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ABSTRACT

This document is one of five manuals designed to improve management practices in Ohio two-year colleges. A chapter on organizing for personnel management discusses basic personnel functions, roles and responsibilities of administrators, and the need for a central statewide office of personnel affairs. A chapter on planning, policies, and procedures in personnel management discusses methods for determining objectives for personnel management and for translating goals and objectives into functional activities. A chapter on personnel functions discusses wage, salary, and fringe benefit determination; manpower planning and forecasting; personnel retrenchment; testing in personnel screening; employee orientation; retirement and pre-retirement counseling; instructional workload; tenure; the development and evaluation of various kinds of personnel; equal opportunity and affirmative action plans; standards of conduct and corrective action; grievances and appeals; associations, unions, and other employee organizations; health and safety programs; and supplementary employment. The final chapter concerns the methods of reporting, controlling, and evaluating the personnel program; it discusses the relation of personnel management to college planning and budgeting, the implementation of a personnel management information system, and procedures for record-keeping. (DC)

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PERSONNEL MANAGEMENT

TWO-YEAR COLLEGES

MANAGEMENT IMPROVEMENT PROGRAM

OHIO BOARD OF REGENTS

MIP

Prepared by a task force of two-year college representatives with direction and staff assistance provided by the Ohio Board of Regents.

July 1, 1973

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Foreword

This manual is one of ten completed in the Management Improvement Program (MIP) during the 1971-73 biennium. In this project, Ohio's 34 public universities and colleges, in an effort directed and staffed by the Ohio Board of Regents, have developed manuals of management practices concerning institutional planning, program budgeting, personnel management, computer services, and schedule building and registration. The project is unique in at least two ways — the improvement of internal management processes is the objective of the program, and the method of undertaking it was mandated by the Ohio General Assembly to be participatory.

House Bill 475, the appropriation act passed by the 109th General Assembly in December, 1971, created the MIP, directing that it be conducted by and within the system of state-assisted universities and colleges under the direction of the Ohio Board of Regents. This legislative action culminated more than four years of active interest by the legislators in improving the management practices of these schools.

In 1967, a joint House-Senate committee, called the Education Review Committee, was created by the General Assembly. Included in its charge was that of monitoring the management practices of the public universities in Ohio. This committee, in conjunction with the Department of Finance, hired a management consulting firm to perform a management study of the nonacademic areas of the 12 public universities and of the state system as a whole. The report of the consultants, published in December, 1969, made about 100 specific recommendations for management improvement. The Education Review Committee remained interested in appropriate follow-up of the study. With the aid of another individual consultant, language was introduced in the General Assembly which was included in the appropriation for the biennium. Some excerpts of the actual language are as follows:

"The purpose . . . shall be to design, test, and install, in each such institution, the most efficient feasible internal organization, planning process, financial management, budget preparation and management, auxiliary services management, space management and plant operation, purchasing procedures and inventory control procedures, student data systems including admission procedures and student registration procedures, management reporting systems, data processing, personnel management, and library management.

Each project is to be conducted in cooperation with a committee of representatives from state-assisted colleges and universities.

The director of each project is to be a staff specialist in the employ of the Board of Regents.

FOREWORD

For guidance in the conduct of each Management Improvement Project, the participants are to consult the findings as set forth in the 1969 Consultant's Report."

Primarily because the appropriation to carry out the program was not commensurate with the depth and breadth of the tasks spelled out in House Bill 475, the scope of the Management Improvement Program in this biennium was restricted to five central areas (Institutional Planning, Program Budgeting, Computer Services, Schedule Building and Registration, and Personnel Management). In addition, the original mandate of H.B. 475 was "to design, test and install the most efficient, feasible procedures" in each of the areas in each of the institutions. Because of the limited time, only 18 months, and the participatory method of undertaking the project prescribed in the bill, the immediate objective set forth in the past biennium was the generation of a manual of best practices in each of the five areas.

As stipulated by the legislature, task forces of institutional representatives were appointed and actively participated in the process. Ten such groups were formed; five for the universities and five for the community and technical colleges. Each task force consisted of representatives qualified in the particular subject matter under study. Each group had at least one member from every school. In total, more than 175 college and university personnel from all over the state were directly involved, as well as many others at each institution through formal and informal contact with the appointed members. Each task force met 8-10 times in the year and a half devoted to the project.

As specified in the legislative bill, the Ohio Board of Regents provided direction and staff for the project. Four professional management analysts, two secretaries, and limited part-time analytical and clerical help constituted the manpower to fulfill that charge.

Three major phases constituted the project:

1. Inventory the current practices.

This phase involved compiling the existing practices and procedures in the five areas at each state-assisted school in Ohio. Approximately five months were devoted to this task.

2. Determine the issues to be addressed in the manuals.

Three months were devoted to discussions about the specific issues to be covered.

3. Write manuals.

Nine months were devoted to writing the manuals. This phase included extensive and detailed discussions by the task forces, much drafting and redrafting by the staff and task force members, and finally concurrence with the manual contents.

The Manuals are practical, informative and useful. For the most part, all of the manuals contain general guidelines, principles and broad recommendations for good management within the universities and colleges, rather than detailed and specific procedures. They also include recommendations which call for direct action by the Board of Regents. Basically the recommendations seek more effective internal management and accountability, while recognizing the autonomy of each school.

Literally hundreds of people have been involved in this project. All members of the Ohio Board of Regents staff, especially former Chancellor John Millett, and Vice Chancellor William Coulter, have made significant contributions to the entire project. The Regents were particularly fortunate in gathering together the staff for the MIP. Dr. Ronald Lykins, Mr. Lawrence O'Brien, Mr. Douglas Smith, and Dr. Joseph Tucker brought with them considerable experience and knowledge from administrative and academic aspects of colleges and universities, as well as from private industry. Their perseverance and leadership in directing and staffing the task forces were superb. Special thanks must be given to Mrs. Betty Dials, the secretary for the program, who was an inspiration to all.

Many agencies in other states, including colleges, universities and state systems, were contacted and in some cases contributed helpful data to the program. Applicable professional organizations were also contacted and did help.

But more than any other, however, the contributions made by the individual task force members must be mentioned and expanded upon. The more than 175 personnel from the 34 colleges and universities who were the official representative for their schools contributed long hours, data, ideas, constructive criticisms, changes and encouragement. They not only worked collectively in the task forces, but also were required to spend considerable time on the respective campuses gathering data together and communicating with many campus constituencies to make sure that their schools were fairly and adequately represented.

The two-year college personnel task force members were:

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FOREWORD

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**Douglas H. Smith, Associate Director of Management Services
Ohio Board of Regents (Task Force Director)**

Without their sincere participation, this manual would not exist.

**Gerald L. Shawhan, Director
Management Improvement Program**

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PERSONNEL MANAGEMENT

TWO-YEAR COLLEGES

1. Introduction

A. A Definition of Personnel Management

All functions of the college take place through human interaction, either directly or through the direction of others. More than half of the college's funds are committed to the acquisition and utilization of human resources. It is for these reasons that personnel management was selected as one of the first five managerial areas for analysis in the Management Improvement Program.

Personnel management in this manual refers to the process of recruiting, developing, and utilizing people in the most productive manner, so that the goals and objectives of the college are realized. This definition should be broadly viewed since it includes:

- the responsibility of administrators for managerial leadership in utilizing human talents,
- the integral involvement in the managerial process of those responsible for personnel affairs,
- the awareness of the college's goals and objectives being accomplished through people, and
- the achievement of individual goals and objectives through employment in the college.

B. The Scope of Personnel Management

The scope of personnel management includes all facets of management because of its basic role in every managerial or administrative position. More specifically, personnel management is divided between two basic groups:

Academic and operational administrators, having as one of their major responsibilities those personnel functions directly affecting the personnel they are managing.

Central administrators, who, being responsible for overall personnel activities, must have information and data for campus-wide decisions relating to personnel, assist academic and operational administrators in carrying out personnel responsibilities, and administer those personnel functions that can be more economically performed on a centralized basis, such as wages and salaries, benefits and personnel records.

The goals of personnel management to be discussed in this manual include the following:

1. Recognize and clarify the role of personnel management.
2. Develop a process for forecasting and securing the human resources needed.

C. Goals of Personnel Management

INTRODUCTION

3. Design compensation plans that attract, retain and motivate people.
4. Implement development and evaluation programs which recognize individual development as well as institutional and departmental growth.
5. Implement a participatory process for determining personnel decisions.
6. Analyze and develop effective communication between those responsible for personnel activities and academic and operational administrators.
7. Assure an adequate working environment for everyone.
8. Develop a personnel information system that provides useful data on all personnel and personnel programs.

D. Functions of Personnel Management

The functions of personnel management can be divided as follows (these functions are described further in Chapter 2):

1. **Planning** the personnel program, including personnel planning and the development of personnel policies and procedures.
2. **Staffing** of positions within the college through recruitment, testing, placement and orientation.
3. **Development and evaluation** of human resources through performance appraisal, occupational and professional training and promotion.
4. **Wages and salaries** of personnel for services rendered, and also supplementary compensation such as benefits.
5. **Staff-management relations of personnel** through effective communication, grievance procedures and employee negotiations.
6. **Health and safety** of personnel through an adequate working environment.
7. **Reporting, controlling and evaluating** personnel programs through records, information systems and research.

E. Personnel Management As A Process

Personnel management as a process consists of the following activities:

1. **Planning.** Planning involves an estimation of human requirements and provisions for meeting those requirements. It involves establishing objectives, setting up programs, determining policies, anticipating personnel requirements, and establishing procedures.
2. **Organizing.** Organizing involves providing for the division of work among the most capable groups and individuals. It means bringing together the necessary physical and human resources and establishing responsibility and authority relationships. Essentially, the function establishes the requirements of each position in the organization.
3. **Directing.** Providing leadership to utilize the productive efforts of individuals. It involves motivating people to work toward achieving personnel objectives along with the college's institutional objectives.
4. **Controlling.** Personnel plans and objectives are without value until they are executed. Their implementation requires: (1) a feedback of the results of these plans to administrators; (2) correcting errors in performance; and (3) appraising and rewarding good performance.

**F.
The Purposes
of This
Manual**

The purposes of this manual can be categorized as follows:

- To provide administrators with an organized discussion of personnel management.
- To offer ideas which can be adapted to improve personnel practices at individual institutions.
- To provide criteria for personnel planning which can be utilized by individual institutions to evaluate and improve their present personnel system.

**G.
An Overview
of this Manual**

The manual consists of five chapters, including this introductory chapter. The following four chapters discuss a particular aspect of personnel management. Chapter 2 examines the organizational aspects of personnel management in Ohio's public colleges. Chapter 3 deals with personnel planning and implementing those plans through goals, objectives, policies, and procedures.

Chapter 4 is divided into eleven sections, each identifying a personnel function or program considered pertinent to college personnel practices. Included in Chapter 4 is a discussion of recruitment and placement, development and evaluation of faculty, administrators, professional and operational personnel, affirmative action programs, grievance and appeal procedures, and professional associations and unions. A brief preface to Chapter 4 (Page . . .) provides a complete overview of the chapter.

The final chapter deals with the relationship of personnel management to college planning and budgeting, personnel information systems, personnel records and evaluating personnel programs.

The general format of Chapters 2, 3 and 5, and the eleven sections of Chapter 4, consists of an introductory discussion of the pertinent facts, issues and guidelines, concluding with appropriate recommendations for improved personnel practices.

2. Organizing for Personnel Management in the Colleges

The coordinated effort of a number of people is required to achieve the objectives of each college in the personnel area. The roles of the academic and operational administrators, and the central administrators responsible for personnel affairs, should be clearly defined to reflect both the unique organizational aspects of higher education, and the history, current environment and objectives of each college.

This chapter first defines the basic functions in personnel management. Second, guidelines for the assignment of responsibility for carrying out these functions are provided. Third, a number of alternative organizational and coordinative structures for actualizing these functions are presented. Fourth, guidelines for direct and indirect personnel expenses are defined. Finally, a statewide coordinating office for personnel affairs is briefly discussed.

A. The Basic Personnel Functions

The basic functions of personnel management can be grouped under seven major headings (the location of each function in this manual is given in parenthesis):

1. Personnel Planning (Chapter 3, section B; Chapter 4, section C)
2. Staffing (Chapter 4, sections C, F)
 - a. Recruitment
 - b. Interviewing, Testing and Selection
 - c. Placement and Orientation
3. Development and Evaluation (Chapter 4, sections D, E)
 - a. Standards of Performance
 - b. Education and Development
 - c. Performance Appraisal
 - d. Promotions, Transfers and Separations
4. Wages and Salaries (Chapter 4, sections A, B)
 - a. Position Descriptions and Wage Analysis
 - b. Wage and Salary Administration
 - c. Benefits and Benefits Administration
5. Staff-management Relations (Chapter 4, sections G, H, I)
 - a. Communication
 - b. Morale
 - c. Standards of Conduct
 - d. Corrective Action
 - e. Contract Negotiations and Administration

ORGANIZING FOR PERSONNEL MANAGEMENT IN THE COLLEGES

B. Managerial Guidelines for Personnel Management

6. Health and Safety Programs (Chapter 4, section J)
7. Reporting, Controlling and Evaluating Personnel Programs (Chapter 5)
 - a. Record Maintenance
 - b. Personnel Information Systems
 - c. Program Evaluation and Research

Each of the personnel functions listed above can be expressed in terms of goals and objectives; policies and procedures can also be formulated. These are discussed in Chapter 3. Equally important is the determination of responsibility for implementing these functions and the selection of a structural design that facilitates effective enactment of these functions. The managerial responsibilities will be discussed first, followed by organizational guidelines.

The personnel functions listed above are carried out by the academic and operational administrators in the course of their managerial duties, and the central administrators responsible for specific centralized personnel functions. It is important, therefore, to clarify the roles and responsibilities of each.

1. Role and Responsibilities of the Academic and Operational Administrators

Academic and operational administrators, responsible for directing and managing the affairs of the college, have the greatest opportunity to provide continuous and individualized attention to the personal and corporate needs of the people they are responsible for. It is essential, therefore, that primary responsibility for carrying out many of the personnel functions be assigned to these administrators.

Five reasons stand out for placing predominant responsibility upon administrators.

1. The realization of their responsibility for many personnel functions increases awareness of the need to actualize these functions to assure desired performance (e.g., a new faculty member or a new administrator must be informed of the objectives of the department and program and the criteria on which they will be evaluated).
2. Responsibility for the performance of others increases awareness of the factors involved in the work and of those performing the work, along with realizing the need for personnel planning.
3. The potential for "work-related" satisfaction for both the administrator and those they manage is much greater when personnel policies are carried out by administrators. This assures a greater relationship between policies and personnel and professional performance.
4. The administrator has the greatest opportunity to provide continuous and individualized action to the personal and corporate needs of the college personnel.
5. There is greater flexibility in personnel performance, without attendant loss of managerial control, when accountability for personnel performance is the responsibility of the administrator.

In higher education, particularly when selecting, developing and retaining faculty members, personnel responsibilities are shared. But all administrators

have final responsibility, and are accountable for personnel decisions in such areas as: (1) selection and placement, (2) education and development, (3) setting standards and appraising performance and potential, (4) promotions, transfers and separations, (5) morale, (6) safety and health conditions, (7) corrective action and grievances, and (8) any other functions that directly affect the personnel they are managing.

2. Central Responsibility for Personnel Affairs

Presently, very few colleges have full-time personnel directors. Most colleges have delegated the various functions to various central administrators, usually the chief administrators for academic and business affairs. The variety of ways in which personnel responsibilities have been delegated emphasizes the need for (1) delineating the personnel functions that are the responsibility of the central administrative staff, (2) establishing responsibility for carrying out these functions, and (3) determining when a college should employ a personnel specialist. Therefore, the following guidelines are recommended.

The central administrators should be responsible for the following personnel functions:

1. Provide the central administrative staff with necessary information and recommendations for college-wide personnel decisions.
2. Complement and enrich the managerial competence of academic and operational administrators through recruitment and screening, personnel growth and development, and assisting in the personnel functions for which they are primarily responsible.
3. Carry out those functions that are more economically and effectively executed if centralized, such as wage and salary administration, benefits administration, and personnel records and procedures.

Because of the wide range of total employees at college, from 10 to 1,112 FTE staff,¹ the delegation of these functions must be further defined.

1. For colleges whose total number of employees is less than 125 (headcount), the chief administrator for instructional or academic affairs should be responsible for providing the personnel services listed above to the instructional staff (instructors and instructional administrators). The chief administrator for business or operational affairs should be responsible for providing these services to all other employees. One member of the central clerical staff should be delegated the responsibility for carrying out the necessary operational activities, such as maintaining records, processing forms, and gathering personnel data necessary for planning purposes. For campuses with 90 employees or less, this function should consume one-fourth to three-fourths of a secretary's time, but for campuses with more than 90 employees a full-time position should be assigned to the task.
2. For colleges whose total number of employees exceeds 125, an individual with professional personnel training and experience should be assigned full responsibility for personnel affairs. This individual will

ORGANIZING FOR PERSONNEL MANAGEMENT IN THE COLLEGES

have primary responsibility for carrying out the functions listed above for all employees. He will, therefore, have line communication with the chief administrators for academic and business affairs. The necessary secretarial support should also be provided.

C. Organizing the Personnel Staff

This manual does not attempt to delineate the specific organizational structure of the personnel office. Rather, the following questions are prescribed for analyzing present and desired structures:

1. Are the functions assigned to central administrators adequately assigned and performed?
2. Are the administrative areas receiving the services of the personnel staff clearly identified, and are they receiving "acceptable" service as viewed by the personnel office and the particular administrative area or office?
3. Are all employees of the college sufficiently identified and classified to insure that adequate personnel services are being provided?

Appendix 1 presents four staff charts, selected because they reflect structural approaches toward answering these questions. They also reflect varying emphases upon the staff functions and the administrative areas receiving services. The staff has primarily been divided by functional areas, e.g., records, recruitment and interviewing, wage and salary administration, labor relations and so forth.

D. Budgeting Personnel Expenditures

A personnel budget is a particularly useful device for planning, organizing and controlling. It provides a means of analyzing previous expenditures, determining the results of funds expended, and deciding the allocation of present funds. It shows, in financial terms, the amounts which may be spent for various personnel activities for a projected time period.

As with the discussion of the personnel office, it is not the intent of this manual to provide specific structures and formats for the personnel budget. Rather, the following are suggested ways of determining personnel expenditures.

First, identify expenditures by major personnel functions described in this chapter:

- Personnel Planning
- Staffing
- Development and Evaluation
- Wage and Salary Administration
- Staff-management Relations
- Health and Safety
- Personnel Records
- Personnel Information Systems
- Research and Evaluation of Personnel Programs
- Central Administration of the Personnel Office

Second, identify each item in the list immediately above by object of expense such as:

- Salaries
- Benefits
- Information and Communication

**E.
A Central
Statewide Office
for Personnel
Affairs**

**Task Force
Recommendations**

- Supplies and Equipment

Third, assign the costs identified in the first and second steps according to specific occupational groups such as:

- Administrative Personnel
- Instructional Personnel
- Professional Personnel
- Technical Personnel
- Office and Clerical Personnel
- Service and Maintenance Personnel

Particular personnel activities such as the increasing involvement in personnel activities and practices by federal and state agencies and a trend toward collective bargaining of academic and operational employees may warrant inter-college or system-wide attention.

A central office would be beneficial in providing information and service to these and other areas (e.g., the feasibility of a system-wide program for health and life insurance, and continuing education for administrators and faculty).

Academic and operational administrators should be primarily responsible for the functions that directly affect the personnel they are managing. These include: (1) selection and placement, (2) education and development, (3) setting standards and appraising performance and potential, (4) promotions, transfers and separations, (5) morale, (6) safety and health conditions, (7) corrective action and grievances and (8) any other functions that directly affect personnel.

All colleges should employ a professional personnel administrator when the total number of employees reaches 125 or more. For colleges with less than 125 employees, the chief administrators for operational and instructional affairs should carry this responsibility. These individuals should be primarily responsible for (1) providing central administrators with information and recommendations for college-wide personnel and manpower decisions, and (2) assisting academic and operational administrators with recruitment and screening, personnel growth and development, and discipline and grievance procedures. They should also be responsible for the functions that are more economically administered when centralized, such as wage and salary administration, benefits administration, personnel procedures and records, contract negotiations and administration, and personnel evaluation and research.

An office for personnel affairs under the Chancellor of the Board of Regents should be established to serve as an information clearinghouse for federal and state laws, labor relations, and the coordination of system-wide studies in personnel management.

¹ Full-time equivalent staff, as reported by the Ohio Board of Regents, Fall, 1973

3. Planning, Policies, and Procedures in Personnel Management

This chapter, dealing with perhaps the most important aspect of personnel management — planning and implementation — is divided into three sections: (A) a general introduction to college planning itself; (B) an extension of the discussion to personnel management, offering examples of program objectives evolving from the general goals; and (C) a consideration of personnel procedures for realizing those goals and objectives.

A. Overview of the Planning Process

No matter how far ahead one looks to anticipate probable developments, the real reason for planning is to help decide what to do in the immediate future. Planning, therefore, must be a continuous rather than a periodic activity.

1. The Six Steps in the Planning Process

In managing, each organizational unit must consider:

1. Setting goals and objectives
2. Defining alternate programs
3. Calculating resource requirements
4. Selecting among alternate programs
5. Allocating resources
6. Evaluating program results

The planning process evolves from plans to programs to actual activities. Plans should be a documentation of the entire process — written statements indicating the goals and objectives, the programs considered, the analysis and facts used, the conclusions regarding programs to be pursued, and resources allocated for these programs.

B. The Planning Process in Personnel Management

The first step in planning is the setting of goals. Goals are broad in scope, usually difficult to quantify, and have a rather extended time frame — generally two to five years.

1. Goals

Goals serve four purposes:

1. Identification and definition of the mission of the college.
2. Provision of a framework for operational objectives.

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3. Provision of the general points of agreement and motivation for those having to actualize the goals.
4. A means of informing the public of the mission or intent of the college.

To evaluate the adequacy of goals that have been developed, the following should be asked:

1. Are they generally a guide to action?
2. Are they explicit enough to suggest certain types of action?
3. Are they suggestive of tools to measure and control effectiveness?
4. Are they ambitious enough to be challenging?
5. Do they reflect an awareness of external and internal constraints?
6. Can they be related to both the broader goals and the more specific objectives at higher and lower levels in the college?

Goals for a particular program of the college, such as personnel management, transform broad college goals to a more understandable framework. The goals of personnel management presented in Chapter 1 are examples of such goals, and are used below to illustrate objectives which may be derived from goals.

2. Objectives

Objectives are operational steps toward institutional and program goals. The crucial and basic question that must be asked about an objective is, "Can I measure its success?" If a statement is to qualify as an objective, the question must be answered, "yes." For a detailed discussion of the inertia for setting and evaluating objectives, three references are cited.¹

Objectives are most easily developed at the program levels of the college where specific program activities are developed. As an illustration, sample objectives derived from the personnel management goals presented in Chapter 1 (pages 15 and 16) are stated below. It should be noted that it is not the intent of this manual to recommend specific objectives since they are best set by each college. The objectives stated below are not prescriptive, but are listed as examples of objectives which relate to the eight goals. They are measurable and indicate a time frame.

Goal	Sample Objective
1. Recognize and clarify the role of personnel management.	<ol style="list-style-type: none">a. During Fall Quarter, 19 ____, conduct a random survey of X% academic and operational administrators to determine their role in managing personnel.b. By March 31, 19 ____, X% of all academic and operational administrators will have attended a ten-hour seminar on their role in personnel management.

2. Develop a process for forecasting and securing the human resources needed.
 - a. During Summer Quarter, 19___, take an inventory of current management manpower in Y office showing age, experience, skills, quality of performance, and promotion potential.
 - b. Determine staffing required to support programs/courses to be offered in fall quarter for the next academic year.
 - c. The number of fulltime faculty in Y department will be increased/reduced by X% by Fall Quarter, 19___.

3. Design compensation plans that attract, retain and motivate people.
 - a. Complete a position and salary audit of a minimum of X% of all administrative positions in the college, and establish performance standards for each position evaluated by January 1, 19___.
 - b. To assure internal salary equity by December 15, 19___ (for the following fiscal year), adjust salary schedules for professional personnel in Y program to reduce variance at the same job level to within X%.
 - c. Provide tax annuity option to all personnel by fiscal year, 19___.

4. Implement development and evaluation programs which recognize individual development as well as institutional and departmental growth.
 - a. The administrators in Y office, after attending a seminar on program planning, will increase/decrease the time committed to planning by X% by Winter Quarter 19___.
 - b. The course workload of faculty in Y department (determined by weighted student credit hours per quarter) will be reduced/increased X% for the General Studies Program by Fall Quarter, 19___.
 - c. All professional employees in Y department will have developed their specific occupational objectives with the director/chairman by April 30, 19___.

5. Implement a participatory process for determining personnel decisions.
 - a. By Fall Quarter, 19___, at least X% of the membership on the Personnel Policy Committee will be from the professional employee group since they are affected by many decisions and recommendations of the committee.

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Goal	Sample Objective
6. Analyze and develop effective communication between those responsible for personnel affairs and the academic and operational administrators.	a. A short, periodic memoranda will be prepared covering policy changes, governmental guidelines, upcoming activities and deadlines, and other personnel matters for all top and middle academic administrators beginning Fall Quarter, 19__.
7. Assure an adequate working environment for everyone.	a. By January 1, 19__, conduct a safety audit of all work locations in X, Y and Z buildings using guidelines provided by the Occupational Safety and Health Administration. b. Have all faculty, administrative and professional personnel hired after June 30, 19__, submit a health form prior to employment. c. Reduce the accident rate of all maintenance personnel from X% to Y% by June 30, 19__.
8. Develop a personnel information system that provides useful data on all personnel and personnel programs.	a. By Fall Quarter, 19__, centralize all responsibility for preparing personnel reports and system design coordination to one administrator. At least X% of the administrator's time should be committed to these functions. b. By January 1, 19__, develop a flow chart and item analysis of all application, placement and performance evaluation forms used by the college indicating where the form originates, is routed, filed and the information needed by all offices using the forms. c. Have X% of the faculty and administrative personnel records computerized by January 1, 19__.

C. Policies and Procedures: Translating Goals and Objectives into Functional Activities

Policies are the basic formal guidelines that govern the personnel function, and should be derived from desired objectives. Policies are guides to action, but formal procedures derived from the policies are the action itself.

It is not the intent of this manual to extensively discuss policies and procedures since they should be developed within the environment and context of each college. Also, numerous sources are available to assist administrators in formulating appropriate policies and useful procedures. Refer to the bibliography for selected references.

Included in this section, under Task Force Recommendations below, are eight guidelines administrators should be aware of when developing policies and procedures, and ten areas where personnel policies should be clearly stated. Also, in the appendix are materials originally printed in the **Inventory of Current Practices (1972)**. Appendix 2 is a comprehensive check-list of personnel areas where policies may be appropriate. Appendix 3 is a reprint of procedures for the "Reclassification of an Employee's Job," taken from the staff manuals of Cuyahoga Community College.

Appendices 4 and 5 illustrate flow-charting methods for analyzing personnel procedures. Appendix 4 is a "Civil Service Application for Employment Procedure" from Kent State University. Appendix 5 is a flow-chart on "Employee Tuition Reimbursement" from Ohio State University.

Task Force Recommendations

Policies and procedures should be developed within each college, and more specifically, each functional area responsible for carrying out personnel objectives and policies. To assist in carrying out these responsibilities, the following recommendations are presented.

All administrators having personnel responsibilities should have stated (or written) personnel goals, objectives and evaluative measures of the objectives.

Administrators responsible for personnel affairs should also have stated (or written) goals, objectives and evaluative measures of the services provided to administrators.

In order to assure functional statements encouraging action and compliance, personnel policies and procedures should:

- 1. Be derived from clearly defined objectives.**
- 2. Be influenced by the individuals affected by the policies.**
- 3. Facilitate governance by consensus, as much as possible.**
- 4. Be clearly stated in writing.**
- 5. Be stated in such a manner as to facilitate accurate interpretation and implementation.**
- 6. State which office can effectively exercise enforcement and control of the policies.**
- 7. Provide a specific date for review and consideration of alternative policies and procedures.**
- 8. Have a degree of flexibility to cope with the "unique" situation.**

A sound personnel program will include the establishment of a comprehensive set of clearly stated institutional policies and procedures, to cover, as a minimum, the following:

- 1. Criteria for the selection, appointment and reappointment of all personnel.**
- 2. Continuous program of professional development of all personnel.**
- 3. Procedures for compensation of all personnel (salary and fringe benefits).**
- 4. Criteria for all personnel assignments (duties, responsibilities, workloads, etc.).**
- 5. Continuous evaluation of the performance of all personnel.**
- 6. Rules governing promotion, tenure, non-renewal and terminations.**
- 7. Regulations dealing with leaves and retirement.**

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- 8. Statements defining and assuring equal opportunity for employment and advancement.**
- 9. Procedures for regular evaluation and modification of personnel policies and procedures.**
- 10. Statements defining academic freedom and tenure for faculty.**

1. *Planning for two-year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1973); Robert F. Mager, *Goal Analysis* (Belmont, California: Fearon Publishers, 1972); Charles H. Granger, "The Hierarchy of Objectives", *Harvard Business Review*, (May-June, 1964)

4. Personnel Functions

PREFACE

This chapter discusses the personnel functions and programs the Personnel Management Task Force identified as warranting particular attention. Because of the scope and length of the chapter, an overview of what is presented would be helpful.

