

REPORT

OF THE

CLUE RETENTION COMMITTEE

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INTRODUCTION

The CLUE Committee on Faculty Retention was convened by Provost Susan Philips on December 19, 2009 and was charged with:

- 1. Setting priorities for future investments in faculty.
- 2. Developing strategies and procedures to retain the faculty in whom we've already invested.
- 3. Learning from best practices and designing new strategies for enhancing the diversity of our faculty, with 'diversity' understood in its widest sense.

In order to meet these objectives, the Committee collected and analyzed data that allow an assessment of the following questions:

- 1. What is the scope of the retention "problem" at UAlbany?
 - a. In other words, how many of our faculty have either left UAlbany or had an opportunity to leave over the past ten years?
 - b. As a related issue, is there patterning in the data such that certain groups of faculty (e.g., women vs. men, senior faculty vs. junior faculty, minorities vs. non-minorities, etc.) were more prone to leave UAlbany than others?
- 2. What are the factors that influence our faculty to seek employment elsewhere?
- 3. Once our faculty have secured offers of employment from other institutions, what are the key factors that most strongly influence them to either stay at UAlbany or leave?
- 4. What steps can we, as an institution, take to minimize the loss of our faculty?

In order to contextualize these data, the Committee solicited our peer institutions for information about faculty retention at their universities.

Below we present:

- 1. The methods used to collect data on faculty retention and loss.
- 2. An analysis of those data.
- 3. A summary of analogous data from peer institutions.
- 4. Policy recommendations designed to minimize loss and improve retention.

METHODS

To date, the university has not systematically collected information regarding faculty retention. Thus, the first objective of the Committee was to assemble a database of all faculty who have been offered employment elsewhere over the past 10 years. This was

done by soliciting information from department chairs, with the approval of the deans of the university's colleges (Appendix 1). These data provide a coarse overview of the scope of the retention problem at UAlbany, and an assessment of demographic trends within the faculty involved in retention cases. As importantly, the database contained information allowing the Committee to contact individuals to solicit explanations of the factors underlying their decisions to stay at or leave the university.

Not all departments responded to our request for information, so the database is not comprehensive. However, it is sufficiently complete as to be informative. The following departments provided information to the Committee:

- 1. Accounting and Law
- 2. Africana Studies
- 3. Anthropology
- 4. Atmospheric and Environmental Science
- 5. Biology
- 6. Biomedical Science
- 7. Chemistry
- 8. Computer Science
- 9. Criminal Justice
- 10. East Asian Studies
- 11. Educational Administration and Policy Studies
- 12. Educational and Counseling Psychology
- 13. Educational Theory and Practice
- 14. English
- 15. Epidemiology and Biostatistics
- 16. Health Policy, Management and Behavior
- 17. History
- 18. Information Technology Management
- 19. Informatics
- 20. Information Studies
- 21. Judaic Studies
- 22. Languages Literatures and Cultures
- 23. Libraries
- 24. Management
- 25. Marketing
- 26. Mathematics and Statistics
- 27. Physics
- 28. Political Science
- 29. Psychology
- 30. Public Administration
- 31. Reading
- 32. Social Welfare
- 33. Women's Studies

Once basic demographic data were tabulated, each faculty member in the retention database for which contact information was available was contacted and asked to respond to an online survey asking them to rate the factors that influenced their decision to stay at or leave the university (Appendix 2).

All faculty in the database were also asked to participate in phone interviews that would allow more open-ended answers to questions regarding motivations for staying or going (Appendix 3).

In order to provide a comparative context in which to interpret the Committee's findings, requests for retention information were made to the equivalents of the Provost's office at several peer institutions.

RESULTS

DEMOGRAPHIC DATA:

A database containing basic demographic data pertinent to faculty retention and loss has been submitted to the Office of the Provost. Key patterns include:

Over ten years, 141 professors and 20 librarians officially notified their department chairs that they were considering leaving the university. These numbers represent the sum of the faculty who were lost and who were retained. The number of professors is almost certainly an underestimate, because not all of the department chairs provided the Committee with information about faculty retention and loss. However, a sufficient number of chairs responded to our request as to make the sample described here sufficient to provide a general characterization of retention and loss at UAlbany.

The vast majority of these faculty were weighing a competing offer of employment, usually (but not always) from another university.

Moreover, 24 additional professors and 6 additional librarians chose to retire early (even though some of them, too, were weighing offers from other institutions...they are therefore mentioned here because for some of them, "retirement" from UAlbany may have been associated with their accepting a new job).

Within the total data set, 81 faculty were identified as women, 57 of which could be identified as white and 21 as other ethnicities. 107 were identified as men, 76 of which could be identified as white and 21 as other ethnicities.

During the past ten years, the total number of faculty at UAlbany has averaged 578 tenured/tenure-track professors and 36 librarians. The data gathered here therefore provide a minimum estimate of the rate at which faculty enter a retention "situation" (i.e., they notify the administration that they are considering leaving). Thus, during the past ten years, an average of at least 2.4% of professors and 5.6% of librarians have entered retention "situations" each year. These rates compare favorably to those of the peer institutions for which we have comparable data (see below).

These data suggest that UAlbany does not have a retention "problem" per se. However, when viewed cumulatively over a ten-year period, at least 24.4% of professors and 55.6% of librarians enter retention "situations." These percentages are high enough that regardless of whether or not retention is a "problem", it is an issue that should be examined.

Retention rates for the faculty listed above are very low. Of the 141 professors referenced above, only 30 were retained (21.3%), and of the 20 librarians referenced above, none were retained (0%). Obviously, none of the faculty who retired early were retained (0%). Thus, once a faculty member enters into a retention "situation" the odds of retaining him or her are low. Note that the losses described above do not all correspond to "failed" retention negotiations. In some cases, negotiations never occurred. The reasons for a lack of negotiation are varied (e.g., the faculty member was not interested in negotiating, the administration was not interested in negotiating, etc.). Thus, the rates described above reflect only the employment status of the faculty members, not the motivations or actions of those people or the university.

