

## **Faculty Retention Offer Guidelines**

### ***Office of the Provost***

This document sets forth guidelines for faculty retention offers at CU Boulder, including principles, salary and resource considerations, approval processes, and data collection. These guidelines have been developed by the Academic Affairs Budget Advisory Committee, which is a shared governance committee that includes faculty representatives from each school/college, the Boulder Faculty Assembly Budget and Planning Committee chair, and student representatives. School/college deans and leaders from the Office of Faculty Affairs and the Department of Human Resources have also contributed to these guidelines.

## **I. Principles**

The retention of exceptional faculty is vital to the University of Colorado Boulder's ability to fulfill its mission as a comprehensive public teaching and research institution. In recognition of a faculty member's outstanding accomplishments in teaching, research/creative work, and service, schools and colleges may extend a retention offer to an exceptional faculty member. Compensation is often the primary element of the final retention package, but the package may also include other components that require resources.

As with all pay, retention raises must comply with the State of Colorado's Equal Pay for Equal Work Act (C.R.S. § 8-5-101, et.seq.). Pay differences for substantially similar work may result from education, training, and experience; seniority systems; merit raise systems; and the quantity and quality of production. Wage history is not an allowable justification for pay differences for substantially similar work.

Like other salary adjustments, retention raises can be a means of maintaining compliance with the Equal Pay for Equal Work Act.

## **II. Initiation, review, and approval of retention offers**

- A. Retention discussions typically originate at the primary academic unit level, with discussion between the faculty member and supervising administrator. Any of the following events might lead to a retention offer:
  - 1. Faculty member receives a verbal or written offer of a position at another institution
  - 2. Faculty member is one of multiple finalists for a position at another institution
  - 3. Faculty member is invited to interview for a position at another institution
  - 4. Faculty member receives specific (not mass email) invitation to apply for a position at another institution
  - 5. Faculty member is actively searching for a position at another institution
  - 6. Faculty member is at risk of being recruited away by another institution.
- B. It is the responsibility of the supervising administrator to obtain written documentation from the faculty member of the applicable event(s) in II.A.1-5.
- C. After discussion with the faculty member, the supervising administrator notifies the dean and, for II.A.1-5, includes written documentation. It is at the discretion of the dean, taking into consideration the factors in section III below, whether to explore a retention

offer for the faculty member. The dean will also consider the unit's support for a retention offer and will direct the primary academic unit to follow its normal procedures to assess this support. These procedures, which vary from unit to unit, should be in writing and may include votes or recommendations by units' faculty governance bodies, such as the Executive Committee, Salary Committee, and/or the faculty.

D. If the dean elects to explore a retention offer, the dean will consult with the Provost, again taking into consideration the factors in section III below. The Office of Faculty Affairs may serve in a consultative capacity.

E. If the dean and Provost agree to offer a retention package, an offer letter will be generated using the template in Appendix A. All retention offer letters must be approved and signed by the dean and concurred and signed by the supervising administrator and the Provost, with the Associate Vice Chancellor for Faculty Affairs copied.

### **III. Retention offer factors**

Factors to consider in evaluating whether to extend a retention offer and in determining the specifics of the offer include the following:

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**A. School/College considerations (listed in no particular order):**

1. Does the retention offer stem from one of the actions listed in section II.A.1-6 above and, for II.A.1-5, has relevant documentation been provided?
2. What aspects of the faculty member's productivity in research and creative work, teaching, and service merit a retention offer?
3. Has the faculty member been a strong and positive contributor to the primary unit in research and creative work, teaching, and leadership and service?
4. What metrics does the primary unit use to gauge productivity and impact in research and creative work compared to others in the field?
5. How do the faculty member's experiences contribute to diversity, equity, and inclusion?
6. Has the primary unit experienced high turnover in tenure-track/tenured faculty?
7. Has the faculty member previously received and accepted a retention offer while at CU Boulder? If so, how recently, and what were the terms of that offer?
8. How would the departure of the faculty member affect the ratio of pre-tenured to tenured faculty in the primary unit?
9. Has the Academic Review and Planning Advisory Committee (ARPAC) recommended expansion or contraction of the primary unit's tenure-track/tenured faculty size?
10. What is the replacement cost, including startup costs and related funds, for the faculty member if the line were to be vacated and a search for a replacement authorized?

**B. Salary considerations (listed in no particular order):**

1. How does the faculty member's current salary compare to other faculty members in the primary unit performing substantially similar work in the same discipline and rank, taking into account that pay differences for substantially similar work may result from education, training, and experience; seniority systems; merit raise systems; and the quantity and quality of production, but not wage history?

2. Would the proposed retention raise mitigate or increase compression or salary inequities in the primary unit for faculty performing substantially similar work in the same discipline and rank, again taking into account that pay differences may result from education, training, and experience; seniority systems; merit raise systems; and the quantity and quality of production, but not wage history?

