OVER THE RAINBOW

UNDERSTANDING THE FACULTY SALARY INCREASE FORM
• Purpose of this presentation

• Faculty Salary Increase Request form aka “Rainbow form” review
  • Rainbow form general information
  • Rainbow form reason codes
  • Rainbow form justifications

• Do’s and Don'ts

• Common issues that delay approval and how to avoid them

• ePars and salary increases

• Understanding the rainbow form submission schedule
UNC System schools were notified by the UNC System Office in February 2015 that an additional committee review of all faculty salary increase requests had been implemented prior to the existing full review by the Board of Governor’s Personnel and Tenure Committee.

As a result, the requests for faculty salary increases are receiving additional scrutiny and the importance of a well-documented justification is paramount for any recommendation for a faculty salary increase to proceed to the full UNC Board of Governors.
FACULTY SALARY INCREASE REQUEST FORM

(aka the “RAINBOW” FORM)

HTTPS://ACADEMICPERSONNEL.UNC.EDU/FILES/2018/03/FACULTY-SALARY-INCREASE-REQUEST-FORM_V312018-1.XLSX
• Used to communicate recommended faculty salary increases to the Provost
• For faculty members, use the faculty version of the form and not the non-faculty version
  • Faculty Salary Increase Request Form v312018-1 is the most recent version of the faculty form
• All salary increases that go to the System Office must also be submitted on the BOT agenda
• Salary increases for Post-Docs, Fellows, and other EHRA/SHRA temporary or Regular employees hired into a permanent faculty appointment require preapproval, so a rainbow form must be submitted. The rainbow form will indicate the level of approval needed, ie APO or SO
• You should not submit an ePar for a salary increase until you receive the salary increase approval notification from APO
• Be sure to attach the fully executed rainbow form pdf to the ePar in ConnectCarolina, as well as any other supporting documents, like the appointment letter
### WHAT'S WRONG WITH THIS FORM

1. No Department Number
2. No New Rank/Title
3. No CUPA code
4. No source of state funds for total recommended salary
5. No department average
6. No 50/75th percentiles
7. No salary range
8. No increase applied to
9. No reason code
10. Limited justification
• **1a: “Internal Competitive Event”** – Employee applies for an internally recruited job vacancy, is selected competitively, and changes jobs to a different position
  - A current UNC employee applies through a UNC internal-only recruitment and is selected for a new faculty job (originator must include details of the recruitment in the justification); or,

• **1b: “External Competitive Event”** - Employee applies for an externally recruited job vacancy, is selected competitively, and changes jobs to a different position.
  - This is used only when a current UNC employee applies through an external recruitment and is selected for a new Faculty job (originator must include details of the recruitment in the justification)

• **1c: Promotion – via Waiver -- NEW**
  - A current UNC employee is selected for a new job through a waiver (originator must explain in the justification why a waiver was used and include the waiver number)

• **1d: Promotion – Tenure Conferral and Academic Rank Promotions -- NEW**
  - A current UNC employee applies through an external recruitment and is selected for a new Faculty job that moves them into a higher rank than they already were
• 2a: “Increase in job duties or responsibilities; includes reallocation or reclassification of job”
  • Used for Secondary administrative and faculty appointments
  • Used for additional duties or responsibilities in primary role

• 2b: “Temporary adjustment related to an increase in job duties or responsibilities; salary will revert when temporary duties cease”
  • Faculty Department Head/Chair appointments are not considered temporary increases, even if the stipend reverts, UNLESS the position will be held for a year or less in an interim capacity
  • Temporary increases cannot be “at-will”
• 3: “Retention”
  • Provide evidence of external recruitment (email, offer letter, interview itinerary, etc)

• 5: “University Cancer Research Fund”
  • School of Medicine fund

• 6: “Distinguished Professors Endowment Fund”
  • Used when requesting funding from SO’s Distinguished Professorship Fund
7: “Faculty Recruiting and Retention Fund (Specific allocation from UNC-GA)"
   - Increases approved by the Senior VP for Academic Affairs through the Faculty Recruitment and Retention Fund DO count cumulatively towards the permanent base salary exception process
   - Packet should include letter from Dean/Chair to Provost or Executive Vice Provost with compelling reason for funding request, evidence of outside recruitment, and faculty members CV

12: “Other (must explain in comments)”
   - Includes prevailing wage adjustments for foreign national employees
   - Includes market, equity, and merit adjustments
   - Includes distinguished professorships
   - Very detailed justifications are required when using this code
• The justification should support your increase request and should be presented as a business case, answering four specific questions:
  • What is happening
  • Why it needs to happen
  • Why it needs to happen now
  • How the increase amount was determined