Of the 141 professors listed above, there was a skew towards more junior faculty.

- 61 were at the Assistant Professor level.
- 51 were at the Associate Professor level.
- 29 were at the Full or Distinguished Professor level.

No trends were detected regarding the retention or loss of women and *most* minority groups. Women were essentially as likely to be retained as men, and most minorities were as likely to be retained as non-minorities. A caveat is that the sample size for minorities is low. The exception to this pattern concerns Hispanic Americans. All 10 of these faculty were lost.

SURVEY DATA:

Of the faculty identified by the department chairs, 87 agreed to participate in an online survey regarding the factors that influenced them to either stay at or leave UAlbany. For each factor (i.e., career opportunities, salary, etc.), participants were asked to provide two ratings. The first rating indicates the degree to which that factor influenced them to stay, while the second rating indicates the degree to which that factor influenced them to leave. The reasoning behind this rating system is that some factors (i.e., personal/family

considerations) might be influencing some individuals both to leave *and* to stay (e.g., spouse wants to leave, children want to stay). A rate of 1 indicates that the factor was a very weak influence, while a rate of 7 indicates that it was a very strong influence. The raw data from the survey have been submitted to the Office of the Provost. A summary of average ratings (Table 1) is followed by a more detailed discussion of certain factors.

Table 1: Average ratings of factors that influenced faculty to either stay at or leave UAlbany. Ratings range from 1 (weak influence) to 7 (strong influence). Ratings of 4.0 or grater are highlighted.

Factor	Degree to which this factor influenced faculty to STAY at UAlbany	Degree to which this factor influenced faculty to LEAVE UAlbany	Discrepancy between ratings (LEAVE rating – STAY rating)
Career opportunities	3.8	5.3	1.5
Dual career issues (i.e.,	2.7	3.0	0.3
employment for spouse)	2.,	3.0	0.5
Flexibility around child care /	1.4	1.6	0.2
elder care in the tenure clock	1	1.0	0.2
Personal or family matters	3.4	3.7	0.3
Geographic location	3.8	4.0	0.2
Research resources	3.6	4.5	0.9
Salary	3.6	4.3	0.7
Teaching conditions and	3.5	4.5	1.0
environment	3.3	1.0	1.0
Caliber of graduate students	3.6	3.6	0.0
Caliber of undergraduate	2.6	2.8	0.2
students	2.0	2.0	0.2
Satisfaction with mentoring	2.5	3.1	0.6
received	2.3	3.1	0.0
Departmental prominence or	3.5	3.6	0.1
national rank	3.3	3.0	0.1
Diversity of faculty in the	2.3	2.8	0.5
department	2.3	2.0	0.5
Diversity of the student body	2.5	2.2	-0.3
Diversity of the region where	2.6	2.6	0.0
the university is found	2.0	2.0	0.0
Climate for women and	2.5	2.8	0.3
minorities	2.3	2.6	0.3
The performance review	2.2	3.0	0.8
process	2.2	3.0	0.8
Prospects for tenure and	2.5	2.6	0.1
promotion	2.3	2.0	0.1
Infrastructure / support	2.6	4.1	1.5
services for faculty work	2.0	т. 1	1.5
Facilities	2.8	3.6	0.8
Benefits	3.6	2.8	-0.8
Retention negotiations	3.0	3.1	0.1
Quality of life	4.0	4.7	0.7
Professional isolation from or	3.1	4.4	1.3
engagement with colleagues	5.1	7.7	1.5
Interactions with other	3.5	4.4	0.9
faculty within the department	3.3	4.4	0.9
Interactions with	2.8	3.7	0.9
administration	2.6	3.7	0.9
Climate of respect in	3.2	3.8	0.6
department, college and/or	3.2	3.0	0.0
school			
Climate of respect between	2.7	3.3	0.5
faculty and administration	2.1	5.5	0.3
Quality of service / level of	2.4	3.6	1.2
bureaucratic hassle	۷.٦	3.0	1.2
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The data in Table 1 reveal several patterns. Keeping in mind that a rate of 4 is the midpoint value available to respondents:

On average, nine factors influencing faculty to leave were rated highly (average rate of 4.0 or higher). These are, in descending order of importance:

- 1. Career opportunities (avg. rating = 5.3)
- 2. Quality of life (avg. rating = 4.7)
- 3. Research resources (avg. rating = 4.5)
- 4. Teaching conditions and environment (avg. rating = 4.5)
- 5. Professional isolation from or engagement with colleagues (avg. rating = 4.4).
- 6. Interactions with other faculty within the department (avg. rating = 4.4).
- 7. Salary (avg. rating = 4.3).
- 8. Infrastructure / support services for faculty work (avg. rating = 4.1).
- 9. Geographic location (avg. rating = 4.0).

Of these nine, all but two (quality of life, geographic location) are factors that can potentially be influenced by actions of the university, although such actions require varying levels of difficulty.

On average, only one factor influencing faculty to stay at UAlbany was rated highly, and this factor is largely out of the control of the university.

1. Quality of life (avg. rating = 4.0).

For any given factor, the discrepancy between ratings was calculated as the average rate influencing the faculty member to leave minus the average rate influencing him/her to stay. Positive discrepancies indicate that the net effect of the factor was to influence the faculty member to leave. Negative discrepancies indicate that the net effect of the factor was to influence him or her to stay.

A disturbing result to emerge was that only two factors (Diversity of student body, Benefits) had a net effect influencing faculty to stay at UAlbany, but the absolute ratings assigned to those factors were low (only 2.2-3.6), meaning that their net effect was minor.

Eleven factors had discrepancies that ranged between 0.0 and 0.3, indicating that on average their overall influence was nearly neutral.

