Memos to Pres

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State University of New York

Memorandum to Presidents

Date: May 7, 1973 Vol. 73 No. 3

From: Office of Personnel and Employee Relations

Subject: Promotion Appeals

In anticipation of the second round of appeals concerning promotions for NTPs in the Professional Services Negotiating Unit, a review of existing procedures would probably be helpful.

As defined in Article XII, Title B, §2(a) (2), of the Policies of the Board of Trustees:

> "Promotion" shall mean an increase in a professional employee's basic annual salary without a change in title by movement within rank or to a higher rank, or with a change in title within rank or to a higher rank:
>
> (2) resulting from a permanent significant increase or change in his duties and responsibilities as a consequence of a permanent increase in the scope and complexity of function of his position.

As you know, an employee may appeal for a promotion if his job duties have permanently expanded so that his salary and/or grade and/or classification are no longer appropriate for his job. His performance of his original duties must have met the requirements of the five criteria for promotion as set forth in Article XII, Section 5, of the Policies of the Board of Trustees. He must also meet the requirements of the five criteria in the execution of his newly assumed duties.

An employee may appeal for a promotion if the newly assumed duties and responsibilities are permanent and have been assigned since the time of initial ranking.

According to the Memorandum of Understanding executed by SUNY and SPA on this subject:

> "Applications for promotion must be made by completing forms to be provided by the University and submitting them to the Campus Promotion Review Panel." [Page 5(2).]

Forms have been provided by the University, after consultation with SPA, for the appeals of Professional Rank Assignment which had to be submitted to the Campus Promotion Review Panel by March 12, 1973. (See Joint SUNY-SPA Statement dated February 9, 1973.)

Enclosed is a copy of the form which should be used by employees seeking promotions within their present positions. A supply of this form should be reproduced locally and maintained both in the Personnel Office and with the Promotion Review Panel. There is no time limit for submitting second round appeals. A complete outline of the promotion appeal procedure follows:

(a) Any professional employee may initiate a promotion appeal by obtaining a Promotion Appeal Form from the Campus Personnel Office or from members of the Promotion Review Panel.

(b) The completed form must be submitted to the Promotion Review Panel for review. The appellant may submit additional information if he chooses.

(c) Upon receipt of an appeal, the Promotion Review Panel should forward a copy of the Promotion Appeal, together with the Supervisor's Comment Sheet, to the appellant's immediate supervisor for completion.

Copies of all evaluative commentary prepared by the immediate supervisor will be forwarded to the appellant.

(d) The Promotion Review Panel shall review the application for promotion. If the Promotion Review Panel determines that the increase in duties and responsibilities under consideration does not warrant promotion, the Promotion Review Panel shall notify the employee, stating reasons for its decision. Further appeal from this determination shall not be permitted.

(e) If the Promotion Review Panel determines that the increase or change in duties and responsibilities warrants promotion, it shall forward its recommendations to the campus president. A copy of the recommendation will be forwarded to the appellant. (The Panel's submission to the president will also include the forms completed by the applicant and the supervisor.)

(f) If the decision is within his discretion, the President may decide whether or not to promote the appellant (i.e., if the promotion can be accomodated within the present PR rank, without reclassification or reallocation).

(g) The decision by the President will be final, as provided by the Memorandum of Understanding of May 4. However, a decision by the campus president which is claimed by the appellant to be arbitrary and capricious

may be appealed on those grounds only to the University Review Board. A copy of such appeal shall be sent to the campus president.

(h) If the decision to promote is beyond the discretion of the campus president, he shall forward his recommendation together with that of the Campus Promotion Review Panel to the University Review Board. This transmittal shall include the forms completed by the applicant and the supervisor. A copy of the campus president's recommendation, if any, shall be sent to the Promotion Review Panel and the appellant.

(i) The University Review Board shall consider appeals from decisions of the campus president not to promote which are claimed to be arbitrary and capricious, and shall consider promotions which are beyond the discretion of the campus president.

Upon concluding its review, the University Review Board will render a decision, a copy of which will be furnished to the president, the Promotion Review Panel and the appellant. The Board's action shall be final, provided that promotions shall be subject to approval of the Division of the Budget.

(j) A file of the documents referred to above will be available at the Office of Personnel and Employee Relations in Central Administration for the examination of the appellant or his properly designated agent.

(k) Documents used in the appeal procedure shall be kept confidential, available only to the appellant and those persons required to process the appeal.

Kenneth M. MacKenzie

Enclosures

cc: Chancellor Boyer
Promotion Review Panel

Distribution as follows:

Presidents of State-operated campuses
Promotion Review Panel
Chancellor Boyer (8 copies)
Central Staff:
- Mr. Block
- Mr. Dearing
- Mr. Ertell (2 copies)
- Mr. Ingler
- Mr. Lanford
- Mr. Relihan
- Mr. Smoot
- Mr. Spindler
- Mr. Thorne (2 copies)

STATE UNIVERSITY OF NEW YORK
Promotion Appeal

NAME: _____ CAMPUS TITLE: _____

LINE #: _____ OFFICIAL STATE TITLE: _____

DEPARTMENT: _____

SUNY CAMPUS: _____

SUPERVISOR'S NAME: _____

Please forward the completed Appeal form to the Promotion Review Panel for evaluation.

SECTION I

1. Describe the permanent and significant increase in your duties and responsibilities that has occurred since the time of your initial ranking:

SECTION II

As part of the review process, the Promotion Review Panel will be examining the current scope and complexity of your job duties and responsibilities, as well as other pertinent data you may wish to present.

