

SAMPLE Retention Lump Sum Request Form

(Example of a completed request)

OVERVIEW: The Retention Lump Sum Program at UC Santa Barbara is intended to provide additional means to campus departments to reduce attrition and retain critical staff. Under the program’s guidelines, department heads may seek approval to pay a retention lump sum to eligible policy-covered career staff to minimize staff vacancies and ensure business continuity when circumstances warrant. In exchange for the retention lump sum payment, the employee agrees to remain in their current position for a minimum of 12 months. A department’s ability to seek approval for a retention lump sum payment is contingent on the availability of funds from existing departmental resources.

DEPARTMENT	TEST SAMPLE
REQUESTED FOR (EMPL NAME AND ID)	Sally Employee, EMPL ID: 12345678
JOB CODE and JOB TITLE	4575, Student Services Advisor 3
POSITION #	98765432
CURRENT RATE OF PAY: Enter Hourly rate for non-exempt or Annual rate for exempt employees	\$62,700
TOTAL DOLLAR AMOUNT OF RETENTION LUMP SUM PAYMENT REQUESTED	\$6,270
LUMP SUM PAYMENT AS A PERCENTAGE OF BASE PAY (e.g., Total Dollar Amount / Annualized Base Pay = %) For non-exempt: Annualized Base = Hourly Rate x 2088 Requests for a Lump Sum payment exceeding 10% of annual base pay must explain rationale in the *Request for Exceptional Case section.	10%
EMPLOYEE MEETS ALL OF THE ELIGIBILITY CRITERIA Confirm the employee meets eligibility criteria. <ul style="list-style-type: none"> ● Holds a policy-covered (non-represented) career PSS or MSP appointment ● Successfully completed their probationary period (applies to career PSS appointments) ● Received a performance rating of “Successful” or better in the most recent performance cycle and no documented disciplinary action for performance or misconduct ● Has not previously received a retention lump sum within the past 24 months (based on the date of the receipt of the single lump sum or first installment of a lump sum payment) 	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO If NO is selected, the employee is not eligible to receive a Retention Lump Sum payment at this time.
PROPOSED PAYMENT SCHEDULE FOR LUMP SUM PAYMENT <input checked="" type="checkbox"/> Paid in a single payment at the inception of the 12-month service period. <input type="checkbox"/> Paid in two approximately equal installments; first payment at inception, 2 nd payment at 6 months. <input type="checkbox"/> Paid in four approximately equal installments; first payment at inception, 2 nd , 3 rd and 4 th payment at 3-month intervals. <input type="checkbox"/> Paid in 12 approximately equal installments for monthly paid employees or 26 approximately equal installments for biweekly paid employees. <input type="checkbox"/> Other (Explain in Additional Information section)	
SELECT ONE OR MORE JUSTIFICATION REASONS THAT APPLY TO YOUR REQUEST	

- To retain an eligible staff member upon notification that they have received a competing job offer.
- To retain an eligible staff member who is considering employment elsewhere due to market pay conditions where they can earn significantly higher compensation for similar work in other organizations.
- To retain an eligible staff member in a difficult to fill position who is considering employment elsewhere.
- To retain an eligible staff member when there is a critical need of the employee to remain in their position for the accomplishment of the department’s programs during the next 12 months.
- To retain an eligible staff member when there is a critical need for the unusually high or unique qualifications of the employee, or a special need for the employee’s services during the next 12 months.
- To retain an eligible staff member when they are assigned to a critical project that requires the special skills of a combined team for successful completion during the next 12 months. In these cases, the department head must demonstrate that the project is critical to the accomplishment of the division and/or campus goals, outline the contributions of the individual employee within the combined team, as well as the anticipated difficulty in replacing that skill set should the employee obtain employment elsewhere.

ADDITIONAL INFORMATION TO SUPPLEMENT THE JUSTIFICATION REASON(S) SELECTED ABOVE

Provide the details and circumstances that support your request. In addition, *UCOP requires that the justification address the following two points:*

- 1) Why the employee may not be retained without a retention lump sum payment; and
- 2) If the employee’s current annual base salary is less than the Career Tracks salary range midpoint, provide information on why the employee’s salary is not “at market” and how the retention lump sum will help retain this employee.