• You should lead with your what you’re asking for

• Justifications should be clear and concise; mini biographies are no longer needed, you’re justifying the increase, not the faculty member

• Make sure its understandable to those who are unfamiliar with your school/department
• A justification you submit and is approved today may be submitted tomorrow and have questions
• Justifications should be in paragraph form, don’t use bullet points, number lists, etc
• The justification shouldn’t differ based on the approval route
• New duties, education/experience, accomplishments since last promo/hire, should be 2-4 concise sentences. The focus is on justifying the proposed salary, not the person or their new role/duties. You may need to expand on special/unique skills, but it should be clear and supportive of the salary amount
• Your salary range, 50/75th, and department average should match, if mentioned in the justification
• Objective language v subjective language is preferred; metrics and comparables should be included
• Effective July 1, 2017, Violet Gray was promoted to Clinical Associate Professor. The School of Peanuts is requesting a 10% increase for the promotion.

• Dr. Brown was recently promoted to Professor effective 1/1/2018. This salary request is inline with that promotion. Dr. Brown also recently received a retention salary increase effective 1/1/2018 (reflected in the salary above).

• The Full Professor Advisory Committee approved an adjunct appointment within Peanutology effective 9/1. He will be appointed at 1FTE with a $95,000 salary. Dr. VanPelt will be increased to five days a week in the Peanutology clinic.
This new faculty recommendation is the result of a new recruitment FAC000XXXX and FAC000XYZZ. There were 16 applicants and 2 were interviewed. Dr. Brown was the most qualified applicant and due to the Department's equity and approval from the EEO/Provost Office, we posted FAC000XYZZ. Dr. Brown has the most directly relevant experience. She has demonstrated her ability as a Project Manager by leading her own research project, funded by a Young Investigator Award from the Peanut Foundation. The posted position involves research in peanut models of Aspergillus flavus and aflatoxins and Dr. Schroeder has the required experience as demonstrated in her dissertation work focused on peanut models of Aspergillus flavus and aflatoxins, resulting in 4 publications, which is a perfect fit in the lab. Dr. Sally Brown, Post-Doc Research Associate, is recommended for the appointment to Research Assistant Professor for a one year fixed-term appointment effective May 10, 2019. The salary request is in line with the Department's most recent other research associates who have been given increases when hired into a research assistant professor fixed term faculty position or to incoming research assistant professors from other institutions. Dr. Brown was awarded her PhD in Peanut science in 2011 from the College of Peanuts and completed her Post-doctoral training at the University of North Carolina at Chapel Hill in Peanutocology. The following Research Assistant Professors were also hired from a Post-Doc position into a Research Assistant Professor with the same salary, Linus VanPelt, Patty Peppermint, Violet Gray.
Dr. Peyton Thompson was recruited for a permanent position at the rank of Clinical Assistant Professor effective July 29, 2019. Dr. Thompson is currently a Clinical Fellow and is working in the Department of Pediatrics. She applied to and was selected for an external competitive recruitment (Vacancy ID FAC 0002509) for a fixed term Clinical Assistant Professor position in the Department of Pediatrics. The position places a strong emphasis on research activities focused on infectious diseases in children with responsibilities including the preparation of clinically relevant publications as well as application and securing of grant funding. The position was posted August 28, 2019 and received four applications with two applicants being interviewed onsite.

For this new permanent faculty appointment to Clinical Assistant Professor in the Division of Pediatric Infectious Diseases, Dr. Thompson’s salary was based on the Association of Administrators in Academic Pediatrics (AAAP) 50th percentile benchmark for specialty and rank and further blended for clinical vs. research effort. The 50th percentile salary for FY19 for a Clinical Assistant Professor in Pediatric Infectious Diseases based on clinical effort at 20% and research effort at 80% was $133,340. During the course of negotiations, Dr. Thompson requested an increase of salary to $135,000 which was approved by the Division Chief and Chair.

Dr. Thompson has had several group research projects focused on infant health, leading to three first-authored publications in top-tier journals. During her residency she developed a passion for vaccination as a prevention measure; she created a training program for residents to converse in a productive manner with vaccine-hesitant parents and studied the effect of refusal of hepatitis B birth dose vaccine on vaccination status at age two. Dr. Thompson has been the recipient of numerous awards during her training and fellowship including Best Overall Pediatric Research Project and Best Clinical Research Project and received intramural grant funds through the Carolina for the Kids grant competition.

Dr. Thompson received an increase to her 6/30 salary due to ARP.
Amanda Thompson, an Associate Professor in Anthropology, has been selected to serve as the Associate Chair of the department effective 7/1/2019 - 6/30/2020. For serving in this role, Professor Thompson will receive the standard $X,500 stipend.

