Academic Recruitments

Policies, Procedures, and Best Practices

August 31, 2017
Campus Resources

• ACADEMIC PERSONNEL

  • Helly Kwee – Math, Life, & Physical Sciences; Engineering; ORUs; Bren
    x5428    helly.kwee@ucsb.edu

  • Karen Moreno – Social Sciences; Academic Programs; Creative Studies; Educ; HFA
    x5429    karen.moreno@ucsb.edu

  • Joanna Kettmann – Research Series; Project Scientists; Specialists; UCPath
    x5048    joanna.kettmann@ucsb.edu

  • Billy Ko – Post Docs; GSRs; academic student titles; Jr. & Asst. Specialists
    x4441    billy.ko@ucsb.edu

  • Andrea Dittman – PPS for academic employees; intercampus payments; general inquires
    x3445    andrea.dittman@ucsb.edu

  • June Betancourt – Academic recruitment; AP training; general AP policy
    x5728    june.betancourt@ucsb.edu
Campus Resources cont’d

• Equal Opportunity & Discrimination Prevention Office
  Lia Cabello x3294
  lia.cabello@ucsb.edu

  Ricardo Alcaino x4504
  ricardo.alcaino@ucsb.edu

• Academic Affairs Information Technology Helpdesk
  AAIT x2495
  help@aait.ucsb.edu

• Your Division or College Dean analysts
Campus Resources cont’d

• Office of International Students and Scholars

Tanya Plant x2354
tanya.plant@sa.ucsb.edu

Jason Hopkins x2097
jason.Hopkins@sa.ucsb.edu

Kayleen McDonald x5636
kayleen.mcdonald@sa.ucsb.edu

Mavel Marina x6178
mavel.marina@sa.ucsb.edu
Online Resources

Academic Personnel  https://ap.ucsb.edu
• Red Binder – campus Academic Personnel policies and procedures

• Academic Personnel Manual (APM) – system-wide Academic Personnel policies and procedures

• Salary Scales – use UCSB scales

• UC Recruit Training Resources under Resources for Dept Analysts
  How-to Guides for UC Recruit Users
  Guidelines, templates, UCI-hosted user guide, applicant review & management
  NEW! Search Plan worksheet – fillable worksheet

Academic Affairs Information Technology
https://aait.ucsb.edu/projects/recruit/training.resources
Online Resources cont’d

• Equal Opportunity & Discrimination Prevention Office
  • [https://oeosh.ucsb.edu/eodp/](https://oeosh.ucsb.edu/eodp/)

  • OEO Sitemap at [https://oeosh.ucsb.edusitemap/](https://oeosh.ucsb.edusitemap/)

• Schedule a Diversity Briefing – Tori Asato, x2701
Today’s Agenda

• Recruitments
  • Definition, Purpose
  • Compliance
  • Types of Recruitments
  • Titles requiring recruitments

• Pre-Recruitment Activities
  • FTE plan for Senate positions
  • Non-Senate

• UC Recruit overview
Today’s Agenda cont’d

• UC Recruit Overview: Recruitment Plan
  • Search Plan
  • Selection Process; Short List Report
  • Search Report

• Academic Review, Appointment Case

• Post-Recruitment

• Search Waivers (formerly EOR)
Recruitments: Definitions

RB VII-1
Soliciting applications for the purpose of finding and hiring the best candidate for a position or positions
Accountability & Compliance

Federal Government
OFCCP

The purpose of OFCCP is to enforce, for the benefit of job seekers and wage earners, the contractual promise of affirmative action and equal employment opportunity required of those who do business with the Federal government.
CA State Legislature
Proposition 209
California Civil Rights Initiative

› State Constitution amendment

Prohibits discrimination based on race, sex, ethnicity in public employment, contracting, and education.
Titles Requiring Open Recruitment
RB VII-1

• **Permanent titles**
  Senate faculty (ladder faculty, LPSOE, LSOE), Librarians

• **Temporary titles**
  Lecturers, Specialists, Project Scientists, Professional Researchers, Academic Coordinators, Adjuncts (paid), Professor of Practice, sometimes Postdoctoral Scholars*
Exemptions from Open Recruitment
RB VII-1

- Admin positions
- Recall appointments
- Visiting (Prof, Researcher, Proj Sci series)
- Unit 18 Lecturers openly recruited previously within same department
- Student Titles
- Change in series
- Postdoctoral Scholars*
- Without Salary (any title)

* If the PI needs to search in order to fill a postdoctoral scholar position, then an open recruitment must be conducted in accordance with open recruitment procedures.
TRUE or FALSE?

