to make multiple hires. Requests to make multiple hires from a Senate Faculty search originally designated as a single hire will be initiated by the Department Chair and submitted to the Executive Vice Chancellor and Provost via the Dean. The Dean will be asked to provide additional information concerning the FTE to be used for the additional hire, and the Executive Vice Chancellor and Provost will consult with the Academic Senate as appropriate. Requests to make multiple hires from a non-senate search originally designated as a single hire are to be addressed to the Vice Provost for Academic Affairs.

Standing pool recruitment: A standing pool recruitment may be used to fill multiple positions at various times for research or teaching positions.

- Pre-six Unit 18 Lecturer standing pool recruitment advertisements must be terminated on March 31, annually. New advertisements may begin after April 1 of each year.

- Researcher title standing pool recruitment advertisements must be terminated by September 30 annually. New advertisements may begin after October 1 of each year.
- These search time limits help to ensure compliance with state and federal data reporting requirements.

II. Exemptions from Open Recruitment Policies

- A. Appointment to temporary academic administrator positions by individuals already holding an academic appointment
- B. Recall appointments
- C. Visiting appointments in the Professor, Researcher, Specialist, or Project Scientist series. The individual must be a “true visitor” i.e. holds or is on leave from (or for the Professorial series only, retired from) an equivalent position at another academic institution.
- D. Appointees within Unit 18, who have previously undergone open recruitment in the same department for a Unit 18 position without a break in service due to non-reappointment. See RB II-1.
- E. Positions requiring student status, e.g. teaching assistant, graduate student researchers or trainee status, e.g. Postdoctoral Scholars.
- F. A modification of the current position from the Professorial series to the Teaching Professor series or one non-senate research series to another (e.g. Project Scientist to Researcher) assuming the original appointment had either an open search, an approved waiver or is exempt from search due to without salary status.
- G. Without salary appointments.

Although open recruitment is not required in the above situations, a department may choose to conduct a search. When a search is conducted, all appropriate policies and procedures must be followed.

III. Search waivers

An open recruitment, available to all qualified applicants, is a preferred hiring mechanism since it provides substantial assurance of compliance with University policy and the quality of the individual offered a position. However, special circumstances may on occasion justify a waiver of the search requirement.

If an individual being considered for a search waiver is already a current UC employee represented by a collective bargaining unit, please consult with Academic Personnel and Labor Relations before proceeding with a request.

A. Non-Senate Titles

- A.1. Emergency Hire: Unexpected circumstances result in insufficient time to recruit: (e.g., unexpected illness, leave of absence of faculty, emergency research need.) Waivers will be granted with a specific end date and may not extend beyond a few months’ time
- A.2. Spousal or Domestic Partner Hire: the hire of a spouse or domestic partner in order to initially hire or retain a Senate faculty member. Waivers will be granted for the duration of employment in the job series.

A.3. PI/Co-PI/Leadership Status: the proposed appointee is the principal investigator, co-principal investigator of a grant/contract, or has been named in the grant/contract for a specific leadership role. Supporting documentation must be available in the departmental file and may be requested as necessary. Waivers will be granted for the duration of the contract or grant.

A.4. Continuation of Training: the proposed appointee is currently a graduate student researcher or postdoctoral scholar at UCSB and will remain for a short period to complete a research project begun while in the current status. Waivers may not be granted for longer than one year.

A.5. Research Team: the proposed appointee is part of an existing research team of a new faculty member relocating from another academic institution and will be continuing in the same capacity in the lab. The waiver is valid for the duration of appointment in the same title within the same team.

Consistency with the criteria above does not guarantee a waiver will be granted.

Initial search waiver requests are initiated by the department through UC Recruit using one of the appropriate categories as listed above. The request will be reviewed by the Dean or Vice Provost for Academic Affairs with approval authority for the requested action. If the request is approved, the department may then submit an appointment case. If the request is denied, an open search will be required.

An existing waiver with an end date may be extended if the appointment continues to meet the criteria under which the waiver was originally granted. The memo/request to extend the waiver is to be included with the reappointment request and must specify the new end date.

B. Senate Faculty

1. Partner Hire: the hire of a partner in order to initially hire or retain a Senate faculty member. In such cases, the partner should have a record and credentials that provide evidence they would likely be among the top candidates if an open search had been conducted.

2. Exceptional Opportunity: an unusual opportunity to hire an individual who has qualifications that are so uniquely outstanding as to justify the waiver. In all these cases the candidate would be on the short list of top candidates if a full search were conducted, and the individual would be highly sought after by peer institutions. Examples would include an internationally recognized leader in a particular field (e.g., a Nobel Laureate or a Pulitzer Prize winner), or a highly sought-after individual who is on the market for a very limited time period. Exceptional Opportunity hires are normally expected to be at the Full Professor level, but under exceptional circumstances, justified by compelling reasons, they may be at a lower level.

Consistency with the criteria above does not guarantee a waiver will be granted.

Search waiver requests are initiated by the department through UC Recruit using the appropriate category among the two listed above. Departments may not select "Other."

The department memo must address the following:

- Which category of waiver is being requested.
- The departmental vote on the request for a waiver.
- A report of the departmental discussion of three major issues: 1) the candidate's qualifications; 2) the candidate's programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan.
- In the case of an Exceptional Opportunity request, an explanation why it is not possible to consider the candidate as an applicant in an open search (for example, the individual under consideration is available only for a limited period of time.)

Requests will be routed to the Dean for review. As part of their recommendation, the Dean should address the items outlined in #3 above, as well as the programmatic and budgetary impact within the department and on a divisional or college wide basis. If the Department has not identified an FTE, the Dean must do so. The Executive Vice Chancellor and Provost will consult with the Council on Planning and Budget and the Committee on Academic Personnel prior to making a final decision. The Council on Planning and Budget will provide guidance regarding resource allocation for the position. In certain cases, the Committee on Academic Personnel will provide an initial assessment of the candidate's qualifications for an academic senate position. If the request is approved, the department may submit an appointment case. If the request is denied, an open search will be required.

In recruitments that are limited to either the Assistant or Associate level, if a candidate is promoted to a higher level at their home institution while the search is in progress, or an appointment at a higher rank is justified by the need to make a competitive recruitment offer due to a competing offer at a higher rank, the department may request permission to allow appointment at the next highest rank. The request will be forwarded from the department, via the Dean, and Vice Provost for Academic Affairs, to the Executive Vice Chancellor and Provost. If the request is approved, the department may then submit the appointment case with a request for the higher rank. Additional external evaluation may be required to support the higher rank appointment.