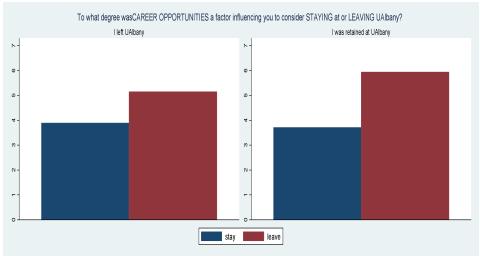
Sixteen factors had discrepancies that ranged between 0.5 and 1.5, indicating that on average their net effect was to influence faculty to leave. Included among these sixteen factors are eight of the nine factors (listed above) whose rate favoring leaving was at or above 4.0 (only geographic location had a modest discrepancy). Thus, faculty rated these factors as being the strongest influences to leave.

Thus, survey data indicate that, on average, there are many factors influencing UAlbany faculty to leave the university, but very few influencing them to stay.

In addition to the data tabulated above, we investigated certain variables in greater detail:

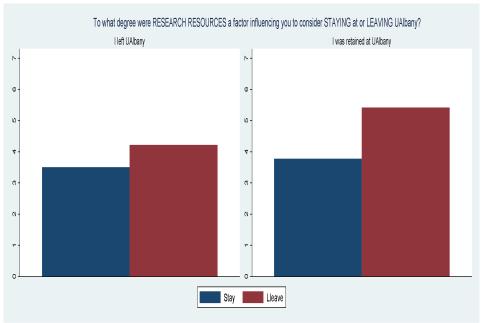
CAREER OPPORTUNITIES are a major factor influencing our faculty to leave the university. The average rate influencing faculty to leave was 5.3, versus 3.8 influencing faculty to stay. Moreover, 5.3 was the highest average rating assigned to any factor in the survey. For 53 of 87 respondents (61%), career opportunities were considered to be greater outside of UAlbany. Only 10 respondents (11.5%) viewed the career opportunities afforded by UAlbany to be superior to those offered elsewhere. Interestingly, the faculty who were retained by UAlbany were, on average, more strongly influenced to leave UAlbany for career reasons than were the faculty who actually left (Figure 1). This suggests that these faculty stayed at UAlbany in spite of the fact that they had better career opportunities elsewhere.

Figure 1: Influence of career opportunities, sorted by faculty who were retained and lost. Within each group, the average rating indicating the degree to which career opportunities influenced faculty to stay at (blue) or leave (red/brown) UAlbany is illustrated.



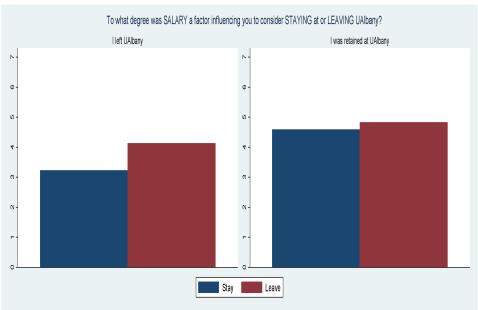
A similar pattern emerges with respect to RESEARCH RESOURCES, which might be considered to be broadly correlated with career opportunities. The average rate influencing faculty to leave was 4.5, versus 3.6 influencing faculty to stay. For 41 of 87 respondents (47.1%), research resources were considered to be better outside of UAlbany. Only 15 respondents (17.2%) viewed the research resources at UAlbany to be superior to those offered elsewhere. Again, the faculty who were retained by UAlbany were, on average, more strongly influenced to leave UAlbany for reasons related to research resources than were the faculty who actually left (Figure 2).

Figure 2: Influence of research resources, sorted by faculty who were retained and lost. Within each group, the average rating indicating the degree to which research resources influenced faculty to stay at (blue) or leave (red/brown) UAlbany is illustrated.



SALARY influenced the decisions of faculty in a subtle but potentially important way. The average rate influencing faculty to leave was 4.3, versus 3.6 influencing faculty to stay. Interpretation of these data must be tempered by an understanding of the fact that salary is one of the major tools available to the administration during retention negotiations. Yet, for 38 of 87 respondents (43.7%), salary was considered to be better outside of UAlbany. Only 17 respondents (19.5%) viewed the salary at UAlbany to be superior to that offered elsewhere. 32 respondents (36.8%) were neutral with respect to the influence of salary. When data are broken down according to whether or not faculty stayed at or left UAlbany (Figure 3), it is clear that salary was, on average, a neutral issue only for those few faculty who were retained. For the much larger number of faculty who left, salary was considered to be better elsewhere. These data demonstrate decisively that not only is UAlbany failing to use salary as a tool to positively influence faculty to stay, the university is also failing to "match" salaries in ways that are meaningful to faculty.

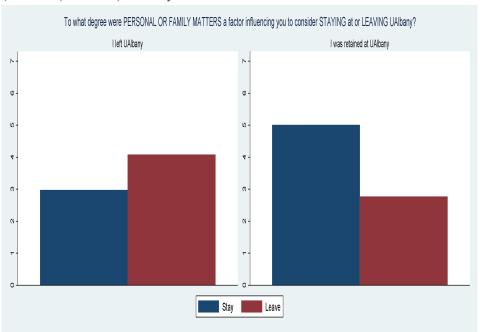
Figure 3: Influence of salary, sorted by faculty who were retained and lost. Within each group, the average rating indicating the degree to which salary influenced faculty to stay at (blue) or leave (red/brown) UAlbany is illustrated.



PERSONAL OR FAMILY MATTERS appear to play a decisive role influencing the decisions of the faculty who stay at UAlbany. The average rate influencing faculty to leave was 3.7, versus 3.4 influencing faculty to stay. However, the significance of this factor becomes evident when separately examining the faculty who were retained versus those who were lost (Figure 4). Essentially, the faculty who were retained consider personal or family matters to be, on average, the dominant factor influencing them to stay. Thus, in this sample, the factor that was decisive in favoring retention is out of the university's control. Evidently, the university is not effectively marshalling the tools that are in its control in order to ensure faculty retention. In contrast, on average, among the faculty who left UAlbany, personal and family matters influenced them to leave, although this effect was not as pronounced as career opportunities.

Data on the influence of **GEOGRAPHIC LOCATION** and **QUALITY OF LIFE** are very similar to those regarding personal or family matters, and are likely to be interrelated. These variables, too, are out of the control of UAlbany.

