

Spousal/Partner Waiver of Open Recruitment Requests: Guidelines for Review
Senate Committee on Planning and Budget (CPB)
August 2018

The Committee on Planning and Budget (CPB) reviews Spousal/Partner waiver of open recruitment requests. Waivers of open recruitment are “meant to provide an exceptional hiring strategy for academic units to pursue or retain extraordinary faculty, where it is clear that such faculty would improve the overall excellence of UCSC, while at the same time meeting a high priority in the department or division” (CAPM 101.000 policy).¹ Waivers of open recruitment are and should remain infrequent, and use of the campus waiver policy should not circumvent open recruitment processes.

This document is intended to clarify how CPB evaluates Spousal/Partner waiver of open recruitment proposals. CPB guidelines for review reflect campus policy (see CAPM 101.000). Given that Spousal/Partner waiver proposals reviewed by CPB have varied considerably in scope and quality, **we have developed these guidelines to encourage proposals to consistently address the requirements as outlined in campus policy and to clarify the committee’s review process.**

To a greater extent than some other evaluators, CPB is concerned with the implications for hiring plans already in place, for future hiring plans, and with resource costs. Thus, it is important to us to understand the impact on the department if the recruitment/retention is not successful. Policy dictates that the spousal/partner candidate meets the qualifications and requirements for UCSC appointment. The combined information will help CPB see the impacts of the primary and partner hires on planning.

Qualification for Appointment at UCSC

As required by policy, the proposal must make clear how the proposed Spousal/Partner hire would benefit the receiving/hiring department or division *and* the campus as a whole. A Spousal/Partner candidate must meet the qualifications for appointment at UCSC. Departmental or dean’s letters must provide evidence of this person’s qualifications and include a discussion of the diversity contributions or potential contributions (in research/creative work, teaching, and/or service) of the candidate.

Justification of a Waiver of Open Recruitment

The request must explain the need for a waiver of open recruitment. Did the need arise because of a new appointment or a retention case?

Departmental and Divisional Consultation²

All Spousal/Partner requests must be approved by the hiring department. CPB recommends that a vote on the waiver request be taken, in which case it should be shared with CPB. This vote is not to be confused with the eventual Bylaw 55 vote on the appointment, if the waiver is approved.

Complete proposals will address CAPM 101.00, Section C.1.b:

In Spousal/Domestic Partner hire cases, if the recruitment or retention issue is within the division but in a department other than the hiring department, the dean, after consultation with the department trying to recruit or retain a faculty member, shall also include an assessment of the impact on that department if the recruitment or retention is not successful. When a spouse/partner proposed hire is in a division other than the one trying to recruit or retain a faculty member, the proposal requires contributions from both deans. The hiring dean (the dean who will gain the spouse/domestic partner)

¹ See UCSC policy on Waivers of Open Recruitment for Senate Faculty positions:
<http://apo.ucsc.edu/policy/capm/101.000.html>

² All references to divisions should be interpreted to include both academic divisions and schools

will provide the assessment described in C.1.a., above; whereas the dean handling the recruitment or retention case will address the points outlined in section B.2.a. of this policy. Each of the dean's assessments must outline the financial obligations his/her division will commit to the proposed new hire.

If the proposed appointment is to be a divisional appointment, the assessments called for in CAPM 101.000 Section C.1.a apply at the divisional level and must include a discussion how the hire fits within divisional plans. CPB is particularly concerned with divisional appointments at the Assistant Professor rank. In such cases, the dean's letter must clearly explain how adequate mentoring of the individual will be ensured, verify there are tenured faculty with sufficient expertise to conduct personnel reviews of the proposed candidate, and discuss whether the hire is part of a plan to eventually form a new department.

Impact on Existing Plans

The purview of CPB includes academic planning as well as budget. Both the dean and department chair must discuss the way the hire fits within the scope of existing plans. This is extremely important for the assessment by CPB. Does it meet the criteria of a recruitment already listed in divisional plans? Of course, a shift in priorities may well be warranted to seize unexpected opportunities. However, emphasizing one priority area necessitates de-emphasizing other previous priorities, and that trade-off must be discussed. It is critical that requests articulate how preexisting plans will be affected, so that CPB can understand and evaluate what the opportunity costs of such decisions would be; that is, given the current environment of limited resources, what previously articulated priorities would be sacrificed in pursuit of unexpected opportunities presented by the Spousal/Partner hire? Regardless of how plans are affected, the impact on future hiring plans must be explained.

Including the candidate's CV and two or three sample publications (as required by CAPM 101.000) in the package is essential, as it will help CPB better understand the arguments made in favor of the hire. For proposals in the Lecturer SOE series, include evaluations and course materials and commentary on the candidate's overall teaching effectiveness as specified by CAPM 101.000.

Resource Implications

Which budgeted FTE provision (or equivalent funds) is to be used for the proposed hire and startup package? What, if anything, would be foregone by allocating the FTE for this Spousal/Partner waiver as opposed to an open recruitment? To the extent that the Spousal/Partner hire alters existing plans, the resources released or (more likely) encumbered must be identified.

Diversity

Does the Spousal/Partner hire have special contributions to make to bolster diversity? For CPB, the potential to contribute to diversity in research/creative work, teaching, and/or service might be a criterion that would bolster the case for a waiver of recruitment to facilitate a Spousal/Partner hire.