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?

<table>
<thead>
<tr>
<th>Category</th>
<th>Old Policy</th>
<th>New Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senate and other Permanent positions</td>
<td>Search always required</td>
<td>Search always required</td>
</tr>
<tr>
<td>Unit 18 Lecturers</td>
<td>Search required after three quarters in the same department</td>
<td>Search required for all appointments</td>
</tr>
<tr>
<td>Other Non-Senate academic positions</td>
<td>Search required if appointed at 50% or more and more than one year</td>
<td>Search required for all appointments</td>
</tr>
</tbody>
</table>
• 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)*

<table>
<thead>
<tr>
<th>Category</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Appointment to temporary academic administrative position</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
<tr>
<td>Recall appointments</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
<tr>
<td>Visiting appointments</td>
<td>Exempt</td>
<td>Exempt if a “true” visitor, i.e. visiting from another academic institution</td>
</tr>
<tr>
<td>Unit 18 appointees with a previous open recruitment in the same department</td>
<td>Exempt</td>
<td>Exempt as long as the current teaching fits within the intent of the original search</td>
</tr>
<tr>
<td>Postdoctoral Scholar appointments</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
<tr>
<td>Graduate Student title appointments</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
<tr>
<td>Without salary appointments</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
<tr>
<td>Modification of position from a Senate to Senate or non-senate to non-senate position</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
</tbody>
</table>
## Search Waivers: Senate Faculty

<table>
<thead>
<tr>
<th>Category</th>
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<th>New Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner of a Senate faculty member for recruitment or retention purposes</td>
<td>Waivers may be granted</td>
<td>Waivers may be granted</td>
</tr>
<tr>
<td>Exceptional opportunity</td>
<td>Similar to old “unanticipated opportunity” category</td>
<td>Waivers may be granted</td>
</tr>
<tr>
<td>President’s Postdoctoral Fellow Recipients</td>
<td>Waivers may be granted</td>
<td>Waivers may be granted</td>
</tr>
</tbody>
</table>
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

<table>
<thead>
<tr>
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<th>New Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner of a Senate faculty member for recruitment or retention purposes</td>
<td>Waivers may be granted</td>
<td>Waivers may be granted</td>
</tr>
<tr>
<td>Emergency hire</td>
<td>Similar to “unexpected circumstances” EOR.</td>
<td>Waivers may be granted with a specific end date.</td>
</tr>
<tr>
<td>Continuation of training</td>
<td></td>
<td>New waiver category, granted with end date</td>
</tr>
<tr>
<td>Part of a research team of a new faculty member relocating from another institution</td>
<td></td>
<td>New waiver category.</td>
</tr>
<tr>
<td>Individual has PI, Co-PI, Leadership status on the grant</td>
<td>Exempt category</td>
<td>Waiver may be granted, with an end date</td>
</tr>
</tbody>
</table>
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 UCRrecruit
  • “Recruitment packet” now part of UCRrecruit
  • 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 UCRrecruit

• Standing pool recruitment
  • Multiple hires
  • Unknown or flexible hiring dates
  • More difficult to manage in UCRrecruit: 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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Other contacts

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