Figure 4: Influence of personal or family matters, sorted by faculty who were retained and lost. Within each group, the average rating indicating the degree to which personal or family matters influenced faculty to stay at (blue) or leave (red/brown) UAlbany is illustrated.



DUAL CAREER ISSUES played an important role influencing the decisions of some faculty, but the data are not simple to interpret. On average, this variable did not rate highly as an influence affecting faculty decisions, but the average data mask an underlying trend in which a small number of faculty viewed this factor as a very important variable influencing them to either stay or go. However, the ratings for this variable do not correspond clearly to the ultimate decisions made by the faculty members.

The survey data reveal a disturbing trend regarding the influence of DIVERSITY on faculty decisions, although an important caveat is that the sample size is very low. Broken down by gender and pooled racial categories, the survey respondents included:

- Seven Ethinic/Racial Minority Females, none of whom were retained (0%).
- Thirty White Females, five of whom were retained (16.7%).
- Ten Ethinic/Racial Minority Males, two of whom were retained (20%).
- Thirty-three White Males, nine of whom were retained (27.3%).

Thus, among survey respondents, Ethinic/Racial Minorities are retained at a lower rate than Whites when sorted by sex, and women are retained at a lower rate than men irrespective of race. These data differ from those gathered from the total sample included in the consideration of demographic factors (i.e., when including faculty who responded and did not respond to the survey), in which race and sex did not emerge as significant factor influencing retention.

The trends regarding retention and loss of faculty sorted by race and sex (above) appear to be correlated with the influence of the factor CLIMATE FOR WOMEN AND MINORITIES. As summarized in Table 2, Ethinic/Racial Minority Females were strongly influenced by this variable to leave the university, followed by White Females, Ethinic/Racial Minority Males, and finally White males. The rank ordering of these values matches the ordering of the retention rate for each group (above). These data suggest that among survey respondents, women faculty feel more negatively than men about the university's climate of diversity, and that this is especially true for women of color.

Table 2: Influence of CLIMATE FOR WOMEN AND MINORITIES sorted by race and sex.

Group	Degree to which CLIMATE influenced faculty to STAY at UAlbany	Degree to which CLIMATE influenced faculty to LEAVE UAlbany	Discrepancy between ratings (LEAVE rating – STAY rating)			
Ethinic/Racial Minority Females	3.2	5.3	2.1			
White Females	2.9	3.7	0.8			
Ethinic/Racial Minority	2.4	2.6	0.2			
Males						
White Males	2.1	1.8	-0.3			

INTERVIEWS:

Twenty-one survey respondents also agreed to be interviewed. Of these, fifteen were lost and six were retained. Interviews provide an in-depth look into the decision-making processes of particular faculty members, but naturally this process is highly individualized. However, some broad themes emerged from the interviews that warrant consideration.

Many interviewees expressed that an important part of their decision-making process concerned whether or not they felt personally valued. Interviewees who did not feel valued typically chose to leave UAlbany. Those who felt valued were more likely to stay. Their sense of value was influenced by the details of the retention package, but also by the actions and words of their colleagues, chairs and administrators. The timing of those actions was also important (i.e., a delayed response was often interpreted negatively).

Workplace climate was evidently important to many interviewees. Some reported workplace environments that were highly dysfunctional and corrosive, including inappropriate behavior from colleagues and supervisors. Interviewees complaining of these issues left. Faculty who were retained, however, reported much more positive workplace climates.

Spousal issues figured prominently in the decisions of some interviewees, and in cases where the spouse was another academic, the inability to secure suitable employment at UAlbany for the spouse often led to the faculty member leaving.

Several individuals complained of a lack of support for junior faculty, including required teaching overloads, a lack of teaching releases, a lack of pre-tenure research leave, and a paucity or absence of funding for conference and research travel. Some individuals complained that the lack of support for junior faculty may be particularly impactful for assistant professors in fields in which the publication of a book is a key criterion for earning tenure.

The perception of having a low salary was an important factor in motivating faculty to initially start looking for employment elsewhere.

One female, minority interviewee reported numerous instances of "micro-discrimination" and subtle harassment.

COMPARISONS WITH PEER INSTITUTIONS:

Twelve peer institutions provided the Committee with data or information pertaining to faculty retention and loss:

- 1. University of Virginia
- 2. University of Connecticut
- 3. University of California, San Diego
- 4. University of California, Santa Cruz
- 5. Northern Illinois University
- 6. University of Nevada at Las Vegas
- 7. Colorado University, Boulder
- 8. University of Hawaii at Manoa
- 9. Stony Brook University
- 10. Binghamton University
- 11. University of Wisconsin, Milwaukee
- 12. University at Buffalo

The level of detail provided by these institutions varied widely depending on whether or not they track retention and loss or had commissioned their own study of this issue. Two universities (University of Virginia, University of Connecticut) provided data in sufficient detail as to provide a particularly useful comparative context for UAlbany (Table 3). Not all of the data are strictly comparable, but some themes emerge.

U Conn experienced much higher loss rates than UVA. The loss rate at UAlbany appears to be more on par with that of UVA. UVA experienced a shift in loss rate according to rank such that in recent years senior faculty have been lost at an increasing rate. Other than that, the percentages of UAlbany junior faculty who consider leaving the university do not seem unusual.

Some of the more important reasons motivating faculty to leave UVA and U Conn are similar to those influencing faculty at UAlbany. These include:

- 1. Career opportunities.
- 2. Research resources.
- 3. Salary
- 4. Teaching conditions/environment.
- 5. Personal or family matters
- 6. Geographic location
- 7. Professional isolation.
- 8. Lack of collegiality in primary unit.
- 9. Spousal employment.

Table 3: Retention/loss data from peer institutions.

