

# Department User Guide

## Search Waivers in UC Recruit

A search waiver is formal approval to hire an individual directly into a specific academic appointment without an open recruitment. The individual must meet the criteria for the appointment, and if the waiver request is approved, the approval is specific to that individual and cannot be transferred.

As of April 2017, users with department analyst access initiate search waiver requests for Senate and Non-Senate positions directly in the UC Recruit system at <https://recruit.ap.ucsb.edu>. Requests for search waivers are to be submitted for approval in a manner similar to that currently used for recruitment Search Plans, Short List and Search Reports.

**Policies regarding search waivers, including defined categories, as well as the requirements for a complete submission are outlined in [Red Binder VII-1](#). For Senate faculty search waivers, users are encouraged to refer to the EVC's *Search Waiver and Recruitment Guidelines* document, available under the AP website's [Resources for Department Analysts > UC Recruit page](#).**

Incomplete or out-of-policy search waiver requests, *including any submitted under the category of "Other,"* will not be approved, and submission of a request does not guarantee approval.

## Viewing Search Waivers

1. Click **Waivers** in the top menu bar.



2. The Waivers page opens.
3. From newest to oldest, all waivers to which you have access will be listed in a grid view.
  - Department analysts see all waivers created under their department name.
  - College or division analysts see all waivers created in every department within their area.
  - Approvers see all waivers they have been named an approver.
4. Search waivers are associated with a unique search waiver request number (SWR).  
**Note:** While the SWR# relates to a single candidate, a candidate could potentially have more than one waiver in the system.
5. Adjust the grid information or narrow the list using any of the following tools:
  - Choose the "Edit filters & columns" button and specify column criteria or active filters.

*Defaults:* SWR#, Approval Status, Candidate Name, Position Working Title, Home Department

*Also useful:* Academic Year, Hiring Type, Category, Concluded, etc.

- Zero in on a waiver using a search term. Examples: search by SWR#, candidate name, position working title, or home department.
- Using the Academic Year and Conclusion filters allow users to display open, concluded or both waivers for specific Academic Years. Click specific filter options and click Remove to remove the filter.

## Creating a New Search Waiver Request

1. Click **Waivers** in the top menu bar.
2. Click the button, **Create New Search Waiver**.



3. In the popup window, provide a Position working title and select the department for which the waiver is taking place.  
**Note:** You will only have access to create waivers for departments to which you have access.
4. Gather all necessary information to process the waiver request. The following is a list of the informational fields needed to process a waiver request:

*\* Fields with asterisks may not be blank; field is required before submitting the waiver for approval*

Position	Description
Position Duties*	Text is required in this field <b>Non-Senate:</b> Describe the duties of the position, along with any associated areas of responsibility. <b>Senate:</b> Enter "See Department Memo in Documentation section"
Affirmative Action goal*	Identify the affirmative action goal for the title series in the campus academic affirmative action plan, if any exist.
Candidate	Description
Candidate name*	Place the name of the candidate in this field.
CV*	Browse and upload the candidate's CV.
Is the candidate currently employed by the University?*	Select "Yes" if the candidate is currently employed by the university. Select No if they are not.
If yes:	
Current employee ID*	Provide the employee ID. As of September, 2018, this should be a UCPath ID.

Effective date of initial appointment to current position*	Enter the effective date of the appointment.
Current appointment Department*	Select the department.
Title, Step, Percent time, current appointment start date and end date	Supply this information about the current appointment.
(Add any additional appointments as appropriate with the +Add another appointment link in the popup window)	
Candidate email addresses	List all known email addresses for this candidate.
Candidate qualifications	<p><b>Non-Senate:</b> Discuss the qualifications of the candidate for the position. This information should be provided to the department analyst by the department chair, the PI, etc.</p> <p><b>Senate:</b> Enter "See Department Memo in Documentation section"</p>
<b>Appointment</b>	<i>Description</i>
Proposed appointment*	Only add the appointments for which the search waiver is being requested. Appointments that do not require a search waiver should not be added.
Department*	Select home department. Only one department may be named to manage the waiver. (If the appointment is being proposed in more than one department, check with your AP analyst first for guidance.)
Title*	Select one title code from the pull-down list
Step	Optional - usually determined at time of appointment.
Percent time	Optional
Proposed appointment start date	Enter the proposed start date for this appointment.
Proposed appointment end date	Enter the end date for this appointment, if applicable.
+Add another appointment	Use this link to add another appointment, if applicable.
<b>Justification</b>	<i>Description</i>