- The funding a PI wishes to use in order to hire a temporary researcher comes from a private source and not from a federally funded grant. The OFCCP guidelines do not apply although Prop 209 must be observed.
Pre-Recruitment Activities

- Annual call for FTE (full time equivalency) Plan
- FTE Plan for Senate Titles
- Campus Consultation

EVC allocates FTEs
Pre-Recruitment Activities

Senate titles

Provision number or identifier
• e.g. PHIL18
• aka “salary control number”

Level
• e.g. Asst, LSOE, etc
• Open (any level)

Approved Area
• e.g. Earth Surface Processes
• can also be open or broad area

Dept(s)
• Single or joint
• Interdisciplinary
  e.g. Quantitative Systems Biology
Pre-Recruitment Activities

Non-Senate titles

- Need and funding based
- Can be initiated by PIs or depts
- No FTE process
  - (no “salary control number” in UC Recruit)
UC Recruit: what is it?

• Web-based tool for academic recruitment and applicant management

• Documentation & reporting features track the outcome of academic searches
  • Official record of recruitment activities; subject to audit

• Helps ensure that the campus meets its requirements as an equal opportunity employer and as a federal contractor

• Continually being updated (every 2 weeks) with new features to meet business needs of UC campuses and UCOP
UC Recruit what is it?

- Used by all ten UC campuses; some variation between the way campuses use the system
- When in “conflict,” local usage policies should be observed
  - e.g. salary control number for Senate searches
- System design both gives flexibility and constrains; the system is not designed to prevent mistakes
  - e.g. adding an FTE to existing search for different FTE
Search Plan

Basic Information & Overview

In a nutshell, the Search Plan involves the following:
1) **VERIFY** that position is authorized
2) **PREPARE** gather information about the search
3) **CREATE** and **CONFIGURE** the Search Plan in UC RECRUIT
4) **SUBMIT** Search Plan for approval and make any corrections as requested by approvers
5) **WAIT** for approval to be completed by all approvers
6) **PUBLISH** recruitment after final approval notification, adjusting the open date if it has passed, and place any advertising as outlined in the Search Plan
Review and approval is required for:

1. Search Plan
2. Shortlist Report
3. Search Report
Review and approval is required for:
1. Search Plan
2. Search Report
Search Plan

Basic Information & Overview cont’d

• Basic Recruitment Information (dates, requirements)
• Availability and Placement Goals
  • Fields of Study Selector Tool
• Advertising and Outreach
• **Qualifications** – must be stated in ad
  • Basic Qualifications – locked with Search Plan approval
  • (1) objective, (2) non-comparative, and (3) relevant to the position
  • Must be met at time of application

• Selection Process
• Committee members
• Disposition Reasons
Search Plan

in UC Recruit: Basic Information & Overview cont’d

• Approved search area for Senate searches
  • e.g. *Fluids* in Mech Eng, *European Theatre* in Theatre & Dance

• Cross-listed: contact AAIT
  • Will appear multiple times on “Apply” page
  • One (“home”) department will manage the recruitment
Search Plan

in UC Recruit: Basic Information & Overview cont’d

• Description = the job advertisement
  • See Red Binder VII-7 Basic Elements of an Advertisement

• All ads should contain JPF number; include EEO tagline and Diversity statement in all outreach

• Recruitment Dates:
  • IRD (initial review date, open until filled)**
  • Open/Closed/Final

• Required and Optional Documents, References
  • Search Plan not easily changed; several items lock down
Search Plan

in UC Recruit: Basic Information & Overview cont’d

• APM 500-16 (c) and 510-16 (c)—senate titles only
  • AAU (Association of American Universities) deadline of April 30
  • UC Intercampus deadline of April 1

• Best Practices:
  • Salary, step; do not list in Search Plan
  • Duration of appointment: allowing a way out (Non-senate)
  • Ad time: setting realistic time frame; minimum of 30 days for Senate, 14 days Non-Senate

• Prevailing wage determination: not too specific & don’t list salary for Senate searches; Position Data Sheet (Senate)
Search Plan

in UC Recruit: Diversity

• Availability Statistics
  • Affirmative Action Plan-AAP (November 1st)
  • Automatically filled based on Fields of Study

• Placement Goals
  • Intended to increase diversity in recruitments, retention, and advancement of Women and Minorities at UCSB
  • Promote balance in the work place
  • Must be selected (check boxes) in the Diversity section
  • Multiple Job Groups requires both sets of placement goals

What if there are no placement goals for position?
The department must still make outreach efforts!
Search Plan

in UC Recruit: Advertisements

- Ad Placement – can be in
  - Publications
  - Journals
  - Websites
    - At least one print ad MAY BE required (Senate)
- JobElephant
- RB VII-7
  - Diversity statement
  - EEO Tagline
- Search and Recruitment Efforts
  - e.g. listservs, conference outreach
What metrics will be used to evaluate applicants?