The chapter is divided into eleven sections. The first two sections, Wage and Salary Administration (Section A), and Benefits (Section B), discuss selected factors that contribute to effective wage and benefits programs. Section C considers the important aspects of recruitment, placement and conclusion of employment.

Sections D and E examine the role of development and evaluation in the college. Section D is a comprehensive discussion of faculty development and evaluation, including workloads and tenure. Section E considers the development and evaluation of administrative, professional, technical and operational personnel.

Section F briefly presents current directions of the Equal Employment and Affirmative Action Programs. Sections G, H and I collectively examine particular aspects of corrective action (Section G), grievances and appeals (Section H) and current trends and issues surrounding employee associations and unions (Section I).

Section J discusses current laws that will have a substantial impact on the health and safety program at each college.

The final section of this chapter, Section K, examines supplementary or extramural employment.

A. WAGE AND SALARY ADMINISTRATION — A CLASSIFICATION SYSTEM FOR OHIO'S COLLEGES.

Wage and salary administration is all inclusive in that it is as important to the lowest paid person in the college as it is to the highest. Individual wages and salaries are not only remuneration to the wage earner, but are also costs to the institution. Given this perspective, the absolute as well as the relative importance of proper administration of wages and salaries becomes even more obvious.

Clearly, a viable wage and salary administration program is one of the most important functions of a personnel management program. This program involves not only the development and implementation of sound personnel policies and methods of individual compensation and perquisites, but also

1. Wage and Salary Administration In Context

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consideration of such concerns as position evaluation and classification, compensation systems, performance standards for positions, and individual evaluation.

The performance of these functions should provide colleges with the following benefits:

- Increased ability to systematically plan and control personnel costs.
- Better understanding of the college's compensation programs.
- Reduction of frictions and grievances over compensation inequities.
- Enhancement of personnel motivation and morale.
- Greater attraction of qualified personnel to the college.

2. The Need for A Classification System

Basic to any viable wage and salary administration program is a system of position classification. In addition to assuring equitable wages and salaries, it can be used to facilitate any one of the following personnel procedures within the college:

1. Recruitment and placement
2. Supplementary compensation and other benefits
3. In-service personnel transactions such as:
 - transfers
 - promotions
 - performance evaluations
 - settlements of appeals and grievances
 - personnel development
4. Budget needs
5. Planning, organizing and making work assignments
6. Statistics and research
7. Clarification of position requirements

To avoid overlapping and duplicate reporting, a classification system should also serve as the basis for providing data for external reporting and use by the Ohio Board of Regents, HEGIS and other periodic Federal and State reports on college staffing.

a. The Purpose and Goals of a Classification System

The establishment of a comprehensive and objective classification system will alter a number of historical concepts concerning the relative importance of various positions within a college environment. It is sufficient to say that without such a system there simply can be no basis for the establishment and implementation of sound policies and equitable methods of faculty and staff compensation.

The goals of a classification system are for the most part well known and can be documented. Some of the more common goals are listed below:

1. Provide an orderly basis of translating needs for positions into fiscal terms.
2. Provide sufficient information on position content to aid in analyzing organizational problems, procedures, duplications and inconsistencies.
3. Establish within each institution uniform terminology and definitions.
4. Assure other state agencies, and the public, of a logical relationship between expenditures for personnel services and services rendered.

5. Reduce the variety of titles within each university to manageable proportions so that recruitment, qualification requirements and selection can be more effectively handled.
6. Furnish meaningful position information on which orientation and in-service training and development can be based.
7. Define the content of positions (what is expected) and compare against actual performance (how well it is done).
8. Provide a foundation for common understanding among concerned parties as to the responsibilities assigned to a position and the level of compensation appropriate to those responsibilities.

b. The Present Classification System

Among the colleges there is presently a variety of classification systems. The number of categories listed in the **Inventory of Current Practices at Ohio's Public Two-Year Campuses (1972)** range from three to eight. Although not common for all colleges, three titles are widely used: administrative, faculty and support. The greatest variance occurs among the administrative and operational categories because of multiple interpretation of such terms as "classified," "nonteaching," "support," and "nonteaching faculty."

A classification system, however, should involve the assignment of positions to groups or categories on the basis of duties, responsibilities, difficulty, complexity, and qualification requirements.

The purpose of this section is to design a classification system which will be responsive to the colleges' needs and also satisfy external reporting requirements.

3. Proposed Occupational Categories

In designing a classification system which will be responsive to the college's needs and will also satisfy external requirements, the first step should be the grouping of all positions into occupational categories. In broad terms, these categories should conform to the wage and hour provisions of the Fair Labor Standards Act, and to the applicable provisions of the Ohio Revised Code.

Although no precise formulas exist for assigning positions to an occupational group, the five broadly defined categories described below should provide a basis for a more definite classification system. It should be noted that an individual may hold more than one position or appointment, and thus could be assigned to more than one occupational category.

The five proposed occupational groupings are as follows:

ADMINISTRATIVE AND PROFESSIONAL

This group is divided into two major categories:

Administrative: those positions where the primary responsibilities include planning, organizing, controlling and supervising an instructional or operational area within the college.

Professional: those positions where the primary responsibilities require the performance of varied intellectual work and functional knowledge of advanced theoretical principles and practices in a specific professional area.

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INSTRUCTIONAL

This category comprises those positions where the primary responsibilities include teaching, training and advising students. This includes such activities as classroom and laboratory teaching, supervising individual student performance and field experience.

TECHNICAL

This category includes those positions serving a support role where primary responsibilities include solving practical problems encountered in broad fields of specialization, and requiring the use of theoretical or scientific knowledge and manual skills acquired through on-the-job or appropriate formal training.

OFFICE AND CLERICAL

This category covers positions where the primary responsibilities require the preparation, transcribing, transferring, systematizing, or preserving written communications and records, and the operation of various office machines.

SERVICE AND MAINTENANCE

Service and maintenance positions include extensive trades, crafts and manual skills. This category would also include semi-skilled and unskilled positions. These positions require the performance of physical efforts and/or manual skills normally learned through on-the-job or apprenticeship training.

4. Evaluating and Describing Positions in Each Category

Each category will now be further described. Sub-categories are also defined along with suggested factors for evaluating and describing positions within each category.

a. Evaluating Administrative and Professional Positions

The Administrative and Professional category is divided into two categories or sub-systems:

ADMINISTRATIVE: Individuals in these positions are responsible for (1) planning, developing and directing institutional or operational programs, or managing central organizational entities, and (2) the exercise of supervisory responsibility, either directly or through supervisors. The administrator is usually held accountable for the attainment of the general goals and objectives of the college.

In general, three or four categories of responsibility exist within the administrative system:

Chairman/Supervisor: responsible for specific administrative activities within a unit, or sub-division. Also responsible for scheduling, assigning,

directing and reviewing work of others. Recommends leaves, promotions, disciplinary action, and personnel growth and development. The title "chairman" refers to academic departments. The chairman may also have instructional responsibilities. Since he/she does have administrative responsibilities that constitute a major portion of the contractual obligations, however, the position is listed in the administrative system. The title "supervisor" normally applies to operational positions.

Second-Line Chairman/Supervisor: responsible for administration of an operational unit or program. This position is usually seen in larger colleges where the title "supervisor," "assistant director," or "coordinator" applies. Directions are given to at least one first-line supervisor. They perform duties, described above, for those employees reporting directly to them. They also provide supervisors with guidance in dealing with employees in grievance procedures.

Manager or Administrator: responsible for administration of a group of programs or a major operational unit. Provides directions for two or more levels. Gives guidance and direction to individuals reporting to them and guides them in their relationship with other personnel. Normally reports directly to the chief administrators. The titles of "dean," "director" or "superintendent" are often used for this position.

Chief Administrator: responsible for defining broad program objectives, staffing the college, coordinating the efforts of multiple organizational units. Gives guidance and direction to administrators reporting to them, and evaluates their performance.

PROFESSIONAL: Individuals in these positions have acquired advanced knowledge in a technical field or in other specialized areas. They perform varied intellectual work that often cannot be standardized and which involves originality, creativity and independent judgment.

Some examples of individuals who would be listed under Professional would be librarians, systems analysts, and finance officers.

Three categories or subsystems can be defined within this category:

First category: involves practical knowledge of practices, rules, regulations, theories, principles and techniques. Judgment is generally limited to selecting and relating guidelines to specific cases, and adapting standard formulas to fit existing facts and conditions.

Second category: involves specialized knowledge of pragmatic and theoretical principles and practices. Judgment is needed in adapting to fit unusual or complex situations. Authoritative application of profession to complex and important matters.

Third category: involves broad knowledge of principles, theories and practices. Requires creativity and ingenuity necessary to devise new approaches to obscure, nonexistent or contradictory factors and problems. Extensive contribution to major objectives, policies, programs or practices.

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Because of their differing administrative responsibilities, the Administrative and Professional categories should also be analyzed and described separately.

Five factors comprise the basis for describing administrative positions:

1. **Base level of work:** the necessary academic and operational competence, in addition to the managerial competence described below (#3), which an administrator of the instructional or operational unit must possess.
2. **Difficulty of work:** the nature of work in terms of the magnitude, variety and scope of activities assigned, as well as the types of decisions and actions necessary to perform the activities effectively.
3. **Managerial functions:** consists of such activities as planning, organizing, budgeting, directing, coordinating, instructing, setting standards, reviewing, educating and developing, counseling and disciplining, and appraising performance.
4. **Responsibility:** the significance of the work in terms of results affecting the institution, state and public, and the degree of interaction between the administrator and those above him in the chain of command.
5. **Personal relationships:** the ability to meet and deal effectively with other people at all levels within and outside the institution.

Five factors also comprise the basis for describing professional positions:

1. **Job requirements:** the nature, extent and level of knowledge and abilities needed to perform the work acceptably.
2. **Difficulty of work:** the complexity of work and mental demands, i.e., judgment, originality, and other mental effort required, as affected by quality and pertinence of the available guidelines.
3. **Responsibility:** the assistance and control provided by the supervisor and the impact of work on the accomplishment of the mission of the college.
4. **Personal relationships:** the skill required in work relationships with others and the importance of such relationships to the success of the work.
5. **Other requirements:** any specific or unusual requirements or conditions in a job that add to the difficulty of the work, but are not adequately considered by the other factors, e.g., unusual physical effort, mental concentration, or environmental impact on the work.

b. Evaluating Instructional Positions

Instructional positions are defined as positions in which teaching, training and advising comprise the primary activity and responsibility within each position. The unique aspects of instruction in higher education must also be noted. As a group, instructional positions are treated differently from the other employee groups because of the following factors:

1. The usual position-evaluation techniques of fact finding, position audit, and other conventional methods cannot be readily used. Progression through attainment of increased competence, rather than through change in duties, is normal for faculty.
2. The occupation is a "closed system" in that it requires exclusive specialized education and development. It cannot be entered without such education.
3. To help insure quality academic programs and encourage professional growth, those in instructional positions should be encouraged to contribute their expertise to the development of the instructional program, and be given the freedom to develop and use innovative techniques and methods within the parameters of the policies governing the college. This should apply in terms of duties assigned, level of instruction and/or instructional research.

To assist in analyzing faculty positions, the following eight factors can serve as a guide both for describing the position, and evaluating performance within each position (discussed in Section D, Evaluation and Development):

1. **Instruction:** Preparing and presenting classroom and laboratory instruction and evaluating the performance of the students. Governed by area, level and number of students.
2. **Advising:** The academic counseling of students (may also include personal counseling). Governed by area, level, number of students plus role of student services.
3. **College service and relations:** Involves assignments to, and participation in, college and departmental committees, both permanent and ad hoc.
4. **Public service:** Those activities related to professional advice, consultation and services rendered to the community.
5. **Instructional research:** Those activities related to investigation, testing and implementation of innovative instruction within an academic or professional area.
6. **Publications:** Often grouped under instructional research, this area should be described separately to reflect not only publication of research, but also publication of outlines or instructional guidelines, the review and evaluation of other research, technical articles and so forth.
7. **Performing and visual arts:** Although not applicable to all faculty, the unique factors related to the creative arts (music, sculpture, painting, cinema, etc.) should be noted.
8. **Professional status and activities:** Involvement as a member and contributor to the respective professional field or fields.

C. Evaluating Technical Positions

The Technical category includes positions requiring a specialized knowledge or skill which may be acquired through on-the-job experiences or some type of formal training. Also, these positions serve a support role to instructional, administrative and professional personnel. Some examples of individuals who would be listed in this system include computer programmers, specialized laboratory assistants, maintenance technicians, and assistants to the registrar.

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The Technical system also utilizes three categories or subsystems.

First category: involves practical knowledge of practices that are well established and directly applicable. Work may be repetitive and restrictive in scope, and involves few variables.

Second category: specialized knowledge of practices developed through on-the-job experience or specialized technical training; may involve non-routine decisions in selecting most pertinent method or procedure.

Third category: broad knowledge of practice developed through specialized training and extensive on-the-job experience; judgment is needed in adapting to unusual and non-routine situations.

The same five factors for analyzing Professional positions are also used to analyze technical positions: job requirements, difficulty of work responsibility, personal relationships and other unique requirements.

d. Evaluating Office and Clerical, and Service and Maintenance Positions

Although representing a wide variety of positions, the Office and Clerical, and Service and Maintenance positions have somewhat similar types of career patterns and can be treated much alike for wage and career management purposes. The Office and Clerical system includes positions which require competence in preparing, transcribing, transferring and storing communications and records. The Service Maintenance system comprises skilled, semi-skilled and unskilled manual positions, along with the recognized trades and crafts.

Both systems can be divided into three categories:

First category: simple, routine tasks or operations with little opportunity to make choices in carrying out tasks; direct instructions may be given with little judgment.

Second category: relatively standardized tasks and operations with the need to make more choices and take necessary actions; work requires some analysis, judgment, and selection of applicable methods and procedures.

Third category: varied and nonstandardized tasks and operations with extensive freedom of choice and decisions; work may take initiative in planning and layout, requiring analysis, adaptive thinking, and judgment.

Positions in both systems can be described and evaluated based on the following four factors:

1. **Job requirements and difficulty of work:** the complexity of the work and the nature and level of "know how" and ability required to perform it.
2. **Responsibility:** the level of decision-making, consequences of error, the nature of instruction and guidelines and the extent of supervisory control.
3. **Personal relationships:** the nature and importance of interpersonal contacts and relationships to the accomplishment of the work.
4. **Physical effort and work environment:** the type and amount of physical effort required to perform the work and the nature of the work environment.

5. Responsibility for Evaluating and Describing Positions

Every system of position evaluation calls for an analysis of individual positions. In most industrial firms, the personnel staff has the responsibility for the position evaluation plan. In institutions of higher education, however, because of the participatory process of governance and administration, this function can best be facilitated when there is involvement of the president, vice-presidents, deans, department chairmen, faculty, operating supervisors and those responsible for personnel affairs.

There are some differences among the five categories as regards the responsibility for describing positions. Basically, these differences are as follows:

Administrative positions: Because of the central importance of these positions to the entire administration of the college, the chief executive should have primary responsibility for determining the positions and determining commensurate salaries. Those responsible for personnel affairs can advise and assist in this process. A committee comprised of administrators on the same and other levels, along with selected individuals from lower level positions which are managed by the administrators, could participate in describing the positions.

Instructional positions: Because of the unique aspect of instructional duties these positions can best be analyzed and described through panels or committees involving faculty and academic administrators. Compensation is generally equated with national and international salary scales.

Professional, technical, office and clerical, and service and maintenance positions: Prime responsibility for coordinating the analysis and description of these positions should be assigned to those responsible for personnel affairs. A committee of individuals from the positions being described, as well as selected managers having supervisory responsibility, should participate in determining appropriate descriptions.

6. Methods Used in Evaluating Positions

The four most frequently used methods for position evaluation are point rating, factor comparison, position classification and ranking.¹ Each institution must decide which method meets its own individual needs for position evaluation.

These methods are described briefly as follows:

1. **Point rating.** Each position is broken down into the qualities required of the employee, such as the ability to understand and interpret significant facts and information or to adjust to factors to which he may be subjected, as, for example, difficult working conditions. Each quality is defined and then assigned a range of points, weighing it in relation to the other qualities.
2. **Factor comparison.** This method involves the comparison of positions, factor by factor, with other positions. A number of "key or benchmark positions" which are accepted as being properly compensated are selected. For each of these key positions the proportion of the position rate attributable to each significant factor, and the degree to which that factor plays a part in the position, is determined. All other

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positions are then evaluated by comparing them, factor by factor, with the key positions.

3. **Position classification.** Under this method, positions of similar importance and difficulty are grouped together for compensation purposes. The positions are considered in their entirety, rather than broken down into distinct elements as in point rating and factor comparison.
4. **Ranking.** Positions are merely listed, from highest to lowest, in their order of relative importance or difficulty. As in the position classification plan, each position is considered in its entirety.

Task Force Recommendations

The five employee categories presented and defined in this section (administrative and professional, instructional, technical, office and clerical, and service and maintenance) should better meet the needs of the colleges for systematic classification of all employees. The proposed system and the various methods available for evaluating positions should be further studied by the colleges to determine their utilization within each institution.

The Ohio Board of Regents should review the occupational categories to consider using them in its Uniform Information System.

B. BENEFITS

Benefits, often referred to as fringe benefits, represent such a substantial portion of personnel costs that they are now more a part of the fabric than the fringe of the total cost. Between 15 to 28 percent of the total payroll goes to benefits. This section will define and classify the various benefits and services, present basic principles for analyzing benefits, list suggested benefits, and present a means for providing professional administration of the benefits program. The section closes with a discussion of four issues related to benefits.

1. Benefits Defined

Benefits can be defined as the amount of "payment" received through paid time off (vacation, holidays and leaves), insurance (health, life, unemployment and workmen's compensation), state retirement systems and other payments (educational reimbursements, athletic and bookstore discounts and membership to credit unions).

The terms used in this manual to categorize benefits are (1) legally required payments, (2) voluntary payments, (3) paid services while at work, and (4) other benefits.²

2. The Basic Principles in Determining Benefits

Generally, benefits either apply to all persons equally (e.g., most health insurance programs), or reward length of service (e.g., accumulated sick leave and vacations). Benefits may make it difficult for employees to leave their job and for an employer to discharge them.

Whenever colleges are analyzing the existing benefits program or considering new benefits, the basic principle to keep in mind is that no employee benefit should be undertaken voluntarily unless there is a valid return to the

college in terms of employee performance and morale. The cost of the benefits should be compared with (1) the tangible or intangible returns to the college, (2) the total funds available for wages and salaries, (3) the division of funds among alternative benefit programs, and (4) the cost of the other alternatives, such as training and development, to achieve desired performance and morale.

To further assist in analyzing present or new benefits, ten guidelines are presented in the appendix (Appendix 6).

3. The Benefits Presently Being Offered

The **Personnel Management Inventory of Current Practices at Ohio's Public Two-year Campuses** presented the benefits being offered as of June, 1972 (Table 5, pp. 115-17). The scope of benefits at the colleges varied with the individual needs of each campus, and occasionally between different employee groups within a college.

The breakdown within the tables is not intended as a base for establishing parameters for the college. Each college should continually re-evaluate its own benefits program and modify it to meet both the changing needs of its employees and the available resources.

4. Suggested Benefits and Policies

To assist colleges in considering employee benefits, the following list provides a variety of suggested benefits:

1. **Legally required payments**, such as:
 - a. retirement systems
 - b. workmen's compensation
 - c. holidays
 - d. leave for military service
 - e. jury duty
2. **Voluntary payments**, such as:
 - a. life insurance, and accidental death and dismemberment coverage.
 - b. health and hospitalization insurance
 - c. disability insurance
3. **Paid services while at work**, such as:
 - a. rest periods
 - b. lunch periods
 - c. meals
 - d. travel
4. **Other benefits**, such as:
 - a. vacations
 - b. leaves of absence
 - c. tuition assistance — both for employee development and employee's family
 - d. attendance at professional meetings and conferences
 - e. moving expenses
 - f. discount privileges
 - g. institutional or area credit unions
 - h. recreational and athletic programs and facilities
 - i. day care centers
 - j. uniforms

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- k. parking facilities
- l. office facilities
- m. locker facilities
- n. mail or telephone service
- o. service awards
- p. suggestion awards

5. Administering the Benefits Program

The range, complexity and scope of administrative responsibility requires that major attention be given to developing, implementing and maintaining the benefits program. No matter how constructive the original design of any given benefit or service, it is necessary to provide a continuing administration of the entire benefits program in order to assure its compatibility with other aspects of the personnel program.

Obviously, for many institutions assignment of a full-time person to the benefits program may not be justified. Therefore, a possible approach for providing such service is to have area institutions, four-year and two-year institutions (public and private), join together in securing professional personnel for benefits administration. (A similar proposal is presented in securing professional personnel trained in Health and Safety Programs in Section J of this chapter.) This person may be self-employed, with the institutions contracting for the desired service. Or he could be employed by a specific institution with the other area institutions paying for a percentage of the total expense, based on some formula reflecting the size of the institution and the time committed to administer and advise.

Two factors related to administering the program should be noted. First, if the employees are represented by a union, management may not be able to establish a benefit unilaterally; the issue may be bargained. Second, if employees are not collectively represented, it is still advisable to establish a group of those employees receiving benefits to assist and advise the administrator of the program. Through such a group, attitude surveys can be conducted to assess opinions of present benefits and evaluate desires for benefits not presently provided. They can also serve as yet another link in the important area of communicating the "benefits of the benefits."

6. Issues Related to Benefits

Although many issues could be considered, four which are relevant to higher educational institutions are examined: diversified selection of benefits, the payment of benefits, availability of optional insurance coverage, and benefits for part-time employees.

Diversified selection of benefits. The method of providing benefits may range from having all employees receive the same benefits to allowing selection among available benefits. The latter approach gives employees a choice from among the various elements of the benefits package, the total value of the selections equalling the total supplementary compensation determined for each employee. A variety of methods is possible for determining the amount of compensation through benefits. It can be either a flat percentage of an employee's salary or an adjusted percentage which gives greater weight to lower-salaried employees. It could be determined by an incremental sum based on years of service. Or, the total could also be achieved by a combination of these alternatives.

Employees offered such options, having the possibility of adapting the total benefits program to their individual needs, are likely to show greater motivation in their service to the institution. However, providing these options may be quite difficult to administer.

Payment of benefits. Partial payment of the cost of benefits by the employee not only reduces the amount of funds committed to the total compensation but also stimulates a greater awareness of the benefits themselves. When benefits are totally paid by the employer, employees may take them for granted. Employee morale, if not heightened, is at least kept from a decline caused by a failure of employees to recognize all the benefits offered.

Each benefit or service should be examined to determine both the employer's and employee's contribution. Some benefits such as travel insurance may be paid entirely by the college. Others may be paid entirely by the employee, with the college's "contribution" existing in the availability of a group rate (e.g., tax sheltered annuities).

Availability of optional insurance coverage. In the last five to ten years the range and variety of voluntary group insurance plans has greatly increased. Identified as the "mass marketing approach," insurance companies are now offering group insurance for additional life, personal liability, automobile, homeowners, and marine insurance. The savings over individual coverage can be as much as 20% to 30%. The employee pays the entire premium, and payment is usually made through payroll deductions. Some of the institutions now offering these plans are University of Michigan, University of Illinois, California Junior Community College Association, Case Western Reserve University, and City Colleges of Chicago.

Benefits for part-time employees. The role of part-time employees has been increasing at many campuses. Their involvement may cover teaching at all instructional levels, professional and technical personnel who are on a call or reduced hourly basis, and clerks and secretaries located primarily in academic offices for a few hours a week. Policies among the colleges with regard to benefits for part-time personnel reflect local factors such as the number and need for such employees. Each college should regularly examine its policies in this area.

Summary

Employees consider benefits to be a basic element of their total compensation for working. Such a thought is justified when one realizes that a significant percentage of their compensation can be designated as benefits. Therefore, careful consideration must be given to (1) providing adequate funds for basic benefits that significantly contribute to the general health and safety of each employee, and (2) providing optional benefits that mutually contribute to personal growth and self-actualization, as well as taking into account those goals and objectives of the college which define the investment, use and development of its human resources.

Task Force Recommendations

Each college should continually re-evaluate its own benefits program and modify it to meet the changing needs of their employees, the availability of resources and the desired personnel objectives. Also, each college should regularly examine its benefits policies for part-time employees.

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C. PRE-EMPLOYMENT, EMPLOYMENT, CONCLUSION OF EMPLOYMENT

This section discusses seven pertinent topics on college employment policies and procedures. First, guidelines for manpower planning and forecasting are presented. Second, a number of alternatives for dealing with program cutbacks and personnel retrenchment are presented. Third, administrative responsibilities for recruitment and selection are briefly considered. The next two topics identify problems applicable to two specific employee groups: the use of tests in screening operational personnel, and factors to consider when employing students. The sixth topic briefly discusses the importance of properly orienting personnel to the college. Finally, the use of exit interviews and the importance of pre-retirement counseling are noted.

1. Guidelines for Manpower Planning and Forecasting

Manpower planning involves anticipating the future through manpower projections, and then planning, developing and implementing programs, largely in the form of education and training, to carry out the implications of the following factors:

1. In the foreseeable future (1970's), there will be a need both to recruit new personnel and also to retrain and relocate, when necessary, present personnel from low priority to high priority programs.
2. The cost of recruitment, screening and orientation of new personnel often exceeds the cost for training and developing present personnel.
3. The diversity and complexity of higher education requires coordinated planning to match personnel skills with new instructional programs and equipment, assuring adequate faculty, support staff and facilities when needed.
4. Federal and state laws, and demands by unions and professional associations, are requiring greater attention for planning and utilizing present personnel.

a. The Role of Manpower Planning in the Colleges

Stated simply, manpower planning is the process by which the college is assured that it will have the right number and kinds of people, in the right places, at the right time, doing things which will result in maximum long-run benefit to both the college and the individual.

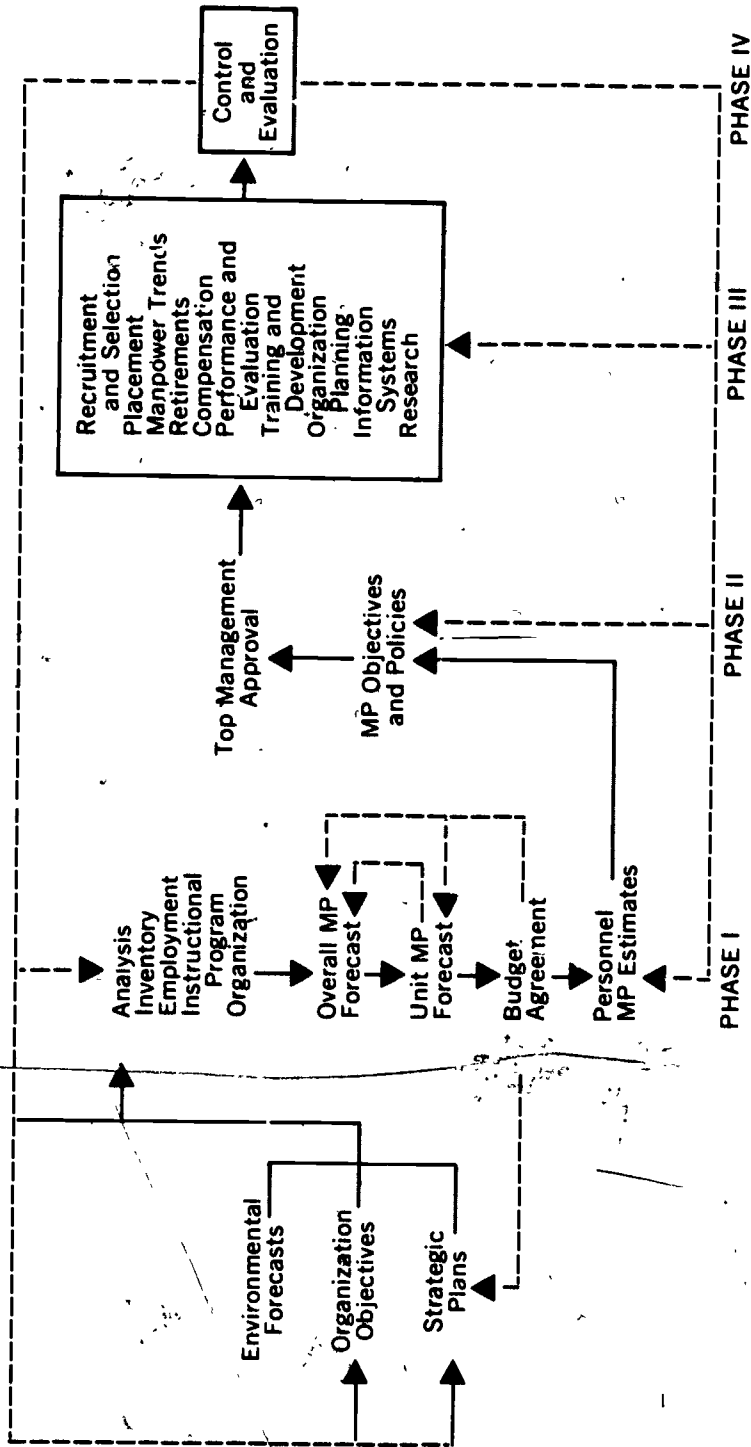
Manpower planning is an integral part of organizational planning and development. Organizational planning refers to analyzing the present and future structure of the college and positions within the structure, whereas manpower planning is specifically concerned with the people occupying those positions.

b. The Process of Manpower Planning

One source has grouped manpower planning activities into four phases. They are illustrated in the following model (Figure C-1). Each phase is further described in Appendix 7.