Questions 2-8 relate to specific aspects of your job. Although it is understood that the information contained therein may not be the only basis for your appeal, please answer all the questions to the best of your knowledge. Please include any information which will help the Panel in evaluating how your job has changed in each area.

2. Please list the principal responsibilities and duties you perform in this position, describing each duty in detail. In the column on the left give your best estimate of the amount of total working time (in percents) that is taken up by each kind of duty described. You need not indicate the percentage of time allocated to minor or infrequent duties.

Estimated % of time	Duties

3. Of the above-listed duties, which three do you consider the most complex? Please describe these duties in detail (in order of difficulty).

4. In your judgment, what is the minimum education required for your position? Why?

5. In addition to formal education, do you feel that on-the-job experience is required? If so, how much and what kind(s) of experience?

6. Please comment on the type and extent of supervision you receive.

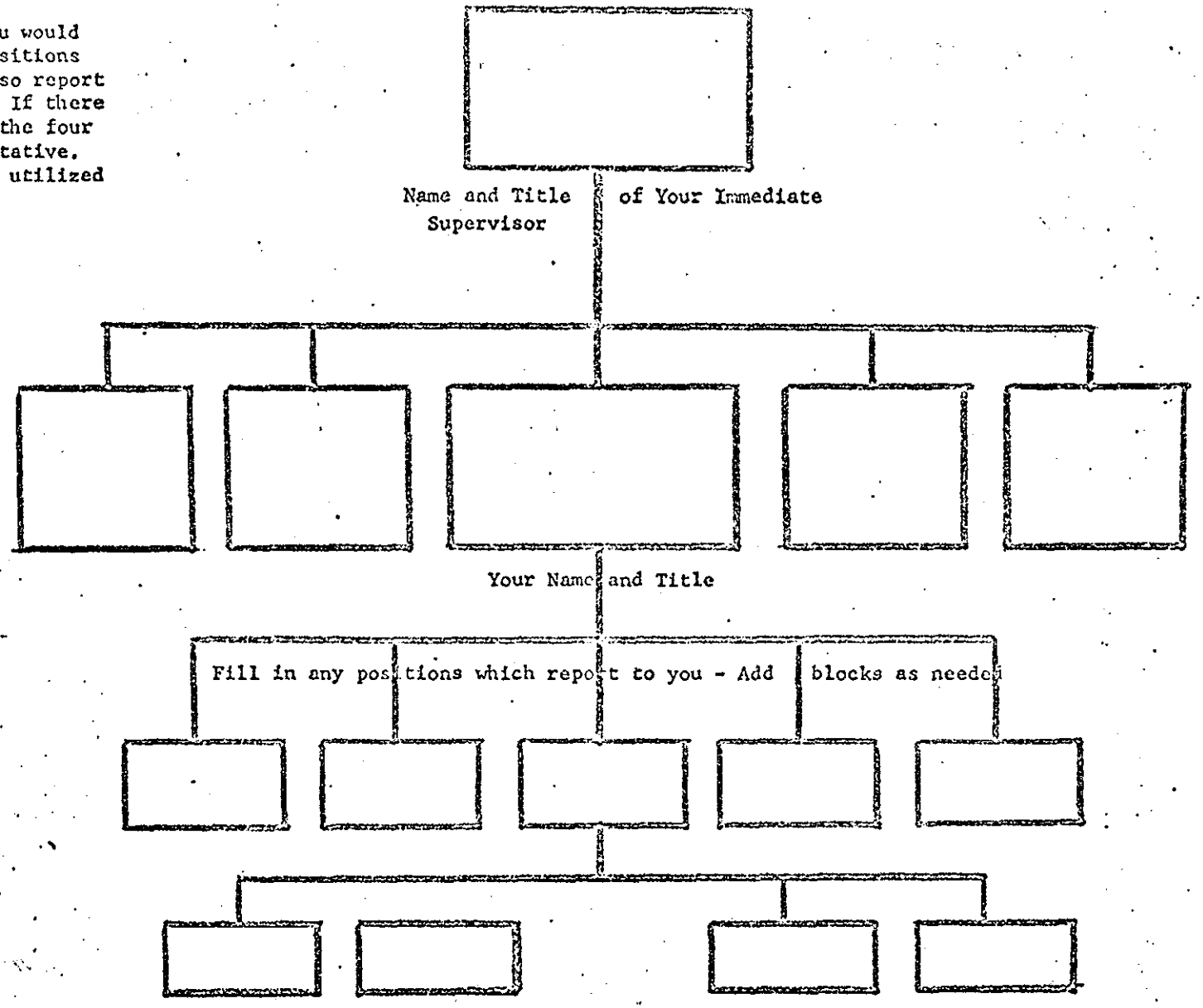
7. What do you feel are the most serious consequences for the University (in order of importance) that most probably would result from errors by the incumbent?

8. Please write a brief statement about the people, offices or "publics" that this position deals with, contacts or supervises.

9. Give examples of sensitive or confidential data which the incumbent of this position is required to understand and work with.

ORGANIZATION CHART - REPORTING RELATIONSHIP

t would be most helpful if you would
ill in titles of all other positions
nd names of incumbents who also report
o your immediate supervisor. If there
re more than four, show only the four
ou consider the most representative.
lso further identify each box utilized
y Line # and salary grade.



SUPERVISOR COMMENT SHEET

Please comment on statements of employee. Indicate any exceptions or additions.

_____ Date

_____ Immediate Supervisor's Signature

Statement of Department Head or Other Administrative Officer.

Comment on the above statements of the employee and the supervisor. Indicate any inaccuracy or statement with which you disagree.

_____

_____

_____

_____

_____

_____

Date: _____

_____ Department Head

Date: _____

_____ Officer Signature