

Academic Recruitment Process

Search and Search Waiver
Policy Changes 2015

Background

- Office of Federal Contract Compliance Programs (OFCCP) audits
 - Charged with enforcing affirmative action and equal employment opportunity practices required of those who do business with the Federal government
 - Audits conducted at 6 of the 10 UC campuses thus far

Background

- System-wide efforts to be standardized
 - UCRecruit
 - Guiding principles
- UCSB's policies (Red Binder) have not been significantly updated in over 20 years and are out of compliance with Federal requirements

Search Policy- What is changing?

Category	Old Policy	New Policy
Senate and other Permanent positions	Search always required	Search always required
Unit 18 Lecturers	Search required after three quarters in the same department	Search required for all appointments
Other Non-Senate academic positions	Search required if appointed at 50% or more and more than one year	Search required for all appointments

- OFCCP requires a search for any paid employee appointment that is 3 days or longer
- Some exemptions will still exist
- Search waivers, previously called Exception to Open Recruitment (EOR) may still be requested under certain situations.
 - Process for requesting waivers is not changing

Exemptions from Search

(no search required)

Category	Old Policy	New Policy
Appointment to temporary academic administrative position	Exempt	Exempt
Recall appointments	Exempt	Exempt
Visiting appointments	Exempt	Exempt if a “true” visitor, i.e. visiting from another academic institution
Unit 18 appointees with a previous open recruitment in the same department	Exempt	Exempt as long as the current teaching fits within the intent of the original search
Postdoctoral Scholar appointments	Exempt	Exempt
Graduate Student title appointments	Exempt	Exempt
Without salary appointments	Exempt	Exempt
Modification of position from a Senate to Senate or non-senate to non-senate position	Exempt	Exempt

Search Waivers: Senate Faculty

Category	Old Policy	New Policy
Partner of a Senate faculty member for recruitment or retention purposes	Waivers may be granted	Waivers may be granted
Exceptional opportunity	Similar to old “unanticipated opportunity” category	Waivers may be granted
President’s Postdoctoral Fellow Recipients	Waivers may be granted	Waivers may be granted

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), an exceptional scholar who would make special contributions to diversity in a particular program or field; or a highly sought after individual who is on the market for a very limited time period. Exceptional Opportunity 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.

Requests to hire above advertised rank

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 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 Associate Vice Chancellor for Academic Personnel, to the Executive Vice Chancellor.

Search Waivers: Non-Senate Positions

Category	Old Policy	New Policy
Partner of a Senate faculty member for recruitment or retention purposes	Waivers may be granted	Waivers may be granted
Emergency hire	Similar to “unexpected circumstances” EOR.	Waivers may be granted with a specific end date.
Continuation of training		New waiver category, granted with end date
Part of a research team of a new faculty member relocating from another institution		New waiver category.
Individual has PI, Co-PI, Leadership status on the grant	Exempt category	Waiver may be granted, with an end date

Transition guidelines

- Exceptions and exemptions granted prior to November 1, 2015 will be grandfathered. A search or a search waiver will be required under the following conditions:
 - Appointments with an exemption due to the percentage time at less than 50% will require a search or appropriate search waiver if the appointment percentage increases to 50% or greater.
 - Appointments with an exemption due to the appointment being one year or less will require a search or appropriate search waiver in order to reappoint beyond one year.
 - Appointments with an exception with an end date will require either a search or appropriate search waiver in order to reappoint beyond the stated end date.

- For recruitments and appointment cases in progress as of November 1, 2015, that did not require an open search when started, but do require an open search under the new policies, departments are encouraged to consult with the appropriate Academic Personnel Analyst to determine the appropriate action. The following will be processed under the old policies, although additional documentation may be requested to justify the appointment under the old policies:
 - Accepted offers on or before November 1, 2015
 - Appointments in process on or before November 1, 2015
 - Visa applications in process on or before November 1, 2015

- For new appointments with recruitment started after November 1, 2015, all recruitments and appointments are subject to the search policies outlined in Red Binder VII-1 , revised November 1, 2015.

Search process going forward

- Other than exempt categories, appointments or reappointments may not be processed without a search or approved waiver.
 - No retroactive appointments/reappointments to earlier than the search date
- All searches done through UCRecruit
 - “Recruitment packet” now part of UCRecruit
 - Waivers to be incorporated within the next year

- Plan ahead
 - Assess new needs
 - Monitor end dates of current employees for reappointment
- How long to advertise
 - 30 days minimum for Senate Faculty
 - 2 weeks minimum for non-senate positions
 - Long enough to provide the opportunity to attract a reasonable number of applicants and a diverse pool.

Types of searches

- One-time recruitment
 - May be single hire or multiple hire
 - Hire(s) within a set hire date in mind
 - Easiest to manage in UCRecruit
- Standing pool recruitment
 - Multiple hires
 - Unknown or flexible hiring dates
 - More difficult to manage in UCRecruit: becomes more difficult the more complexity is built into the pool
 - Single ad/recruitment that allows for multiple hires at different times throughout the year

When to use a one-time recruitment

- Single hire
- Multiple hire with similar requirements and qualifications within a specific time period

When to use a pooled standing recruitment?

- Multiple hires over a longer period of time
- Best fit: Multiple positions with similar qualifications and application requirements (e.g. Lecturers)
- More complex: Multiple position with various titles or varied specialties
 - Multiple areas with titles with similar requirements and qualifications (e.g. Researchers/Project Scientist on the same project)
 - Multiple titles with different requirements and qualifications (e.g. Researchers/Specialist/Postdoc). Possible to do but very complicated – can list only the very minimal requirements

UCRecruit Requirements for pooled standing searches

- “Initial review date” option used to define “sub-pools” for hiring
- Search report is produced for each sub-pool/hiring
- Applications must be managed with disposition reasons to assure they are accessed in future sub-pool periods.
- Can add flags to specific sub-specialties for use when the substantive review is done.
- Same search plan/committee/equity advisor for all hires.
- Ad wording needs to be clear about it being a pooled search
 - Use sample wording in toolkit on AP web site)

Departmental considerations

- **Plan ahead**
- One time recruitment as the starting point
- If more than one hire, what is the timing?
 - One-time recruitment vs. pooled standing
- If doing a pooled standing recruitment, think about smaller sub-sets either by title or area if number of applicants may be large
- **Consult!** Both about what kind of search to do and about process if using a pooled search

Resources

- Red Binder updates as of November 1, 2015
 - VII-1: Policies on Open Recruitment
 - VII-4: Procedures for Recruitment of Ladder Rank Faculty and other Permanent Academic Appointments
 - VII-5: Procedures for recruitment of Temporary Positions
- Transition toolkit
 - Transition guidelines
 - Summary chart
 - FAQs
 - Ad templates for pooled searches
- System-wide guiding principles

Academic Personnel Contacts

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Physical Sciences, Bren, Engineering

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Senate faculty and other non-research recruitments
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Postdoctoral Scholar recruitments

Other contacts

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