Figure C-1

A PROCEDURE FOR MANPOWER PLANNING*



*Adopted from Eric W. Vetter, *Manpower Planning for High Talent Personnel* (Ann Arbor, Michigan: Bureau of Industrial Relations, University of Michigan), 1967, p. 34. This figure is further discussed in Appendix 7.

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C. Organizational Responsibility for Manpower Planning

It is essential that both the operational and academic units and those responsible for personnel affairs be actively involved in manpower planning. Manpower projections are improved when information that otherwise might not be available is obtained from the respective units. Objectives can be more realistic, programs can be more effectively implemented, and evaluation of the results are better when the total program is viewed as a cooperative and mutually beneficial effort.

2. Problems and Alternatives in Program Changes and Displacements

As indicated in the *Technical Education* bulletin, each two-year campus "has developed its technical course sequence in cooperation with local employers."³ Therefore, as local conditions change so must the college program. This may occasionally result in changes and shifts of personnel, particularly faculty, to accommodate current demands.

Such changes are difficult for any organization, but they can be acute in higher education, due to personnel policies and commitments that may be difficult to change and the high degree of specialization and diversity that is an integral part of higher education, making shifts difficult if not impossible.

Because of these constraints, an examination of possible alternatives should be considered by all colleges. Some possible methods are discussed below. Obviously, some are more realistic than others, but all should be considered in the course of manpower planning.

a. Intra-Area Assignment

It is difficult for faculty to change their fields of specialization. However, with a commitment to faculty development, shifts to neighboring or related fields can sometimes be accomplished (e.g., the basic inter-relationship of the social sciences, management and business sciences, engineering sciences, and so forth). Shifts may sometimes be made not only to other academic areas but might also include non-teaching assignments.

b. Intra-Institutional Assignments

Also, on a broader scale, it may be possible for separate institutions to share or exchange faculty especially within geographic areas. Recent examples of institutional consortia in higher education have demonstrated this possibility. Such assignments involve problems of rank, tenure, salary and morale—difficult problems, but not insurmountable. In any case, a three-party agreement is a necessity between the faculty member and both campuses.

c. Part-Time and Temporary Personnel

Similarly, colleges may consider meeting any need for increased personnel in specific areas by appointing part-time or other type of temporary personnel.

d. Assignments to Continuing Education

Another possibility is the assignment of personnel, particularly faculty, to adult continuing education programs. The enrollment of adult students, especially part-time and some full-time, is increasing on most campuses. Attention should be given to the present and desired status of the continuing education program at each college and to the increased involvement of faculty.

**e.
Personnel/Position
Matching System**

This program is directed toward an increased awareness of the competences of present personnel. It can be facilitated with a personnel/ position or man/job matching system as part of the position description and personnel recruitment programs. The system may be utilized within the institution for internal matching, and also among area institutions, as suggested above.

**f.
Professional
and Occupational
Development**

Also, to assure and encourage voluntary shifts to available positions, the college should provide opportunities for individuals to develop personal competencies through professional and occupational growth and development.

**g.
Early
Retirement**

Another alternative is the consideration of policies, subject to legislative action, which will encourage, or at least make possible, voluntary early retirement. Recognizing the positive contribution of senior employees, retirement policies should, however, be as flexible as possible. The option for early retirement can be an attractive one through adequate benefits and financial security for those wanting to retire.

**3.
Recruitment
and Selection
Practices**

It is not the intent of this manual to describe the entire recruitment process. Many sources are available which collectively provide an excellent resource for examining present and desired recruitment practices.⁴ Also, in Appendix 8 is an extended twenty-step check-list on recruitment and selection procedures, emphasizing the initial requirement to examine present resources.

**a.
Responsibility
for Recruitment
and Selection**

Primary recruitment and selection responsibility lies with the managers themselves. Though obviously the Board of Trustees must officially appoint all personnel, recruitment and actual selection take place in a variety of ways in higher education. Faculty positions, including chairmen, generally involve a great deal of input from peers in the unit concerned, with the faculty playing a dominant role in such selections. Presidential positions and deanships usually involve search committees to screen and recommend candidates. Such committees usually involve representatives of appropriate constituencies. Other positions may involve extensive assistance from professional personnel staff, as well as suggestions from existing employees concerning potential employees.

Because of Affirmative Action Programs, Fair Labor Standards guidelines, and so forth, recruitment of all personnel should be a coordinated effort. Primary responsibility for selection must remain with the individual manager, but someone must be responsible for insuring compliance with federal guidelines and state civil service laws where applicable.

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4. Testing in Personnel Screening

This brief discussion on testing is included in this manual because of recent noteworthy court decisions. Present interpretation of testing guidelines permits some testing of specific skills shown by job analysis to be substantially related to the positions. Also, tests designed to demonstrate whether a person is trainable may be considered, again the criterion being whether the test bears a relationship to specific skills.

The current use of tests, unless prescribed by law can be summarized as follows:

Testing in compliance with government regulations now faces technical problems which seem likely to limit the application of testing to larger organizations with the services of a competent psychologist. An acceptable validation study requires the existence of enough people in any one job category to permit the demonstration of statistical significance in a relationship between test scores and measures of job success. A job sample of fifty employees in the same category would commonly be required for this, and the sample could not go below thirty at the minimum. An additional problem is posed by the government requirement that validation studies be undertaken separately for majority and minority applicants. As the full impact of government regulations come to be felt, it seems probable that pre-employment testing (with the possible exception of applicants for management, typing, and stenography) will be undertaken by firms with substantial number of employees in job categories where testing shows genuine promise.⁵

Validation of tests are under question. Therefore, testing procedures should be seriously examined.

5. Employment of Students

Student employment is unique to the educational environment and should be noted briefly. Students may hold positions similar to those held by personnel in other occupational groups, but their service is often either supplemental to the full-time positions, and/or oriented towards educational work experience.

The following criteria can determine the basis for describing student employment. **Student-Employees** are persons enrolled at a college, and compensated by that college for work that is incidental to their academic program. The student-employee is primarily attending school to pursue an academic program.

Student-employees should be distinguished from **Employee-Students** — persons employed by the college, who are also enrolled for a course of study which is incidental to their regularly scheduled work. The employee-student is primarily concerned with employment and pursues an educational program on a part-time basis.

One of the primary reasons for identifying student-employees is to clearly delineate their eligibility for exemption from the state retirement systems (PERS and SERS). Because of these criterion, it is important that once a student classification has been determined it remain constant.

Therefore, each college should analyze its present student employment program, and if appropriate, establish a student classification plan. It should be the responsibility of the college to establish an individual's status as either student-employee or employee-student before the individual is placed on the payroll.

Responsibility for coordinating the student-employee program may be assigned to the Student Financial Aids Office, the Student Placement Office, or the office that administers the clerical and office and the service and maintenance employee programs.

6. Orientation of Employees

An effective orientation program insures that new employees get off to the right start. Orientation is the guided adjustment of the employee to the college and his specific work environment. Its purpose is to facilitate a personal transition and help the employee to understand the dimensions of his position, his role in the context of the total college program, and the occupational and interpersonal style of his new environment.

At least three areas are usually covered in the orientation program. First, the institution — its objectives, philosophy, history and role within its immediate environment. Second, what the new employee should know about the position and its responsibilities. A third dimension to be emphasized is understanding one's role regarding the students attending the institutions. This function must be examined in order to assure an understanding and appreciation of the students' personal and vocational goals as well as their life styles.

Presently, most orientation programs are more informal than formal, with primary responsibility given to the immediate supervisor, and basic information regarding benefits, payroll and required procedures provided by some central office. This is generally unsuccessful and should be replaced with a more formal program. Topics which should be covered in orientation are presented in Appendix 9.

7. Resignations

a. Exit Interview

The use of exit interview forms can assist in finding explanations for resignations and high turnover, in disclosing significant patterns of low morale, and in suggesting revisions in policies and practices.

Two examples of the exit interview are presented in the appendix. Appendix 10 is a self-completion form in use at Northern Illinois University. Appendix 11 used at Cuyahoga Community College, is a guided exit interview form for supervisors.

b. Retirement and Pre-retirement Counseling

Few organizations offer any assistance to employees facing retirement, other than to provide basic information on available benefits and procedures for receiving them. Greater attention to retirement adjustment reflects a commitment to: first, an honest concern for the welfare of the employees; second, a belief that pre-retirement planning can significantly increase the

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chances of satisfactory retirement adjustment; and third, assisting in retirement adjustment generates greater commitment while still working.

Because of the limited number of employees retiring at any given time, an extensive retirement counseling program could be costly. Institutions could cooperate with other area organizations and collectively provide an effective information and education program, with guidance and assistance to the specific employees from the college.

Task Force Recommendations

A functional manpower plan should be given high priority by each college.

To assure as wide an involvement as possible in developing the manpower plan, all levels of the college staff should be involved.

Manpower planning should encompass both short range (1-2 years) and long range (3-10 years) time frames.

The alternatives for meeting program changes and displacements should be considered by the colleges. It is important that such planning be projected at least two years ahead because of the long lead time necessary to achieve personnel reductions in any particular unit.

Positions that are vacated should be centrally reassigned, preferably by the chief administrators of academic and administrative affairs.

When recruiting administrators should be fully aware of federal guidelines for equal employment.

Each college should analyze its present student employment program, and if appropriate, establish a student classification plan.

Each college should designate an appropriate administrative office to be responsible for the student employment program. The office should distinguish student-employees from other categories of personnel and should extend personnel management services to all student-employees.

An ongoing orientation program, consisting of seminars, job orientation and guidance, should be established for all employees. The program should be coordinated by those responsible for personnel in the academic and operational areas.

Exit interview forms should be offered to all employees leaving the college, and the results carefully analyzed with a view to changing policies.

Efforts should be made to provide a greater degree of counseling with regard to retirement and pre-retirement planning.

D. DEVELOPMENT AND EVALUATION OF FACULTY

Development and evaluation programs are considered to be an integral part of the personnel program for all employees. The total mission of the college will be furthered by the having all of its personnel well prepared and exposed to periodic professional and occupational evaluation and development. Prior to the determination of successful evaluation measures and development programs, however, the college should develop accurate position descriptions and performance standards. Each of these four factors will be considered in the next two sections.

1. An Overview of This and the Follow- ing Section

2. Faculty Development and Evaluation

There is a substantial body of literature dealing with the subject of development and evaluation of personnel at all levels in a corporate setting. It is not possible here to review all of the readily available information, but selected readings have been included in the bibliography. This literature contains extensive treatment of the goals, rationale, progress, and techniques of development and evaluation.⁷

Literature on faculty development and evaluation in higher education, however, is limited. This section focuses on such issues as faculty development, evaluation, service and tenure. These issues are unique to higher education and have no direct counterparts in the corporate or industrial environment.

Professional development of faculty has traditionally been encouraged and guided by interaction among faculty in each of the academic disciplines. A major function of the academic department is to provide for such interaction. Learned societies, conventions and national and international conferences serve the same function. Colleges may encourage and support such opportunities for faculty development by meeting the expenses of conference attendance.

Professional and research leaves, assistance to faculty members for further professional development, and other opportunities for contact with their professional peers all contribute to the development of higher levels of achievement and competence. Sabbatical leaves administered for the purposes of faculty development have also made valuable contributions to faculty quality.

Program to evaluate teaching, opportunities for interdisciplinary experiences in teaching, assistance in developing new syllabi and classroom materials, and support of experimentation with new methods in teaching and learning contribute not only to the quality of the curriculum but also the program of faculty development. Some colleges are beginning to formalize programs of faculty interaction for this purpose, at the departmental and college level. Such programs should be encouraged and continued.

3. Evaluation Procedures for Faculty

Procedures for evaluating faculty vary greatly in form, substance, and manner for a number of reasons. First, it is difficult to define what is meant by such terms as "instructional", "research" and "public service" objectives. A second fundamental problem is that of measuring quality. However, some basic criteria are necessary for such a program as shown below.

a. Guidelines for Evaluation

The evaluation procedure proposed in this manual is based on the eight factors presented previously, in the section on Personnel Classification (Section A). Each of the eight factors and methods of evaluation is presented to serve as a model for colleges to adopt or adapt as they deem most desirable.⁸

1. Instruction. Among the procedures available for the evaluation of instruction are: student evaluation, classroom visitation, teaching materials

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and procedures, special incident, self-evaluation, and assessment of student performance. Each is briefly described below.

- a. **Student evaluation.** Student evaluation should utilize carefully designed and tested instruments, and should take into consideration the instructional level, a profile of the students (teaching an elective course can be quite different than teaching a required course), and the competence of the instructor (is the course being taught in an area outside his major strength?). Many colleges are already utilizing student evaluation forms. Included in the bibliography are a number of sources for a variety of evaluation forms and procedures. One way of using a student evaluation form effectively is to use it twice per academic period. The first administration, given early in the term, is used only by the teacher to compare student responses with his personal rating on the personal competence forms (discussed below), and enable the teacher to adjust his approach if his analysis of the results indicates that an adjustment is desirable. It should also be administered near the end of the course with the information to be used for performance appraisals.
- b. **Classroom visitation.** Classroom visitations may be a part of the evaluation program for the college teacher. Such visitation, when utilized, should be carefully planned. The results also need to be interpreted with care. One example of effective visitation is the peer evaluation described by Hodgkinson.⁷ In this plan the evaluator must consult the faculty member being evaluated before the class meeting the evaluator will attend. The evaluator will find out what is to be attempted and what the previous history of the class has been. He must then stay for the full length of the period, have a conference with the instructor after the class is over, and write a fairly extensive comment on what he has perceived. A copy of this comment goes to the instructor and a copy goes to the department or divisional chairman.
- c. **Teaching material and procedures.** This category includes materials which the instructor utilizes in instruction, such as course outlines, reading assignments, examinations, instructional media, and field experiences.
- d. **Special incidents.** Special incident data refers either to laudatory or to negative comments about an individual's teaching. Through inclusion of this sort of data, recognition is taken of the fact that such evaluation does take place. This category would include indirect evidence of teaching effectiveness, such as noticeable success of students related directly to the course. Of course these data must be used with extreme caution in recognition of their subjective or informal nature and as they might pertain to legal and ethical implications.
- e. **Personal competence evaluation.** There are several devices useful in self-evaluation. Among them and apparently quite effective, is the video tape recorder. Other performance recording devices, such as an audio tape recorder or classroom observation log are also available. These devices may be used in two ways. One is early-term evaluation

for teachers only to assist in improving the course for the remainder of the term. They can compare their self-appraisal with the student appraisals. The second use provides faculty members with a basis for comparing perceptions with those of others, and to serve as a basis for an appraisal conference on performance.

- f. **Measures of student learning.** The results of teaching can be measured when the learning of students is measured. Student performance is often assessed for purposes of grading. When incorporated in an appropriate design, measurements of student performance may also be used to evaluate teaching.

For example, departments sometimes offer a sequence of courses. A departmental final examination may be administered at the end of the first course in the sequence. This final examination might serve as a pretest for the second course in the sequence which may have a departmental final. These two measurements might be used as pre- and post-tests to indicate how much groups of students have learned during the course.

Pre- and post-test measures of student performance are not infallible indicators of teaching effectiveness, but they may be valuable when used in carefully controlled designs for evaluation and in conjunction with other indicators of teaching effectiveness.

2. **Advising.** The number of advisees who can effectively be counseled is governed by the faculty member's ability and style, subject area, level of the student, number of students, and the general style of the institution. It is important to gain an understanding of the student's perception of the advising program. An appraisal instrument such as that suggested by Miller (1972) may be administered to advisees once or twice per academic year by the advisor, who can use these for his own awareness, and then pass them on to his chairman.

3. **College service and relations.** This category should be helpful in determining the amount of time spent in college-related activities. The department chairman is in the best position to evaluate this involvement.

4. **Public service.** Activities related to professional advice, consultation and services rendered to the community. This is another area in which personal and administrative appraisal is beneficial.

5. **Instructional research.** Activities related to investigation, testing, design and implementation of instruction within an academic or professional area. This is also an area for self-appraisal and an appraisal by the chairman.

6. **Publications.** Often grouped under research, this should be described separately to reflect not only reporting of research but also review and evaluation of other research, outlines or instructional guidelines, technical articles, and so forth. Publications of the faculty member can be divided into five categories: monographs, special reports (both for the college as well as other groups and organizations), books or chapters in books, periodical articles and instructional guidelines and outlines.

7. **Performing and visual arts.** Although not applicable to all faculty, the unique factors related to the creative arts (music, sculpture, painting, cinema, etc.) should be noted. This is another area in which personal competence rating is warranted along with the chairman's appraisal.

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8. **Professional status and activities.** Involvement as a member and contributor to the respective professional field or fields. Evaluation in this area can be based on level of activity in professional associations, offices held, papers presented, and also evidence of efforts toward individual professional improvement as viewed by the faculty member, his colleagues, and his chairman.

4. Instructional Workload

a. Overview of Instructional Loads

The whole subject of establishing instructional workloads has been researched, debated and discussed for many years. Though this manual is fundamentally concerned with Personnel Management processes (and not personnel decisions), instructional workload is such an important issue that it must be addressed directly.

A faculty member on a college campus may be expected to participate in and contribute to many different kinds of professional activities involving instruction, community service, committee work, individual and institutional development and so forth. Instruction may range from formal lectures given to large groups of students to work with individual students. In all cases, instruction also includes preparation for instruction and the consequent analysis of the effectiveness of instruction — grading of papers, evaluation of other forms of student performance, educational counseling with students, etc. As with any profession it is undesirable to enforce a prescribed "mix" of these activities for individual instructors. Therefore, in the interest of more effective utilization of professional resources, it is generally desirable to make provision for varying assignments among instructional personnel.

Much attention has been paid specifically to determining both the proportion of total time that a faculty member must spend on instructional activities and/or establishing the manner in which faculty members utilize their instructional time. Within the instructional workload, the teaching assignment is and must be affected by many variables which cause the assignment to be different or to differ between instructors, departments and colleges. For example, the number of courses and sections, amount of individual preparations required, the teaching strategy to be used, the availability of clerical and technical support personnel, the preparation and use of instructional media, as well as a teacher's personal style with his students — all these affect the details of the teaching assignment.

The literature contains examples of many different methods attempting to establish instructional workload parameters and standards. Parameters include such system concepts as standard student faculty ratios, student contact hours, and student credit hours as well as highly complex point systems and percent of effort allocations.

b. Four Parameters in the Consideration of Instructional Workloads

Occurring to a greater or lesser degree within all institutions, are four basic parameters which have an impact upon instructional workloads.

1. **The mission and purpose of the institution.** The role of the two-year college in Ohio focuses upon instruction, community services, student advisement and accessibility of educational opportunity to all citizens. This role requires the appropriate selection and utilization of instructional personnel.

5. Tenure and its Relationship to Evaluation and Promotion⁹

2. **Programmatic differences.** Within the individual institutions there are programmatic differences requiring individualized approaches in the determination of workload. Sometimes, in fact, extra-institutional agencies mandate student-teacher ratios (e.g., the Ohio State Board of Nursing and the American Dental Hygiene Association) which affect instructional workload. Moreover, the need to provide educational opportunity to all students through specialized programs; e.g., developmental education programs and tutorial assistance.
3. **The teaching-learning process.** The exact manner in which teaching and learning takes place significantly affects teaching workload. Assignments calling for large group instruction, for example, need to be considered differently from more traditional classroom assignments. Conversely, laboratory, clinic, and studio assignments require a different approach to workload allocation.
4. **Budgetary resources.** In addition to the preceding three parameters, instructional workloads need also to be governed by budgetary allocations to colleges and to individual instructional areas within those colleges.

The complexity of establishing standards for instructor workloads is demonstrated by reviewing the literature and practices in this field.⁹ Such a review indicates a variety of approaches designed to establish instructor workload parameters and standards. These include such concepts as standardized student-faculty ratios, student contact hours and student credit hours, as well as highly complex point system and percent of effort allocation formulas. Two-year colleges in Ohio should continue to consider these approaches, and also the recommendations presented at the conclusion of this section, as they relate to individual institutional purposes.

Tenure within higher education is composed of these coordinate elements:

1. Academic freedom — enables a faculty member to teach, study and act free from many restraints and pressures that would otherwise inhibit independent thought and action.
2. Peer acceptance — a clear indication from colleagues that the individual acquiring tenure has reached a high level of professional competence in scholarship and teaching.
3. Responsibility to the institution and profession — a further clear indication that the individual has acquired the stature necessary for him to become a guardian of and spokesman for those rights and privileges which are both unique and necessary to preserve the integrity of the academic profession.
4. Employment security — to promote institutional stability and regard individual service and accomplishment.

Tenure as a process begins with a teacher serving a probationary period of some years before a decision is made concerning tenure. This allows the development of his skills as a teacher and a scholar and gives the college time to evaluate his quality and potential in light of its own educational standards, fiscal resources and long-term personnel needs. At the end of this

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trial period, an "up-or-out" point is reached at which the college must officially grant or deny tenure.

a. A Clarification of Complaints About Tenure

Tenure is presently being subjected to criticism, however. Five major complaints can be cited and clarified.

1. **Tenure is a special privilege of guaranteed employment uniquely enjoyed by faculty members.** Tenure clearly does not guarantee employment. As a principle, tenure merely requires assurance that (1) appropriate procedures exist for termination of legitimate expectations of continued employment, and (2) the procedures represent rules of fair play and justice.
2. **A professor may acquire tenure status by mere passage of time in his position, without regard for professional competence or academic responsibility.** In fact, it is not easy for a new faculty member to acquire tenure. He is under scrutiny over an extended probationary period, and the burden of demonstrating that he has the qualifications for tenure is squarely upon the individual.
3. **Nearly all faculty members enjoy tenure.** Nationally, a 1971 survey by the American Council on Education reveals that an average of 41-50 percent of college and university faculty are on tenure.
4. **A faculty member with tenure cannot be dismissed from his position for incompetence.** The "adequate cause" which tenure requires to support dismissal of tenure faculty includes a broad range of grounds, collectively described as incompetence and irresponsibility.
5. **Tenured faculty enjoy lifelong job security without corresponding obligations to maintain professional competence or acceptable standards.** Every college stipulates that tenured faculty must maintain professional competence as teachers and faculty members, refraining from conduct that demonstrates a lack of ability or willingness to meet his academic responsibilities.

Clarifying possible misconceptions about tenure does not negate the need to critically examine issues affecting tenure. These can be broadly divided into, first, issues internal to the college, and, second, pressures coming from outside the college.

b. Tenure Issues Internal to the College

1. **The percentage of tenured faculty is increasing.** Tenure is related to age, i.e., older faculty have tenure. It is predicted that the number of faculty in the 40-65 age bracket will increase by 41,000 by 1976. Also, in the period from 1982-90, the total number of faculty is actually expected to decrease by 43,000. The best inference, then, is that collectively, the average age of faculty in higher education will increase markedly from the current figure of approximately 41 years. Furthermore, the proportion in each higher rank will increase to an appreciable degree.¹⁰
2. **Faculty supply will exceed demand for the next two decades.** Faculties are now faced with a poor job market and poor job mobility at a time when institutions are realizing declining enrollments and funds.

**C.
Tenure Issues
External to
the College**

3. **Non-tenured faculty are concerned about their status.** Contracts of non-tenured faculty are viewed as term appointments with no implied expectancy of continued employment. Furthermore, in the absence of a tenure system, qualified individuals may be reluctant to join a college faculty, thus ultimately adversely affecting academic quality.
4. **Senior faculty are also expressing concerns.** The traditional authority of senior faculty is being challenged by (1) the questioning of the way in which they exercise their responsibility over the careers of junior colleagues, and (2) rapid expansion of collective bargaining in higher education.
5. **Student evaluation of faculty.** Tenure is being questioned by some students on the ground that it protects tenured teachers against evaluation by the recipients of their instruction.

1. **Action by state government.** Some legislators in Ohio and elsewhere have voiced a concern about a seemingly inverse correlation between the cost of higher education and its performance. Some states have enacted "workload conditions" when passing college budgets.
2. **Action by the federal government.** The Federal Government is also subjecting the tenure system to new stresses. Grants have been awarded which encourage colleges and universities to undertake educational programs which existing faculty are unprepared to teach. Laws now require educational institutions to provide non-discriminatory treatment, including more faculty appointments for women, blacks and other minorities. Also, the federal courts have recently rendered a number of decisions on due process for non-tenured faculty which may discourage some institutions from a rigorous evaluation of teachers at the end of their term appointments.
3. **Action by faculty unions.** The pressure for collective representation and bargaining by many faculties has seriously tested the general definition of tenure. First, the bargaining unit for faculty includes all faculty, tenured and non-tenured. Second, grievance procedures evolving out of the negotiations result in (a) formal hearing of causes for non-renewal of ficontracts of non-tenured faculty, and (b) tenure relationships being established through collective agreement rather than through individually negotiated agreements.

**d.
Alternatives within
the Tenure System**

A number of alternatives within the system have been used at various institutions in the country. Each institution should carefully consider the need for and appropriateness of such policies in its own situation.

1. **Assure high standards in granting tenure.** Faculty should be free to set high standards for tenure appointments and enforce these standards vigorously.
2. **Plan for an appropriate balance between tenured and non-tenured faculty.** The conferral of tenure should be considered in light of careful planning of future manpower needs for each department and institution.

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3. **Establish an excellent development and evaluation program as described earlier.** The guidelines for development and evaluation discussed above would be the basis for such an evaluation.
4. **Provide for periodic evaluation of tenured professors.** Some institutions have prescribed procedures which allow the department head, peers and students an opportunity to examine the continuing qualifications and performance of the tenured professor. Local conditions do, and should, determine the procedures under which such an evaluation is made.
5. **Consider early retirement of older faculty.** Early retirement can be accomplished by lowering the age of compulsory retirement, encouraging voluntary retirement, and/or developing a phase-out process with new assignments.
6. **Consider wider use of temporary and short-term contracts.** such contracts would provide that faculty employment would terminate at the end of the contract period. After suitable review a contract might be renewed, but in no case should the total length of time served by a faculty member on such contracts exceed the probationary period set by the institution for the attainment of tenure.

e. Alternatives Other Than Tenure

There are at least three alternatives to the tenure system which could be considered.

1. **Fixed-term renewable contracts.** In lieu of tenure colleges might issue extended fixed-term contracts. Such contracts would provide that faculty employment would automatically terminate at the end of the contract period (perhaps three to five years) unless a new contract were offered following review of the faculty member's competence and responsibility.
2. **Overlapping extended contracts.** Contracts of three to five years in length could be offered to faculty after a probationary period of a minimum of three years (three one-year contracts). As each year of the extended contract was completed, an overlapping three to five year contract could be offered with an appropriate increase in the annual salary. Such a plan would provide an element of job security, and enable faculty to apply their best efforts to productive teaching.
3. **Unions and collective bargaining.** Many union contracts recognize tenure as a basic aspect of the college. The process of determining tenure and removing those on tenure progresses in three or four stages from informal review by joint faculty/administrative committees to a public hearing. The final stage is often subject to binding arbitration by an outside, impartial arbitrator.

f. Summary Comments Regarding Tenure

The current debate over tenure is frequently based on unfounded assumptions and incomplete information. History would certainly indicate that for the preservation, and possibly the enhancement, of serious teaching and scholarship free from damaging political interference, tenure should be kept. To abolish tenure would certainly do little to improve the instructional process, nor would the difficult task of recruiting and terminating academic personnel be made any easier. The way to insure continued high quality

academic performance is to couple the principle of tenure with the principle of accountability which can be achieved through a system of regular evaluation. There should be established procedures at each step along the road to acquisition of tenure. These procedures will naturally differ at the several institutions. In every instance, however, their exact nature should be clearly delineated and understood by both faculty and administration.

