

4.0 Appendix A: Retention Actions (Full & Preemptive)

1. General

a. Full Retentions

A full retention may occur if a faculty member has received a formal offer of employment, letter of intent, or a detailed proposal letter from a designated hiring official (dean or higher) with authority to extend such an offer of, that includes proposed terms such as rank, salary, start up support, etc. With pre-approval from the Senior Associate Vice Chancellor, Academic Affairs (Sr. AVC-AA), departments may prepare a full retention file for a faculty member who is being recruited by a comparable educational institution in order to counter the outside offer in an effort to retain the appointee.

b. Preemptive Retentions

A preemptive retention may occur when a faculty member has advanced far enough in the process of being recruited by another institution to be identified as a finalist but not yet received an offer of employment, letter of intent, or detailed proposal letter. Evidence to support a preemptive retention may include an invitation to an on-campus finalist interview in an open search, or the equivalent, from a comparable educational institution.

With pre-approval from the Sr. AVC-AA, departments may prepare a preemptive retention file if there is evidence of a credible threat of a potential or pending offer from a comparable educational institution. Requests for pre-approval of a preemptive retention action need to occur before the date of the appointee's on-campus finalist interview and the preemptive retention file should immediately follow pre-approval. Preemptive retention request after the date of a candidate's on-campus finalist interview will not be considered.

c. Timing

Retention files may be submitted at any time during the academic year.

Retention action files are typically urgent and departments are encouraged to contact their school dean's office as soon as the need to submit a file arises to ensure its rapid review. If the appointee must respond to an outside offer by a specific date, the departmental recommendation letter should indicate this deadline and also note it on the Review Summary Form.

d. Foreign Offers

Foreign offers are presumed to be on a fiscal year basis.

The department chair is responsible for ensuring the proper conversion of a foreign offer to an academic year basis. A salary conversion should be performed using foreign exchange rates in effect on the date of the outside offer letter.

A copy of the salary conversion should be included in the file.

See APM 600 for salary conversion guidance.

2. Pre-Approval

Pre-approval is required when requesting a new or increased market off-scale salary component (MOS) in the form of a retention action. Pre-approval from the Sr. AVC-AA for consideration of a retention action grants departments and schools permission to submit an action for review.

a. Department Pre-Approval Requests

- When made aware of a retention scenario, a department chair will contact their dean and provide the following information via the [Kuali Retention Request Form](#).
 - Discussion of how the competing institution compares to UC San Diego.
 - A copy of the outside offer letter, letter of intent, or detailed proposal letter (full retention), or evidence of credible threat (preemptive retention), such as an invitation to an on-campus finalist interview.
 - Discussion of the impact of the individual's loss to the department, school, and/or UC San Diego.

b. Dean Review

- If a dean agrees that a market off-scale salary is justified, they will forward the request to the Sr. AVC-AA. In addition to addressing the scholarly contributions of the faculty member and the value they bring to the UC San Diego community, the dean discussion should include an analysis of the competing offer or imminent external threat as presented by the department, and how the educational institution/department's disciplinary ranking compares to UC San Diego. Importantly, the dean should address whether the proposed salary increase will create salary inequity or compression within the department and any applicable remedies.

c. Sr. AVC-AA Review

If in agreement, the Sr. AVC-AA will sign the Kuali Retention Request Form to indicate pre-approval to submit a retention file for review. The signed Kuali Retention Request Form should be included in the retention file when submitted for review.

About Pre-Approvals

Pre-approval from the Sr. Associate Vice Chancellor for the submission of a retention action grants departments and schools the ability to submit a retention action for review.

Pre-approval from the Sr. Associate Vice Chancellor **DOES NOT** constitute a final approval of a specific retention action outcome.

- Retention and preemptive retention files will follow established campus review procedures.

3. Retention File Components

a. Departmental Letter

When submitting a full retention and/or preemptive retention file, department chairs are responsible for ensuring that the departmental recommendation letter includes a discussion of how the competing institution's disciplinary ranking compares to UC San Diego and demonstrate how the loss of a candidate would be significant.

b. Proof of Outside Offer or Evidence of Credible Threat

Offer letters, letters of intent, and detailed proposal letters, for the purposes of inclusion in a full retention file, are defined as a letter issued by a senior administrator at the rank of dean or higher, with the authority to extend such an offer at a competing institution. The offer should include all major terms of employment (rank, step, salary, effective date). In a preemptive retention, the primary form of evidence is an invitation to an on-campus finalist interview from a search committee, chair or dean.

c. Sr. AVC-AA Pre-Approval

Documentation showing pre-approval from the Sr. Associate Vice Chancellor, Academic Affairs, should be included as part of the file when submitting a full retention or preemptive retention file for review.

d. Special Considerations

i. Intercampus Transfers

Proposals for both full retentions and preemptive retentions for faculty recruited by other University of California campuses will adhere to the parameters set by [APM 510](#) - Intercampus Transfers.

ii. Bonus Off-Scale (BOS) Salary Components and Career Milestone Salary Incentives (CMSI)

When proposing a retention salary, departments and schools should consider all aspects of the candidate's current salary, including a pre-existing bonus off-scale (BOS) component and the effective date of the new overall salary.

Departments and schools should specify the new or increased market off-scale salary component being proposed as well as the proposed final total salary. When a retention action is proposed for an appointee with an existing BOS, it should be noted the BOS will end at the next academic review. Similarly, if an appointee is eligible to receive a CMSI as a result of a concurrent academic review action, the retention action proposal should clearly state whether the proposed final salary is inclusive of the CMSI. Regarding effective dates, departments should note if the new proposed salary is inclusive of an upcoming (anticipated) range adjustment.

4. Full Retention and Preemptive Retention Embargos and Limits

a. Full Retentions

Effective July 1, 2024, full retentions, regardless of monetary value, impose a nine (9) year embargo period during which no additional full or preemptive retention actions may be awarded, regardless of the final retention amount.

Additionally, UC San Diego academic appointees may not be proposed for a full retention prior to the completion of at least one (1) academic review following the initial appointment in their current academic series.

b. Preemptive Retentions

Effective July 1, 2024 academic appointees are limited to requesting, and departments & schools proposing, no more than one (1) preemptive retention action at the assistant/associate rank (combined) and no more than one (1) preemptive retention action at full rank.

Preemptive retentions may not exceed a MOS increase of \$30,000 and they will impose a six (6) year embargo period during which no additional full or preemptive retention actions may be awarded, regardless of the final approved preemptive retention amount.

Additionally, UC San Diego academic appointees may not be proposed for a preemptive retention prior to the completion of at least one (1) academic review following the initial appointment in their current academic series.

About Retention Limits and Embargos**Full Retention Actions**

Nine (9) year embargo per Full Retention Action

Preemptive Retention Actions

No more than one (1) at Assistant/Associate Rank (Combined)	No more than (1) at Full Rank
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Preemptive Retentions Cannot Exceed \$30,000

Six (6) year embargo per Preemptive Retention Action

5. Additional Retention Resources

For additional guidance please refer to the July 1, 2024 Academic Affairs Guidelines for Retention Actions (Full & Preemptive) and the December 2024 UC San Diego Frequently Asked Questions (FAQ).