• Research excellence, particularly in novel or important areas.
• High quality publications in top journals
• Strong reference letters from respected scientists
• PhD from a respected institute/researcher
• Commitment to impactful diversity activities
• Research distinctions and awards
• Potential for teaching excellence
• Ability to establish a first-rate externally-funded research program
What approach will be used to evaluate applicants?

- Each applicant file reviewed by search chair and one other committee member
- Applicants assessed according to how well they meet the criteria for selection
- Each committee member will create a list of top candidates
- Together the committee will review their lists and select a short list of candidates for interview
• Short list candidates contacted for on-campus interviews. Interviews will include a research seminar and a chalk talk given by the candidate, as well as meetings with faculty and dean.

• Dept faculty asked for feedback on the candidates.

• Search Committee meets to discuss and rank interviewees; prepares hiring recommendation to present to the faculty.

• Faculty meet to discuss recommendation and a vote is opened to approve a proposed offer to the top candidate.
Search Plan

in UC Recruit: Committee

• **Search Committee:**
  - 3-5 members (usually tenured professors for Senate positions)
  - May include faculty from other departments, Assistant Professors, or Graduate Students
  - Selection follows department procedure
  - Chair, Departmental Equity Advisor (Faculty Editor), Reviewers
  - Whenever possible, diverse membership
  - Have viewing rights to complete applications, can comment and flag applicants

• **Additional Access**
  - Any additional individuals who need to see applications
Search Plan

in UC Recruit: Committee

• Committee Chair:
  Separate from Department Chair and Equity Advisor

  • Establishes ground rules
  • Leads committee through all stages of recruitment
    • Advertisement
    • Strategies for advertising
    • Evaluation criteria
    • Monitors file review
    • Leads in voting process
    • Liaison to Department Chair/Unit Director
    • Puts selected candidate forward

  • Evaluates the search at the end of recruitment
  • Can be listed as point of contact
Search Plan

in UC Recruit: Committee

• Equity Advisor:
  AKA Diversity or Equal Opportunity Representative
  • Provides advice to the committee and hiring authority (Control Point)
  • Reviews department search plan, demographic diversity of the availability pool, the applicant pool, the candidates selected for interviews, and the faculty in the academic unit.
  • Ensures good faith efforts are carried out
  • Ensures each applicant is treated equally during the review, interviewing and hiring process
  • Part of the core committee, i.e. has voting rights
  • Temp work-around: identified via “Editor” designation

• May not be a staff member

• Toolkit at https://oeosh.ucsb.edu
Search Plan: Disposition Reasons

• Setting up disposition reasons:
  • Standard Choices
    • Custom (up to 5) options can be entered
      • Don’t get too creative
    • Can be suppressed on a per-recruitment basis
      • e.g. no clinical experience
  • Required for all applicants who
    • Have complete applications
    • Applied within the review window
    • Have not withdrawn
Search Plan: Approval

**SUBMIT the SEARCH PLAN**

- Submit to initiate Search Plan review and approval
  - review approval workflow
  - complete missing parts
  - approvers may suggest changes
    - the system does not notify approvers automatically when you have made a requested update.

*Once fully approved*, you will receive an automated system notification.

Adjust open date if needed,* publish ads, and post to jobs board.
Applications Collected!!

*TWO STAGES* of applicant review may begin once IRD or Close Date has passed.

- **Basic** Qualifications are assessed by examining application materials alone.

- **Additional & Preferred** Qualifications are more substantive.
UC Recruit: Applicant Management

BASIC QUALIFICATIONS – the initial sort

Review (a.k.a the initial sort) starts with determining which applicants are QUALIFIED

- Completed Application on time
- Meets Basic Qualification

Qualified
Applicant review (cont’d):

- **Basic** are assessed by examining application materials alone
  - Can be ongoing, periodic determination
  - Can be done by Analyst, Committee Chair or Faculty Editor (Equity Advisor)
  - Only complete applications should be reviewed

- **Additional & Preferred Qualifications** are more substantive
  - Assessed after Basic is evaluated, e.g. the Qualified group

- Notes/comments may be entered in system but be careful
UC Recruit: Applicant Management

Applicant review (cont’d):

• Applicant Pool Report (often not used)
  • Best practice: review prior to Review/Final date
  • Extend the search if pool not diverse enough (IRD only)

• Shortlist Report (formal use in Senate searches)
  • Applicant Status
  • Update when appropriate
UC Recruit: Applicant Management

- Candidate visits/interviews

- Equal access
- Confidentiality
- Equal treatment
- Interviews
- Evaluation
- Multiple Reviewers