There is presently a great deal of serious discussion on the concept of tenure, both in and out of the academic environment. It is certainly proper for two-year colleges to participate in those discussions, and analyze and draw appropriate conclusions from them.

Task Force Recommendations

The primary purpose for evaluating faculty is to improve instruction, which is the basic mission of two-year colleges. Each college should develop or continue to refine its evaluation procedures for faculty, based in part on the guidelines discussed in this section.

Each college should continuously review their approach to the determination of instructional workloads in light of the literature and practices with the objective of improving the effectiveness of the workload allocation system.

The principle charge to faculty, in fact the *raison d'être* for faculty in two-year colleges, is student interaction, either in formal classroom settings, in conferences, or in any number of other opportunities. Therefore, it is recommended that each institutional plan provide for every full-time member to meet individual staff responsibilities and other professional responsibilities on and off campus, with emphases on opportunities for interchange with students.

The literature indicates that teaching professionals, like professionals in all fields, make a commitment to more than a forty-hour work week. Each college should maintain an environment which encourages full professional commitment.

Budgetary allocation for instruction should be based primarily on the instructional program which is offered, and secondarily, on the number and characteristics of the students to be served. For example, the guidelines published by the Ohio Board of Regents recommending student/faculty FTE ratios by program of students, or other similar ratios may be used in conjunction with institutionally developed criteria.

Each college should acknowledge the need of accountability in terms of both fiscal and performance objectives. Therefore, each college must develop and improve its system for collecting and analyzing data in respect to faculty and other professional staff functions on a regular basis to assure effective personnel utilization.

Colleges with an established tenure system should continue to use and improve the system. Colleges without a tenure system should carefully evaluate the advantages, disadvantages and alternatives discussed in this section.

E. DEVELOPMENT AND EVALUATION OF ADMINISTRATIVE, PROFESSIONAL, TECHNICAL AND OPERATIONAL PERSONNEL

At the beginning of the previous section, the major premises of development and evaluation programs were set forth, along with the need for accu-

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rate position descriptions and standards of performance. In this section, these four principles are applied to administrative, professional, technical, and operational personnel.

1. Position Descriptions

A discussion of the importance of position descriptions and the various methods available for analyzing positions is presented in Section A of this chapter. Administrators should frequently review their objectives, along with the manpower and talent required to accomplish them. Accurate and detailed position descriptions should be prepared in concert with the employee and supervisor for each administrative, professional, technical and operational position. These should relate to the occupational requirements of each university and should, when required, be in compliance with the appropriate laws in the Ohio Revised Code.

2. Performance Standards

Standards of performance may be based in part on (1) the desired objectives for a given program or department, (2) the activities and responsibilities as enunciated in the position descriptions, and (3) the appropriate standards as perceived by the individual occupying the position and by his administrator and supervisor. Administrators should be encouraged to work with those they manage in developing performance standards for a given period of time. In setting standards administrators should avoid relying solely on quantifiable measures; they are difficult to develop and adhere to, particularly for administrative and professional personnel. What is important to consider is not the imposition of arbitrary standards but the development of meaningful ones, through a study of the individual's contribution to a set of desired objectives which have been mutually developed, evaluated and agreed upon.

3. Performance Evaluation

Performance evaluation involves examining the work that has been done and communicating the administrator's appraisal of the work to the individual. This is one of the most important responsibilities of supervision or administration. Not less than once a year, meaningful performance evaluation sessions should be held between all employees and their immediate supervisors. Employees' strengths should be highlighted and deficiencies explained, so that they will have an opportunity to improve upon them. Written evaluations should be shown to employees, and they should have the opportunity to make written comments, signing the evaluation form if they wish to do so.

An important question is, what are the best appraisal or evaluation techniques for administrative, professional, technical and operational employees in the colleges? The literature on performance evaluation includes a number of readings on various techniques. Selected readings appropriate to higher education have been included in the bibliography.

4. Training and Development

Training and development programs can increase the skills of personnel while providing better service to the college. They would also help to enhance a program of promotion from within, and improve employee satisfaction and retention while reducing the high cost of recruitment and employee retraining.

It may be economically advantageous in many cases to send employees to specialized courses off campus. These might include highly technical courses, management development seminars, and programs introducing new procedures, techniques, or guidelines. In other cases, it would be prudent to bring in specialists to conduct programs for groups of employees rather than having them incur travel, lodging, food and registration expenses on an individual basis.

Maximum advantage should also be taken of in-house capabilities of the teaching faculty and the instructional resources of the college.

Colleges and universities (public and private) in a geographic area could also collectively sponsor and conduct training and development programs in topics of mutual interest.

Each college should review the quantity and quality of development programs which are available for their non-instructional employees. Each college should also consider designating an administrator responsible for training and development. This person would be responsible for monitoring and coordinating the training and developmental experiences of administrative, professional, technical and operational personnel. They could also give appropriate attention to training programs which upgrade the skills of all employees, particularly women and minorities.

5. Summary

The entire emphases of position descriptions, performance standards, performance evaluations, and training and development should be designed to maximize organizational efficiency and individual effectiveness. The college would benefit greatly if these activities could be maintained at all operating levels in the organization.

Task Force Recommendations

Each college should develop appropriate performance standards and evaluation procedures that reflect the desired objectives of the college and also the environment and characteristics of administrative, professional, technical, office and clerical, and service and maintenance personnel. At least once a year, a performance evaluation session should be held with each employee.

Each college should provide appropriate training and development programs for these employees. An administrator responsible for coordinating training and development programs should be considered.

F. EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION PROGRAMS

Two current factors have emphasized the importance of personnel management in higher education: the rise of collective representation of employees (previously discussed above and considered at length in Section L of this chapter), and the civil rights and equal opportunities legislation and directives.

No less than five important Federal Laws or Executive Orders have been enacted since 1963 that directly affect employment and admission in educational institutions.¹¹ Also, at least eight other federal laws have an influence

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upon personnel policies and procedures.¹²

In Ohio, the governor's Executive Order of September 13, 1973 prohibits discrimination in all state employment based on race, color, religion, national origin, ancestry, sex, age, or handicap. Also, the legislature has enacted bills on equal opportunity and other legislation during the 110th General Assembly.

To examine each of these laws in this manual would be redundant since numerous sources are available that quote, summarize, and interpret each law and order. One of these sources is presented in Appendix 12 — "Federal Laws and Regulations Concerning Sex Discrimination in Educational Institutions." In addition, guidelines have been published that further clarify the intent of Federal laws and directives. One primary source is the **Higher Education Guidelines: Executive Order 11246** (Washington: U.S. Department of Health, Education, and Welfare, Office for Civil Rights, October, 1972).

1. Personnel Policies and Practices Affected by Equal Employment Guidelines

In general, the colleges must establish in reasonable detail standards and procedures which govern all employment practices. Following are selected guidelines for specific practices:¹³

1. **Recruitment.** The college should examine recruitment activities and policies of each unit responsible for recruiting. Colleges must recruit women and minority persons as actively as they have recruited white males.
2. **Hiring.** The process of selection must also carefully follow procedures to insure nondiscrimination. Standards and criteria should be explicit and accessible to all applicants.
3. **Anti-nepotism policies.** Such policies should not have adverse affect upon one sex or the other. Policies setting reasonable restrictions on supervising a relative are permissible.
4. **Pregnancy and child care leaves.** Women should not be penalized because they require time away from work for childbearing. If employees are granted leaves for personal reasons such as child care they should be available to men and women on an equal basis.
5. **Training.** To eliminate discrimination and assure equal opportunity in promotion, an employer should initiate necessary remedial, job training and work study programs aimed at upgrading specific skills.

Considerable concern has been voiced regarding the possibility that "goals" in hiring women and minority personnel will become, in fact, quotas requiring strict compliance. The **Guidelines for Higher Education**, however, have assuaged many fears as they reflect an awareness of the unique environment of the academic institution as opposed to the corporate or industrial setting. At the same time, difficult problems still need to be resolved:

1. Colleges are being asked to establish goals for employing women and minority personnel with HEW determining whether the goals are reasonable. However, the standards and criteria which HEW will use to evaluate affirmative action goals have not been stated.
2. It is also difficult to project realistic goals at institutions where there will be no expansion in the number of positions available. Positions

will open up only through resignations, illness, death, or retirement — all factors hard to predict accurately.

3. Implementing hiring goals could lead to an informal kind of quota system. For example, if a department chairman has not reached the institution's hiring goals despite strong efforts, he might be tempted to reach his numerical or percentage goals by selecting less qualified persons, turning the goals into a rigid quota.

Answers to these problems will not be easily found, and will often be determined on an institution-by-institution basis. It is strongly recommended, therefore, that everyone developing policy and implementing procedures in personnel management understand completely the necessary federal and state laws and their current interpretation as stipulated in the **Guidelines** and court decisions.

It is essential that two other recommendations be stressed. First, an unprecedented search must be made for qualified women and minorities. Second, programs providing opportunities for professional and occupational growth must be developed within the colleges for all employees.

Task Force Recommendations

All administrators responsible for developing and implementing personnel policies and procedures must understand fully all equal employment laws and guidelines.

Because of the great emphasis in the guidelines on personnel practices and procedures, a central administrator should be designated for coordinating Equal Opportunity and Affirmative Action Programs.

Because of the need for each college to have an Affirmative Action Program, a workshop to assist the colleges in preparing a functional program should be conducted. This should be a coordinated effort between the Ohio Board of Regents, the Equal Opportunity Office and the Affirmative Action officers of the two-year campuses. It is recommended that this meeting be held no later than the spring of 1975. This would allow Affirmative Action Officers to have complete and acceptable programs by fiscal year 1975.

The active campaign to attract and recruit qualified women and minorities should be continued.

Programs providing opportunities for professional and occupational growth of all employees should be developed or continued.

G. STANDARDS OF CONDUCT AND CORRECTIVE ACTION

Standards of conduct aimed at developing employees and correcting deficiencies is essential to all organized group activities. The membership of any organization must abide by some code of conduct. A healthy, positive state of employee relations and increased professionalism is not easy to develop or maintain, as attested by the fact that corrective issues constitute the largest single category of formal grievance cases.

1. Progressive Employee Relations

Corrective actions may be viewed as a form of mutual understanding and development. If corrective action is to be positively accepted, the rules should be effectively communicated and the action which is applied must be consistent. Also, respect can be increased if corrections are applied impersonally, without personal animus.

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2. The Principles for Administering Corrective Actions

In administering corrective action (as well as handling grievances), colleges must constantly be aware of the dual objective of preserving the interest of the college as a whole and protecting the rights of individuals. Therefore, the following are basic principles of a sound system:

1. **Communication of definite policies and procedures.** All personnel must have knowledge of the rules and standards of professionalism before they can be held accountable. In grievances, arbitrators have rescinded penalties where such was not the case. Hence, it is important to develop and distribute policy statements, rules, codes of ethics and regulations to all individuals, be they administrators, faculty or operational personnel. Professional personnel should be given appropriate responsibility, authority and accountability.
2. **Consistency of corrective action.** Adoption of uniform procedures and their impartial implementation is a hallmark of effective employee relations. In all cases, it is recommended that due process be consistently employed prior to any action which might be construed as punitive. There should also be evaluation and appraisal procedures, so that the individual knows where he stands and how he may initiate the necessary corrective action himself.
3. **Consider the circumstances of the case.** Each instance must be viewed individually. Four factors should be taken into consideration: (1) The seriousness and circumstances of a particular situation, (2) the past conduct record of the individual, his length of service and standard of performance, (3) the lapse of time since the last misconduct for which action was necessary, and (4) previous action taken in similar cases.
4. **Reasonable policies and standards.** Institutional conditions, work standards and management climate must be such that policies can be capable of attainment. Professionalism, a high standard of ethics, and a sense of fairness should be given primary emphasis rather than punitive reaction. Academic and operational personnel should play a principal role in helping to set those standards which affect their performance evaluation.
5. **Right of appeal.** The individual being censured must have the right to appeal to higher authorities. This is discussed in Section H.

3. Progressive Action

One principle requiring further discussion is the importance of progressive corrective action which calls for increasingly firm action. A suggested sequence of progressive action is as follows:

1. **Simple oral warning.** Once an individual has violated a policy, a clear oral warning with assistance in determining ways to counter present behavior is all that is necessary.
2. **Second oral warning.** The same procedure as the first, only this warning is noted in the individual's personnel record.
3. **Written warning.** The first formal stage of progressive action, written warnings are presented as evidence if serious action follows, or if the action is appealed.
4. **Administer the appropriate penalty.** The first level of formal corrective action is crucial in that it is the most extreme action taken other than

5. **Discharge or dismissal.** The ultimate action — both for the employee and the college — can, because of the expense of securing and orienting a new employee, make the loss of an experienced employee very costly.

4. **Administering Penalties**

It would be beneficial both to the college and the employee if a formal statement for corrective action is adopted. This approach assures consistency of treatment and also consistency over time. Such a statement adds legitimacy to necessary enforcement programs. Also, excessive penalties cannot be put into effect by vindictive managers.

Offenses should be grouped into two broad categories: minor or moderate offenses, and serious offenses. Usually, only oral or written warnings are assigned for minor offenses, with frequent recurrence resulting in more firm action. However, a very serious first offense (e.g., malicious destruction, or gross insubordination) should bring appropriate action, dismissal or discharge.

Finally, progressive corrective action should support a policy in which an history of offenses is erased at the end of one or two years. A person's previous conduct should not be held against him if an observable change in behavior has been evident.

Task Force Recommendations

Persons in positions of leadership at colleges should see that meaningful performance standards are established, and that all individuals are given an opportunity to fulfill these standards. If corrective action becomes necessary, each situation must be handled with equity and objectivity, with due process and individual development as principal objectives.

Persons in an administrative role should be aware of the principles regarding corrective action discussed in this section.

H. GRIEVANCES AND APPEALS

One of the most important components of an effective personnel management system is a well-designed grievance procedure. The grievance procedure is an avenue through which discontent can be expressed rationally and conflict ameliorated. Effective appeals procedures help to stabilize personnel relations within the college. This section considers the current situation in higher education regarding grievance procedures, the basis for and the general steps of a proposed grievance system, and the purpose of arbitration.

A regularized grievance procedure culminating in some form of arbitration is one of the major contributions of the American union movement. Such grievance procedures bring important elements of due process to the employment relationship. All employees should have available to them such routine and expeditious appeals of decisions and actions which affect them.

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Such procedures are lacking in some institutions of higher education. This is succinctly noted through McHugh in his discussion of academic grievance systems:¹⁴

Ill-conceived or ineffective academic grievance systems can cause more problems than they solve. Thus, what could be disposed of informally is indiscriminately thrust before a faculty grievance committee and needlessly mushrooms into a cause celebre. Or the grievance is so broadly defined that issues come before the committee which have no business being there. Or a grievance is brought against the institution concerning a squabble between faculty involving no challenged institutional policy whatsoever. Sloppy selection methods may result in including members in the academic grievance committee who are totally unskilled, lack practical judgment, or are just plain stupid. Records are not kept of precedent cases; sometimes committee members serve reluctantly and, therefore, do not take their responsibility seriously enough. In other cases, retained faculty attorneys are sometimes permitted in and the whole process turns into a three-ring circus complete with clowns and highwire specialists. Too frequently, the president and his key representatives simply look upon the academic grievance system as a sandbox for faculty play. He sees it as a means, politically speaking, for "reading the situation" when the recommendation is finally handed to him.

1. The Basis for a Grievance Procedure System

1. The importance of grievance machinery lies not so much in its frequent use as in the fact that it is available and can operate as a workable safety valve.
2. The grievance procedure should provide a mechanism for the evolvment and maintenance of stable working conditions. It should also provide the employee with a point of reference to guide him when there is uncertainty in other phases of the employee-employer relationship.
3. Grievance procedures should improve existing communication and create new channels of communication by establishing greater interaction between the chairman/supervisor and employees. It should encourage discussion of policies and procedures by those who must work together at the operating level.
4. The grievance procedure should eliminate problems before they arise. Where this cannot be accomplished, the aim is to minimize the severity of the problem. Where a complaint actually exists, the procedure to resolve differences should provide an orderly method of bringing the complaint to the surface so that it can be settled promptly and without discord.
5. The dignity of the individual must be held in the highest regard at all times. The employee should expect to receive prompt and considerate action, consistent with the best interest of the individual and the college.

2. General Procedures of the Grievance System

Unless otherwise specified presently in union contracts, handbooks, or operating manuals, a grievance system such as the following may be utilized for employees. An expanded description of this system is presented in Appendix 13.

The system is divided into informal and formal systems. Following are the steps for both systems.

INFORMAL GRIEVANCE SYSTEM

The informal grievance system consists of the following steps:

Step 1. This step consists of "on-the-spot" discussion between the employee and the supervisor or chairman. The complaint may be presented in the company of another employee if he so desires. This is a very important step because it represents an attempt to eliminate problems at the point of origin.

Step 2. The employee, the supervisor, or the chairman may wish to have both parties to a grievance give an oral presentation of the matter before the next higher administrative officer. This should be done with the supervisor or chairman in attendance. Again, the employee may present his complaint in the company of another employee. The reviewing officer should give an oral answer to the aggrieved employee within a reasonable time not more than two working days.

Step 3. (Optional Step). An optional step available to an employee recognizes that some types of complaints are of such a sensitive nature that the employee believes he is unable to discuss it with this immediate supervisor or chairman. In such cases, the employee may seek guidance from a third party such as an ombudsman, affirmative action officer, or someone designated by the appropriate vice president. This third party may act as a consultant providing information concerning policies, procedures, directives and regulations which apply, and may resolve the complaint or bring about a satisfactory understanding. This person may arrange a meeting between the employee and supervisor/chairman if possible. A summary of any such meeting should be written.

FORMAL GRIEVANCE SYSTEM

Step 4. Should the employee continue to be unsatisfied with the decision, he may proceed to the next step — the formal grievance. At this point, the complaint must be written, giving full details and recommended action. The statement is submitted to a College Arbitration Board (or Personnel Relations Committee, or some similar title). This group will gather all pertinent data and conduct a formal hearing to achieve a settlement of the difficulties. If an agreement cannot be reached after the hearing, the Board will meet within a reasonable time, consider the issues, and reach a decision to recommend to the chief executive officer or administrator involved. All parties will then be notified.

Step 5. If the recommendation of the Board is not acceptable to either party, all pertinent data will be presented to a chief executive

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officer for a final decision. This officer has the opportunity of discussing the problem with others, gathering additional data and referring to procedures up to this point.

3. Grievance Procedures for Faculty

A grievance procedure for academic personnel is premised on the fact that the college has established machinery for faculty review of termination, tenure, salary and promotion decisions (see other sections of this manual), and that similar procedures are applicable to hearing and acting upon grievances. Unless otherwise specified in existing faculty handbooks or manuals, the following procedures may be considered by each college:

1. A grievance committee composed of teaching faculty should be established to investigate appeals brought to their attention by an aggrieved colleague. This committee is to have reasonable access to college files and personnel in order to investigate the validity of the appeal. The results of their deliberations will be reported to the chief academic administrator and the President.
2. If the grievance committee is unable to resolve the matter, a special hearing committee may be appointed to make final recommendations to the appropriate executive officer.

4. Arbitration

Although arbitration is usually discussed within the context of collective bargaining, the grievance and arbitration system described above provides for the advantages of arbitration within a general grievance procedure. The purpose of such arbitration is to find a means for the effective resolution of controversy. It is basically an arrangement for settling disputes by calling on the judgment of a neutral party or group, rather than the courts. It is also essential that amicable relations be preserved between disputants, and that the decision be rendered by persons familiar with the college.

The arbitration board or committee generally has no final authority to settle disputes, but it would have the responsibility of recommending specific decisions or procedures for arriving at decisions. Final authority rests with the chief executive officer (appointing authority), acting as an agent for the Board of Trustees, as specified in the Ohio Constitution.

The frequency with which the judgments of such boards are accepted, however, is usually due to the implied tone of reasonableness under which they are issued and the difficulty of rejecting such recommendations without a resultant loss of support from peer groups.

Task Force Recommendations

Each college should establish a grievance procedure for all employees whether represented by an employee organization or not. The process should not be an involved one, and should have no more than four or five levels or steps, similar to the steps described in this section.

A handbook on developing effective grievance procedures for community and technical colleges should be written.

Emphasis should be placed upon settlement of issues as close to the point of origin as possible. Special attention and assistance should be given to (1) providing chairmen and supervisors training in employee relations, and (2) establishing channels of communication and consultation with higher level administrators when problems arise.

**1.
Factors that
Contribute to
Collective
Representation**

I. ASSOCIATIONS, UNIONS, AND OTHER EMPLOYEE ORGANIZATIONS¹⁵

Individuals with common interests find it mutually beneficial to come together in some form of organization. Their interest may range from personal and economic security to social and recreational activities and to occupational and professional growth. Often the same organization may be involved in all three interests.

Because of its central interest in personnel management, this section of the manual will concentrate on organizations formed for the purpose of representing employees' interest in personal and economic security.

Limiting the discussion to this area does not negate the importance of social and recreational groups, or of professional organizations. Indeed, policies which encourage self-actualization will prove fruitful when conferring on more basic economic and security needs.

This section will examine (1) the factors that contribute to collective representation, (2) various forms of collective representation, and (3) a discussion of four issues usually considered important for discussion with such employee groups.

**a.
Internal Factors
Contributing to
Collective
Representation**

The purpose of this discussion is to identify factors that result in personnel seeking collective representation. The factors are composed of those that are internal or external to the college.

1. **Wages and benefits.** The basic reason for individuals coming together is to gain greater economic and occupational security. When the individual employee feels unable to compete in the economic structure for higher salaries, he will join with others in seeking improved wages, acknowledging the loss of his claim for individual increases for the sake of corporate increases.
2. **Collective security.** Changing enrollment and financial support along with inflation is forcing more austere budgets, limited hiring and minimal increases in wages — often an actual loss in real dollars.
3. **Administrative behavior.** Various administrative patterns of behavior, such as a highly authoritarian posture or *laissez faire* attitudes may also lead to collective action.
4. **A change in morale and commitment.** This may be caused by (1) the rise of an impersonal bureaucratic structure within the institution, (2) the lack of effective, functional employee organizations, and (3) the decreasing role of the campus as a focus of effort and loyalty.
5. **Increasing role of students.** The collective voice of students, often reflecting a quasi-bargaining unit, has resulted in countermoves by faculty, administrators, and other employee groups to offset the "power" of students.
6. **The results of collective representation at other institutions.** Reports coming from institutions forming unions indicate significant results, apparently achieved through collective bargaining. Too often, how-

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ever, the situation prior to the formation of the union is played down. Personnel at other campuses may form the questionable conclusion that they will experience similar results once they become organized.

b. External Factors Contributing to Collective Representation

1. **Centralized decision-making.** Recent trends in the development of statewide systems of public higher education shift the locus of decision-making upward, and sometimes off the campus.
2. **Governmental actions.** Recent court decisions and state and federal legislative action are breaking down the distinction between tenured and nontenured faculty members. Also, governmental guidelines requiring an accounting of hiring and promotional practices are being invoked.
3. **External associations.** Regional and national accrediting associations such as North Central Association, professional associations such as the American Institute of Architecture and the American Accounting Association, and statewide associations such as the Ohio Faculty Senate — all have an influence on the program and procedures of the college.
4. **Changes in personnel relations.** Institutions have been marked by growing employee militancy and an increased tendency among employees to view employer and employee in essentially adversary roles.

2. Forms of Collective Representation

The kinds of groups organized for personal and economic security range from informal, ad hoc groups, formed on an irregular basis to voice their concerns over specific issues, to a fully recognized employee organization having exclusive bargaining status and a financial arrangement (dues check-off) to assure financial security. **The Personnel Management Inventory of Current Practices** (June, 1972) identified two general types of employee organizations which predominate in Ohio's public universities and colleges: the formal employee organization and the union. These are discussed below along with an intermediate form.

a. Formal, Nonunion Organizations

General characteristics. A formal nonunion organization is interested in discussing employee-related issues with the administration. It may also serve other social and professional purposes, but such functions are not within the scope of this discussion. The general mode of relations with formal, nonunion organizations is of a collegial or partnership nature, resting on an assumed commonality of interest, joint effort and co-involvement. This "spirit" does not eliminate disagreement, but disagreement can take place without loss of good will through effective channels of mutual communication, consultation and participation. Attempts are made to receive dissent and carry it to constructive outlets.

Examples of formal nonunion organizations. Two general examples can be cited, though these organizations on specific campuses can vary significantly. Among the faculty, the Faculty Senate (Faculty Council, or Faculty Conference Committee are other names) and the American Association of University Professors (AAUP) exemplify this form of representation.¹⁶ They

are usually viewed as the primary groups representing faculty in traditional models of institutions of higher learning.

The Faculty Senate is internalized within the formal structure of the college. Officially, it serves in an advisory role, but the Faculty Senate can function as a major decision-making center, particularly in influencing curriculum, teaching and research; it may also influence the distribution of funds. The AAUP is independent of the college structure with voluntary membership. Its influence is primarily through the development of professional standards and examinations of administrative actions as they pertain to faculty.

An example of a similar organization for administrative personnel is the Administrative Senate, recently formed at Ohio University. This group primarily represents the middle managers responsible for the operational activities of the university. The Administrative Senate is modeled after the Faculty Senate, i.e., it is an internal advisory organization within the formal structure of the university.

An example developed at the University of Oklahoma for all operational employees is the Employee Executive Council. The Council is composed of four groups of employees, each having its own association.¹⁷ Approved by the University's Board of Regents, the Council has been given a budget for staff assistance, office space and funds for distributing information.

PRO: Formal Nonunion Organizations. Defenders of the advisory, collegial structure contend that the major factor supporting the use of formal organizations is the sustaining desire to maintain a collegial atmosphere through which disagreements are acknowledged but resolved within a common attitude of mutual support.

Individual goals and organizational goals, and the need to integrate both components for mutually beneficial results, are acknowledged through a partnership basis. Individual and informal relationships are encouraged within this structure. Finally, the individual inputs in decision-making are very real under such a system, and, thus constitute a good method by which an employee's voice may be heard. Collectively, the advisory role can be influential, reaching into areas of major program and fiscal development.

CON: Formal Nonunion Organizations. The same arguments used to defend this organizational relationship are also used by critics to attack it. They contend that, because of the various reference points from which an issue can be viewed, the emphasis upon a participative relationship does not acknowledge the real and basic differences that often occur within a college. The inherent weakness in any dual system of representation is the impossibility of making any realistic demarcation of responsibility or power. This results in the whipsaw tactics of competing groups, which may ultimately defeat the process.

Also, too much is based upon assumed commonality of purpose, i.e., it may be assumed that the strength of the power base of each party in the relationship is not important since all are working for the common good. In reality, however, many are looking toward other forms because of the perceived or real inequality between the parties involved.

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The advisory structure of councils, senates and committees may be viewed as providing little impact on institutional decision-making. The structure itself exists only with the consent of the administration, which can terminate, alter or ignore it. Also, historically the professional association or governing body has been concerned with standards for the profession as a whole, but, except on rare occasions, it has not concerned itself with individual grievances.

Recognized as a viable alternative are representative assemblies and groups, which in general have done much better than many senates. Their effectiveness can be enhanced by moving closer toward a negotiating role in areas of greatest concern, especially those affecting economic policy, without giving up the collegial relationship with administrators.

b. The Union Organization

General Characteristics. The union, whether it be called the association, league, organization, or union, has three fundamental characteristics. First, unions are grounded on the belief that a fundamental and permanent conflict of interests exists between managers and those managed. Second, exclusive representation by the union of all employees within a particular unit is a fundamental goal. Third, the union usually regards itself as a service organization for the individual first, and for the perpetuation of the profession second.

Two union models are evident in colleges and universities. The first is the **Industrial Union Model**. In this model, an organization whose structure is external to that of the institution is recognized to serve as the bargaining representatives for employees within a specific bargaining unit. Some or all of the employees within the unit are members of the agency or union. Either the members of the union or the unit select employees and/or nonemployees to represent them in bargaining with the employer. Negotiations normally result in a written agreement.