Institution	Faculty Turnover Rate	Rate by Gender or Race/Ethnicity	Reasons they left
Univ. of Virginia	2009: 4.6% 2008: 4.5% 2007: no data 2006: 3.8% 2005: 1.9% 2004: 2.7% 2003: 1.2%	2002-2006: of those who left, 47% were junior faculty Shift seen in exit by rank in 2006-2009: 2009: full = 55%; assoc = 21%; asst = 24% 2007: full = 42%; assoc = 30%; asst = 28% 2006: full = 51%; assoc = 17%; asst = 32% By gender: 73.2% of the departures were male while 26.8% were female By race/ethnicity: 82% departures were White, 9/1% Asian, ~6% Black	 Greater career opportunity elsewhere (82%) Research resources (55%) Salary (47%) Teaching conditions or environment (43%) Personal/Family matters (39%) Better geographic location (38%) Caliber of graduate students (36%) Lack of mentoring (34%) Departmental rank (26%) Lack of diversity (25%) Performance review process (25%) Climate for women and minorities (22%) Benefits dissatisfaction (18%) Anticipated/denial of tenure (16%) Non-renewal of contract (3%) Over 50% of the women who responded cited each of the following as influential to very influential: Better geographic location (62%); Teaching conditions or environment (58%); Personal/family matters (56%); and Climate for women and minorities (54%).
Univ. of Connecticut	Average across all ranks: 2008: 8.9% 2007: 8.9% 2006: 9.6% 2005: 7.5% 2004: 5.7%	Exit Rate by rank: 2008: full = 11%; assoc = 7%; asst = 7% 2007: full = 7%; assoc = 5%; asst = 11% 2006: full = 10%; assoc = 5%; asst = 13% 2005: full = 6%; assoc = 6%; asst = 11% 2004: full = 5%; assoc = 3%; asst = 8%	Reasons not necessarily ranked although UC noted that salary was big problem: Salary (greater concern for male faculty and senior women faculty) Insufficient financial support for research/creative work Need for high-quality grad students Need for funds for equipment, facilities, special initiatives Professional isolation Lack of friendly colleagues and lack of inclusion in primary unit

			Unsympathetic/rude students Employment situation/opportunities for spouse Other less important reasons: lack of financial support for teaching insufficient housing assistance programs noncompetitive benefits insufficient staff support increased administrative burden on faculty poor office quality/space need for flexible workload and childcare options
Univ. of California Santa Cruz	Past 10 years: range 3-5%; 05-06 rate = 5%	05-06: of those exiting, 24% were racial/ethnic minorities, 47% were female; 06-07: of those existing, 24% were R/EM, 68% were female	
UNLV	Range for 2000-2005: 3-5%	As high as 12-13% for junior faculty (before strategic interventions)	
Univ. Hawaii Manoa	Average for 04-08: 9.8%		

SUMMARY OBSERVATIONS AND POLICY RECOMMENDATIONS

- 1. Continue collecting retention and loss data. Following the conclusion of future retention negotiations with faculty (or after being notified that faculty will be leaving UAlbany), the administration should request that chair submit basic demographic and contact data about those faculty to a university database. Subsequently, the administration could ask those faculty to participate in both the retention survey and the interview described above. Naturally, participation would be voluntary, but the future collection of such data will be necessary in order to determine whether or not any actions taken by the university have had an impact on retention outcomes.
- 2. Dedicate time and resources to addressing the variables that make faculty start to think about seeking employment elsewhere.
 - a. Such variables that can potentially be affected by the university include:
 - i. Career opportunities
 - ii. Research resources
 - iii. Teaching conditions and environment
 - iv. Professional isolation from or engagement with colleagues
 - v. Interactions with other faculty within the department
 - vi. Salary
 - vii. Infrastructure / support services for faculty work
 - viii. Climate for women and minorities
 - b. A major challenge for UAlbany will be to devise policies and practices that address these issues in a cost-effective way. Some suggestions are provided below. Data indicate that once faculty begin actively searching for other opportunities, it becomes very hard to retain them, so many of these policies should be viewed as preventative measures.
- 3. Institute a pre-tenure leave program for junior faculty. Currently, the university's Drescher program is available only to a limited number of female and minority faculty. Anecdotally, some female and minority junior faculty report being pressured against seeking a Drescher leave. We suggest implementing a pre-tenure leave program available to all faculty after their third year of employment. Assistant professors would be eligible for one semester of paid leave with the stipulation that they must teach at UAlbany for the following three semesters or pay back the full amount of the salary. They would be expected to provide a proposal explaining how they would use the leave to enhance their research. This program would have four important effects. First, it will provide junior faculty with the time necessary to develop their research program (books, grant writing, etc.) in preparation for tenure review. Second, it will "lock in" junior faculty until the end of their fifth year, at which point they will begin their tenure review. This will minimize the opportunities of these faculty to seek employment elsewhere. In essence, junior faculty will be asked to make a choice;

if they choose a semester leave, then they will also be choosing to commit to UAlbany. Third, by giving our junior faculty the time to more productive researchers, this program will have the long-term effect of raising the research profile of the entire university. As our junior faculty become more productive and stay to become senior faculty, then the university will, over time, be viewed increasingly as a research destination, thereby minimizing the impetus to seek better career opportunities elsewhere. Fourth, a pre-tenure leave program may serve as an effective recruiting tool that can be used to initially attract talented junior faculty to UAlbany. The cost of this program could be modest. Some departments might be able to absorb the costs simply be allowing increased enrollments in certain classes. This might not be possible in all departments, but even if this is the case and adjunct professors must be employed to cover courses, the overall expense will be much less than that of a job search and associated start-up costs for new faculty. In the event that some units cannot implement a leave program, we encourage administrators and chairs to develop new programs to foster junior faculty research and to remove impediments to the development of their research careers.