<p>Category*</p>	<p>Categorize the type of waiver, as appropriate per Red Binder VII-1, by selecting from the corresponding pulldown menu. The choices are divided into <b>Senate Faculty</b> or <b>Non-Senate Faculty and Other Academics</b>.</p> <p><b>Note: do not select “Other” as a search waiver category. It is not used at UCSB.</b> Waiver requests submitted under “Other” will not be processed and will be returned to the department.</p>
<p>Grant information (Optional) – see Appendix A</p> <p><b>Note:</b> The fields for grant information display <i>only</i> if you select the search waiver category of <i>Non-Senate Faculty &gt; Other Academics PI/Co-PI/Leadership Status</i>. <b>Providing information in this section is <u>optional</u>, although further information may be requested by reviewers during the approval process as needed.</b></p>	
<p>Funding agency</p>	<p>Add the name of the grant funding agency.</p>
<p>Grant number</p>	<p>Add the grant number.</p>
<p>Salary from grant</p>	<p>Add the salary awarded from the grant.</p>
<p>Percent time working on grant</p>	<p>Add the % time the candidate worked on the grant.</p>
<p>Grant documentation</p>	<p>Upload the grant documentation. The uploaded files will be appended to the PDF and visible to the approvers. Files must be uploaded as .pdf, .txt, or images.</p>
<p>Justification narrative*</p>	<p><b>Non-Senate:</b> Provide a narrative explanation detailing the reasons for the search waiver, and include details about why it is not possible to conduct an open search for the position.</p> <p><b>Senate:</b> Enter “See Department Memo in Documentation section” – see Appendix C</p>
<p>Waiver duration</p>	

Expiration type	<p>Time limited (Non-Senate) or Permanent (Senate)</p> <p>Select an appropriate expiration type based on whether the waiver will be Time limited or Permanent.</p>
Effective date*	<p>Type a date or use the date selector. Note: The appointment may not start before the waiver effective date.</p>
Expiration date (required only for Time limited)*	<p>Type an expiration date or use the date selector.</p>

History	Description
Discovered candidate history	System will automatically look for references elsewhere in the system to the candidate's history using employee ID or known email addresses.
Added history (if applicable)  See Appendix B	<p>You may add history by providing information for the candidate, if known.</p> <p>If there is paper documentation of a previous search waiver, it should be scanned and uploaded to the waiver Documentation section. The information appears on the system-generated PDF with any uploaded documentation appended. <b>Note:</b> Waivers created in another department are not required.</p>

JPF#, SRW# or other reference number	If the person was hired via a recruitment or waiver include a reference number (ex: SWR00001). Otherwise, provide notes (e.g. year and position information) to help with tracking.
Candidate name	Place the name of the candidate in this field.
Position	If known, include the position or working title.
Department	The department in which the candidate received a previous waiver.
Source type (what mechanism was used for the previous hire)?	Recruitment, Waiver, Exemption, Other
<b>Documentation</b>	<i>Description</i>
Supporting documents	<p>Browse and upload one or more additional documents that help support the waiver request with evidence. Appointment materials such as a candidate's Research or Teaching Statements or copies of publications <i>should not</i> be included here. Any uploaded files will be appended to the final waiver PDF and will be visible to the approvers. Files must be uploaded as .pdf, .txt, or images.</p> <p><b>Optional</b> for Non-Senate requests.</p> <p><b>Required</b> for Senate requests since <i>Position Duties</i>, <i>Candidate Qualifications</i>, and <i>Justification</i> narrative fields indicate "See Department Memo in Documentation section."</p>
Description of uploaded file	Provide a short description of the uploaded supporting document.
Comment	If appropriate, leave a comment about the document.

Tools Section: Activity Log and Delete Waiver	
Activity log	All users with access to the waiver may see this tracker, showing exactly when certain steps of the waiver process were completed and who was involved.
Delete waiver	<p>In the event that a search waiver was created in error, analysts can delete their search waiver. The analyst may delete the waiver <i>only if it has not already been submitted for approval. PLEASE DO NOT USE THE PRODUCTION SITE for testing.</i></p> <p>Once it has been submitted for approval, only a UC Recruit administrator is able to delete the waiver. Waivers cannot be undeleted, even by administrators.</p>

## Submitting Waiver Requests for Approval

1. Preview your search waiver request, if you wish, by going to “Approval request” under APPROVALS section and clicking the “Preview waiver request PDF” button



2. When the search waiver is ready, click the link in the status bar, **Submit it for approval.**



3. If the waiver is incomplete, a checklist appears. Follow the corresponding "Add Now" links to reach the missing data fields and provide the missing information.