The Industrial Union Model places major emphasis, through collective bargaining, on economic issues and personnel administration. Emphasis is given to standard rates of pay, pensions and other pay-related fringe benefits. Stress is given to the procedures for handling disputes and grievances, with arbitration or a strike being a final step in the resolution of most grievances.

The second union model is the **Professional Union Model**. A major difference from the industrial model is the great stress upon professional or noneconomic goals, and the professional standings of the members. Pay and job security still play a central role in union aims, but contract provisions for merit increases are apt to be included. This model may also propose that an individual pursue a grievance with an employer by other channels than those incorporated in the collective bargaining agreement.

Examples of Unions. The Industrial Union Model is most clearly reflected by AFSCME agreements with most of the universities, and at least one two-year college. The only example of the Professional Union Model in Ohio's public universities is Youngstown State University where negotiations have been completed with the local chapter of the Ohio Education Association. Outside Ohio, 286 institutions have selected a bargaining agent with independent unions or local chapters affiliated with the National Education As-

sociation (NEA), the American Association of the University Professors (AAUP), or the American Federation of Teachers (AFT).¹⁸

PRO: Unions. The most significant gains attributed to collective bargaining have been: (1) broad grievance clauses that provide for review, and sometimes arbitration of a variety of administrative decisions, especially regarding employment, (2) more sizable salary increases (at least for a temporary period), (3) some improvement in fringe benefits, and (4) probably a more rational salary schedule with closer scrutiny of inequities. Assuming that a strong and well-organized bargaining agent exists, the process affords an opportunity to motivate or gain the collective cooperation of the work force. The potential for full and candid communication is enhanced by the process, and discussion is based upon hard information, particularly when discussing economic issues.

Particularly for faculty, proponents of collective bargaining have lauded the systematic procedures established for the improvement, observation and evaluation of non-tenured faculty, and the narrowing of the gap between the lower and higher academic ranks. Other advantages would include an affiliation with strong state and national organizations resulting in increased political power, a more meaningful role in the budgeting process, especially in setting priorities, and more explicit procedures for shared responsibilities.

CON: Unions. First, the bargaining relationship changes the basic structure of the college by formalizing an adversary relationship and creating a greater distance between personnel and administration. The traditional self-image of college personnel, particularly faculty, is altered when individuals are redefined as "employees" rather than professionals. Faculty may have a degree of independence and a role in governance not usually provided to employees in business and industry or other areas in the public sector.

Also, decisions are made in total packages rather than piecemeal. Emphasis upon bargaining over compensation and workloads can become inextricably related with academic issues of program and curriculum development. Thus, it would seem that, despite past practices and reserve clauses on prescribed procedures, most of the academic issues are increasingly being affected by decisions reached in the bargaining process, and that collective bargaining increasingly includes both economic and academic subjects.

Some critics assert that claims for favorable monetary gain through collective bargaining are false because such claims assume that all that has happened in any case is the initiation of collective bargaining procedures. It is difficult to get any figure that clearly shows monetary gains as an effect of unionization. For example, it is difficult to separate the effects of collective bargaining from the effects of a general inflationary period and increases that would normally be granted.

Finally, collective bargaining adversely affects a college principally in the following ways: (1) whereas in most institutions power and control is decentralized, collective bargaining forces the institution to move toward greater centralization of power and control; (2) personnel cuts and control of productivity become strictly administrative responsibilities; (3) unions serve as a

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medium for communication with the legislature, bringing greater pressure upon them, but having potentially negative effects, particularly if the pressure becomes abrasive; (4) there's a leveling effect of the pay scale; (5) dissenting voices become smothered by the will of the majority; (6) it is not clear who achieves the greater gain — the faculty and staff, the students, or the legislature; and (7) short-term gains are achieved frequently at the expense of long-term gains (e.g., the quality of an institution over a long period may diminish as a result of what appear to be immediately improved positions).

C. Intermediate Forms of Employee Representation

General characteristics. The third general form of employee representation is not so much a totally new model as it is a composite of formal and union models. Referred to as **Bilateral Decision-making Models**, this approach acknowledges the existence of both advisory and adversary relationships. The objective is to develop the most appropriate form for discussing and deciding on topics of interest to employees.

Making this model operational necessitates, first, the employees appointing a negotiating committee, with the administration recognizing the right of this committee to represent the employees. This committee would need financing, probably by dues from employees. Also, the committee would have to be given access to any pertinent information it may seek, i.e., information available to the administration should be available to the employee committee.

Issues that are agreed upon would become a joint recommendation of the committee and the administration to the governing board. Issues not agreed upon would necessitate procedures for resolving this impasse.

The system developed within the federal government suggests four possibilities for resolving an impasse. They have proven to work reasonably well, usually without having to resort to further more costly actions. The first is the stipulation that the governing body will make the final decision after the two committees, the employer and employee, have had equal time to present their cases. The second possibility is mediation by some person who is not necessarily a professional or government mediator but is acceptable to both groups. The third possibility is fact-finding by a skilled and experienced neutral body making nonbinding recommendations. This is the approach proposed previously when discussing grievance and appeal procedures (Section 6). The fourth possibility is binding neutral arbitration.

Examples of Intermediate Forms of Employee Representation. Three examples can be cited. The first presents a pattern **internal** to the organization in which essentially all important decisions are jointly made. If mutual agreement exists, regarding wages or the terms and conditions of work, for example, joint recommendations are made to the governing body. Budget considerations and review, based on an initial framework established by the administration, would proceed with joint discussion, the employees presenting information on their items of concern, and both parties depending upon rational presentation and argument as opposed to making "demands."

A second example of the intermediate form of representation is the creation of an association which is **external** to or independent of the college. The

association would be comprised solely of members local to the institution, would not hire external personnel to represent it in discussions, and would not be affiliated with an external organization whose component units engage in collective bargaining. The association would seek to establish financial independence from the institution and to maintain offices with adequate clerical help, research staff and legal counsel.

A third intermediate model would not involve the establishment of a separate internal or external association, but rather would seek to strengthen existing councils within the advisory structure so that they would have quasi-negotiating power, at least for limited areas such as compensation issues. This group or council could be provided with a research and secretarial staff financed from college funds in order that it could present the strongest possible case to the administration.

This intermediate model, although having been discussed at length has not been implemented largely because of some of the disadvantages listed below. It has, however, worked at the University of Scranton, where a faculty committee has been recognized, has negotiated with the administration, encountered and resolved difficulties and reached agreements.¹⁹

PRO: Intermediate Forms of Representation. The intermediate models of representation adopt from formal advisory relationships the theme of mutual cooperation and understanding; from the union model they have sought the benefits of procedural and formalized conduct. It offers input into administrative and financial decisions, while avoiding the lack of clarity in advisory relationships and the polarization of adversary relationships.

Stress is also put upon the need for voluntary acceptance by the administration of the organization's right to join fully in budgetary determination and have access to necessary data and background information. The employees, in turn, also voluntarily agree to try to resolve impasses short of strikes and other pressure tactics.

CON: Intermediate Forms of Representation. It is questionable whether adequate performance and a commitment to a greatly expanded program of participation can be gained from leadership made up of individuals who could only give part-time commitment and, because of shifts in office holding, would never become fully professional representatives. Moreover, the problem of establishing and maintaining an adequate dues structure to cover the expenses of a very active association would be difficult. More importantly, the proposal to make councils, or committees with shifting memberships, co-equal in power to administration officers in the formulation of policy recommendations would, if implemented, exacerbate the problem of identifying responsibilities for carrying out policies.

Issues confronting the establishment of significant relations between administrators and the faculty and staff are extensive. However, this manual will address itself to three of the most important issues:

1. The scope of representation of employee organizations;
2. The rights and responsibilities of the employer (administration);
3. The rights and responsibilities of employees (college personnel).

3. Issues Confronting Employer- Employee Relationships

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a. The Scope of Representation

Who should and should not be represented by the employee organization, or appropriate bargaining unit in union terminology, is difficult to define because of three major factors: (1) homogeneity, (2) exclusive representation and (3) geographic inclusiveness. Each will be discussed briefly.

Homogeneity is concerned with identifying the parameters of the groups representing employees. For maintenance, service, and clerical personnel the group is now easily defined because of civil service classifications and existing agreements defining the bargaining units. Faculty, administrative and professional personnel groups, however, are not so easily defined, because of traditional academic values and practices. As a general guide, an employee group should reflect a community of interest in salaries, working conditions, hours, factors determining evaluations and promotions, and the like. Also, the organizations already in existence (Faculty and Administrative Senates, AAUP, OEA, AFSCME, OCSEA, etc.) already have defined parameters of representation.

The role of the department chairman/head is currently in question, i.e., should they be included in the same group with faculty, or do they represent the administration? In this manual, and in many formal employee organizations, this person is considered to be serving in an administrative position having extensive managerial responsibilities, as defined in Chapter 2. Judicial and NLRB rulings in cases of union representation are mixed. The decisions are based on local interpretation of the role of department chairmen. Generally, if the chairman/head has the power to hire, fire, direct, or promote, or effectively recommend such action, they are excluded. If they do not, they are included in the faculty group because of their role as coordinators of faculty activities, serving largely at the faculty's pleasure and being essentially accountable to them.

The second major factor, right of exclusive representation, is also governed by local circumstances. Exclusivity implies that other organizations are denied the right to represent employees. Unless proscribed by law, which is not the case presently in Ohio, various alternatives are available. Organizations internal to the institution, e.g., Faculty and Administrative Senates, and the various committees proposed in various sections of this manual, can be considered to represent employees of a similar community of interests. This however, should be assured through mutually acceptable procedures for assigning representatives to these committees, and which specify their scope of actions and representation.

Employee organizations external to the institution are often governed by the strength of internal organizations. If a single organization can prove or verify that a majority of the employees are members, they will understandably request exclusive representation. If two or more organizations are comparatively equal in strength, a great deal of unnecessary time and effort may be expended in trying to deal with all of the concerned parties, with the employees, the organizations and the institution all usually losing out. Some affiliates of the NEA have created negotiating councils in which all organizations participate. Also, in the federal service, under Executive Order 10988, any employee organization may achieve "informal recognition" and is entitled to represent individuals in grievance and appeal procedures.

Geographic inclusiveness, the third factor in determining employee representation, is important because of the existence of multi-campus systems.

Where authority to make decisions affecting the conditions of employment is located at a central office there are obvious reasons for considering a system-wide unit. However, communications and service to the campus employees may be negated. The structure of maintaining local committees to assist and communicate with employers, with a representative group conferring with the appropriate central administrators, appears to be an effective means of maintaining an active employee organization.

b. Rights and Responsibilities

Another difficult issue is the determination of the appropriate rights and responsibilities of the employer (administration) and the employee (faculty and staff). The issue is made difficult by the present state of flux in some key issues, such as participation in decision-making and the variance among institutions in defining and allocating these rights and responsibilities.

Although rights and responsibilities may be difficult to define explicitly, one point remains consistently clear: the ultimate responsibility, accountability and authority, is conferred by law to the college officials and the Board of Trustees of the college. Rights and responsibilities granted to others in the college should not be construed as a delegation of this final authority.

Three appendices to this section present documents which contribute to the development of appropriate statements on rights, privileges, and responsibilities. Appendix 14 presents statements on administrative rights and responsibilities. Appendix 15 presents statements on faculty rights and responsibilities, and Appendix 16 presents a similar statement for administrative, professional and technical personnel.

A number of references that discuss governance in higher education and personal and corporate rights and responsibilities are listed in the Bibliography. One source warranting specific notation is **Dissent and Disruption: Proposals for Consideration by the Campus** (New York: McGraw-Hill, 1971). In this report by the Carnegie Commission are a number of statements on administrative, faculty, staff and student rights and responsibilities.

4. Summary

The area of public employment in general has become the new battleground for the labor movement. Public institutions, however, often do not take cognizance of the historical precedents set over thirty years ago in the collective bargaining conflicts in American industry. Instead, many institutions and employee organizations have taken antagonistic poses and issued generalized accusations and grievances, rather than seeking the most positive approach to labor relations. Higher education in particular has an opportunity not available to many other public institutions; namely, a long experience with the collegial mode. This mode has been advocated as a viable alternative to the union model.²⁰ Two inherent weaknesses of the collegial model are a lack of adequate grievance procedures and the often exclusive reliance upon an advisory relationship, even though specific issues may warrant a position closer to a bargaining or negotiating relationship. The grievance issue has been discussed in the section on grievances and appeals (Section H). The issue of employer-employee relationships and the potential benefit of negotiating selected economic issues is summarized by Rehmus:²¹

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While there is nothing about negotiations of any kind that creates money where there is none, good negotiations can frequently lead to mutual agreements about unproductive efforts or waste of resources. The resulting savings can then be used for many purposes, one of which is to alleviate the economic discontent of employees. Finally, negotiations are the best way I know for administrators to hear the truths as faculty members and their representatives see them. If these beliefs are not always true, they are, nevertheless, feelings — feelings that far too often get filtered out through the successive layers of executive committees, chairmen, deans, deans' committees and a plethora of vice presidents. It is important for administrators to know these things. One of the greatest virtues of organizational negotiations is that people get told precisely what other people think. In too many institutions today the people at the top genuinely do not know, whether or not they care, what many in the faculty think.

Task Force Recommendations

Colleges should examine all possible forms of employee organizations, considering the positive aspects of any form and the individuals within the institution.

College administrators should promote a thorough discussion and analysis of the issues encompassed within collective bargaining.

All employees should have adequate contact and communication, either directly or through representatives, with the administration. If an internal structure, such as the Faculty or Administrative Senate, or an external structure (associations and unions) does not adequately represent the interests of specific groups of employees, the college should consider creating an internal structure and communication network with these employees.

College administrators should keep abreast of issues which cause employees to feel a union is needed. They should be familiar with the grievances that often end in arbitration, and develop actions that will prevent as many of these grievances as possible from arising.

A handbook on developing effective relationships between the administration and employee associations at two-year institutions should be written.

The statements on rights and responsibilities of the administrators and employees presented in the Appendix should be carefully examined by each college.

Procedures for employee involvement should accommodate both collective and individual representation in order to recognize and acknowledge individual competence and rights.

The preferred model for relations between faculty, administrative and professional personnel and the administration is a collegial rather than a strictly hierarchical or adversary relation — one of shared responsibility and authority rather than one requiring competition, confrontation, or coercive sanctions.

J. HEALTH AND SAFETY PROGRAMS

The colleges' attention to a general program in health and safety has largely been minimal because of the relatively nonhazardous environment of

**1.
Occupational
Safety and
Health Act
(OSHA)**

most college occupations. Normal precautions are taken in the area where the probability of accidents is greater, such as laboratories and shops, physical plants, and maintenance and service areas. The **Inventory of Current Practices** (June, 1972) reported safety programs have been instituted at eight colleges, but variances in emphasis exist.

Outside factors are now requiring that greater attention be given to occupational health and safety. Workmen's compensation records verify a high relationship between an active safety program and reduced compensation rates.

A program whose importance is just now being felt is the federal OSHA law (Occupational Safety and Health Act). OSHA requires that every employer provide a safe and healthful place to work.

A situation presently exists which exempts all public institutions in Ohio from OSHA. The law allows a state to create its own health and safety plan and take permanent responsibility for setting and enforcing standards. Ohio has issued guidelines for the state departments and agencies that report directly to the Governor.²² Legislation to include other public employers, such as the colleges, was tabled for this legislative session. Therefore, the colleges are not required to comply with either the federal or state OSHA, but they will be encouraged to participate.²³ It is important that they become familiar with the law, examine present practices and develop a college-wide safety program.

To assist in these activities, the following items are noted:

1. The purposes, requirements, and enforcement procedures of OSHA are presented in Appendix 17.
2. A publication list of further information on OSHA is presented in Appendix 18.
3. The U. S. Department of Labor has provided suggestions on what employers can do to comply with the act:
 - a. Critically examine all existing safety and health conditions.
 - b. Analyze, and where necessary strengthen safety and health programs.
 - c. Set specific goals for the institution and measure progress on a regular basis.
 - d. Organize seminars and meetings of management, supervisors and employees.
 - e. Participate with other institutions and associations in the preparations of new and revised standards.
 - f. Develop job hazard analysis for all operations where the potential for injury or occupational illness may be significant.
4. To assure compliance with state or federal OSHA, a safety officer should be given institution-wide responsibility for developing and maintaining a safety program. The importance of this area warrants professionally trained individuals, but the size of many colleges does not require such a person on a full-time basis. One alternative is a cooperative agreement among neighboring institutions (public and

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private, four- and two-year) to employ professional personnel. All institutions would then receive the benefits of full-time commitment to their respective safety programs.

2. Workmen's Compensation

All employers with three or more employees must participate in the state insurance fund (Workmen's Compensation), or qualify as a self-insurer. Although all colleges contribute to Workmen's Compensation, many administrators may not know the requirements of employers or the benefits to the employees.

A discussion of the coverage, type of claims, benefits, compensation, limitations, and costs is presented in Appendix 19. A publication list of Workmen's Compensation information is presented in Appendix 20.

3. Medical Examinations

A word should be said about medical examinations. Presently, pre-employment medical examinations are required for specific employees, primarily security and food service personnel. An ideal program would establish pre-employment and periodic medical examinations for all employees. However, the cost for this would be high, and, because of the current financial demands, such an expense could not be easily justified. Therefore, unless sufficient savings can be demonstrated, such as lower charges for workmen's compensation or reduced days off due to illness, medical examinations should be limited to those required by law.

Task Force Recommendations

Because of the increasing importance of maintaining an extensive safety program, a safety officer should be designated at every college and given primary responsibility for analyzing occupational hazards, establishing standards, investigating accidents and developing an extensive safety program.

K. SUPPLEMENTARY EMPLOYMENT

Supplementary employment is defined as employment beyond that undertaken by regular contract whether it occurs within the college or outside it. Faculty members and others traditionally make their services available to business, industry, and the community. Depending on the circumstances, there may be a salary or fee attached to such services.

1. Guidelines for Faculty and Professional Personnel

College faculty members and professional personnel are in a unique position in that the places and times of their contractual service are relatively flexible. Thus, a faculty member may meet classes at any hour and may schedule his conferences with students and colleagues over an equally wide range of hours, or a professional employee may be required to spend many additional hours to complete a particular project. In the absence of well-defined and monitored working hours, some accountability is necessary if a personnel system is to operate successfully, with the confidence of both faculty and professional personnel, and the public.

It is in the best interest of the college to permit, and to encourage, faculty and professional members to provide occasional services beyond contractual responsibilities. Such activities help to keep them up-to-date and professionally alive. Proper personnel policies, reflecting the following three guidelines, should encourage limited participation in such supplementary services, and should provide for an accurate and reliable system of reporting and monitoring such work.

1. Supplementary services must not interfere with assigned duties and responsibilities.
2. The conditions of supplementary employment should be reviewed by an appropriate administrative officer to assure that the service is professionally appropriate to the individual's professional interests and position.
3. Extramural employment within the college itself should be made a part of the contractual obligations of the faculty member and not considered as supplementary service or pay.

2. Guidelines for Administrative, Technical, and Operational Employees

1. Continuing supplementary employment should be confined to periods outside the normal work week.
2. The employee's immediate supervisor should be informed of all supplementary employment. His approval may be required for any continuing supplemental employment exceeding 10 hours per week.
3. Supplementary employment must not interfere with the responsibilities of performance of work assigned to the employee. This includes performance of overtime or emergency work that may be requested by the college.

Task Force Recommendations

Policies regarding supplementary employment should be written and explicit. They should provide flexibility for involvement in activities of value to the college and the community.

The guidelines presented in this section should be evaluated and implemented where applicable by each college.

- 1 The descriptions of the four methods included here were published, except for a minor change, in the Bureau of National Affairs, Inc. *Forum*, Survey No. 40 (Washington, D.C., December, 1956)
- 2 *Employee Benefits* (Washington: Chamber of Commerce of United States, published annually)
- 3 Ohio Board of Regents, *Technical Education Offerings of Two-Year Campuses: 1973-74 Ohio Guide to Programs and Training* (Columbus, Ohio: Ohio Board of Regents), p. 4
- 4 Dale S. Beach, *Personnel, The Management of People at Work*, 2nd ed. (New York: MacMillan Company, 1970) Chapters 8 and 9. Leon C. Megginson, *Personnel: A Behavioral Approach to Administration* (Homewood, Illinois: Richard D. Irwin, Inc., 1967), Chapter 12. Stanley L. Sokolik, *The Personnel Process* (Scranton, Pennsylvania: International Textbook Company, 1969), Chapters 9 and 17. George Strauss and Leonard R. Sayles, *Personnel, The Human Problems of Management*, 3rd ed. (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972), Chapter 19
- 5 Laurence Lipsett, "Selecting Personnel Without Tests," *Personnel Journal*, September, 1972 pp. 640, 650
- 6 A primary source of faculty evaluation was Richard I. Miller, *Evaluating Faculty Performance* (San Francisco: Jossey-Bass, 1972)

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- 7 H. L. Hodgkinson, "Faculty Reward and Assessment Systems," unpublished manuscript (Berkeley, California: Center for Research and Development in Higher Education, n.d.)
- 8 **Faculty Load Policies and Practices in Public Junior and Community Colleges**, (Washington, D. C. March 1972) Research Division, National Education Association, ERIC Accession Number ED070429
- 9 Much of the information presented in this section was gathered from an excellent collection of readings entitled **The Tenure Debate**, edited by Bardwell L. Smith (San Francisco: Jossey-Bass, Inc., 1973)
- 10 Robert J. Blackburn, **Tenure, Aspects of Job Security on the Changing Campus** (Atlanta: Southern Regional Education Board, Research Monograph No. 19, July, 1972)
- 11 Executive Order 11246 as amended by 11375; Title VII of the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act of 1972, Equal Pay Act of 1963, Title IX of the Educational Amendments of 1972 Higher Education Act, Title VII and Title VIII of the Public Health Service Act
- 12 Age Discrimination in Employment Act of 1967, Military Selective Service Act of 1967, Fair Labor Standards Act of 1938; Consumer Credit Protection Act of 1968; Welfare and Pension Plans Disclosure Act of 1958; Labor-Management Reporting and Disclosure Act of 1959 — Title II (Landrum-Griffin Act), Labor-Management Relations Act of 1947 — Title III (Taft-Hartley Act), and Occupational Safety and Health Act of 1970
- 13 From **Higher Education Guidelines: Executive Order 11246** (Washington D.C.: U. S. Department of Health, Education, and Welfare, Office for Civil Rights, October, 1972).
- 14 William F. McHugh, "Faculty Unionism," in Bardwell L. Smith, **The Tenure Debate** (San Francisco: Jossey-Bass, Inc., 1973), pp. 169-170
- 15 Much of the information for this section was gathered from a collection of reports, interviews, and readings compiled by Keith C. Grotz, Assistant Vice President for Personnel and Employee Relations, Michigan State University. Another source was William F. McHugh, "Faculty Unionism," in Bardwell L. Smith, ed., **The Tenure Debate** (San Francisco: Jossey-Bass Inc., 1972), pp. 129-177
- 16 Although the national organization of AAUP has endorsed collective bargaining, most local chapters in Ohio have not selected this mode of representation at this time
- 17 Classified Employee-Management Council, Professional Association of University of Oklahoma Professional Employees, Administrative Officers Council of Administrative Officers, Administrative Staff- Administrative Staff Conference; (Source: **The Employee Executive Council**, a pamphlet published and available from The University of Oklahoma)
- 18 **Chronicle of Higher Education**, April 30, 1973
- 19 Robert K. Carr, and Daniel K. VanEyck, **Collective Bargaining Comes to the Campus** (Washington, D. C.: American Council on Education, 1973), pp. 164-166
- 20 George D. Cameron III, "The Council Approach to Collective Bargaining: A Report on Three Real World Precedents," **Human Resource Management** (Summer, 1972), pp. 27-34
- 21 Charles M. Rehmus, "Alternatives to Bargaining and Traditional Governance," in Terrence N. Tice, ed. **Faculty Power: Collective Bargaining on Campus** (Ann Arbor: Institute of Continuing Legal Education, 1972), pp. 97-98
- 22 **Ohio Public Employee and Health Program**, Executive Order of June 29, 1973
- 23 "By agreement, the Director of the Safety Program may, to the extent permitted by law, extend the safety program provided for under this Order to other public employers and public employees not specifically enumerated in Section 1." **Id.**, p. 5

5. Reporting, Controlling, and Evaluating the Personnel Program

A. Personnel Management in Perspective of College Planning and Budgeting

This chapter is divided into three parts. The first part examines the relationship of personnel management to college planning and budgeting. Next, guidelines are presented for considering and implementing a Personnel Information System. The final section examines personnel records, and the legal requirements pertaining to employee information are briefly examined.

Reference has been made throughout the manual to personnel being one element or subsystem of a college-wide system. It is important to clarify this relationship, particularly with regard to two other systems — planning and budgeting.

1. Planning and Personnel Management

The Manual *Planning/Two-Year Colleges* identifies as one of five sections of the "Foundation Plan" the need to identify institutional faculty and staff projections (Chapter Five). The plan should develop "goals and objectives for faculty and staff members on an institution-wide basis."

With this manual, and the specific data germane to each institution, those responsible for developing faculty and staff projections should be able to provide thorough reports reflecting both short-range and long-range trends, objectives and projections. The development of the plans can be greatly facilitated with an appropriate personnel information system, described in the next section.

2. Budgeting and Personnel Management

The ability to satisfy personnel requirements depends, in part, on the financial resources of the college. Personnel, in turn, influence finances because of such costs as salaries, benefits, development and administration. Financial management is not the province of personnel management. However, the effectiveness of the personnel program rests in part on the ability of those responsible for personnel to understand the financial factors of personnel management. It is essential that they place primary importance upon:

1. Relating personnel programs with associated costs and benefits, and also the personnel requirements and economic constraints of the college.
2. Cooperation with the financial managers, particularly in determining personnel requirements and the related costs (wages, benefits and development).
3. Assistance to academic and operational administrators in developing cost criteria to evaluate alternatives in personnel recruitment and development.

Where appropriate, this manual has considered the need for analyzing the cost of personnel programs. Recognizing the loss of what are important

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nonquantifiable values associated with many personnel programs, the assigning of a dollar value to programs is the most common means of comparing various costs or investments of college funds. Too often important personnel programs, such as development and evaluation, have been slighted because of the difficulty in establishing values gained in monetary terms.

3. The College Management Information System and Personnel Management

Another section in the Foundation Plan discussed in **Planning: Two Year Colleges** is a management information system (MIS). The MIS is a primary communication network for (1) providing central, academic and operational managers with necessary information for evaluating, selecting and implementing decisions and plans, and (2) producing operating statistics for correlating deviations between the initial plan and actual performance.

MIS, as a concept, is not new. Every organization has some kind of information system for gathering data on which to base decisions and evaluate programs. With the onset of "the systems approach," however, greater attention has been given to:

1. Delivering information when it is needed so that situations requiring immediate decisions can be controlled and situations not so pressing can be deferred but not delayed to the point of losing control.
2. Providing for horizontal and vertical dissemination of necessary information so that all administrators will be adequately informed.
3. Providing immediate access to information to support management decisions in unpredictable situations.
4. Reducing reams of information to meaningful facts for administrators to use in planning future operations and programs.

Even at the smallest institution, a total MIS is a comprehensive and complex system to implement and maintain. Thus, it is important to develop an operational MIS within each major program area such as personnel.

B. The Personnel Information System

If personnel management is to make sound decisions involving employees, meaningful information on all aspects of personnel is required. This information, however, is usually scattered throughout the college. For example, salary data may be filed in the payroll department, and position descriptions and vacancies in the business administrator's office, education director's office or departmental files.

Retrieval of data for any composite report or decision may take hours or even days of searching. Recognizing the need for full, timely and accurate information for personnel decisions, it may be necessary to find new ways to organize, store and retrieve pertinent personnel data.

1. Analyzing the Need for a Personnel Information System

When discussing methods of analyzing the need for a personnel information system, it is important to emphasize that the personnel information system can be any procedure the college feels appropriate for obtaining and analyzing the desired personnel data. This may include both manual and mechanized methods. An institution can analyze their present and desired personnel information system by considering the following factors:

1. The existing problems and desired objectives.
2. The data that is desired and its pertinence.

3. The availability of the appropriate data.
4. The cost of the system versus the savings it might allow.
5. The accuracy and reliability of the system.
6. The flexibility of updating and correcting the system.