Proposed candidate

- Selection process followed for each candidate
UC Recruit: Applicant Management

• Applicant Management: other considerations

  • Long shortlist—conference/skype interviews
  • Requesting letters of reference (if Contacts Only provided)
  • Non-Senate temporary titles:
    • No formal shortlist process
    • Change status to “Recommend for Interview”
    • Proceed with interviews
Applicant review

• Applicant Statuses

**Complete:** Required documentation has been submitted (or applicant has been manually completed)

**Serious consideration:** Applicant should be considered for the shortlist *(long shortlist)*

**Recommend for interview:** Applicant recommended for interview *(shortlist)*

**Interviewed:** Applicant has been interviewed

**Soft Offer Extended:** A verbal or informal offer has been made to the applicant, even if it lacked some offer details

**Declined Soft Offer:** The applicant declined a verbal or informal offer based on the details they were given
Applicant review
• Applicant Statuses (cont’d):

Proposed candidate: Applicant recommended for appointment (Search Report)

Offered: Approvals have been obtained and a formal offer has been made to the applicant

Accepted offer: Approvals have been obtained and a formal offer has been accepted by the applicant

Declined offer: Approvals have been obtained and a formal offer has been declined by the applicant

Hired: Applicant entered in payroll system in searched title

Withdrawn: Applicant has withdrawn themselves from consideration

Campus declined to make offer: Campus has declined to make a formal offer of employment to proposed candidate
Short List Report

in UC Recruit: Basic Information & Overview cont’d

- Update to Recruitment Plan
- Status changes: **Recommend for Interview**
- Short List Report generated in UC Recruit and submitted for approval
- Candidates may then be invited w/Short List approval

**Formal Request to Interview Candidates (Senate only)**
The primary consideration date in a faculty position search is Nov 1\textsuperscript{st}. The search opened on UC Recruit Sept 1\textsuperscript{st}. So far, Nov 1\textsuperscript{st} is the only review date set in the system.

The short list report is finalized and submitted for approval on Nov 15\textsuperscript{th}. Those applicants who are identified as “Recommended for Interview” applied between Sept 1\textsuperscript{st} and Nov 1\textsuperscript{st}.
Search Report in UC Recruit

Formal Request to Propose candidate(s) for hire

• Documents the outcome of the search
• Identifies the selected candidate(s)
• Status changes: Selected candidate(s)
• Disposition reasons for those who interviewed but were not selected
• Updates to the search fields, e.g. Actual Search Efforts
• Search report is generated in UC Recruit and submitted for approval

• USE the SEARCH REPORT CHECKLIST on the Training Resources page
Be careful with...

• Search Reports, esp. in Pooled Searches
  LIVE UPDATING
  one at a time unless multiple hire

• Best Practice: Do not make changes as Search Report is being reviewed/approved unless asked
Academic Review Case processing

Once Search Report approved!

- Approval Authority—RB
- Academic review and approval
- Step, salary, start-up commitment for Senate titles
- Checklists—RB
- Additional letters, if required for the level of appointment
- Existing Letters follow-up
- Offer and acceptance vs appointment decision/notification
- Status change: Offered, Accepted Offer, Declined Offer, Hired, etc.
Recruitments: Final Actions

• Courtesy notices
• Update applicant statuses, e.g. Declined offer, Hired (once working on campus and has an employee ID), then Conclude recruitment
Dept sends waiver request to OEOSH

- EEO Recommendation memo

Dean or AVC

- Approves or denies search waiver

Dept prepares appt

- If approved; if not, open search must be conducted
## Senate title categories

<table>
<thead>
<tr>
<th>Partner Hire</th>
<th>Exceptional opportunity</th>
<th>President’s Postdoctoral Fellowship</th>
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### Dept sends waiver request to EVC via Dean
- Category
- Vote
- Discussion
- Exceptional Opportunity justification

### Campus consultation (OEO, CPB, CAP)
- EVC Approves or denies search waiver

### Dept prepares appt
- If approved; if not, open search must be conducted
Recruitment Process
Open Recruitment

Pre-recruitment activities
Recruitment via UC Recruit
AP Folio (most titles)

hiring approval + candidate accepts
HIRED
Search Waiver Process

Pre-recruitment activities include search waiver review/approval in UC Recruit

AP Folio (most titles)

Hiring approval + candidate accepts

HIRED
Your department needs to find a Unit 18 pre-six lecturer to teach Engineering Ethics 101. A faculty member tells you about a candidate who holds a degree in engineering, as well as teaching experience at Cal Poly in the very course for which you’re recruiting.

You have seen this candidate’s excellent course evaluations (they were provided to you directly by the candidate), and she’s a perfect fit for the position. You can use the exceptional opportunity category to justify the search waiver request.
QUESTIONS?

Academic Affairs Information Technology Helpdesk
AAIT
X2495 or help@aait.ucsb.edu