

CPB Guidance on Search Waivers August 2020

UCSB has an elaborate process for planning academic hiring. It starts with departmental discussions that lead to requests for permanent faculty lines, which are reviewed by deans, who make recommendations to the EVC, who makes the final decision. As part of this process, CPB reviews the departmental and decanal priorities and makes recommendations of its own. For CPB, the process of analyzing and making recommendations for regular FTE allocations takes four to six weeks of analysis.

Each year, departments and deans also make a number of requests for hires in addition to their existing allocations and outside of this planning process. Some of these are requests to make second offers in a concluded search, and thus emerge directly from an approved academic plan; others are requests for search waivers that form at least partial exceptions to the existing departmental or divisional plan. Waiver requests are often numerous; in 2019-20, they added 19 potential hires on top of 28 new allocations.

While acknowledging the special circumstances involved in requests for additional hires and waivers, CPB would like to ensure that departments and deans explicitly link such cases to their existing academic planning process, and that the integrity of academic planning be sustained. We have thus articulated planning questions that clarify and elaborate the Red Binder's requirement for such exceptions, namely, that there be "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" ([VII-1-III-B](#)). CPB's purview consists of the 2nd and 3rd of these questions. To address them, we plan to ask a series of questions of future requests for exceptions to authorized searches.

1. Does the department enthusiastically support the proposed hire as a waiver? Is there evidence from the vote and from the chair's comments about the candidate's scholarship? (If the answers are "no," consideration of the request stops here.)
2. What is the key argument as to why the department should be allowed to go outside of the standard resource allocation process? The Red Binder allows the categories of exceptional scholar, President's Postdoctoral Fellowship Recipient, and partner hire ([VII-1-III-B](#))
3. Does the department identify an FTE source for the appointment that is either a currently authorized search that this request upgrade, or a pre-authorized position for a future search year?
4. If the department does not have an authorized search, does the dean commit an identifiable FTE to the department's request? (If the answers to both (3) and (4) are "no," consideration of the request stops at this point.)
5. Does the requested faculty position
 - A. add to an established, acknowledged departmental strength in a national or international context,
 - B. address an important diversity objective?
 - C. fill a curricular or research gap at a high level of quality?
 - D. start a new, important, promising, and/or original area where the department has a real shot at near-future distinction?
6. If at least one of the subquestions in (5) cannot be answered strongly in the affirmative, will the position created by the newly-authorized search be part of a multi-departmental initiative, one that has
 - A. received formal support from a dean or deans
 - B. already been under development and has some documented interdepartmental plan
 - C. a real chance at future distinction, both because of the exceptional personnel involved and the research agenda?
 - D. Commitment of campus financial resources over a period of years to put this initiative on the map? (CPB is most likely to approve exceptions justified by (6) if the answer to all four questions be "yes.")

CPB requests that this protocol for reviewing exceptions to authorized searches be conveyed to deans and departments. Council also believes that these questions could usefully inform regular departmental planning processes.