C. Resource considerations:

1. What are the requested resource needs for the retention package (faculty salary & benefits increase, research or other funding, space, other lines, etc.)?
2. Who (primary unit, school/college, Office of the Provost, etc.) will be responsible for providing resources toward the retention package, and over what time frame? With only rare exceptions, it is expected that all levels (primary unit, school/college, campus administration) will contribute resources.

#### **IV. Data collection**

In collaboration with the Office of Data Analytics, the Office of Faculty Affairs (OFA) oversees the collection and maintenance of data pertaining to faculty resignations and retention offers for the Division of Academic Affairs. (See Appendix B.) This includes the following items and considerations:

- A. A copy of each retention sheet and offer letter, regardless of whether the faculty member accepted or declined the offer, is placed in the faculty member's personnel file, entered into the campus Faculty Information System database, and stored in campus faculty personnel files.
- B. In an effort to have accurate campus data to guide faculty retention policies and programs, OFA maintains records pertaining to faculty resignations and retentions. These include information about competing institutions and faculty member reasons for leaving or staying; number of retention packages accepted, declined, or not offered; number of preemptive retention offers; and components of external institutions' offers as compared to CU Boulder's offers.
- C. For the purpose of data collection, retention offers that result from events in II.A.2-6 above are considered "preemptive" retention offers.

#### **APPENDIX A – Current Faculty Affairs Retention Offer Letter Template**

N.B. This template is to be used for retention packages that respond to an outside offer. If you are making a preemptive offer, please omit the unnecessary information.

[Date]

[Candidate name and address]

Dear [Insert Name]

As a result of your outstanding service and our recognition of your highly-valued accomplishments and future potential, the [Insert Name of Department and the College/School Here] and the University of

Colorado Boulder are pleased to offer a package to enhance your career at CU. We hope that you will choose to remain at the University of Colorado Boulder, and that you will provide leadership to the department, [Insert Name of College/School] and campus for years to come.

The details of the package are as follows [Insert Terms Below]:

1. Salary increase? Please indicate whether the increase amount is in addition to any increase awarded as part of the annual merit review process. For example, "You will be provided with a X salary increase on July 1 during each of the next Y years, in addition to an increase from the regular merit pool."
2. Funding for research (and where it will come from, with specific percentages and/or dollar amounts and time frame; could be from Provost, College/School, Dept./Division, etc.)?
3. Student support?
4. Course release?
5. Promotion review?
6. Space needs?
7. Anything else?

This offer is contingent upon your commitment to remain a member of the faculty of the University of Colorado Boulder by rejection of the offer from [Insert Name of Institution Making External Offer].

In accepting this offer, you agree not to pursue another retention request from the University of Colorado Boulder for four years from the date of this letter.

Please indicate your willingness to accept the terms of this offer by signing below and returning this signed original to the Dean's Office of the [College/School] by [Insert Date]. We look forward to our collaboration in continuing to enhance the University of Colorado Boulder and the [Insert Name of College/School Here].

Sincerely,

Signature of Dean

Concurred by:

Signature of Dept./Division Chair

Signature of Russell Moore

Provost and Executive Vice Chancellor for Academic Affairs

I accept this offer of retention and will decline the offer at [Insert Name of Institution Making External Offer].

Signature of [Candidate name]

Date

I decline this offer. My last day of employment will be [Last Date of Employment].

Signature  
name]

of

Date

[Candidate

**APPENDIX B – Current Faculty Affairs Data Collection on Faculty Retention Offers:**

**Faculty Retention Information Sheet – Boulder Campus**

To be filled out by department chair for all known external offers and/or retention events for faculty. Please route with attached retention letter if applicable. If no retention offer to be made, this information sheet is still required.

**Faculty Name:**

**Department:**

Competing Institution(s): \_\_\_\_\_

Retention offer was: \_\_\_\_\_Successful \_\_\_\_\_Failed \_\_\_\_\_Not Offered

Was this a preemptive retention attempt? (yes/no) \_\_\_\_\_

**Check all that apply in the table below.**

Item	External Offer Includes	CU Boulder Retention Offer Includes
1. Salary		
2. Research Support		
3. Extra Funding		
4. Better HR Benefits		
5. More Prestigious Position		
6. Endowment Offered		

7. Dual Career Hire		
8. Tuition Assistance for Dependents		
9. Housing Assistance		
10. Personal Reasons		
11. Other (please list details if known)		

Signature: Department Chair or Dean/Date

Received by Dean's Office: \_\_\_\_\_Initials \_\_\_\_\_Date

Received by Faculty Affairs: \_\_\_\_\_Initials \_\_\_\_\_Date