This manual will not consider in detail the necessary steps in developing and implementing a personnel information system. Instead, three basic factors to consider when analyzing personnel information systems are briefly discussed: (1) the importance of considering procedural guidelines for the entire system; (2) the use of a modular approach for developing a personnel information system; and (3) the role of mechanized equipment in handling personnel data.

a. Procedural Guidelines

Chapter Three of this manual provides the general planning procedure for identifying the goals, objectives and alternatives of the personnel program. The following guidelines pertain specifically to the personnel information system.

1. **List all reporting needs.** Personnel reports fall into three categories: (1) **Operational Reports**, day-to-day management of the personnel functions such as department and employee lists; (2) **Regulatory Reports**, required by outside agencies such as OBR, HEW, Department of Labor, etc., and (3) **Analytical Reports**, less frequently generated reports such as retirement and resignation projections, salary surveys, and organizational analyses.
2. **List all data items.** The base data are the items or information elements from both present and anticipated reports. Sources for identifying data elements, in addition to the reports listed in item 1 above, are Dukes¹ and the Staff Data Element Dictionary published by WICHE.²
3. **Examine the design and format of all personnel forms.** All forms used for college personnel functions are part of the personnel information system. Therefore, all forms should be screened to determine if (1) they meet the objectives of the total system, (2) they are duplicating totally or in part other forms, and (3) their ease in transferring to computer cards or tape via keypunch when necessary. Personnel forms are further discussed in Section C of this chapter.

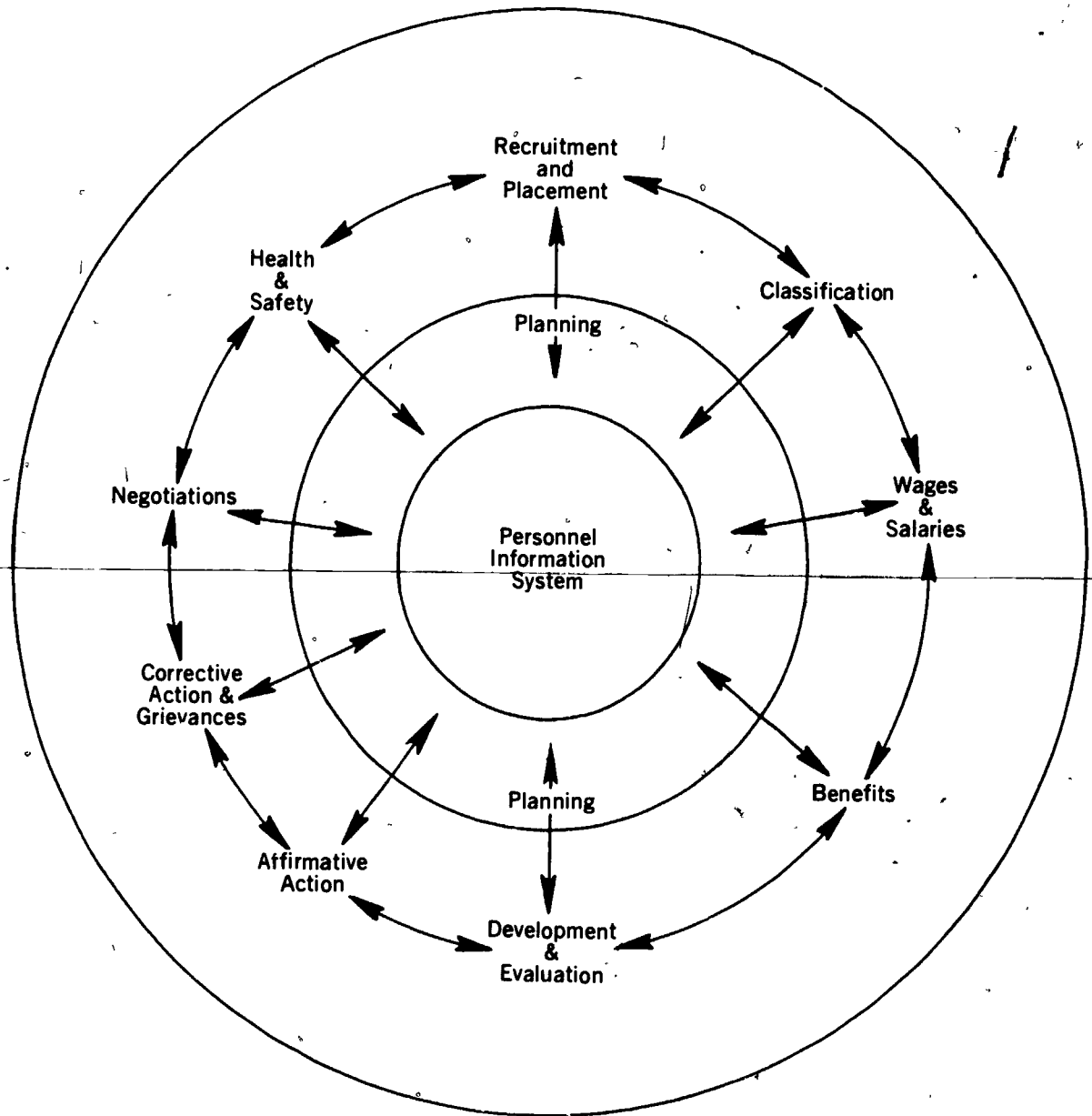
b. A Modular Approach

Such things as planning, compensation, resignations, employment, classification, development and evaluation are all programs or modules of a general personnel system. Thus, a personnel information system may be built program by program by:

1. Identifying and defining all personnel programs.
2. Going through the three steps described above, under procedural guidelines, and
3. Link each of the programs together in an informational network as shown in Figure 5-1.³

Figure 5-1

SUB-SYSTEMS OF THE PERSONNEL INFORMATION SYSTEM*



*Adapted from R. L. Martino, *PMS-Personnel Management Systems* (Wayne, Pennsylvania, MDI Publications, 1969), p.64

C. Mechanized Equipment and the Personnel Information System

An important point, and illustrated in Figure 5-1, is that although specific programs can be effectively developed and utilized, a totally comprehensive personnel information system cannot exist until all programs are linked together. Hence, it is important that the basic system be approved, and all existing modules, such as the benefits program, and future modules, such as new classification plans, comply with the overall objectives and requirements.

Can the personnel information system be implemented without mechanized equipment? The decision to use mechanized equipment, maintain a manual system, or develop a system utilizing both mechanized and manual procedures is governed, in part, on four factors: the number of employees, the number of data elements to be maintained in the system, the cost to implement the system, and most important, an evaluation of performance of the present system (e.g., is the needed information identifiable and retrievable within a reasonable time?).

The most common reasons for establishing mechanized systems are that manual systems may be inaccurate, their response time slow, their data inconsistent and complex, and too much duplication of effort may be involved. The **Inventory of Current Practices** (1972) reported an average of 60 to 70 percent of the personnel forms were designed for single use only (completed by an employee or an office and then filed with no further use). It appears, therefore, that mechanization may reduce duplication and the cost associated with completing and filing these forms.

The texts by Dukes and Martino (notes 1 and 3) are general references on mechanized personnel information systems. Administrators are also urged to examine **Computer Services: Two-Year Colleges**, prepared by the College Task Force on Computer Services.

Although personnel information systems are extensively used in business, industry and government, examples in higher education are presently limited. The University of Illinois, Illinois State University, and the University of Massachusetts have developed extensive personnel/payroll systems. It should be emphasized that these systems are primarily payroll systems with related personnel data being provided.

The Ohio State University is now developing a personnel information system for the entire personnel program, with payroll being just one function of the total system. Ohio State's system will be in operation in the near future and can be viewed as a functional reference by other colleges and universities.

2. Coordinating the Personnel Information System

Because of the diversity and scope of the personnel information system, three parties must work effectively together to assure the desired results: those responsible for personnel, systems analysts and users of the personnel data.

When utilizing the personnel information system, those responsible for personnel no longer serve as a "post-auditor" of the personnel program and resources. Rather, they must continuously determine whether the requirements of the system are meeting the needs of academic and operational

REPORTING, CONTROLLING, AND EVALUATING THE PERSONNEL PROGRAM

administrators. This involves the ability to measure what is reported against some standard, whenever possible.

The systems analysts serve primarily in a consultative role. They can assist in helping the others realize the potential and limitations of the system. Their general role and responsibilities are further discussed in **Computer Services: Two-Year Colleges**.

The users of the personnel data are central, academic and operational administrators. They have a direct interest in the effectiveness of the system since many of the decisions they must make are based on data provided by the system. Hence, they also serve in a consulting role, identifying what data is needed and when it is needed. They are also the prime source for evaluating the quality of the data received.

C. Personnel Forms and Records

Personnel forms and records are maintained at every college for recording the employment history of each employee, serving as the primary source of data on all employees. Record-keeping responsibilities are becoming increasingly important for providing valuable and timely information for a variety of decisions.

1. The Purpose of Personnel Records and Forms

At the risk of overemphasizing the obvious, personnel records are maintained for the purpose of making and supporting decisions. Each personnel form is best viewed as an operational tool developed in response to a recurring decision, making it advantageous to formalize the manner of making the decision and collecting the necessary information.

2. Criteria for Evaluating Personnel Records and Forms

Today, because of the complexity of higher education, past decisions are constantly being re-evaluated. The information and records systems should also be assessed to assure timely, accurate and pertinent data. Following are four criteria for evaluating all existing and proposed records:⁴

1. Records and forms should be as simple as possible and their intended use readily understood — not only the format and terminology but any accompanying instructions.
2. Records and forms should be designed for multiple use as much as possible. Any forms having only a single purpose or routing point should be carefully examined to determine if they can be incorporated within another form or eliminated.
3. Records and forms help in providing consistent reference points in making decisions. A list of the decisions to be made should be compiled, and the forms should be assessed to determine if the necessary information is being requested.
4. Records and forms should complement and support responsible performance by academic and operational administrators, enabling them to act more independently.

3. What Should be in the Personnel Records

The information retained in personnel records should be everything considered reasonably available and helpful to augment and raise the level of decision-making. In short, this would include: (1) the employee's personal data, (2) their assignments and performance, and (3) plans of consequence to their development and evaluation. The **Inventory of Current Practices** (1972) lists specific records that are currently maintained in academic, administrative and staff personnel.

Legal Requirements. Federal and State statutes have identified specific items of information that should be kept on file for each employee. Also, some items are **not** to be placed in employees' records. A list of items that are included in personnel records of over 200 organizations, and the length of time they are retained is included in Appendix 21.

4. Retention of Records

An obvious rule-of-thumb in determining how long records should be retained holds that records should be disposed of when they are no longer used. However, this is subject to varying opinions, and further clarification is necessary. Appendix 21 lists the length of time specific records should be retained: a minimum of two years, with specific items, such as payroll records, permanently kept on file. Whenever possible, long-term and permanent records should be reproduced on microfiche or microfilm.

The above rule-of-thumb is applicable, however, when retaining records on an employee's work history and performance. Retention policies should not prohibit the elimination of historical data made obsolete in subsequent findings. For example, when an employee's current performance indicates that previous breaches of conduct and policy no longer represent present work attitudes, the records of this past conduct should be deleted.

In sum, to assure common practices by all responsible for maintaining records, colleges should establish a realistic record retention and disposal schedule for all records. Attention should also be given to the orderly storage of long-term and permanent records.

5. Mechanization of Records

Data gathered and retained through the institution's personnel record system are an integral part of the Personnel Information System. Therefore, a basic objective to design necessary forms and records for mechanization should be considered.

While computerized systems can provide timely, more complete data, decision-makers need to guard against relying wholly on computerized (i.e., quantifiable) data. Some information such as evaluative comments on employee performance, are not amenable to being reduced to data elements. It is important to maintain files for qualitative information which supplement and enrich mechanized data.

6. Examination of Personnel Records

Examination of personnel records has generally been limited to administrative personnel, often just those administrators having supervisory responsibility of the individual in question. Examination by employees has either not been permitted, or only granted upon request for specific information. Currently, these policies are being tested in the courts, with the decisions frequently granting more open examination. A helpful source of current deci-

REPORTING, CONTROLLING, AND EVALUATING THE PERSONNEL PROGRAM

sions and trends is a monograph by Joanne E. Arnold entitled **Full Disclosure: New and Responsible Attitudes** (Boulder, Colorado: Western Interstate Commission for Higher Education, August, 1972).

Legal requirements. Section 149.43 of the Ohio Revised Code states: "All public records shall be open at all reasonable times for inspection. Upon request, a person responsible for public records shall make copies available at cost, within a reasonable period of time. . . ."

As used in this section, "public record" means any record required to be kept by any governmental unit, including, but not limited to, state, county city, village, township, and school district units, except records pertaining to physical or psychiatric examinations, adoption, probation, and parole proceedings, and records the release of which is prohibited by state or federal law.

Also, in a recent opinion to a request by the University of Toledo regarding disclosure of salaries, the Attorney General stated "any citizen or taxpayer of the State of Ohio who requests to view, or have copies made of, salary or compensation records of employees of the University of Toledo at any reasonable time should be permitted to inspect or have copies of such records at cost."⁵

7. Administrative Responsibility for Personnel Records

Typically in business and industry, as organizations grow more diverse and complex the entire personnel record system is usually assigned to a central executive officer. The system is viewed as a source of basic data warranting a centralized administration.

Within higher education, this has not generally been the case. Greater importance has been given to locating records in the offices that have the greatest need for such data.

Acknowledging the benefits of both centralized and decentralized systems, it is recommended that a central office maintain the college-wide personnel information system in order to provide appropriate data when requested. Individual personnel files may be located in a central office or assigned to various offices, if reasonable access to a central file is not possible. Duplicate files should be avoided. Policies should be developed which stipulate the data to be retained in the personnel information system and in the individual files.

8. Further Information on Personnel Records

This manual has not extensively discussed or examined personnel forms. They are discussed, along with sample forms for position classification, application, employment record, personnel data and an employment status form designed for ease in keypunching the data for computerization, by W. D. Poore, in Asa Knowles' **Handbook of College and University Administration-General** (New York: McGraw-Hill, 1970), Section Six, Chapter 6, pp. 6-68 — 6-86.

Prentice-Hall has published an informative booklet on record retention, entitled **Your Business Records, A Simplified Guide to What Records You Must Keep and How Long You Must Keep Them** (Englewood Cliffs, New Jersey: Prentice-Hall Inc., 1971). Portions of this booklet are presented in Appendix 8.

The Government Printing Office periodically publishes a **Guide to Record Retention Requirements** that lists retention periods of various federal agencies (Washington, D.C.: Superintendent of Documents, Rev. Jan. 1, 1972).

In addition to the above references, further sources are listed in the Bibliography.

Task Force Recommendations

Each college should analyze its personnel information system, in consideration of the guidelines presented in this chapter, develop overall objectives and requirements, and establish a process for evaluating the system.

Personnel functions can be viewed as elements of a total personnel information system. Institutions will thus be able to evaluate and redesign all personnel functions in light of the general objectives and requirements of the system. A central office should be assigned responsibility for the personnel information system.

Each college should establish a regularized schedule for the retention and disposal of forms and records, along with a schedule for the periodic examination of the purposes and uses of all forms and records. Those records considered to be public information and thus available on request should be clearly identified as such by the colleges.

- 1 Carlton W. Dukes, **Computerizing Personnel Resource Data** (New York: American Management Association, Inc., 1971)
- 2 James S. Martin, **Data Element Dictionary: Staff** (Boulder, Colorado: Western Interstate Commission for Higher Education, 1972)
- 3 R. L. Martino, **PMS-Personnel Management Systems**, (Wayne, Pennsylvania: MDI Publications, 1969), p. 64
- 4 Compiled in part from Stanley L. Sokolik, **The Personnel Process** (Scranton, Pennsylvania: International Textbook Company, 1970), pp. 611-612
- 5 William J. Brown, Attorney General of Ohio, Opinion No. 73034, April, 1973

APPENDIX 1

SAMPLE STAFF CHARTS FOR ORGANIZING THE PERSONNEL STAFF

The following four exhibits present various ways in which to develop and organize the personnel staff. The exhibits reflect a division of responsibilities by function and also by employee groups.

EXHIBIT 1

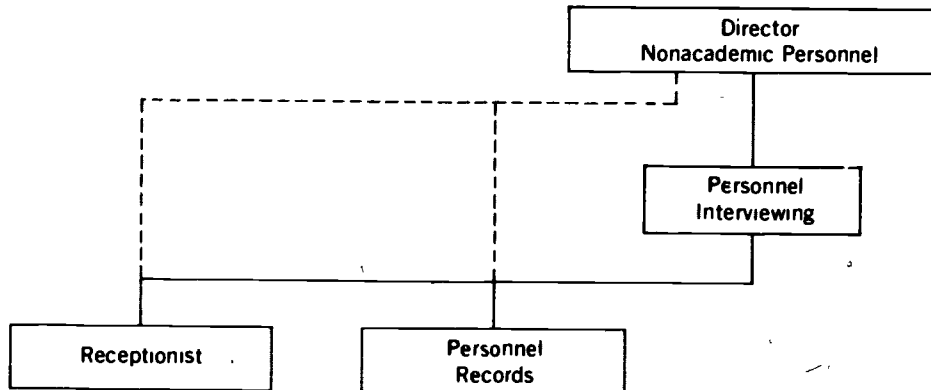
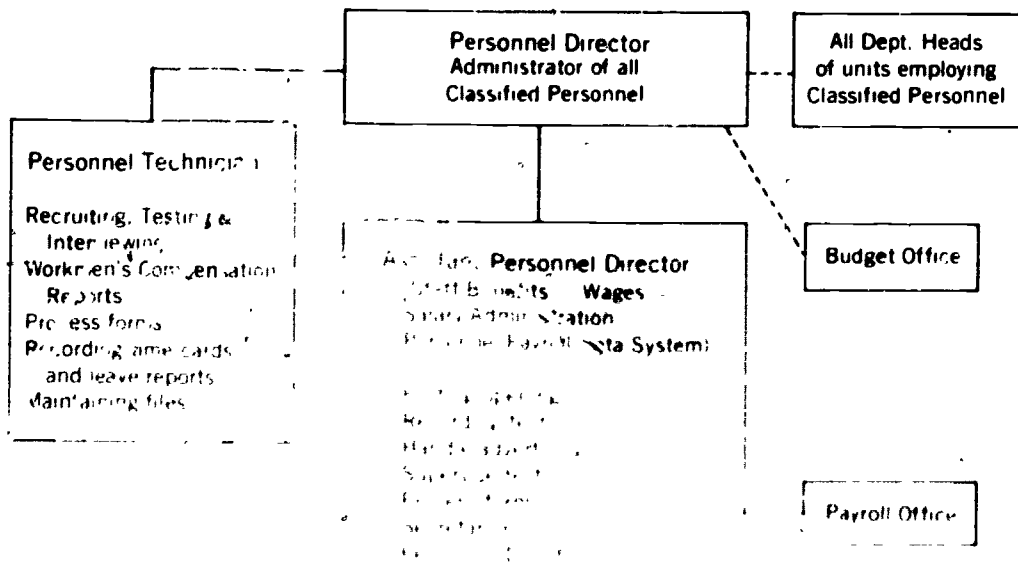
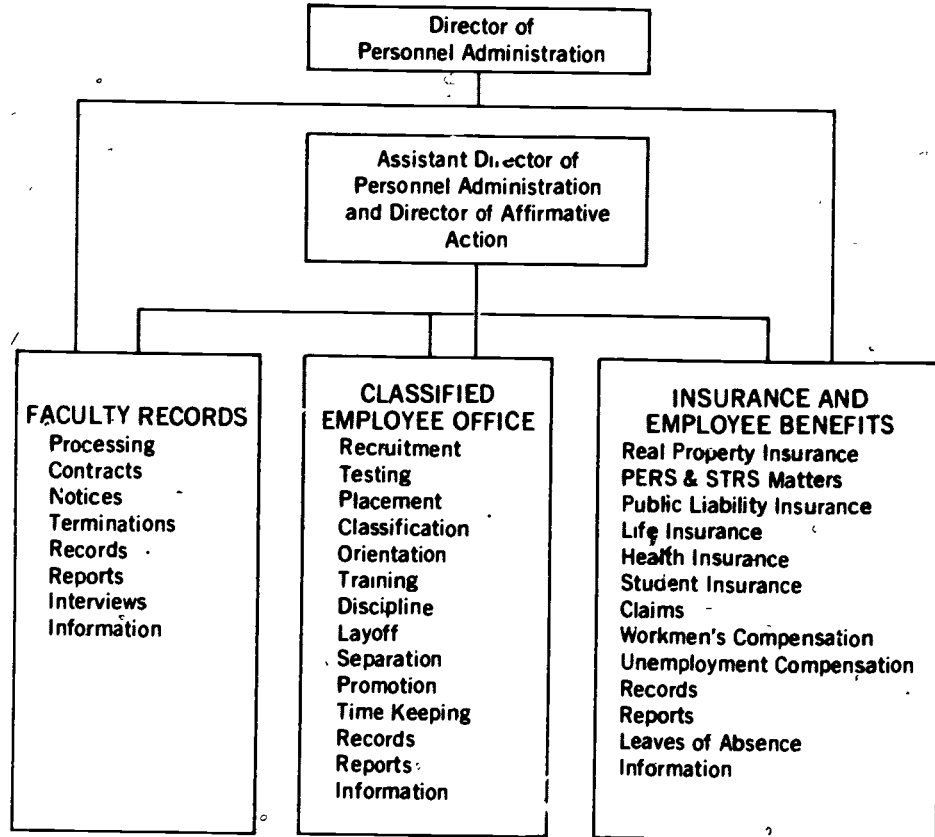


EXHIBIT 2



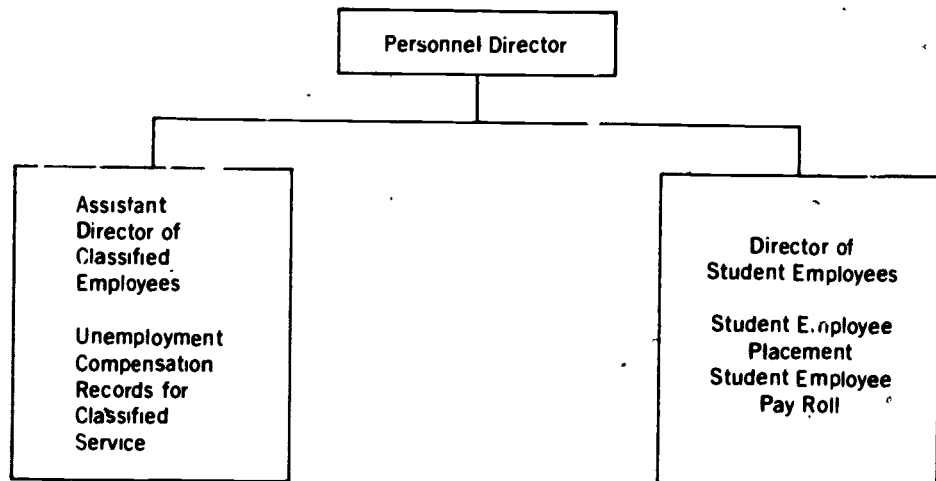
APPENDIX 1

EXHIBIT 3



The following chart shows staff division, first by employee groups (classified and student) and then by function within groups.

EXHIBIT 4



APPENDIX 2

PERSONNEL AREAS WHERE POLICIES MAY BE APPROPRIATE

1. Instructional and Professional
 - A. Permanent Personnel
 1. Recruitment and Selection
 2. Appointment
 - a. Contract
 - b. Personnel Records
 3. Certification
 4. Physical Examination
 5. Assignment and Transfer
 - a. Orientation
 - b. Promotion/Demotion
 6. Responsibilities, Duties, Code of Ethics
 - a. Teachers
 - b. Special Teachers
 - c. Nurses
 7. Probation and Evaluation
 8. Tenure
 9. Separation
 - a. Retirement
 - B. Temporary and Part-time Personnel
 1. Replacement Teachers
 2. Substitute Teachers
 3. Student Teachers
 4. Part-time Teachers
 5. Summer School Teachers
 6. Adult Education Teachers
 7. Recreation Personnel
 - C. Activities
 1. Professional Growth
 - a. Exchange Teaching
 - b. Contributions to Local School System
 - (1) Curriculum Development
 - (2) Committee Membership
 - c. Study
 - (1) College and University
 - (2) Local Workshops
 - (3) Professional Library
 2. Publication of Articles
 3. Travel
 4. Tutoring
 5. Organizations
 - a. Agreements
 - b. Committees
 6. Meetings
 7. Soliciting and Selling
 8. Non-School Employment
 - D. Compensation and Related Benefits
 1. Salary Guides
 2. Salary Checks and Deductions
 3. Extra Pay for Extra Work
 4. Insurance
 5. Hospitalization
 6. Retirement Compensation
 7. Employment-related Accommodations
 - a. Credit Union
 - b. Gifts from Board of Education
 - E. Absences, Leaves and Vacations
 1. Absences
 - a. Personal
 - (1) Industrial Accident or Illness
 - b. Family Illness
 - (1) Quarantine
 - c. Bereavement
 - d. Legal Commitment and Transactions
 - e. Religious Observance
 - f. Emergency
 2. Leaves
 - a. Sabbatical
 - b. Professional
 - c. Maternity
 - d. Military
 - e. Health and Harship
 - f. Personal
 3. Vacations/Holidays
2. Administrative and Operational
 - A. Employment
 1. Recruitment and Selection
 2. Appointment
 3. Certification or Licensing
 4. Physical Examination
 5. Assignment and Transfer
 - a. Orientation
 - b. Promotion/Demotion
 6. Responsibilities and Duties
 7. Probation and Evaluation
 8. Continuing Contract
 9. Separation
 - a. Retirement
 - B. Activities
 1. Growth in Job Skills
 2. Travel
 3. Organizations
 - a. Agreements
 - b. Committees
 4. Meetings
 5. Solicitation and Selling
 6. Non-school Employment
 - C. Compensation and Related Benefits
 1. Salary Guides
 2. Salary Checks and Deductions
 3. Overtime Pay
 4. Insurance
 5. Hospitalization
 6. Retirement Compensation
 - D. Absences, Leaves and Vacations
 1. Absences
 - a. Personal
 - (1) Industrial Accident or Illness
 - b. Family Illness
 - (1) Quarantine
 - c. Bereavement
 - d. Legal Commitments and Transactions
 - e. Religious Observance
 - f. Emergency
 2. Leaves
 - a. Maternity
 - b. Military
 - c. Health and Harship
 - d. Personal
 3. Vacations/Holidays

APPENDIX 3

PROCEDURES FOR THE CLASSIFICATION OF AN EMPLOYEE'S JOB¹

RESPONSIBILITY	ACTION
Submitting Supervisor	1. Completes Job Information Summary Sheet for the employee's position and submits it to the Personnel Office.
Personnel Director	2. Reviews the submitted information.
	3. Composes a Job Specification Data Sheet to correspond. These two items make up a job description which is distributed to the Nonacademic Personnel Classification Committee members and to the submitting supervisor.
Personnel Clerical Staff	4. Arranges for the Nonacademic Personnel Classification Committee to meet.
Nonacademic Personnel Classification Committee	5. Reviews the job description and evaluates the grade for the position in accordance with the job evaluation manual.
Personnel Director	6. Notifies personnel clerical staff of committee results.
Personnel Clerical Staff	7. If the employee is reclassified to a new grade, submits the Board Recommendation to Personnel Director for his signature.
	8. Forwards Board Recommendation to Payroll Department for processing.
	9. Adjusts Personnel records to reflect new grade.
	10. Notifies the supervisor by memo of new grade and rate.
	11. Files job description.

¹ Reprinted with permission from Cuyahoga Community College, Cleveland, Ohio

**CUYAHOGA COMMUNITY COLLEGE
NONACADEMIC PERSONNEL
Cleveland, Ohio**

**Preliminary Job Information Summary Sheet for New
Positions or Reclassification of Present Positions**

INSTRUCTIONS:

This brief summary sheet is for your use in providing the data necessary to assist the Nonacademic Personnel Classification Committee in determining an appropriate salary grade assignment for the new position being established in your department.

The Classification and Evaluation Program is based upon securing the facts about each job on the campus in an objective and accurate fashion that will provide a consistent method for establishing comparable job levels in a fair and equitable manner. Inasmuch as you are the only person, at present, who has a fairly clear idea of what the duties and responsibilities of this position are expected to be, your opinions and judgements as to the nature of the job are most important.

Briefly stated, we would like your opinions on the qualifications required to do the job and a brief description of the job which is merely an objective analysis of the type of activities involved in the job.

The information provided in the enclosed form will provide the basic data upon which a salary grade assignment will be made. A formal job description will be written and will be submitted to you for any changes or corrections, and your approval, prior to being presented to the Classification Committee for their study and recommendations.

The Data Sheet format is quite short and simple, requiring only a few check marks and brief comments.