The TEST department is requesting approval for a retention lump sum for Sally Employee to avoid a significant disruption in the department’s services and the resulting unmanageable workload on the remaining staff should she leave her position at this time. Sally Employee joined the TEST department in 2017 and has excelled as the Graduate Program Advisor during these past 5+ years, to the point that she has become the department expert in the processes and policies pertaining to the administration of its graduate programs. It is anticipated that several similar jobs will soon be vacant in other campus departments due to upcoming June 2023 retirement announcements, and it is expected that Sally Employee will be recruited by these other departments in an attempt to fill their vacancy with a seasoned student academic advisor. Simultaneously, the department chair has received notification of the retirement of the department’s business officer (June 2023) and the upcoming parental leave of its Academic HR Analyst (August 2023). The loss of Sally Employee at this time would be devastating to the department’s graduate program because these two staff members (business officer and academic HR analyst) are the only ones who could potentially perform the work required for the cyclical demands of the graduate admission/recruitment cycle and the quarterly assignments and funding of TA positions. The potential loss of the Graduate Program Advisor during this period will create an excessive hardship for the department staff, which is already under significant pressure to plan for a recruitment for the business officer vacancy and arrange to backfill the Academic HR Analyst job duties. Additionally, this position has proven to be difficult to fill, typically remaining vacant for at least six months before a successful offer has secured a new incumbent. The approval of the retention lump sum payment will significantly reduce the likelihood that Sally Employee may be recruited away from her position during this critical time where continuity of department services may be severely impacted in multiple areas.

The employee’s current salary of \$62,700 is below the Career Tracks grade 19 midpoint of \$74,300, and just below the 25th percentile of \$64,700. Although the employee received a 15% reclassification increase in 2019, the department has not been able to identify permanent funding to ask for further movement into the salary range (in the form of an equity increase), due to other competing and important financial priorities within the department. The campus salary average for this job code is \$69,800 with an average of 9 years of service. The value of the lump sum would bring her annual compensation to \$68,970 (\$62,700 + \$6,270), which is slightly below the campus salary average for this job. Sally Employee is a strong performer and will be sought out in the next several months due to the impending retirements in other departments. The retention lump sum payment is intended to demonstrate the department’s acknowledgement of her critical role and sincere desire that Sally Employee remain with the department through the next 12 months by providing additional compensation to minimize the incentive to simply change jobs for increased compensation.

***REQUEST FOR EXCEPTIONAL CASE (REQUIRED FOR REQUESTS EXCEEDING 10% OF ANNUAL BASE PAY)**

UCOP requires that the justification provide specific rationale to justify the exceptional amount requested. Maximum limit is 20% of annual base pay.

n/a	
PROPOSED 12-MONTH SERVICE PERIOD FOR EMPLOYEE RETENTION (Start date may be based on the date submitted for control point approval, the date the request is approved, or the date of the first payment.)	START DATE March 1, 2023 END DATE February 29, 2024
PROPOSED REPAYMENT PROVISIONS Department head acknowledges that if the employee leaves their position (voluntarily or involuntarily), the employee will be required to repay a prorated amount for any portion of the retention lump sum paid in advance. The amount of repayment will be prorated based on the number of months completed in the 12-month service period. As an exception to the above, the department head agrees to allow the employee to retain the lump sum payment upon a voluntary promotion or lateral transfer when it occurs within the same department. <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
FUNDING SOURCE	
For the Division of Academic Affairs, these requests should be routed to the Executive Vice Chancellor's office for control point approval, through the appropriate Divisional Dean/Associate Vice Chancellor.	
APPROVAL: DEPARTMENT/UNIT HEAD	DATE
APPROVAL: DEAN OR ASSOCIATE VICE CHANCELLOR	DATE
APPROVAL: EVC OR DESIGNEE	DATE

For all other divisions, Directors/Department Heads should route these requests to their Vice Chancellor's office for control point approval, through the appropriate Associate/Assistant Vice Chancellor.	
APPROVAL: DEPARTMENT HEAD/DIRECTOR	DATE
APPROVAL: CHIEF FINANCIAL OFFICER	DATE
APPROVAL: ASSOCIATE/ASSISTANT VICE CHANCELLOR	DATE
APPROVAL: VICE CHANCELLOR OR DESIGNEE	DATE

Note to Campus Control Points: This Form may be modified by expanding/adding to the model form provided here. Please consult with the Compensation unit before removing sections/items from the model form to ensure that the changes will comply with the information requirements set forth by the UC Office of the President.