**GUIDELINES FOR FACULTY EQUITY AND RETENTION INCREASES**

**(Updated June 2023)**

The Office of the Provost requires that all schools have in place in advance of each academic years plans for equity advances that can be anticipated. The following questions should be answered when preparing those plans and for requests not included in plans (such as for retention purposes when there is a competing offer).

* Is this individual indeed “transferable” to a peer or aspirant institution that could pay what is being proposed? (i.e., is there an external market for the individual’s services? (This question is not applicable for retention increase requests.)
* What is the internal equity situation within the department before and after an increase (i.e., would the increase cause this individual to be paid as much or more than others doing comparable work)?
* How does this individual contribute to the implementation of the department and school strategy, including diversity goals?
* How would the requested increase compare in percentage terms with other recent equity increases?
* What would be the effect on the department and the school if the individual did leave?
* What are the recent performance evaluation results for this individual, both annual and pre-tenure? All aspects of performance should be described here, including not only performance in research/creative/scholarly activities, teaching, and service, but in compliance with UAB policies such as the *Enterprise Code of Conduct* and *Enterprise Conflict of Interest and Conflict of Commitment Policy.*
* For **any salary adjustment**, include details of the current annual salary amount(s), the percent (%) increase requested, the dollar ($) amount of the increase, and the new proposed annual salary.
* With respect to the internal equity analysis, we ask that you provide us with a listing/chart of all faculty in the unit at the same rank; and include:
	+ Faculty Member’s Name
	+ Rank
	+ Administrative Title (if applicable)
	+ Years at UAB and years in rank
	+ Tenure status
	+ Salary
	+ Gender and race

In other words, please provide a full explanation for why this request is being justified, in addition to what the dean and chair would like to happen and what one salary survey may show as to the individual’s compensation compared to the market covered in that survey.

Please submit your requests in memorandum form; with your answers to each question written just underneath each question. **Please provide additional details and attach supporting documentation as needed to justify the equity adjustment or retention offer request.**

Contact Faculty Affairs at facultyaffairs@uab.edu for questions or additional information.

**(SAMPLE TEMPLATE)**

memorandum

**TO:** Pam Benoit

 Senior Vice President for Academic Affairs and Provost

**FROM:** {Insert appropriate Chair information}

 {Insert appropriate Dean information}

**SUBJECT:** {Equity or Retention} Increase Request for {Insert Faculty member’s name}

**DATE:** {Insert as appropriate}

 We are requesting approval for an equity increase in the amount of {insert amount}, for {Insert Faculty member’s name} effective {insert date}. This increase is \_\_\_% and, it increases the current annual salary of $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ to $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

**[Please provide additional details as needed to fully explain the increase percentages and increase amounts, especially if multiple increases are involved for a faculty member.]**

 {Insert all determining reasons why a retention offer is being submitted – include any information pertaining to external funding, additional duties, internal salary audit, active recruitment of faculty member by an outside institution or entity, etc.} Please provide a copy of the offer is available; if the faculty member has received an offer.

* Is this individual indeed “transferable” to a peer or aspirant institution that could pay what is being proposed? (i.e., is there an external market for the individual’s services? (This question not applicable for retention increase requests.)

 {Please answer accordingly here}

* What is the internal equity situation within the department before and after an increase (i.e., would the increase cause this individual to be paid as much or more than others doing comparable work)?

{Please answer accordingly here}

* How does this individual contribute to the implementation of the department and school strategy, including diversity goals? {Please answer accordingly here}
* How would the requested increase compare in percentage terms with other recent equity increases? {Please answer accordingly here}
* What would be the effect on the department and the school if the individual did leave?

{Please answer accordingly here}

* What are the recent performance evaluation results for this individual, both annual and pre-tenure? All aspects of performance should be described here, including not only performance in research/creative/scholarly activities, teaching, and service, but in compliance with UAB policies such as the Enterprise Code of Conduct and Enterprise Conflict of Interest and Conflict of Commitment Policy.

{Please answer accordingly here}

**When appropriate, please include a summary of faculty evaluations that reflects score or rankings.**

* With respect to the internal equity analysis, we ask that you provide us with a listing of **all faculty** in the unit at the **same rank**; and include: {Please use table template below to enter information. You may add rows as needed.}

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Faculty Member’s Name** | **Faculty Member’s Rank** | **Faculty Member’s Years at UAB** | **Faculty Member’s Years in Current Rank** | **Faculty Member’s Tenure Status** | **Faculty Member’s Salary** | **Faculty Member’s Gender** | **Faculty Member’s Race** |
|  |  |  |  |  |  |  |  |

**If the proposed equity/retention increase includes an administrative appointment; please also include data comparing this administrative appointment to similar positions in the unit/department/school**.

Requested by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 {Insert Name of Chair}, Chair

Approved by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 {Insert Name of Dean}, Dean

Approved by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Pam Benoit, Senior Vice President for

Academic Affairs and Provost