- a. In the Job Summary section of the Job Description form, it is suggested that you use a brief one or two sentence digest of the purpose of the job, as for example:

"Works Under the Supervision of Professor, performs secretarial duties involving taking and transcribing of dictation, typing, filing, and performs other varied clerical duties relating to contract negotiations, building tour arrangements, scheduling of counseling sessions with students."

- b. In the job Duties section of the Job Description form, please be specific as possible when indicating the duties to be assigned to the job as for example:

"Takes dictation by shorthand and transcribes (memos, letters, minutes of committee meetings, etc.)"

"Keeps monthly record of travel expenses"

"Types all departmental requisitions"

APPENDIX 3

**CUYAHOGA COMMUNITY COLLEGE
NONACADEMIC PERSONNEL
Preliminary Job Description — Specification**

Name of Employee _____ Date _____

If position occupied at present time—

Department _____ Campus _____

Location: Building _____ Room _____ Phone _____

Name of Immediate Supervisor _____ Title _____

Appointment Status: Regular 10 mo. Other

Temporary — Duration _____

Hours of Work A.M. _____ P.M. _____ Weekend _____

Days per week _____ Total hours per week _____

This position is in:

an academic department
(offering instruction)

an administrative unit
(not offering instruction)

a service unit
(maintenance, custodial, security, etc.)

JOB DESCRIPTION

S
U
M
M
A
R
Y
(Complete the following sentence and state briefly a summary of the purpose of the position.)

WORKS UNDER THE SUPERVISION OF THE

D
U
T
I
E
S
(list here the specific duties of the position)

REGULAR: (Daily or almost daily)

D U T I E S	PERIODIC: (at recurring fixed intervals)
D U T I E S	OCCASIONAL: (sporadic and indefinite intervals)

(If more space is required, attach additional sheets)

APPENDIX 3

JOB INFORMATION SHEET

1. In your opinion, what is the formal educational background desired to perform the assigned duties?

Grade School 2 Years College/or equivalent
 High School Graduation College Degree
 Business/Technical School Graduation Advanced Degree

2. In your opinion, check the **minimum** amount of previous related experience that would be required of applicants before acceptance to this position.

Up to One Month Over 1 Year Up to 2 Years
 Two Up to Six Months Over 2 Years Up to 4 Years
 Over Six Months to One Year

3. In your opinion, what period of learning time on the job would be required in order for a person to achieve reasonable proficient performance?

1-2 Weeks 6 Months
 1 Month 1 Year
 3 Months 2 Years

4. Indicate below that equipment the person will be required daily to operate.

Telephone Adding Machine Keypunch
 Xerox Machine Calculator Multilith
 Ditto Copier Switchboard Other
 Typewriter

5. Indicate below the type of supervision the employee will receive.

- Under immediate supervision with short assignments of work at frequent intervals and a regular check of performance.
- Under general supervision, work may be variable but precedents usually have been established and standard practice enables the employee to proceed alone on routine work, referring questionable cases to the supervisor.
- Under direction where a definite objective is set up, the employee plans and arranges his own work in the performance of a sequence of operations and in a specific field where precedents are accessible for application to changing conditions and only unusual cases are referred to the supervisor.
- Under general direction, working independently in an established field, setting up procedures when necessary, but working from policies and general objectives. Rarely refers specific cases to superiors unless interpretation of College policy is involved.

6. Indicate number of persons this position will be responsible for supervising

None Full-Time Student Assistants

7. Check phrases indicating kind of supervisory responsibilities to be delegated to this position, if any.

- | | |
|---|---|
| <input type="checkbox"/> Plan Work | <input type="checkbox"/> Recommend Pay Increases |
| <input type="checkbox"/> Assign Work | <input type="checkbox"/> Recommend Hiring & Discharge |
| <input type="checkbox"/> Instruct in Methods & Procedures | <input type="checkbox"/> Responsible for Work Discipline |
| <input type="checkbox"/> Check & Approve Work | <input type="checkbox"/> Responsible for Errors of Employee |

8. Indicate the frequency and types of contacts this position will be responsible for.

- Contacts usually limited to persons in the same section or department.
- Contacts with persons outside the department or outside the College, furnishing or obtaining routine information only.
- Contacts with persons outside the department or outside the College furnishing or obtaining information or reports, under conditions requiring the use of tact to obtain cooperation and maintain good will.
- Contacts with other departments or other colleges involving carrying out College policy and programs and the influencing of others, where improper handling will affect operating results; or contacts involving dealing with persons of substantially higher rank on matters requiring explanation, discussion and obtaining approvals.

9. Indicate below what types of restricted information the person on this job will be responsible for working with.

- | | |
|--|--|
| <input type="checkbox"/> School Grades | <input type="checkbox"/> Salaries |
| <input type="checkbox"/> Application Blank Information | <input type="checkbox"/> Department Plans & Policies |
| <input type="checkbox"/> Case Reports | <input type="checkbox"/> Campus Plans & Policies |
| <input type="checkbox"/> Test Results | <input type="checkbox"/> College Plans & Policies |

10. Indicate below the kind of errors that could be easily made in this position and the consequences of such errors.

- Errors can be quickly checked and would result only in minor confusion or clerical expense for correction.
- Probable errors usually detected in succeeding operation and generally confined to a single department or phase of College activities. Correction involves some trouble in back checking by others.
- Work requiring accuracy of performance and reliability. Errors may result in loss or hold up of production, waste of material, damage to equipment or monetary losses of a related nature. Effect is usually confined within the College.
- Work requiring a high degree of accuracy and responsibility. Probable errors are difficult to detect and may seriously affect costs, planning or production.
- Work of major importance in which there is considerable opportunity for making errors of serious consequence, resulting in substantial losses to the College, either in costs or damage to property or in public relations

APPENDIX 3

JOB INFORMATION SHEET (Continued)

11. What degree of concentration and coordination of mind and eye is required to accomplish the desired rate of job performance?

Intermittent duties — requires close attention at periodic intervals

Uniform mental attention required to maintain constant flow of daily work routine

Close concentration most of the time, but occasional periods when the pressure is reduced

Constant heavy — concentration — large volume of work to be processed within limited periods of time schedules

12. Indicate best description of physical effort demands of job.

Primarily a "sitting" or "desk" job.

Primarily a "motion" job. (requires lifting and working with light objects)

Primarily a "difficult motion" job. (Requires frequent medium-heavy exertion)

Primarily a "heavy effort" job.

13. Working Conditions: Indoors _____% of time. Outdoors _____% of time.

Normal Office Conditions

More than average noise

Considerable noise

14. Job Hazards

Negligible

Minor Injuries Possible

Serious Injury Possible

Permanent Injury Could Result From Such Activity

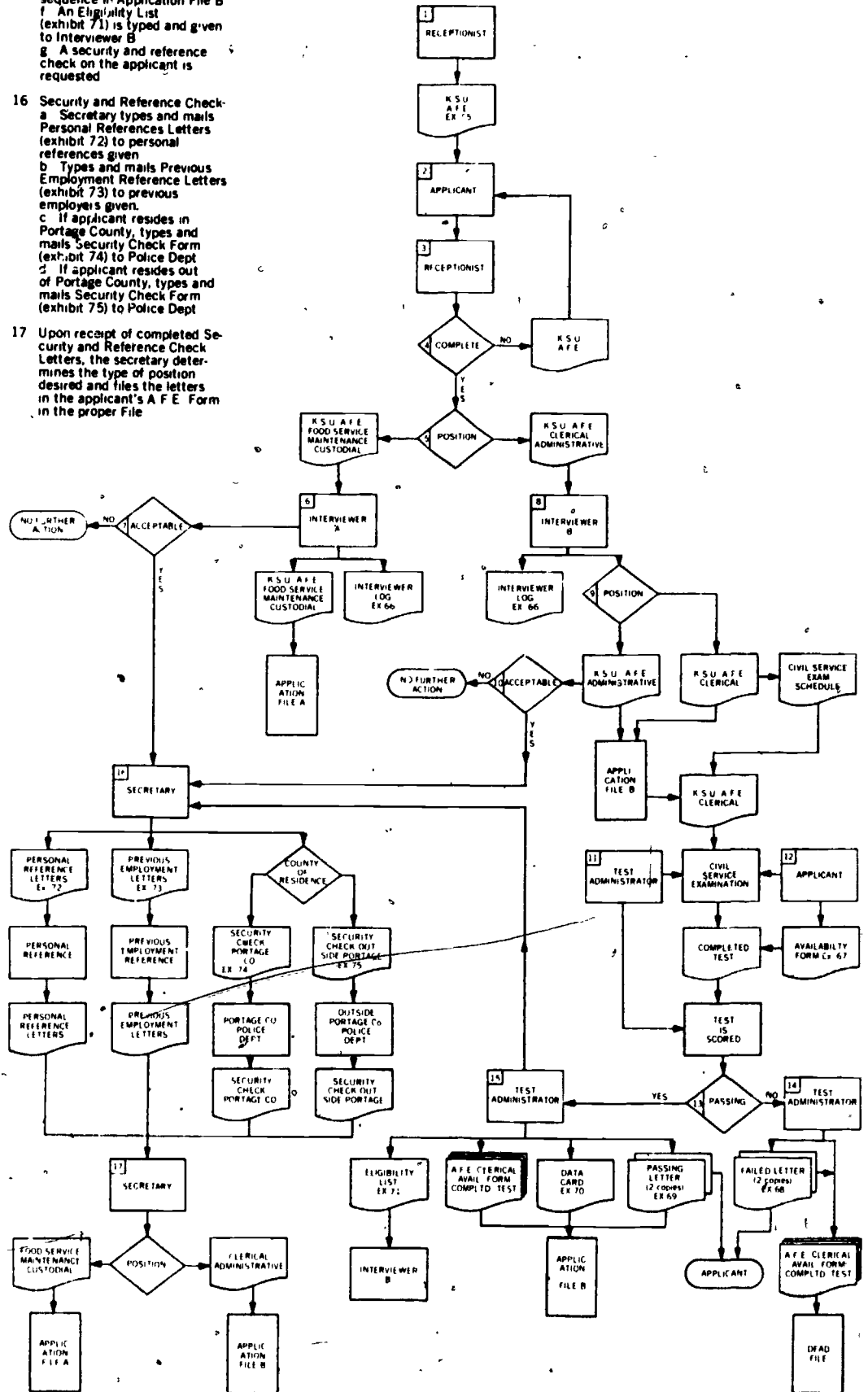
APPENDIX 4

A FLOW CHART ILLUSTRATING THE CIVIL SERVICE APPLICATION FOR EMPLOYMENT PROCEDURE AT KENT STATE UNIVERSITY¹

OPERATION

- 1 Receptionist gives K S U Application for Employment Form (exhibit 65) to applicant
- 2 Applicant reads and completes pages 1,2,3 of A F E Form
- 3 Receptionist reviews A F E Form for legibility and completeness
- 4 If A F E Form is not complete, it is returned to applicant for completion
- 5 Receptionist checks type of position desired and gives A.F.E Form to one of two interviewers
 - a Interviewer A
Food Service
Maintenance
Custodial
 - b Interviewer B
Clerical
Administrative
- 6 Interviewer A
 - a Logs applicant in the Interviewer A's Log Book (ex 66)
 - b Interviews applicant
 - c Notarizes A F E Form
 - d Files A F E Form in alphabetic sequence in Interviewer A's Application File
- 7 If applicant was acceptable and qualified, Interviewer A will request a security check and reference check on the applicant (see step 16). If applicant was not acceptable or not qualified, no further action is taken
- 8 Interviewer B
 - a Logs applicant in the Interviewer B's Log Book (ex 66)
 - b Interviews applicant
 - c Notarizes A F E Form.
 - d Checks type of position desired
- 9 If the type of position desired is
 - a Clerical — The applicant is scheduled for a Civil Service exam and the A F E Form is filed in alphabetic sequence in Interviewer B's Application File
 - b Administrative — The A.F.E Form is filed in Interviewer B's Application File
- 10 If the Administrative applicant was acceptable and qualified, Interviewer B will request a security check and reference check on the applicant. (see step 16). If applicant was not acceptable or not qualified, no further action is taken
- 11 Test Administrator gives the applicants the proper exam and upon completion scores the tests.
- 12 Applicant fills out Availability Form (exhibit 67) and takes the Civil Service exam.
- 13 Test Administrator determines if score is passing.
- 14 If the score is failing:
 - a Two copies of the Failed Letter are typed (exhibit 68)
 - b One copy of the Failed Letter is placed in the A.F.E Form.
 - c The AFE Form, Availability Form, Completed Test, and Failed Letter are filed in alphabetic sequence in the Dead Application File
 - d One copy of the Failed Letter is mailed to the applicant
- 15 If the score is passing
 - a Two copies of the Passed Letter are typed (exhibit 69)
 - b One copy of the Passed Letter is placed in the A F E Form
 - c One copy of the Passed Letter is mailed to the applicant
 - d A Data Card (exhibit 70) filled out and placed in A F E Form.
- e The A.F.E Form, Availability Form, Completed Test, Passing Letter, and Data Card are filed in alphabetic sequence in Application File B
- f An Eligibility List (exhibit 71) is typed and given to Interviewer B
- g A security and reference check on the applicant is requested
- 16 Security and Reference Check
 - a Secretary types and mails Personal References Letters (exhibit 72) to personal references given
 - b Types and mails Previous Employment Reference Letters (exhibit 73) to previous employers given.
 - c If applicant resides in Portage County, types and mails Security Check Form (exhibit 74) to Police Dept
 - d If applicant resides out of Portage County, types and mails Security Check Form (exhibit 75) to Police Dept
- 17 Upon receipt of completed Security and Reference Check Letters, the secretary determines the type of position desired and files the letters in the applicant's A F E Form in the proper File

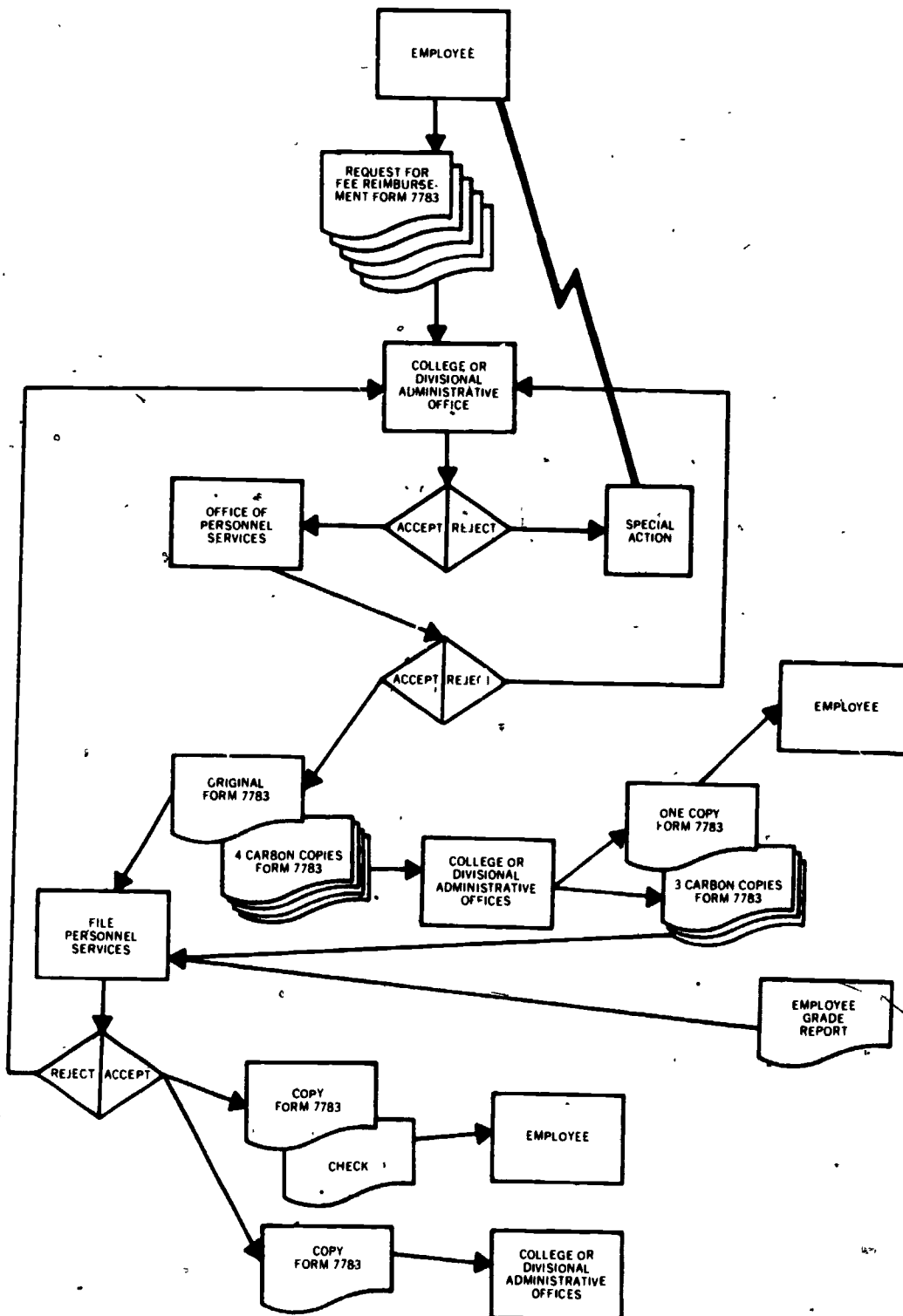
JANUARY 19, 1972



APPENDIX 5

A FLOW CHART ILLUSTRATING THE EMPLOYEE TUITION REIMBURSEMENT AT OHIO STATE UNIVERSITY¹

FORM	ORIGIN	FILLED OUT BY	USE
A. Request for Fee Reimbursement Form 7783	Dept.	Employee	Application for Reimbursement



1. Reprinted with permission from The Ohio State University.

APPENDIX 6

SUGGESTED GUIDELINES FOR ANALYZING BENEFITS¹

Those benefits which are legally required should be met first. This somewhat obvious recommendation is necessary, however, if only to differentiate between required and voluntary benefits. The following guidelines are useful in making that distinction:

1. The college should determine how it will best meet the economic, physical, and psychological needs of its personnel.
2. Benefits should be confined to activities in which the group is more efficient than the individual. Group coverage is less costly because of reduced administrative costs and increased availability of funds.
3. The benefits should be extended on as broad a base as possible. A program with less than, say, 10 percent of the total number of employees may not produce the desired returns to either the individual or the college.
4. The long-range consequences should be estimated. Is the proposed benefit just a temporary fad? Will it support or hinder the entire personnel program?
5. The potential income-tax burden to the employees should be determined. Benefits deducted from the employee's salary still require the employee to report adjusted gross earnings (the only deductible benefit being health insurance premiums), whereas employer payment of benefits can be promoted as another benefit, as the employee does not pay a tax on the cost.
6. The potential for minimizing other personnel costs should be determined. Certain benefits act to lessen the impact of other costs such as absences, accidents and communicable illnesses, resignations, and grievances.
7. A strong concern for leadership in the overall performance of personnel programs should be demonstrated. Although applicants for positions often evince interest only in the basic benefits program (life and health insurance, retirement, etc.), an innovative approach in the area of benefits will contribute to the general impression of concern for personnel, thus attracting desirable applicants.
8. Colleges should attempt to avoid connotations of benevolent paternalism in the granting and administering of benefits. The entire benefits "package" should demonstrate the sincerity and magnitude of the college's concern for the employee's welfare and growth.
9. The costs of the benefits should be calculable, and provision should be made for sound financing. Sound actuarial estimates, based on data applicable to higher education if possible, should be developed. Also, one of the highest single costs of the entire benefits budget may be the administering of the benefits program. This should be carefully calculated.

¹ Compiled from Oale S. Beach, *Personnel: The Management of People at Work*, 2nd ed. (New York: The MacMillan Company, 1970), pp. 793-94, and Stanley L. Sokolik, *The Personnel Process: Line and Staff Dimensions in Managing People at Work*, (Scranton, Pennsylvania: International Textbook Company, 1970), pp. 568-70.

APPENDIX 7

DESCRIPTION OF THE FOUR PHASES OF MANPOWER PLANNING¹

Phase I: Data Analysis—Inventory and Forecast

The first phase involves the development of data to be used in setting manpower objectives and policies. Information about the past, the present, and the future is analyzed in order to achieve a functional interpretation of current manpower status and future manpower needs. As illustrated in Figure C-1, this phase consists of five sequential steps:

Step 1: Analysis of the Manpower Situation. Four Key areas must be examined in Step 1:

1. An inventory of the current manpower of the organization is conducted to determine the capability of the current staff. Information on the age, experience, skills, performance and promotion potential is assembled and analyzed.
2. An analysis is made of past employment trends by occupational group to estimate the probable future composition of the staff.
3. Analyze past, and present instructional programs. Data on enrollment, workloads, faculty—staff ratios, utilization of facilities, are gathered to determine present trends. OBR and HEGIS reports can be prime sources for this data.
4. Analyze future organizational structures since this will influence manpower allocation and the general composition of the total staff.

Step 2: Forecast of Total Manpower Needs. The data collected in the above analysis are integrated with a general environmental forecast to make an overall manpower forecast for the college. Projected program goals are related to the forecast enrollment in order to estimate total manpower which can then be broken down into occupational groups.

Step 3: Unit Manpower Forecast. Estimates of unit manpower needs are based on information from the organizational study and information furnished within the units. Unit estimates must equal the estimates of total manpower projections made in the organizational study.

Step 4: Budget Reconciliation. A critical step is a comparison of the manpower estimates with the college's future financial plans. It is essential that the manpower forecast be expressed in terms of dollars. The budget agreement provides necessary realism to both the manpower and the financial projection.

Step 5: Personnel Manpower Estimates. An analysis of the personnel manpower requirements can now be undertaken. Information gathered in the above steps is combined with manpower forecast data to identify problems in recruiting, development, promotion and transfer. Because of the unique aspects in each of the respective employee groups, this analysis is conducted within each group for the total college, and then within each program unit.

Phase II: Setting Objectives and Policies

Objectives and policies for manpower planning can now be established, providing operational meaning to the analytical work in Phase I. Sample manpower objectives were presented when discussing goals and objectives (Chapter 3). Other examples could be to have five middle managers in three years for the operational programs, though only three appear to be presently available. Another would be to prevent manpower costs from rising by more than 8 percent annually, including provisions for additional staff. And a final objective might involve reducing turnover rate of administrative employees from 40 to 25 percent in order to lower costs and meet future manpower needs.

Phase III: Action Programming

Implementing the plans, objectives and policies developed in the first two phases requires action programs in a wide variety of areas, as illustrated in Figure C-1. Manpower planning can result in improving the personnel programming that is currently going on at the college. First, establishing manpower objectives with specific time activity parameters results in greater coordination, performance and evaluation. Second, such planning can generate action in areas that otherwise might be neglected. Directing attention to a particular group of faculty, for example, to provide professional development and reduce attrition may save the college more effort and

money than recruiting new faculty. A third result is the incentive to develop and design individualized programs for meeting objectives rather than relying on the adoption of other programs. For example, it is easy to adopt an existing performance evaluation program but the desired objectives may warrant the development of an internal evaluation program yielding more and better information.

Phase IV: Program Control and Evaluation

The realization of the desired objectives and the successful completion of the manpower program are governed by the effectiveness of the system developed to monitor the performance of these programs. Regular reviews must be an integral part of the program. This can be done with a year-end review of past performance, and recording of positive and negative deviation from the desired schedule and objectives. Another occasion for review would be the terminal point of a particular program or activity. After developing a performance evaluation form, for example, controls can be checked to determine if the objectives of the form were achieved before moving to the next activity. Such tracking reveals deviations as they occur rather than afterwards.

Both quantitative and qualitative standards are required in manpower planning. Numerical standards are required in manpower planning. Numerical standards such as reduction of turnover or maintenance of wages and salaries within forecast limits are usually easier to establish. However, qualitative, less objective, measures are equally necessary (1) to examine those areas not conducive to numerical measures such as instructional or managerial performance and (2) to complement quantitative measures with qualitative assessment.

1 The primary source of the information in this appendix was Eric W. Vetter, *Manpower Planning for High Talent Personnel* (Ann Arbor, Michigan: Bureau of Industrial Relations, University of Michigan), 1967, p. 34.

APPENDIX 8

SUGGESTED GUIDELINES FOR RECRUITING

A typical recruitment program is comprised of at least a score of separate actions carried out in the sequence shown below. Each one is important. Mistakes often arise because insufficient attention is devoted to the earlier steps in the recruitment process.

1. Receive requisition (on standard form) from department chairman/supervisor.
2. Search files for the pertinent employee/position specification or for a similar one.
3. Discuss vacancy with supervisor/chairman; insure that replacement is absolutely necessary, and arrange to interview incumbent to explore reasons for leaving.
4. Review and modify position specification in the light of changes which may have taken place and reconcile these with department chairman/supervisor.
5. Consider feasibility of internal promotion or transfer; failing this, determine the most probable sources of candidates and the most economical method of attracting them. Check to determine if any inquiries have been received from suitably qualified people in recent months.
6. Inform employment agencies and/or prepare draft advertisement and select the most appropriate advertising medium.
7. On receipt of applications, classify provisionally into: (a) most likely (b) possible (c) unsuitable. Write promptly to (a) arrange interview if time is short and ask for completed application form to be returned with confirmation; send model letter to (b) with application form; eliminate (c) unless suitable for alternative vacancy.
8. Acknowledge receipt of application forms and scrutinize for additional candidates who merit interview.
9. Arrange preliminary interviews, and use other assessment techniques as appropriate (note any candidate's travelling expenses).
10. Compile short list for final selection procedure with department supervisor/chairman.
11. Invite short-listed candidates and arrange overnight accommodation, if needed. Write to other interviewed candidates advising them they have been unsuccessful.
12. Send copy of timetable to all staff affected, reserve interviewing rooms, order coffee, inform receptionist, etc.
13. Conduct final assessment program.
14. Prepare letter of appointment for successful candidate.
15. On confirmation of acceptance, write personal letter to unsuccessful candidates (and to any others who have not been turned down so far). In appropriate cases, advise them they will be considered for any suitable future vacancies which may arise.
16. Write initial orientation letter to successful candidate.
17. Make out personnel records for new employee and inform department, accounts office, etc. of proposed starting date.
18. Insure that orientation procedures are carried out.
19. Preliminary follow-up within one month to resolve any settling-in difficulties.
20. Subsequent follow-up and comparison of progress report with original selection assessment and predictions.

APPENDIX 9

TOPICS TO BE COVERED IN THE ORIENTATION OF NEW EMPLOYEES¹

Prearrival Orientation

1. Campus map in relation to city map showing major highways and public transportation routes to the campus.
2. Housing information: guidebooks, real estate brokers, rent rates, proximity of residential areas to campus.
3. Taxes: community tax rates, auto insurance rates, etc.
4. State regulations governing new residents: automobile registration, driver's license, automobile insurance, voting registration.
5. Public and private school system: opening day of classes, colleges and universities in area, adult education opportunities.
6. Local churches.

Campus Orientation

1. Detailed campus map with guide to buildings.
2. Employee parking areas.
3. Facilities instructions: keys, parking permits, nameplate, office space, office equipment, etc.
4. Financial instructions: payroll arrangements, enrollment in group benefit plans.
5. Health instructions: mandatory physical examinations, check X-rays, etc.
6. Academic instructions (where required): patent policy agreement, completion of forms for personnel records, student registration duties.
7. Distribution of appropriate literature: history of institution, faculty, staff and student handbooks, catalogs, campus fact book, staff directory.

Institutional Orientation

1. History of school and basic facts about institution if not covered by printed literature.
2. Policies regarding appointments, tenure, supplementary employment, political involvement, etc., if not covered during preappointment interviews or included in basic faculty handbook.
3. Nature of student body: admission requirements and policies, attrition, standards, etc.

Orientation for Instructional Staff

1. Educational resources.
 - a. Television
 - b. programmed learning
 - c. library — library resources, divisions and special collections, reference services, catalog, purchasing books through library
 - d. college bookstore — textbook adaptations and orders, internal supplies
 - e. computation center
2. Responsibilities as faculty adviser.
3. Unique or special programs in operation: cooperation plan if operative, advanced placement, honors programs, part-time study.
4. Classroom teaching: credits and class hours, grades and grading practices, quality point averages, reporting of grades, warnings, homework assignments, outside reading, course syllabi, lectures versus discussions, failures, makeup work, conference hours, cheating and academic discipline, registrar's office, examinations (regulations concerning correcting, preparation and typing, giving of examinations, proctoring and security).

APPENDIX 9

5. Research policies: role of faculty and administration, rules governing proposals and contracts, specific research funds available, sponsored research.

