

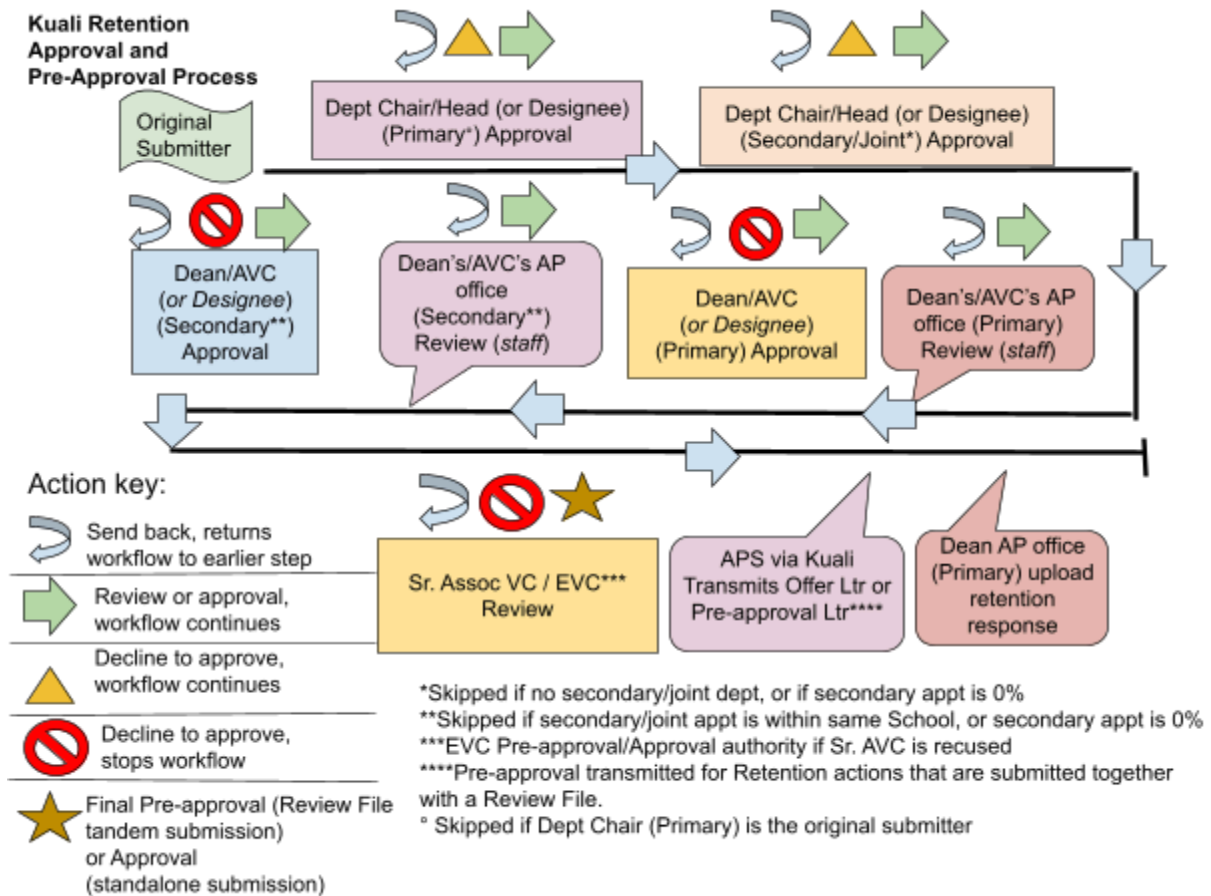
Kuali Retention Form - [Kuali Form link](#), [Kuali Build](#)

**This form Guideline and EDM is a work in progress. Be sure to check back regularly for updates/improvements to the submission process/workflow, new questions, and answer clarifications! New* [FAQ link](#)
(Last updated on 2/19/2025)*

Topics:

- [Kuali Retention Workflow](#)
- [Original Submitter's Guide](#)
- [Dean AP Reviewer's Guide](#)
- [Retention Analysis Guidelines](#)
- [APM 620 and Pre-Emptive Retention Guidelines](#)