Example:

# Approval request

- Position
  - Position duties must be provided • [Add now](#)
  - Affirmative action goals must be provided • [Add now](#)
  
- Candidate
  - Candidate name must be provided • [Add now](#)
  - Candidate CV must be provided • [Add now](#)
  - Candidate's current employee status must be provided • [Add now](#)
  - Email address must be provided • [Add now](#)
  
- Appointment
  - Proposed appointment must be provided • [Add now](#)
  
- Justification
  - Search waiver category must be provided • [Add now](#)
  - Justification narrative must be provided • [Add now](#)
  - Waiver effective date must be provided • [Add now](#)
  - Waiver expiration date must be provided • [Add now](#)

4. Once you have populated all of the required fields with information, return to the status bar and click the link again, **Submit it for approval**.
5. A list of approval steps should then appear in a popup window.
6. Cancel if the workflow seems incorrect. Otherwise, click **Yes, submit for approval**.
7. The approval request screen opens.

**Add a comment:** Permanently attach a comment to this waiver request. Approvers will see your comment when they log in.

**Notify Approvers:** Optionally, use the "Notify approvers" button for further communications along the workflow. (Examples: to prod the approver who's taking too long, to warn the pending approvers about what's coming their way, or to highlight a change that previous approvers might need to know about). Any such messages are recorded in the comments.

**\*Please note that use of the *Notify approvers* function can notify a subset of the approvers or all approvers. The system-generated email notification may cause some confusion about approval order.**

**If you must contact an approver, we strongly recommend that the department analyst contact the relevant approver directly, rather than sending an email blast through the system to all approvers.**

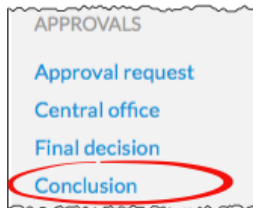
**Once the final approver approves or denies the request, you will receive an email notification advising you of the outcome.**


**Waivers will only be approved in certain circumstances.** Please contact the Academic Personnel Office to review search waiver guidelines before submission. Search waivers that do not comply with the guidelines will not be approved.



# Concluding Waivers

This section is where the analyst will add hiring outcome information and mark a waiver as **Concluded** to indicate that the waiver is done. This provides the central offices (admins) with the information they need for reporting (hire status and employee ID). Concluding a waiver indicates that the entire waiver process is complete and the person has either been hired and entered into payroll and has a start date and employee ID, or was ultimately not hired.



Conclusion Section	Description
Hiring outcome	<p>Was the candidate hired? Yes/No</p> <p>If yes, enter appointment start date and employee ID            If no, briefly explain the reason(s) the candidate was not hired.</p>
Waiver conclusion	<p>Concluding a waiver indicates that the entire waiver process is complete. Concluded waivers are not shown by default, and approvers will not see concluded waivers in their queue. If a waiver is concluded by mistake, you can revert its status to reactivate it.</p> <p>To conclude the waiver, click on the button "Conclude waiver" and confirm the selection within the popup.</p> <div data-bbox="685 1476 889 1524" style="border: 1px solid gray; padding: 2px; display: inline-block;">  Conclude waiver           </div>

Users wishing to test search waiver functionality are encouraged to use the module available on the UC Recruit Training site at <https://recruit.ap.ucsb.edu/training/> - the training site should not be used for production.

**Questions about preparing and processing Search Waivers?**  
 Contact [help@aait.ucsb.edu](mailto:help@aait.ucsb.edu)

**APPENDIX A**

### Category ×

Select the appropriate search waiver type for this waiver request based on the search waiver guidelines.

**Search waiver category**

PI/Co-PI/Leadership Status ▼

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### Grant Information

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<b>Funding agency</b>	<b>Grant number</b>
<input type="text"/>	<input type="text"/>
<b>Salary from grant</b>	<b>Percent time working on grant</b>
<input type="text" value="\$"/> <input type="text" value=".00"/>	<input type="text"/> <input style="float: right;" type="text" value="%"/>

**Grant documentation**

No file selected.

Upload a copy of the grant, including both the front page and the budget page.

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Completing the “Grant Information” section is optional but may be requested by reviewers later as needed.

**APPENDIX B**

### Add history ✕

Add as much information as you have.

**\* JPF#, SWR#, EXR#, or other reference number**  
...

**Candidate name**

**Position**

**Department**

**Source type**

Recruitment	Waiver	Exemption	Other
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**Save changes** Cancel

### Justification narrative

Provide a narrative explanation detailing the reasons for the search waiver, and include details about why it is not possible to conduct an open search for the position. If the waiver is being requested due to a medical situation, do not include medical details or any [Protected Health Information \(PHI\)](#).

[> Formatting Help](#)