

# **“Working through negotiations to hire your top faculty candidate”**

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**Abstract:** This session will explore the process of negotiating with a faculty candidate to lure them to your university while also making sure they understand the assessment process for getting tenure. We will discuss how salaries are determined, how start-up offers are determined and distributed, and what is typically included in a start-up offer for a position in which research excellence will be a major component of gaining tenure. We will also discuss how different institutions deal with spousal/partner accommodations and a candidate's possible need for a delayed start date. Finally, we will discuss how we tell the person about teaching, research and service expectations in the pre-tenure period and the assessment process.

If you want the slides...

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## Negotiations and Offer Letters

*how salaries are determined, how start-up offers are determined and distributed, and what is typically included in a start-up offer for a position in which research excellence will be a major component of gaining tenure.*



**Simon Rhodes, IUPUI**

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## Recruitment

- Opportunity to genuinely excel in research & teaching
- Competitive startup package for research
- Research facilities
- Strong undergraduate and graduate students
- Science-rich environment for collaborations
  - Major health schools, companies, etc.
- City has high quality of life with low cost of living

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## Salary

- We are non-union
- Salary is negotiable
- But we are somewhat constrained by our existing salaries
- Compression; Inversion

## Startup

- Note - We operate under Responsibility Centered Management (RCM) so the funds come from the College (= School).
- Note – This would be for a faculty member with an expectation of research excellence but who would also be expected to perform very satisfactorily in teaching and service.

- We ask candidates to have a list of needs prepared...
  - what they will need daily, weekly, monthly, etc.

- The question is...

**What is required to successfully  
start the faculty member?**

- Not a formula - especially for experimentalists



**Negotiation**: Dean's office + department chair and often faculty are involved in discussions to look for common equipment, optimal space, core facilities, to help best understand the disciplinary needs, etc.

- Not a formula - especially for experimentalists
  - People, animals, and analytical equipment are especially expensive.
  - Mass spectrometers are all different. No two are the same. If you already have 10 or 100 of them, it is 100% certain that the new person will want a different kind.



- Negotiations do not always diminish the package! We have given more funds to faculty than their original list requested because new faculty do not always see the big picture.
- Candidates that are willing to share some things reduces costs, shows they are a team player, and demonstrates our collaborative culture.

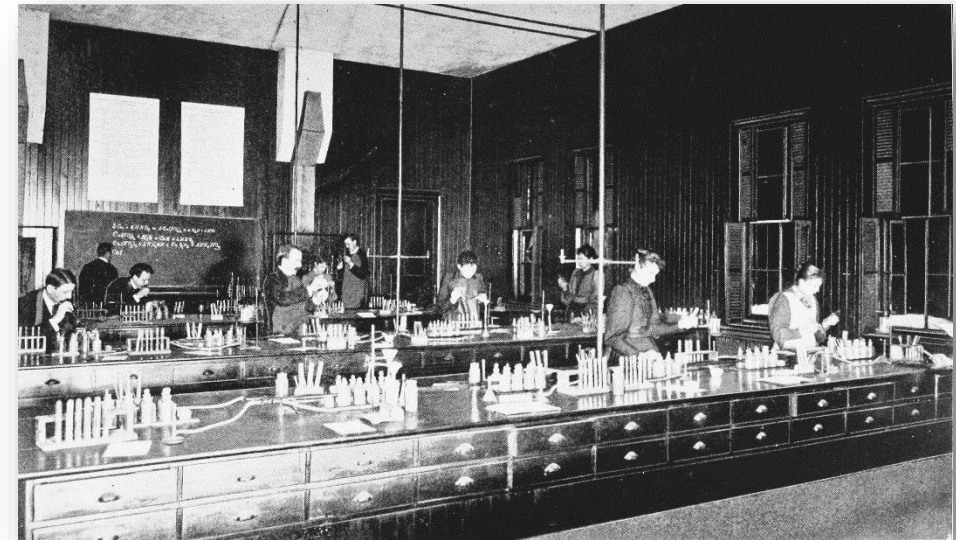
- Startup lasts 3 years - can be extended if faculty member is demonstrating good momentum in terms of grant proposals, publications, mentoring, etc.
- Some minor components contingent, e.g. if faculty gets grant to cover summer salary beyond 1st year we are off the hook.
- Rest of startup does not disappear if faculty get a grant.
- All startup money is provided up front in a specific account.
- After the account is set up, we do not micromanage the accounts – faculty can use the money for different purposes (in accord with University rules) - except that the grad student support is not fungible and summer salary is capped.

Comparing “startup” dollar numbers between institutions can be misleading – for example, some institutions include faculty salary and benefits in that calculation.



# Space:

- More than square feet
- Layout and utility
  - bench space, wall space, special needs
- Location
  - proximity to animals & core labs
  - contiguous with space of others in the unit ([visibility](#) and [mentorship](#)).



## **Offer letter**

- University boilerplate (Trustees in charge. Rules may change. Background checks, etc.)
- Salary and benefits information
- Appointment type (e.g. 9-, 10- or 12-month) and reappointment dates and cycles
- Promotion and tenure rules and timings.
- Teaching will be assigned by department chair – the load levels are specified, including a lighter load at first
- Startup components usually provided as additional detailed list including space and any renovation agreements
- Mentoring, etc.