4. Develop a clear university policy governing early tenure/promotion cases. Some faculty request promotion prior to their "scheduled" time, either because they accrued time as an Assistant Professor at another university, or because they believe they have met the standard for promotion in fewer years than is typically needed. Faculty falling into these categories may include highly talented individuals that the university has an interest in retaining. Yet, anecdotally, there is a belief among some faculty that requesting "early" promotion is risky because the standards for promotion are higher. In the event that a request for early promotion is declined, the rejection can engender bad feelings and encourage the professor in question to seek employment elsewhere. No specific recommendation is made here, because issues regarding promotion will presumably be addressed by a different CLUE committee. However, insofar as the "early" promotion issue affect retention, we urge the university to document transparent and explicit policies regarding the standards to be applied in such cases.

5. Implement small programs and policies to foster and encourage faculty research.

a. Develop a teaching release program for grant writing. Professors could obtain a one-course reduction in order to write and submit an indirect cost-earning grant proposal (i.e., to NIH or NSF). Faculty would only be eligible for another such release once they had successfully obtained such a grant. Departments would be limited so that no more than one professor per semester could be eligible for this program. The potential return to the university from indirect costs far exceeds that of the costs associated with the teaching release, so the program would more than pay for itself even when taking into account the fact that only a fraction of the proposals will be funded.

- b. **Return a proportion of indirect costs to researchers**, thereby facilitating further research efforts and incentivizing proposal submission. At present, a small proportion of indirect funds are returned to departments, but there is not a university policy rewarding investigators.
- c. Allocate funds to establish a competitive research assistant program in which faculty could apply for university-sponsored research assistantship support. Faculty would submit proposals explaining how the project on which the RA would work would lead to the further development of the faculty member's research career.
- d. Salary incentive for producing scholarly/artistic works. This incentive could take the form of permanent base salary raise in recognition of work that achieves significant national or international prominence. Examples of such work include artistic or musical work that attracts critical acclaim, scholarly published work that earns national or international awards, publication of transformative, high profile scholarly work in the most prestigious journals, etc. Notably, pay raises should NOT reward success in obtaining grants, because this will create an inequity among faculty in different fields, and because many large grants already include salary as a direct cost.
- 6. Hire additional research administration support staff. These staff would complement the efforts of existing staff. Their role would be to act as hand-on facilitators of grant proposal submission and research award implementation and administration. Currently, investigators must interact separately with multiple offices to manage separate aspects of their grants: Sponsored Programs, Sponsored Funds Financial Management, Purchasing, Facilities Management, and others. The staff envisioned here would be housed in the academic buildings and would interact actively with investigators to help them with all aspects of the grant process, reducing administrative burdens and freeing investigators to concentrate directly on research and the creative aspect of grant writing. If these staff members facilitate even a modest increase in the university's grant submission rate, they will pay for themselves.
- 7. Be proactive in retention negotiations. If a talented faculty member has an offer from another institution, the university should move swiftly to make that person feel valued. One size does not fit all in retention negotiations, and the timing of a counter-offer may affect the psychology of the professor in question. Anecdotally, many faculty find retention negotiations stressful, so any actions that prolong the process or their ability to make a decision may lead them to think negatively of the university, or create the impression that they are not wanted. For example, some faculty may be entertaining oral offers and may only receive a written offer after a week or two of discussion. If UAlbany insists on waiting to see a written offer before beginning negotiations, it gives the professor a chance to become psychologically committed to the new institution. Final agreement on a retention package might still require an examination of a written offer, but the basic parameters of a deal might be worked out in advance. Obviously, the nature

- of the retention offer (salary, resources, teaching, etc.) may vary depending on how strongly UAlbany wishes to retain a given individual, but at least the initiation of negotiations should begin right away.
- 8. **Rethink the basis of the "Match".** Anecdotally, the UAlbany administration views "matching" competing offers from other institutions (especially with respect to salary) as a tactically sound strategy. There are several problems that are evident with this approach.
 - a. **Empirically, this tactic appears to be failing.** UAlbany is retaining faculty at a low rate, and those that stay are often influenced by variables out of the university's control (e.g., personal or family matters). In these cases, the university's actions are evidently sufficient to convince faculty to stay, but absent personal considerations favoring retention, the strategy does not appear to be successful.
 - b. One reason for the failure is that UAlbany evidently is not truly matching those components of an offer that are easily in its control, especially salary and research resources. Many survey respondents felt that salary was better elsewhere.
 - c. A second reason is that the premise of the match is obviously false. There are so many reasons influencing faculty to leave UAlbany that even if the university successfully matches salary, the remaining variables nonetheless have the effect of making the competing offer better on balance. For example, if there are five reasons motivating a professor to seek employment elsewhere, the "matching" of two of those variables would still leave the competing offer more desirable.
 - d. Given that UAlbany may be entering retention negotiations with a "deficit" regarding factors that are not easily under its short-term control, the university should consider "more than matching" competing offers with respect to factors that are under its control. This approach may not necessarily involve salary, but could take the form of teaching or research considerations (see below), depending on the individual in question. Obviously, in a public university with limited funds, it is likely that this approach cannot be applied to every retention negotiation. However, the administration should decide to strategically employ a "more than matching" approach when negotiating with especially valuable faculty.
 - i. Examples of incentives/resources other than salary that can be used in negotiations: conference funds, travel funds, teaching assistants, research assistants, release from service commitments, reduced student advising, temporary course release
 - e. Accept that salaries are market driven. Salary inequities within departments are a natural consequence of retention packages. This should not be viewed as a negative, or as a tactic to be employed during negotiations (i.e., "We can't pay you that much because it would be unfair to your colleagues."). This approach can have serious negative

consequences to the negotiating professor's mindset, and may lead to the opinion that salaries are better elsewhere.