Professor Thompson was selected for this position due to her long service to the department and expertise. In this position, she will oversee the curriculum selections, chair the curriculum committee and organize its business to assist in handling course-related matters, appoint graduate student instructors to lead recitation sections and Graduate Theological Foundation courses, and serve as an ad-hoc member of the advisory committee when it comes to annual reviews of faculty and adjunct instructors.

The stipend will be removed when she is no longer serving in the associated role.

The Gillings School of Global Public Health is proposing a salary supplement of $XX,000 for Dr. Stephen Marshall for being appointed as Interim Director of North Carolina Institute for Public Health (NCIPH) for 8 months, while the permanent position is being recruited. The supplement is in line with other faculty within the School who hold Director positions for Centers such as the Water Institute, Injury Prevention Research Center, and Health Promotion and Disease Prevention.

In this interim role, he will oversee NCIPH that includes approximately 25 staff working on training, technical assistance, research and administrative activities as well as a small seasoned leadership team and a current budget of approximately $5M. He will collaborate with the Associate Dean for Practice and the Executive Director of the Gillings Global Gateway so that NCIPH can harness the individual and collective interest and expertise of the School’s over 1,500 students, more than 200 full-time faculty and over 400 staff members as well as collaborate to ensure the connection between the School’s local to global activities. Dr. Marshall will collaborate across the School, University and beyond with relevant academic and practice leaders and a variety of private and public sector organizations as well as tackle a wide range of strategic and tactical activities, and work closely with diverse academic and administrative professional staff, alumni, donors and other stakeholders.

Dr. Marshall also receives a $XX,000 supplement for serving as Center Director for the Injury Prevention Research Center.

Dr. Marshall received a $X,435 ARP increase to his 6/30 salary.
• Don’t use cents on the form
• Don’t send a new form unless asked for one
• Don’t copy/paste directly to the form, use the formula bar
• Don’t submit the increase request before the waiver has been approved by Rudy Jones, include date of approval
• Do fill in the blanks (use zeros)
• Do use the full FTE numbers in the accounting section of the form, indicate FTE amount/salary in justification
• Do be mindful of the schedule, and how many questions may need to be answered when submitting a request
• Stipends can’t be “transferred”. If one is ending and another is beginning, even if they are the same dollar amount, a request needs to be submitted. If a stipend is being increased, a request needs to be submitted
• If there is a chance that a 2b (temporary) stipend will last longer than 12 months, submit as a 2a, so you don’t have to resubmit at the end of 12 months; Interim or acting roles cannot be at-will, they do need to be requested as 2b’s, with an end date of 12 months or less
COMMON ISSUES THAT DELAY APPROVAL

- Failure to provide details on a competitive event.
- Not providing the salary range, 50/75\(^{th}\), and department average.
- Non-state fund sources are indicated, but the source is not provided.
- Lack of attestation that all appropriate campus policies have been followed.
- The current salary differs from the June 30 salary, but no explanation for the earlier increase is provided in the justification.
- Poorly written justifications; lack of detail, poor flow, poor spelling/grammar.
- Failure to respond to questions in a timely manner.
- Incomplete forms.
• Documentation needs to match – proposed salary should match salary in appointment letter
• Secondary appointments should have supporting documents, rainbow form, appointment letter, etc
• Effective dates on the ePar should match the approved effective date on the rainbow form. If there is a need to change the effective date, please let me know before submitting the ePar
• Add a comment to the ePar for a secondary administrative appointment that is part of the new hire stating it is part of the new hire
• Don’t attach old forms to new ePars, it’s not required when reappointing. If there is a change to the salary, a new request, therefore a new form, would be needed
• You can never comment too much!
NEW FORM SNEAK PEAK!

- Drop Downs
- No CupA Code
- Auto Calculating 50/75th
### UNDERSTANDING THE SUBMISSION SCHEDULE

#### Faculty Salary Increase Review & Consultation and BOG Submission and Effective Date Schedule FY 2019 – 2020 *

<table>
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<th>Submittal Deadline to APO **</th>
<th>Earliest Effective Date Month *** (When BOT/SGO Approval Required) 1 month retro effective date allowed for APO approved items</th>
<th>Board of Trustees Review Date</th>
<th>System Office Review &amp; Consultation</th>
<th>Board of Governor’s Review Date</th>
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Business Writing Essentials (BE1000)
The Art of Business Writing (BE1600) (Sept)

Email faculty salary request forms to:
pir@unc.edu

If you would like a pdf copy of this presentation, it will be emailed to your Dean’s office HR Lead(s)