**Offer letter expectations...** *“Please note that advancement in rank and tenure requires documented evidence of successful teaching and service and of an active research program such that you have met the requirements established in the Promotion and Tenure Guidelines. Your appointment will be subject to all applicable policies and procedures of the university as may exist from time to time. Your area of excellence for purposes of tenure will be research. **Excellence in research is indicated by a productive record of peer-reviewed publications in quality media, the securing of external funding to support that work, and the beginnings of a national reputation as a research scientist.**”*

# **Working Through Negotiations to Hire Your Top Faculty Candidate**

Spousal/Partner Accommodations



# Greater Expectation

- Academic Culture becoming more responsive to spousal/partner accommodations
- Expectations are higher on the part of candidates
- Competing with other institutions:
  - Funding Resources are greater
  - Culture of accommodations established
  - Office that deals with these and a formal process (NSF ADVANCE Grants)

# Why Should We Do it?

- Attract and Retain Good Faculty
  - Couples More likely to Stay
- Candidates more enthusiastic about taking position.
- Helps Diversify faculty and the Institution
- Value Added to the institution
- Successful Partner hires help faculty morale

# Types of Accommodation

- Tenured/Tenure Track Position
  - Same Department
  - Another Department in your College
  - Department in Another College
- Non-Tenure Track Position
  - Part Time
  - Full Time
  - Temporary
- Staff Position
  - Your College or somewhere in university
- All of the Above at Another Academic Institution in Your Local Area
- Non-Academic Position
  - Officer Dedicated to Search in the Community (Does this work?)

# Challenges

- Inevitably becomes apparent late in the hiring process (after offer is made)
- Impact on long range hiring plans
  - Will departments surrender anticipated positions to accommodate the partner?
- Funding
  - Phase-in funding with help from ADVANCE grant
  - Provost funds with “mortgage” on next faculty vacancy
- Lingering resentment in “host” department if they feel coerced or original hiring department if “host” declines partner accommodation
- Difference in partners’ records at retention/tenure time
  - You will likely lose both if one underperforms

# Role of the Dean

- Dean's Role as Facilitator?
- Resources key
  - Work with Provost, Diversity Office, departments, other Deans to build consensus
- Strive to Create “win-wins”
  - Don't ride roughshod over departmental opinions but try to bring them along
  - Won't always happen
- If can't make two TT hires keep door open with other options in short term
  - Teaching positions
  - Research Faculty positions (if soft money available from candidate or VPR)
  - Staff Position
  - Contact other colleges in your locale

# Conclusion

- Overall these are beneficial to research institutions but to make these work need to have in place:
  - Culture Shift
  - Infrastructure
  - Process/Practices
  - Resources

# **Describing expectations and evaluating progress**

## During Hiring Process

- Share written departmental tenure criteria – but they vary in specificity
- Everyone agrees that quality is what counts
- But in private most will say what degree of productivity is typical or expected
- Have asked departments to spell this out in written criteria



# Assessing Progress

- Annual evaluations can be misleading about progress towards tenure
- Unionized faculty
- Parallel evaluation of tenure progress
  - In years 2, 3, 4, 5
  - Tenured faculty, chair, and dean
  - Cumulative progress – not readiness
  - Designed to promote success
  - Should be no surprises

## Assessing Progress

Took time for departments to understand that the task is to evaluate progress for a person in their second or third or fourth or fifth year – not to declare whether the person is ready for tenure today

# Assessing Progress

Some departments have explicit timelines

## Teaching:

### Year 1

Satisfactory  
teaching

### Year 2

Satisfactory  
teaching;  
graduate  
program  
starting

### Year 3

Satisfactory  
teaching; active  
graduate program

### Year 4

Satisfactory  
teaching; active  
graduate  
program

### Year 5

Satisfactory  
teaching; total of  
three course  
preparations  
(undergraduate,  
graduate, another);  
active graduate  
program

# Research:

Year 1	Year 2	Year 3	Year 4	Year 5
Submitted extramural proposal; secure any available in-house funding; publish papers from prior work; annual presentation at a national meeting	Resubmitted and new extramural proposals; begin generating new data; publish papers from prior work; annual presentation at a national meeting	Secure extramural funding commensurate with research needs; submit/publish papers from UCF research; annual presentation at a national meeting	Secure extramural funding commensurate with research needs; publish papers from UCF research; annual presentation at a national meeting	Secure extramural funding commensurate with research needs; publish papers from UCF research –from Yrs. 1-5, total ~5 peer-reviewed, ISI indexed papers based on research done at UCF; annual presentation at a national meeting

# Service:

Year 1	Year 2	Year 3	Year 4	Year 5
None	Departmental committee(s)	Departmental committee(s)	Departmental committee(s)	Departmental, college and/or university committee(s)

## **Benefits of this approach**

- Even in departments with less explicit timelines, the progress evaluations are an opportunity to state what might otherwise be unstated expectations
- This is also an opportunity for the dean to weigh in
- No surprises

## **Benefits of this approach**

We talk about it during interviews, and this may help candidates view us favorably