

## **Appendix 2: Procedure for Review of Promotion Files for Technical Staff and Senior Departmental Assistants**

There are 3 major groups of positions on the Technical and Senior Department Assistants Ladders:

- GROUP 1
  - Senior Research Assistant I and II
  - Senior Engineering Assistant I and II
  - Senior Information Systems Assistant I and II
  - Research Associate I, II and III
  - Engineer I and II
  - Research Engineer
  - Information Systems Associate I, II and III
- GROUP 2
  - Research Specialist
  - Senior Engineer
  - Information Systems Specialist
- GROUP 3
  - Senior Research Specialist
  - Principal Engineer
  - Senior Information Systems Specialist

The procedure for promotion in all three groups begins with the following:

1. The department informs the Executive Assistant to the Director of Research (x2519) of a candidate coming up for promotion so the file can be added to the Technical Staff Evaluation Council (TSEC) agenda.
2. The department creates one electronic copy of the folder as a zip file in 3 parts and sends it to the Director of Research office for distribution to TSEC members. (CV&Res Statement; Documentation; Letters)
3. The file is made available to TSEC electronically by the Executive Assistant to the Director of Research via a secure ftp site.
4. The file is presented to the TSEC by the supervisor or Department Chair/Center Director or Manager. The Human Resources Director/EEO Officer attends the TSEC meeting to review the file and proceedings and will advise as necessary and appropriate.
5. The Executive Assistant to the Director of Research records and prepares the meeting notes. These meeting notes are approved by the Chair of TSEC and final meeting notes are emailed to the Department Chair/Center Director or Manager.
6. Meeting notes of the TSEC meeting are included in the candidate's file and the Department Chair/Center Director or Manager writes the final memo to complete the file.

The process now takes a different course depending on the position:

### **GROUP 1**

1. The department sends the complete file in hard copy, along with meeting notes of TSEC and the final memo from the Department Chair/Center Director or Manager, to Human Resources. The file should include an Authorization for Personnel Action form with the recommended title and salary. Human Resources will review the salary recommendation and add relevant comments to aid in the decision process. Human Resources signs off on the file to show that it has been reviewed for compensation and EEO purposes. The Authorization for Personnel Action form will then be sent to the Director of Research for review.
2. The Director of Research will assess the Authorization for Personnel Action form. At the discretion of the Director of Research, the file may be requested to be circulated to the Department Chairs if further review and comment is considered necessary.

Note: If the Director of Research requests further review and comments from the Department Chairs, the Department Chairs will have 5 working days in which they must email their comments to the Director of Research.

3. The Director of Research makes a decision regarding the promotion and salary recommendation. If the promotion or recommended salary is not approved, the Director of Research will contact the Chair/Center Director or Manager directly. If the promotion and recommended salary are approved, the Director of Research will sign off on the file and return it to Human Resources. Human Resources will notify the department, prepare the necessary letter, and process the promotion. The effective date of the promotion and salary increase will be the day on which the Director of Research makes the decision to promote (date of signature).

### **GROUP 2**

1. A date for presentation of the file at a formal Staff Council meeting is set. (Since it is sometimes difficult to get on the Staff Council agenda, a date for the meeting should be requested from the Executive Assistant to the Director of Research as soon as possible.)
2. The department makes an electronic copy of the folder in zipfile format (as for Group 1, but now includes the meeting notes from TSEC and the final memo from the Department Chair/Center Director of Manager).
  - o One hard copy file should be sent to Human Resources prior to the Staff Council meeting. This file should include an Authorization for Personnel Action form with the recommended title and salary. Human Resources will review the salary recommendation and add relevant comments to aid

in the decision process. Human Resources signs off on the file to show that it has been reviewed for compensation and EEO purposes. The Human Resources Director/EEO Officer will bring this file to the Staff Council meeting.

- The file is made available to Staff Council members electronically via a secure ftp site, not less than 3 business days from the Staff Council meeting.
3. The file is presented at a formal Staff Council meeting. The Human Resources Director/EEO Officer attends the Staff Council meeting to review the file and proceedings and will advise as necessary and appropriate. The Human Resources Authorization for Personnel Action form is given to the Director of Research.
  4. The Director of Research considers the recommendation of the Staff Council and makes a decision regarding the promotion and salary recommendation. If the promotion or recommended salary is not approved, the Director of Research will contact the Department Chair/Center Director or Manager directly. If the promotion and recommended salary are approved, the Director of Research will sign off on the file and return it to Human Resources. Human Resources will notify the department, prepare the letter, and process the promotion. The effective date of the promotion and salary increase will be the date on which the Director of Research makes the decision to promote (generally the day of the Staff Council meeting).

### **GROUP 3**

1. A date for presentation of the file at a formal Staff Council meeting is set. (Since it is sometimes difficult to get on the Staff Council agenda, a date for the meeting should be requested from the Executive Assistant to the Director of Research as soon as possible.)
2. The department creates an electronic copy of the folder (zipfile in 3 parts, as for Group 1) and submits it to the Executive Assistant to the Director of Research, who makes it available to members of Staff Council via a secure ftp site.
3. The department makes an electronic 'courtesy copy' of the file, containing the CV, Research Statement and Letters of Recommendation and distributes it to those appropriate (non-voting) members of Staff Council.
4. The file is presented at a formal Staff Council meeting. The Human Resources Director/EEO Officer attends the Staff Council meeting to review the file and proceedings and will advise as necessary and appropriate.
5. The Director of Research considers the recommendation of the Staff Council and decides whether or not to proceed with an Ad hoc Review Committee. If the decision is "no," the Director of Research informs the Department Chair/Center Director or Manager and together they discuss it with the candidate.
6. If the Director of Research decides that an Ad hoc Review Committee should be established, the department arranges for a committee of four or five scientific and senior technical people, at least one of which must be from outside the

- Institution. (The department must begin the process with at least 4 reviewers, in case one must drop out at the last minute. The Ad hoc meeting cannot be held with less than 3 members present.) A date that is acceptable to the President and Director and the Director of Research, who attend the Ad hoc meeting, is established.
7. The department sends the official file to Human Resources along with the Authorization for Personnel Action form with the recommended title and salary. Human Resources will review the salary recommendation and add relevant comments to aid in the decision process. Human Resources signs off on the file to show that it has been reviewed for compensation and EEO purposes. The Personnel Action form will then be sent to the Director of Research for review. If the recommended salary is not approved, the Director of Research will contact the Department Chair/Center Director or Manager directly. If the recommended salary is approved, the Director of Research will sign off on the file and will return it to Human Resources. [NOTE: Human Resources will hold the file and will not move forward with the file until a memorandum has been received from the Clerk of the Corporation stating that the promotion has been approved by the Executive Committee.]
  8. The Director of Research evaluates the comments of the Ad hoc Review Committee and presents his/her recommendation to the Executive Committee of the Board of Trustees. Process: The department prepares a revised electronic copy of the file including meeting notes from the Ad hoc Review Committee, and emails it to the Board Relations Office/Clerk of the Corporation, for distribution to members of a subgroup of the Research and Education Committee. With the approval of this subcommittee, the Director of Research or the President and Director present the recommendation of the file to the Executive Committee.
  9. The Executive Committee makes the final decision regarding the promotion.
  10. Once the file is approved, the Clerk of the Corporation notifies the Department Chair/Center Director or Manager. A memo from the Clerk of the Corporation will be sent to Human Resources indicating Executive Committee approval. Once this memo is received by Human Resources, a letter will be prepared and the promotion will be processed. The effective date of the promotion and salary increase will be the date on which the Executive Committee votes on the file.

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