Workflow



Original Submitter's Process

- **Basic Candidate Information**

- Search for candidate's name
- Enter School (Primary)
 - Enter Home Department
- Answer Yes/No to if the candidate has a joint appointment with a secondary appointment % greater than 0%. (If Prof/Prof in Res in the same Dept, select No)
 -
 - If Yes, Answer Yes/No to if the joint appointment is in a different school.
 - Answer Yes/No to if 2nd appointment is at SIO
 - Enter the Secondary School, if applicable
 - Enter the Secondary Department
- Enter Hire Date
- Select Title(s), more than one can be selected
- Enter Rank
 - Enter Other Rank if applicable
- Enter current Step
 - If n/a enter "n/a"
- Answer Yes/No to if this Retention is being submitted together with an Academic Review Action (via Interfolio)
 - If Yes, the final action on this Kualiti Retention will be a "pre-approval" to continue with the Retention proposal in tandem with the Review Action. CAP will then review both the Review Action and the Retention together.
- Enter Next Review Date
- Select Next Review Action
 - If not known, select To Be Determined
 - If the review action is not in the dropdown list, select Other and enter manually.
 - Next Review Action: feel free to enter specific information on the next review action, if applicable
- Enter Date of most recent retention
- Select type of retention: pre-emptive or full
 - If pre-emptive, select Yes/No to whether this is an administrative retention
 - Review whether the required time period has elapsed.
- Enter Non-Salary Resource information

- **Approver Routing**

- Indicate whether an approver will need to be recused and/or an alternate approver will be utilized
 - N/A will be used if a recused approver is needed at one School but not the other.
- If yes, indicate what approver in primary and/or secondary areas
- Enter approver's name in search fields provided

- You will see all selections in the Dean/Chair Automated Routing section below
- **Current Salary**
 - Enter Current Salary and associated components in the table provided
 - For any components that are not used, write 0
 - Total calculates automatically
 - Answer Yes/No to question if CMSI at UCSD was received.
 - Enter last CMSI date, if applicable
 - If there is a review pending, write Yes/No, the next review will populate automatically based on a previously entered selection for “next review action.”
 - If there is an upcoming review, enter the proposed salary in that review action.
 - If a field does not apply, leave it blank
- **Dept Proposed Salary Table**
 - Enter all salary components. Enter 0 or leave blank if any component is not used.
 - Respond Yes/No to if the proposed total salary will exceed the currently posted ICL threshold for the appointee’s title. Link: https://www.ucop.edu/academic-personnel-programs/_files/documents/salary-thresholds.pdf
 - Be mindful of B/E/E, AY and FY scale types.
- **Details of Potential Outside Offer**
 - Enter name of Competing Institution
 - Enter Salary Discussed
 - If unknown, leave blank
 - Salary basis, AY or FY
 - Indicate if salary is denominated in foreign currency
 - If Yes, then upload documentation showing foreign currency conversion based on the date of the offer letter.
 - Rank Discussed
 - Enter Proposed Start Date, if unknown leave blank
 - Enter Market Factors Analysis
 - Upload Evidence of Outside Interest
 - If a field does not apply, leave it blank
- **Internal Salary Analysis (Primary)**
 - Enter name/step/base salary and O/S increment
 - You can add more rows if you wish to add more names

This field is only visible to the Primary Department, Primary Dean, and the EVC

- **Required Documents**

- Upload up-to-date BioBib
- Market factors, Dept Chair Ltr
 - See [Retention Analysis Guidelines](#) below
- After the Dept Chair has reviewed the submission, the form will move to the Dean's office for review
 - If the appointee has a joint appointment, the AP Staff at the secondary department/School (as needed) will need to upload their own Dept Ltr/Dean Ltr

If complete, click Submit. The Department Chair(s) will then receive the form for their approval after the original submitter completes the form.

If the appointee has a secondary department, the secondary department chair approver will receive the form before the Primary Dean AP office.