- 9. Provide preparation for new chairs and mentors highlighting the importance of fostering intradepartmental collaboration and a healthy workplace climate. Preparation would take the form of a workshop organized and run through the Provost's office. The participation of chairs is especially important as these individuals have the ability to significantly impact working conditions with a department.
 - a. As a related point, the university should mandate that each department implement a mentoring program, the details of which may vary between units. Although many departments already have such programs, some evidently do not.
- 10. Address the climate of diversity at the university. The demographic and survey data did not agree regarding retention rates in minorities and women, but the survey data suggest that at least some women and minorities are experiencing a measure of discomfort at UAlbany. These results are sufficient to warrant action by the university. In other words, the onus is on the university to proactively change the culture at the university, and not to merely react to diversity-related issues as they arise. Policies must be instituted that:
 - a. let all members of our community know that they are valued,
 - b. raise awareness of and sensitivity to diversity in all of the faculty,
 - c. provide a mechanism that allows women and minorities to comfortably discuss situations that may be bothering them *before* they advance to a level that they seek employment elsewhere.
 - d. Ultimately, the development of such policies would benefit from input by female and minority faculty. Possible steps that might be considered include:
 - i. Additional sensitivity training for the mentors of diverse faculty.
 - ii. Additional sensitivity training for department chairs.
 - iii. Mandated conversations (each semester or annually) between chairs, diverse faculty, and their mentors focusing on the climate of diversity in the workplace.
 - iv. Careful administrative attention paid to and recognition of real or perceived workplace inequality, including unofficial activities or expectations associated with their status as a diverse faculty member. For example, such faculty often play a key function mentoring diverse students and serving as positive role models. This may be more time consuming than straightforward academic advising undertaken by non-diverse faculty. Moreover, diverse faculty tend to experience pressure to serve on committees (in order to ensure the diversity of those committees). This also leads additional demands on faculty time.
 - v. Careful administrative attention paid to real or perceived salary inequalities.

- vi. Annual documentation by department chairs demonstrating that the official workloads of diverse professors are fair in comparison to those of their departmental peers.
- vii. Establish clear maternity and paternity leave policies.

 Anecdotally, the lack of such policies appears to negatively impact female faculty more than male faculty.
- 11. **Build on strength, but in a targeted fashion.** Faculty lines are a limited resource, and must be deployed strategically. Presumably, the university already does this, but it may not do so while considering the how new hires can be used to limit faculty attrition.
 - a. Obviously, the university must allocate lines to either maintain programs at, or bring them to national prominence. We assume this happens now.
 - b. Lines should also be deployed in order to bring small but promising research groups to "critical mass." The survey data described above reveal that professional isolation is an important factor driving faculty away from UAlbany. By allowing small groups to expand, this isolation may be alleviated. These small groups are fragile, so that if one person leaves it may initiate a snowball effect leading to the demise of the group. Thus, the addition of one new lines may have the effect of preventing the defection of two or more professors. A challenge to implementing this policy will be identifying the small groups to target for investment. A mechanism should be put in place allowing these groups to identify themselves to the administration.
 - c. Give a high priority to supporting units that exhibit research excellence while simultaneously being burdened with heavy teaching commitments. Teaching conditions emerged as a negative factor influencing faculty to leave UAlbany, so if the load on talented departments is lessened, the faculty within those departments may be less likely to leave.
- 12. Think about retention when making hiring choices. Many of the factors that influence faculty to stay at UAlbany are out of the university's control. These include personal or family matters, geographic location, and quality of life. It is very difficult to systematically collect information about these variables while interviewing candidates for a job (indeed, certain questions regarding personal information are specifically off limits), but insofar as it is possible, an attempt should be made to gather information of this sort. Open-ended questions like "What makes you want to live in upstate New York?" may lead to important insights that departments may wish to consider as one of several important variables when making hiring decisions.

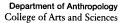
COMMITTEE MEMBERS

David Strait, Committee Chair, Associate Professor, Anthropology
Lee Bickmore, Professor, Anthropology
Mei-Hwa Chen, Associate Professor, Computer Science
Na Dai, Assistant Professor, Finance
Elana Gordis, Associate Professor, Psychology
Timothy Hoff, Associate Professor, Health Policy
LaRae Jome, Associate Professor, Counseling Psychology
Istvan Kecskes, Professor, Educational Theory and Practice
Ewan McNay, Assistant Professor, Psychology
Marina Petrukhina, Associate Professor, Chemistry
Blanca Ramos, Associate Professor, Social Welfare
Ben Shaw, Associate Professor, Health Policy
Dwight Williams, Associate Professor, Health Policy
Tine Reimers, Office of the Provost

APPENDICES

Appendix 1: Letters sent to chairs and deans requesting information on faculty retention.

Appendix 2: Survey questions.
Appendix 3: Phone interview questions.





MEMO

TO:

Deans of the Colleges of U Albany

FROM:

David Strait, Chair, CLUE Retention Committee

DATE:

2/19/10

RE:

Request for assistance

Dear Colleagues,

I hope all of you are well. I am writing to you in my capacity as Chair of the Provost's CLUE Committee on Faculty Retention. We are charged with studying faculty retention and loss at U Albany and making recommendations to the Provost regarding policy and practice concerning that issue. Towards that end, we have been authorized to collect data concerning patterns of retention and loss in all of the University's academic units. Unfortunately, there is not currently a centralized database in which all such information is stored, and thus we are requesting your permission to enlist the assistance of the Departmental Chairs and the Assistants to the Chairs in your Colleges. We are keenly aware that these individuals already have a very demanding workload. We are asking them only to help us by filling in a modest Excel worksheet (attached), and we are anticipating that institutional memory within each department will make this a relatively quick task.

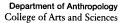
Thank you for your consideration. I hope very much that you are willing to grant this request. I ask that you please respond to Tine Reimers in the Provost's office (CReimers@albany.edu). If you answer in the affirmative, then she will send a request to the Chairs and Assistants in your College.

Sincerely,

David Strait

Chair, CLUE Retention Assoc. Chair, Anthropology

Assoc. Prof. Anthropology Director, Human Biology





MEMO

TO: Departmental Chairs and Assistants to Chairs

FROM: David Strait, Chair, CLUE Retention Committee

DATE: 2/19/10

RE: Request for assistance

Dear Colleagues,

I hope all of you are well. I am writing to you in my capacity as Chair of the Provost's CLUE Committee on Faculty Retention. We are charged with studying faculty retention and loss at U Albany and making recommendations to the Provost regarding policy and practice concerning that issue. Towards that end, we have been authorized to collect data concerning patterns of retention and loss in all of the University's academic units. Unfortunately, there is not currently a centralized database in which all such information is stored, and thus we are requesting your assistance in collecting these data.