Dean AP Reviewer Guide

- **Verify candidate information is accurate**
- **Verify Required Documents are provided**
- **Work with Dean/AVC to provide Dean Recommendation/Endorsement letter**
- **Confirm Dean Proposed Salary**
 - If not the same as Dept, mark "No" to Same as Dept Proposed Salary
 - Enter values as needed
 - Enter Current Salary (Base)
 - Enter Market Off-Scale amount
 - If none, write 0
 - Enter Bonus Off-Scale amount
 - If none, write 0
 - Enter GCCP Salary
 - If none, write 0
 - Enter Summer Salary
 - If none, write 0
 - Total calculates automatically
- **Confirm Department Comparison of Colleagues is accurate**
- If the Dean AP office would like to upload a Dean recommendation letter before routing the Quali form to the Dean (eg Dean AP worked closely with Dean and have the letter ready, Dean will just sign off), the Dean AP officer can upload here, saying "Yes" to the question "Primary Dean AP Office uploads Dean Recommendation Letter."
 - If Yes, the Dean can replace the uploaded file when the form is at their approval step if changes are needed to the Dean recommendation letter.
 - If No, the required upload will be hidden. Then the form will route to the Dean and the Dean will be able to upload their recommendation letter in a separate box.

- If No was initially selected and the Dean wishes to return the form to the Dean AP office for any reason, the Dean AP office can then change the answer to “Yes” if Dean AP will now upload the letter on behalf of the Dean.
- This process repeats if a secondary Dean AP office is involved.

PRIMARY DEAN AP LETTER UPLOAD

Primary Dean AP Office uploads Dean Recommendation Letter? *	Dean Letter * ?
<input type="radio"/> Yes	<input type="button" value="Select a File"/>
<input type="radio"/> No	

- If Complete, click Submit. The Dean/AVC will then receive the form after you submit

If the appointee has a secondary School for their secondary appointment, the Dean AP of the Secondary School will receive the form before the Second School's Dean.

Retention Analysis Guidelines

Retentions/Pre-Emptive Submissions

WRITTEN ANALYSIS

The analysis should address three primary areas of consideration as outlined in the questions below. Specifically it is important to understand:

1. the scholarly contributions of the faculty member;
2. the value s/he brings to the campus community;
3. the potential damage to the University's programs or national/international standing should that faculty member depart; and,
4. your best judgment about the real likelihood that the faculty member in question will leave if given an opportunity to do so.

*Note: The questions below are meant to stimulate thinking so that the issues of quality, value, and threat are fully explored and the strongest case made. A question-by-question response is **not** required.*

Record and Achievement

1. How outstanding and exceptional are the research, teaching, and mentoring records of the individual?
2. How broadly does the faculty member's research program influence other research on campus (e.g., collaborations, interdisciplinary, and multidisciplinary research)?
3. How do the teaching, research, professional and public service contributions of the faculty member promote diversity and equal opportunity on campus?
4. If the individual is currently at Professor, Step VIII or IX, can a strong case be made for advancement to Above Scale?
5. In fields in which outside funding for successful research programs is the norm, does the individual bring to the campus enough research funding to support his/her research program?
6. As a measure of the faculty member's excellence, what has been the pattern of accelerated advancements?

Future Potential and Estimate of Loss

1. What is the value or contribution of the faculty member's field to UC San Diego's mission and strength? If the faculty member resigned from San Diego, would the field be replaced? Is the faculty member the only person who does this research or possesses this expertise on the campus?
2. Is the individual being recruited or retained so valuable to the campus that she or he is worth two or more junior faculty?
3. Will the loss of the faculty member adversely impact the national or international standing of the unit?

4. What would be the impact of the individual's loss to the department(s) and the campus with respect to the attraction of graduate students, and recruitment/retention of other faculty in the research area? If the faculty member resigns, will others leave?
5. What is the faculty member's future potential in research? In teaching? In campus leadership? Is his/her accomplishment and impact over the most recent review cycle indicative of his/her future performance in each of these areas, i.e., there has been a change in research direction or the potential for new findings?
6. In the areas of teaching, research, and service, does the candidate meet the standards of "collegiality" as referenced in the APM and the AAUP Statement of Ethics?

Analysis of Competing Offer

Provide information about the outside offer or external recruitment efforts that are of concern including competing institution, salary and rank being offered, details of offer (i.e. non-salary recruitment components), status of offer (i.e. formal, anticipated, deadline for response), other important related information.

1. Would the salary offered in response to the competing offer create equity problems within the department?
2. Is the offer from a peer institution? If it is not a peer institution, is it a peer department (explain)?
3. Is the offer an administrative position (and thus perhaps a "career change") and does the salary offer include a stipend or the equivalent for the administrative function? If so, provide a breakdown of the salary components, if possible.
4. What is the nature of the offer: tenure vs. non-tenure, indefinite or term, fiscal vs. academic year? If a conversion from fiscal year to academic year is needed, the UC standard for converting from FY to AY is 86% of salary (multiply the FY salary by .86 to get the AY equivalent).
5. Is the offer from a foreign institution? If so, explain how the requested UCSD salary was derived (including the conversion rate and any other factors considered).
6. If there is a current outside offer, is this the first outside offer? If not, how many has this faculty member brought forward? What previous retention efforts (give years and details) have been put forth on behalf of the candidate? If this is not the first retention, is there reason to believe a responsive salary increase at this time will be the last?
7. Discuss any spousal or partner considerations. For example, will the loss of the faculty member mean the loss of a faculty member in another department/program/school?
8. If this is a pre-emptive retention, what factors lead you to believe this faculty member is at risk for being recruited away from UC San Diego?

PROPOSAL FOR PREEMPTIVE OR COUNTER OFFER

1. Provide specific details about a retention related proposed UCSD academic review, if any. (Note: if a step increase or advancement is proposed, it must be justified by the academic record and not the outside offer.)
2. Specify the proposed market-off scale salary increase and/or review action (step increase, promotion, etc.),
3. Provide justification for the market off-scale salary (e.g., an outside offer letter) and proposed step increase/advancement.

Non Salary Resources

1. Provide specific details about the proposed Non Salary – Research support proposed. Identify specific parts of the offer that would not be appropriate to be considered in a UCSD match, e.g. moving allowance.
2. Provide specific details about the proposed Non Salary – Housing and other personal items proposed.
3. If housing is an issue, discuss the specific proposal. Recognizing that an MOP loan or faculty recruitment allowance will require exceptional approval, explain the special circumstances that warrant consideration of the specific exception required.
4. Describe any spousal/partner proposal.

APM 620 and Pre-Emptive Retention Guidelines

- Link to policy: https://ucop.edu/academic-personnel-programs/_files/apm/apm-620.pdf

A market off-scale (MOS) increase should be used when a faculty member is in discussion with another institution. Approval of the new MOS requires some evidence of a potential outside

offer. Evidence may include a description of outside interest by the department chair or dean, or email or other written correspondence from the outside institution(s) expressing interest in or intent to make an offer to the UCSD faculty member. Consistent with other UC campuses, this will provide another mechanism to accommodate market issues without recourse to written external offers and encourage a limited number of cases for pre-emptive retention of stellar faculty

Departments or deans should not propose a pre-emptive MOS for existing faculty without prior consultation with the EVC. MOS increases intended to preempt written outside offers will be capped at \$30,000 except in rare and compelling cases.

These cases will be reviewed by CAP and CAP commits to conducting expedited review for such cases.

Change log

- Cleaned up and resolved error for alternate chair/dean (primary and secondary) not receiving notification of approval as expected. 1/13/2025
- Updated instructions and flow chart to show additional questions and distinguishing between "pre-approval" and "approval" in scenarios when Review Actions are submitted in tandem with Retention requests. 2/19/2025
- Updated process to allow for option for either scenario of whether the Dean AP office will upload the Dean Recommendation letter before the Dean receives the Kualu form. If not, Dean will have a chance to upload the letter in a separate box.