Please take a look at the Excel spreadsheet that was sent to you along with this letter. You can see that we are asking you for a modest amount of demographic data regarding the *full time* faculty in your department who have experienced retention "situations" over the past ten years (i.e., since and including the 2000/2001 academic year). Such "situations" include:

- Receipt of an employment offer from a competing academic institution.
- Receipt of an employment offer from a non-academic institution.
- Denial of tenure.
- Denial of term renewal prior to tenure review.
- Formally considering an option to leave the university without having an employment offer "in hand".
- Any type of retention negotiation with U Albany in which leaving the university is an option.
- Early retirement (i.e., prior to age 65).

You may find that certain of the categories of data that we are requesting do not apply to all of the relevant faculty in your department (i.e., professors who were hired with tenure at the Associate or Full level obviously did not experience a pretenure review). In such cases, please simply enter N/A in the appropriate cell in the spreadsheet and/or add a comment in the last column of the entry.

A very important item in the spreadsheet concerns the contact information of the people you identify. We are planning on asking these individuals if they would be

willing to be interviewed so as to give us a clearer idea of the reasons underlying their decision to either stay at the university or leave. All information gleaned from interviews will be reported in the aggregate, none of the individuals will be named in the resulting report, and retention patterns in departments will not be assessed. We are simply looking for broad patterns that affect our retention of faculty at UAlbany.

To reiterate, we not asking you to provide information about all of the faculty in your department, but rather about only those who have experienced a retention "situation."

We are keenly aware that all of you already have very high workloads. We are hoping that the institutional memory in each of your departments will make this task relatively quick and easy.

After completing the spreadsheet, please send it back to both myself (dstrait@albany.edu) and Tine Reimers in the Provost's office (CReimers@albany.edu). Please add the name of your department to the name of the Excel file. We would very much appreciate hearing back from you by March 15.

Thank you in advance for your assistance. I hope you share with the Provost the conviction that it is important to retain the faculty in whom the university has invested.

Sincerely,

David Strait

Chair, CLUE Retention

Assoc. Chair, Anthropology Assoc. Prof., Anthropology

Director, Human Biology

Thank you for agreeing to an interview with one of the members of the UAlbany Career, Leadership and University Excellence (CLUE) Planning Group on Faculty Retention. All information that you provide us, whether orally during the interview or in written form on this questionnaire will be kept anonymous, and no identifying information will be attached to any of your responses. We are collecting gender and ethnicity information only to determine if there are differences between different groups in terms of UAlbany's retention efforts and achievements. Please be as candid as you can on the questions below and during the interview (to be scheduled at your convenience if it has not already been).

Please circle the response that best corresponds to your experience. Recognizing the complexity of a decision about your own future, we would like to find out to what extent the variables listed below influenced your decision to stay <u>or</u> to leave UAlbany, whichever one you chose to do.

With 1 = "not at all" and 7 = "a great deal," and taking into account <u>all</u> the facets of your situation at UAlbany as a whole, how much did the variables below affect your decision?

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Faculty Retention Interviews Protocol

Note to Interviewers: it is useful along the way to stop and reflect back or repeat what the person has said about a particular question to make sure that you have understood their answer correctly. Doing this also often elicits more information and a deeper answer than the initial question can bring forth.

What you say:

Thank you for agreeing to have this conversation with me. As I explained in my initial email/phone call, UAlbany is interested in finding out why faculty members leave the institution, and also, if they decide to stay, why they do so. You will not be identified with any of your answers on the questionnaire nor in this interview: all responses will remain anonymous.

As you consider my questions, think back to where you were in your career and attitudes when you had the opportunity to leave UAlbany, and how you felt at that time:

For those who left UAlbany voluntarily,

- 1. When (what year) did you leave UAlbany?
- 2. What, if anything, could the University have done to convince you to stay?
- 3. What factors contributed to your wanting to leave in the first place?
- 4. When did you start thinking about looking for another job?
 - At what point in your career?
 - O What specifically prompted you to start looking for another job?
- 5. What are the two things that were **most important** to your decision to leave?
- 6. How did you feel about the process of leaving?
 - Your chair's or colleagues responses to your leaving?
 - o The way in which a retention offer was handled, if any?
- 7. Even though you left, what positive factors about being at UAlbany were overcome?
- 8. How do you feel <u>now</u> about your decision to leave?
- 9. Is there anything we haven't asked about that would help us understand why people stay or leave?

I will email you the interview notes to make sure that I got things right, haven't left things out and haven't misrepresented anything. Our committee is meeting on February 14th to talk about interview results, so if you want to add or correct anything, it would be very helpful if you could do so before then. Thank you for all your help!

For those who were retained in spite of interest from outside UAlbany

- 1. When (what year) did you accept your retention package at UAlbany?
- 2. To what extent was the decision influenced by the counter-offer?
 - Can you tell me a little bit about how the counter-offer was handled, and how you felt about the process?
- 2. What are the two things that were most important to your decision to stay?
 - You mentioned X was really important, can you tell me more about that?
- 3. At what point in your career here at UAlbany did you start thinking about looking for another job?
 - O What specifically prompted you to start looking for another job?
 - o Were you approached/recruited or did you apply for the job?
- 4. Even though you stayed, what factors about being at UAlbany might convince you to leave at a future time?
- 5. How do you feel <u>now</u> about your decision to stay?
- 6. Is there anything I haven't asked about that would help us understand why people stay or leave? Anything you want to add?

I will email you the interview notes to make sure that I got things right, haven't left things out and haven't misrepresented anything. Our committee is meeting on February 14th to talk about interview results, so if you want to add or correct anything, it would be very helpful if you could do so before then. Thank you for all your help!

<u>Note to Committee</u>: Here we will use the questionnaire topics to help us code answers. They are our best guesses from the start. Others might arise as themes if they're strong enough.)