Student Activities Orientation

1. Explanation of scope of program.
2. Policies governing organizations and their activities (may refer to student handbook).
3. Activities hours (if applicable).
4. Faculty responsibilities: adviser, chaperone, etc.
5. Faculty tickets to student events.

Community Orientation

1. Annual college functions.
2. Special community offerings — cultural, recreational.
3. Faculty club.
4. List of guidebooks to the locale.

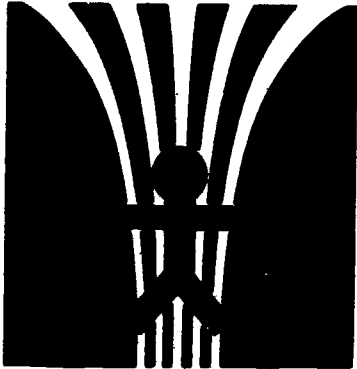
1 A basic reference for this appendix was M. Francis Kelly and John Connolly, *Orientation for Faculty in Junior Colleges* (Washington, D.C.: American Association of Junior Colleges, 1970.)

APPENDIX 10

EXIT INTERVIEW FORM USED AT NORTHERN ILLINOIS UNIVERSITY¹

As a past employee, we value your opinions

and comments relative to your employment with us.



Your answers to the following questions will be used to guide us in our future policy decisions.

Please be forthright in your answers, as this information will be kept confidential. At no time will this information be given to future employers nor will it affect our recommendations to your future employers.

It is not necessary that you sign your name to this form. All replies will remain anonymous.

- Please Circle
1. Was your job properly represented before you were hired? Y N
 2. Were University benefits, policies and conditions of your employment explained to you? Y N
 3. As a new employee, did you feel "welcome" at the University? Y N
 4. Did you receive adequate training and job instruction? Y N
 5. Did you find your fellow employees and supervisor friendly and cooperative? Y N
 6. Did your supervisor gain your respect through knowledge of his job? Y N
 7. Was any favoritism shown in the department? Y N
 8. Were your working conditions satisfactory? Y N
 9. Was your salary equitable for the position you held? Y N
 10. Did you feel your fringe benefits were good? Y N
 11. Does the University treat its employees as well as other places you have worked? Y N
 12. Do you feel there was sufficient opportunity for advancement? Y N
 13. Was the department in which you worked functioning smoothly and efficiently? Y N
 14. Were you given proper supervision? Y N
 15. Were your work hours clearly explained and understood? Y N
 16. Did you have full understanding of department policies and procedures? Y N
 17. Do University employees, in general, perform their jobs efficiently and cheerfully? Y N
 18. Did you feel you were contributing to the University's improvement and growth? Y N
 19. Would you say that the University was a good place to work? Y N
 20. Would you apply for employment at the University again? Y N

Please indicate the department in which you were employed _____
(Optional)

Thank you for your cooperation.
Best wishes for a successful future.

While employed at the University, were you a student wife? YES NO

APPENDIX 11

EXIT INTERVIEW FORM¹

I understand you're leaving. Before you do, I'd like to find out a little about your experience with the College. Let's see now . . .

Do you have another job? () yes () no (If "yes") Where? _____

What is your new salary? _____

How long have you worked here? _____

What kind of work have you been doing? _____

What other kinds of work have you ever done? _____

What kind of work do you like best? _____

Why? _____

When you first started to work here, who introduced you to the people you were to work with? _____

How fully was your job explained to you? _____

By Whom? _____

How did you like your supervisor? _____

How well did he seem to know his job? _____

What about his handling of gripes or complaints? _____

Did he have "pets" or play favorites? _____

What troubles have you had with him? _____

What was your final pay rate? _____

When was your last increase? _____

How do you feel about your pay? _____

How do you feel about your progress with the College? _____

If you could tell the President of the College how you feel about the way the College is run, what would you tell him? _____

What have you liked best about your job here? _____

What have you disliked about it? _____

Why are you leaving? _____

Why right now? _____

If a more satisfactory arrangement can be worked out, would you be willing to stay:

() No, () Yes; Specify changes _____

Date: _____

Exit Interviewer _____

¹ Reprinted with permission from Cuyahoga Community College

APPENDIX 12

Federal Laws and Regulations Concerning Sex Discrimination in Educational Institutions

October, 1972

Compiled by Project on the Status and Education of Women Association of American Colleges

Effective date	Title VII of the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act of 1972	Equal Pay Act of 1963 as amended by the Education Amendments of 1972 (Higher Education Act)	Title IX of the Education Amendments of 1972 (Higher Education Act)	Title VII (Section 706) & Title VIII (Section 804) of the Public Health Service Act as amended by the Comprehensive Health Manpower Act & the Nurse Training Amendments Act of 1971
Executive Order 11246 as amended by 11735 Oct. 11, 1968	March 24, 1972 (July 1965 for non-professional workers) (Institutions with 15 or more employees are not covered until March 24, 1972)	July 1, 1972 (June 1964 for non-professional workers)	July 1, 1972 (Admission provisions effective July 1, 1973)	Nov. 18, 1971
Which institutions are covered	All institutions with federal contracts or over \$10,000	All institutions with 15 or more employees	All institutions receiving federal money by way of a grant, loan or contract (other than a contract of insurance or surety)	All institutions receiving or benefiting from a grant, loan or contract under Title VII or VIII of the Public Health Service Act
What is prohibited	Discrimination in employment including hiring, upgrading, salaries, fringe benefits, training and other conditions of employment on the basis of race, color, religion, sex, origin or sex. Covers all employees	Discrimination in salaries (including almost all fringe benefits) on the basis of sex. Covers all employees	Discrimination against students of others - on the basis of sex	Discrimination in admission of students on the basis of sex and against some employees
Exemptions from coverage	None	None	None	None
Who enforces the provision?	Office of Federal Contract Compliance (OFCC) of the Department of Labor has policy responsibility and oversees. Federal agencies responsible for enforcing the Executive Order for all contracts with federal agencies. HEW's Office for Civil Rights (Director of Higher Education) conducts the reviews and assists	Equal Employment Opportunity Commission (EEOC)	Wage and Hour Division of the Department of Labor	HEW's Office for Civil Rights (Director of Higher Education) conducts the reviews and investigations
How is a complaint made?	By letter to OFCC or Secretary of HEW	By a written complaint form obtainable from EEOC	By letter (telephone call or in person to the nearest Wage and Hour Division office)	Procedure not yet specified. A letter to Secretary of HEW is acceptable
Can complaints of a pattern of discrimination be made as well as individual complaints?	Yes. However, individual complaints are referred to EEOC	Yes	Yes	Yes
Who can make a complaint?	Individuals and/or organizations on own behalf or on behalf of aggrieved employees or applicants	Individuals and/or organizations on own behalf or on behalf of aggrieved employees or applicants. Members of the commission may also file charges	Individuals and/or organizations on own behalf or on behalf of aggrieved party	Individuals and/or organizations on own behalf or on behalf of aggrieved party
Time limit for filing complaints	180 days	180 days	No official limit but recovery of back wages is limited by statute of limitations in two years for a non-willful violation and three years for a willful violation	Procedure not yet determined
Can investigation be made without a complaint?	Yes. Government can conduct periodic reviews without a reported violation as well as in response to complaints. Annual reviews are mandatory for contracts over \$10,000	No. Government can conduct in certain cases if charges have been filed	Yes. Government can conduct periodic reviews without a reported violation as well as in response to complaints	Yes. Government can conduct periodic reviews without a reported violation as well as in response to complaints
Can the entire institution be reviewed?	Yes. HEW may investigate part or all of an institution	Yes. EEOC may investigate part or all of an establishment	Yes. Usually the Wage Hour Division reviews the entire establishment	Yes. HEW may investigate those parts of an institution which receive federal assistance (as well as other parts of the institution related to the program whether or not they receive federal assistance. These include: ...)
Record keeping requirements and government access to records	Institution must keep and preserve specified records relevant to determination of whether violations have occurred. Government is empowered to review all relevant records	Institution must keep and preserve specified records relevant to the determination of whether violations have occurred. Government is empowered to review all relevant records	Institution must keep and preserve specified records relevant to the determination of whether violations have occurred. Government is empowered to review all relevant records	Institution must keep and preserve specified records relevant to the determination of whether violations have occurred. Government is empowered to review all relevant records
Enforcement power and sanctions	Government may delay new contracts, suspend or debar institutions from eligibility for future contracts	If attempts at conciliation fail EEOC may file suit. Affirmative action plan may be ordered. Court may award back pay and other appropriate relief. Government may order reinstatement of employees and award back pay	Secretary of Labor may file suit. Department of Labor may initiate suit. Court may award back pay and other appropriate relief	Government may delay new awards, suspend current awards and debar institution from eligibility for future awards. Department of Justice may also bring suit at HEW's request
Can back pay be awarded?	Yes. HEW will seek back pay only for employees who were not previously granted by other laws allowing back pay	Yes. For up to two years prior to filing of suit with EEOC	Yes. For up to two years prior to a non-willful violation and three years for a willful violation	Probably to the extent that employees are covered
Affirmative action requirements (where no specific action is required)	Affirmative action plans (including numerical goals and timetables) are required of all contractors with contracts of \$50,000 or more and 50 or more employees	Affirmative action is not required unless charges have been filed in which case it may be ordered in conciliation agreement or by court order	Affirmative action other than salary increases and back pay is not required	Affirmative action may be required after discrimination is found
Coverage of labor organizations	Any agreement the contractor may have with a labor organization can not be in conflict with the contractor's affirmative action program	Labor organizations are subject to the same requirements and sanctions as employers	Labor organizations are prohibited from raising or attempting to cause an employer to discriminate on the basis of sex. Complaints may be made and suits brought against these organizations	Procedure not yet clear. Any agreement the institution may have with a labor organization can not be in conflict with the non-discrimination provisions of the legislation
Retaliation prohibited?	Institutions are prohibited from discharging or discriminating against any employee or applicant for employment because he/she has made a complaint, assisted with an investigation or instituted proceedings	Institutions are prohibited from discharging or discriminating against any employee or applicant for employment because he/she has made a complaint, assisted with an investigation or instituted proceedings	Institutions are prohibited from discharging or discriminating against any employee because he/she has made a complaint, assisted with an investigation or instituted proceedings	Institutions will be prohibited from discharging or discriminating against any participant in poster participation because he/she has made a complaint, assisted with an investigation or instituted proceedings
Notification of complaints	Notification of complaints has been made in the past. HEW is proposing notifying institutions of complaints within 10 days. HEW notifies institutions a few weeks prior to investigation	EEOC notifies institutions of complaints within 10 days	Complaint procedure is very informal. Employer usually is notified or may not know that a violation has been reported	Procedure not yet determined
Confidentiality of names	Individual complainant's name is usually given to the institution. Investigation findings are kept confidential by government but can be revealed by the institution. Disclosure concerning government disclosure concerning investigations and complaints has not yet been stated. The aggrieved party and complainant are not bound by the confidentiality requirement	Individual complainant's name is divulged when an investigation is made. Changes are not made public by EEOC. If court action becomes necessary the identity of the parties involved becomes a matter of public record. The aggrieved party and respondent are not bound by the confidentiality requirement	The identity of a complainant as well as the employer (and where identified) is held in strict confidence. If court action becomes necessary the identity of the parties involved becomes a matter of public record. The aggrieved party and respondent are not bound by the confidentiality requirement	Identity of complainant is kept confidential if possible. If court action becomes necessary the identity of the parties involved becomes a matter of public record. The aggrieved party and respondent are not bound by the confidentiality requirement
For further information, contact	Division of Higher Education Office for Civil Rights, Department of HEW, Washington, DC 20201 Office of Federal Contract Compliance, Employment Standards Administration, Department of Labor, Washington, DC 20210 Regional HEW or DOL Office	Equal Employment Opportunity Commission, Washington, DC 20506 Regional EEOC Office	Wage and Hour Division, Employment Standards Administration, Department of Labor, Washington, DC 20210 Field Area or Regional Wage and Hour Office	Division of HEW, EE, Labor Office for Civil Rights, Department of HEW, Washington, DC 20201 Regional HEW Office

Footnotes

General

1. Equal employment and human resources laws may also apply to educational institutions. The Equal Rights Amendment of the U.S. Constitution, passed by Congress and now in the process of ratification, would extend federal jurisdiction to publicly supported schools at all levels, including state and faculty unions. A federal statute specifically prohibits public and private colleges and universities from discriminating against women in their admissions and employment.

2. A federal statute of merit system is permitted under all legislation provided the system is not discriminatory on the basis of sex or any other prohibited ground.

3. There are no restrictions against making a complaint under Title VII or VIII of the Public Health Service Act of 1971.

4. This issue refers to the time in force of an alleged discriminatory act and when a complaint is made. In general, back pay is awarded for the period between the time of the discriminatory act and the time of the complaint. In some cases, back pay is awarded for the period between the time of the discriminatory act and the time of the complaint plus a period of time before the act.

5. Back pay cannot be awarded prior to the effective date of the legislation.

Executive Order 11246 as amended by 11735

7. The definition of "contract" is very broad and is interpreted to cover all government contracts, including those which are "subcontracts" which involve a branch in the federal government.

8. Although public institutions are not exempt from the affirmative action requirements of the Executive Order, a proposed regulation of HEW would exempt public institutions from the requirement for public institutions.

Title VII of the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act

9. In certain states that have fair employment laws with provisions similar to those of Title VII EEOC has authority to file a complaint with the state or to file a complaint with HEW. In the case of a state that has a fair employment law, HEW will handle the charges unless the state notifies HEW that it is not handling the case. In the case of a state that does not have a fair employment law, HEW will handle the case as if it were a federal case.

10. HEW will not file a complaint on the basis of a complaint received from a private citizen unless the complaint is supported by a complaint received from a public institution.

Equal Pay Act of 1963 as amended by the Education Amendments of 1972 (Higher Education Act)

11. Over 95 per cent of all Equal Pay Act violations are resolved through voluntary settlement.

12. Unless court action is necessary, the parties to a complaint are not bound by the terms of a settlement or a conciliation agreement. The parties are free to file a complaint with HEW or to file a lawsuit at any time.

Title IX of the Education Amendments of 1972 (Higher Education Act)

13. Title IX regulations and guidelines in Title IX of the Education Amendments of 1972 have not yet been issued. These regulations will be issued in the near future. The regulations will be issued in the near future. The regulations will be issued in the near future.

14. Title IX of the Education Amendments of 1972 is intended to be a broad statute which covers all educational institutions, including public and private institutions, and all levels of education, including primary, secondary, and postsecondary education. The regulations will be issued in the near future.

15. Title IX of the Education Amendments of 1972 is intended to be a broad statute which covers all educational institutions, including public and private institutions, and all levels of education, including primary, secondary, and postsecondary education. The regulations will be issued in the near future.

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18. Title IX of the Education Amendments of 1972 is intended to be a broad statute which covers all educational institutions, including public and private institutions, and all levels of education, including primary, secondary, and postsecondary education. The regulations will be issued in the near future.

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20. Title IX of the Education Amendments of 1972 is intended to be a broad statute which covers all educational institutions, including public and private institutions, and all levels of education, including primary, secondary, and postsecondary education. The regulations will be issued in the near future.

Title VII & Title VIII of the Public Health Service Act as amended by the Comprehensive Health Manpower Act of 1971

21. In final regulations and guidelines in Title VII and VIII of the Public Health Service Act, HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

22. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

23. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

24. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

25. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

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29. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.

30. HEW will have and publish the information which is required to be included in the law as well as the law. The regulations will be issued in the near future.



APPENDIX 13

CLARIFICATION OF THE GRIEVANCE ADJUSTMENT PROCEDURE¹

DEFINITIONS AND REGULATIONS — GENERAL

1. The College Arbitration Board shall be composed of the following voting members with length of term as indicated:
 - A. Administrative Appointees, two
 - (1) Assistant to the president for finance and business manager or other designee — permanent, or at the discretion of the president. This appointee shall also serve as the permanent chairman of the Board.
 - (2) One faculty representative: three years. At the discretion of the president, shall be subject to reappointment.
 - B. Representatives of classified, technical, and professional groups, three in number—three years, except for two of the original members. At a called meeting, the three employee members shall draw lots to determine which one shall serve a three year term, which a two year term, and which a one year term.
 - C. Representatives of executive and managerial employee groups: two in number — three years, except for one of the original two members. At a called meeting, the two members shall draw lots to determine which one shall serve a three year term, and which a two year term.
 - D. Consultants: two (non-voting)
 - (1) The Director of Personnel Services—permanent
 - (2) An appointee of the Assistant to the President for Finance and Business Manager — at his discretion
2. "Managerial" and "non-Managerial" defined:
 - A. A managerial employee is one who has the responsibility and authority to hire and dismiss or whose recommendations as regards hiring and dismissing are given consideration by the administrative authority.
 - B. All employees not meeting the requirements for the definition for supervisory status shall be considered as nonsupervisory staff.
 - C. Determination of the category (managerial or nonmanagerial) of classified employees shall be made by the Budget Officer and Budget Review Officer.
3. Eligibility to vote or hold office defined:

All employees shall be considered eligible to vote and to hold office on the board except those who are on official leave or under suspension, or who hold temporary, seasonal, or intermittent appointments, or who have served in a permanent position less than six months as of the day of any called election.
4. Annual elections:

Annual elections shall be held each year between November 1 and November 15, and newly elected members shall take office on December 1.
5. All elections shall be conducted at the discretion of the chairman and under the supervision of the Director of Personnel Services.

THE HEARING

1. Setting the Date:

Within seven calendar days after receiving a request for a hearing, the board chairman must set a time and place for the hearing, and must notify all members of the board, the Budget Officer, Budget Review Officer, the Director of Personnel Services, the employee and/or his representative. The hearing must be held on the established date, unless conditions beyond the control of any of the principals should prevent the holding of such hearing.
2. Hearing without the Chairman of the Board in charge, or with less than the full committee:

If the chairman, because of health or some emergency, is not able to hold the meeting on the date set, he may appoint some other member of the board or some other college employee to serve in his stead. A hearing may be held with as few as a chairman and four other members

present, but the chairman or the principals on either side of the grievance may request postponement until it is possible for all members to be present. If a hearing is held before less than the full board, and this having been agreed to by both the principals, no appeal for a new hearing before the full board shall be allowed to either principal. However, the board reserves the right to reopen the hearing at its discretion.

3. Authority of the Chairman:

A. The chairman is accountable for conducting a fair and impartial hearing, and shall have full authority for the physical arrangements, for the assembling of records and data, and for the assembling of records and data, and for the calling of witnesses, etc.

B. The chairman, when conditions or pending policy changes deem it necessary or advisable, shall have the power to call the committee together for reasons other than for a hearing.

CHANGING THE REGULATIONS OUTLINED IN THE DEFINITIVE SUPPLEMENT

Any proposed change or changes in the regulations outlined in this supplement or any proposed additions to this supplement must be approved by at least five members of the College Arbitration Board.

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1. Adopted from the *Grievance Adjustment Procedure of Wichita State University*, Approved October, 1969.

APPENDIX 14

RIGHTS AND RESPONSIBILITIES OF THE ADMINISTRATION

Three general sources enumerating the rights and responsibilities of the administration are cited. The first are management functions recommended by the Federal Advisory Commission on Intergovernmental Relations.¹

1. Direct the work of its employees.
2. Hire, promote, assign, transfer and retain employees in positions within the public agency.
3. Demote, suspend, or discharge employees for proper cause.
4. Maintain the efficiency of governmental operations.
5. Relieve employees from duties because of lack of work or other legitimate reasons.
6. Take action that may be necessary to carry out the missions of the agencies in emergencies, and
7. Determine the methods, means and personnel by which operations are to be carried on.

The second source is taken from the AAHE Task Force Report on Faculty Representation and Economic Negotiations, as quoted by Hickman.² In this passage five roles or functions of the administration are stated:

The administration is not simply a clerical force; it is part of the heart of the institution. As the report notes, the administration has certain roles it must perform. Many of these are also shared in some measure with faculty and students, but much of the proximate responsibility lies with the administration.

A first and fundamental role is that of overall leadership, combining the interests and efforts of a diverse constituency and achieving a commitment by all the various groups to the general objectives of the institution without stifling individual fulfillment.

A second role is that of coordination. Because top-level administrators are responsible for the operation of the entire institution, they presumably can help to keep the pieces fitted together.

A third role is that of planning and innovation. This is not an exclusive role. It is also not a role exercised through fiat, but rather through helping to provide leadership and by suggesting new programs or changes in working with faculty and students.

A fourth function is to help assure that particular departments or divisions meet the general quality standards of the institution. One of the difficulties in peer-group evaluation and in departmental autonomy is that while good departments can get better this way, weak departments can stay weak. The administration should help identify such departments and mobilize faculty involvement in a program to bring them to quality standards.

A fifth function is to serve as a mediator or buffer among the board of trustees, general public, and the faculty.³

A third source is the "Statement on Government of Colleges and Universities," prepared by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of the Universities and Colleges. This statement is reprinted in the following pages, with the kind permission of the **AAUP Bulletin**.

1 Model Statute drafted by Advisory Commission on Intergovernmental Relations (May, 1970), as quoted in Terrence N. Tice, *Faculty Power* (Ann Arbor: Institute of Continuing Legal Education, 1972), pp. 29-30.

2 *Faculty Participation in Academic Governance*. Report of the AAHE Task Force on Faculty Representation and Economic Negotiations (Washington, D.C.: American Association for Higher Education, 1967), quoted in C. Addison Hickman, "Faculty Role in Governance," in Asa S. Knowles, *Handbook of College and University Administration, Academic* (New York: McGraw-Hill, 1970), Chapter 7, pp. 6-85-6-103.

3 *Ibid.*, pp. 6-87.

American Association of University Professors

American Council on Education

Association of Governing Boards of Universities and Colleges

**Statement on
Government of Colleges and Universities**

Editorial Note. The Statement which follows is directed to governing board members, administrators, faculty members, students, and other persons in the belief that the colleges and universities of the United States have reached a stage calling for appropriately shared responsibility and cooperative action among the components of the academic institution. The Statement is intended to foster constructive joint thought and action, both within the institutional structure and in protection of its integrity against improper intrusions.

It is not intended that the Statement serve as a blueprint for government on a specific campus or as a manual for the regulation of controversy among the components of an academic institution, although it is to be hoped that the principles asserted will lead to the correction of existing weaknesses and assist in the establishment of sound structure and procedures. The Statement does not attempt to cover relations with those outside agencies which increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning; e.g., the United States Government, the state legislatures, state commissions, interstate associations or compacts and other interinstitutional arrangements. However it is hoped that the Statement will be helpful to these agencies in their consideration of educational matters.

Students are referred to in this Statement as an institutional component coordinate in importance with trustees, administrators, and faculty. There is, however, no main section on students. The omission has two causes: (1) the changes now occurring in the status of American students have plainly outdistanced the analysis by the educational community, and an attempt to define the situation without thorough study might prove unfair to student interests, and (2) students do not in fact presently have a significant voice in the government of colleges and universities; it would be unseemly to obscure, by superficial equality of length of statement, what may be a serious lag entitled to separate and full confrontation. The concern for student status felt by the organizations issuing this Statement is embodied in a note "On Student Status" intended to stimulate the educational community to turn its attention to an important need.

This Statement, in preparation since 1964, is jointly formulated by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges. On October 12, 1966, the Board of Directors of the ACE took action by which the Council "recognizes the Statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the institutions which are members of Council." On October 29, 1966, the Council of the AAUP approved the Statement, recommended approval by the Fifty-third Annual Meeting in April, 1967, and recognized that "continuing joint effort is desirable, in view of the areas left often in the jointly formulated Statement, and the dynamic changes occurring in higher education." On November 18, 1966, the Executive Committee of the AGB took action by which that organization also "recognizes the Statement as a significant step forward in the clarification of the respective roles of governing boards, faculties and administrations," and "commends it to the governing boards which are members of the Association."

APPENDIX 14

I. Introduction

This Statement is a call to mutual understanding regarding the government of colleges and universities. Understanding, based on community of interest, and producing joint effort, is essential for at least three reasons. First, the academic institution, public or private, often has become less autonomous; buildings, research, and student tuition are supported by funds over which the college or university exercises a diminishing control. Legislative and executive governmental authority, at all levels, plays a part in the making of important decisions in academic policy. If these voices and forces are to be successfully heard and integrated, the academic institution must be in a position to meet them with its own generally unified view. Second, regard for the welfare of the institution remains important despite the mobility and interchange of scholars. Third, a college or university in which all the components are aware of the interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

II. The Academic Institution: Joint Effort

A. Preliminary Considerations

The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.

Joint effort in an academic institution will take a variety of forms appropriate to the kinds of situations encountered. In some instances, an initial exploration or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process. Although the variety of such approaches may be wide, at least two general conclusions regarding joint effort seem clearly warranted: (1) important areas of action involve at one time or another the initiating capacity and decision-making participation of all the institutional components, and (2) differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand, as developed hereafter.

B. Determination of General Educational Policy

The general educational policy, i.e., the objectives of an institution and the nature, range, and pace of its efforts, is shaped by the institutional charter or by law, by tradition and historical development, by the present needs of the community of the institution, and by the professional aspirations and standards of those directly involved in its work. Every board will wish to go beyond its formal trustee obligation to conserve the accomplishment of the past and to engage seriously with the future; every faculty will seek to conduct an operation worthy of scholarly standards of learning; every administrative officer will strive to meet his charge and to attain the goals of the institution. The interests of all are coordinate and related, and unilateral effort can lead to confusion or conflict. Essential to a solution is a reasonably explicit statement on general educational policy. Operating responsibility and authority, and procedures for continuing review, should be clearly defined in official regulations.

When an educational goal has been established, it becomes the responsibility primarily of the faculty to determine appropriate curriculum and procedures of student instruction.

Special considerations may require particular accommodations: (1) a publicly supported institution may be regulated by statutory provisions, and (2) a church-controlled institution may be limited by its charter or bylaws. When such external requirements influence course content and manner of instruction or research, they impair the educational effectiveness of the institution.

Such matters as major changes in the size or composition of the student body and the relative emphasis to be given to the various elements of the educational and research program should involve participation of governing board, administration, and faculty prior to final decision.

C. Internal Operations of the Institution

The framing and execution of long-range plans, one of the most important aspects of institutional responsibility, should be a central and continuing concern in the academic community.

Effective planning demands that the broadest possible exchange of information and opinion should be the rule for communication among the components of a college or university. The channels of communication should be established and maintained by joint endeavor. Distinction should be observed between the institutional system of communication and the system of responsibility for the making of decisions.

A second area calling for joint effort in internal operations is that of decisions regarding existing or prospective physical resources. The board, president, and faculty should all seek agreement on basic decisions regarding buildings and other facilities to be used in the educational work of the institution.

A third area is budgeting. The allocation of resources among competing demands is central in the formal responsibility of the governing board, in the administrative authority of the president, and in the educational function of the faculty. Each component should therefore have a voice in the determination of short- and long-range priorities, and each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short- and long-range budgetary projections. The function of each component in budgetary matters should be understood by all; the allocation of authority will determine the flow of information and the scope of participation in decisions.

Joint effort of a most critical kind must be taken when an institution chooses a new president. The selection of a chief administrative officer should follow upon cooperative search by the governing board and the faculty, taking into consideration the opinions of others who are appropriately interested. The president should be equally qualified to serve both as the executive officer of the governing board and as the chief academic officer of the institution and the faculty. His dual role requires that he be able to interpret to board and faculty the educational views and concepts of institutional government of the other. He should have the confidence of the board and the faculty.

The selection of academic deans and other chief academic officers should be the responsibility of the president with the advice of and in consultation with the appropriate faculty.

Determinations of faculty status, normally based on the recommendations of the faculty groups involved, are discussed in Part V of this Statement; but it should here be noted that the building of a strong faculty requires careful joint effort in such actions as staff selection and promotion and the granting of tenure. Joint action should also govern dismissals; the applicable principles and procedures in these matters are well established.²

D. External Relations of the Institution

Anyone — a member of the governing board, the president or other member of the administration, a member of the faculty, or a member of the student body or the alumni — affects the institution when he speaks of it in public. An individual who speaks unofficially should so indicate. An official spokesman for the institution, the board, the administration, the faculty, or the student body should be guided by established policy.

It should be noted that only the board speaks legally for the whole institution, although it may delegate responsibility to an agent.

The right of a board member, an administrative officer, a faculty member, or a student to speak on general educational questions or about the administration and operations of his own institution is a part of his right as a citizen and should not be abridged by the institution.³ There exist, of course, a legal bounds relating to defamation of character and there are questions of propriety.

III. The Academic Institution: The Governing Board

The governing board has a special obligation to assure that the history of the college or university shall serve as a prelude and inspiration to the future. The board helps relate the institution to its chief community: e.g., the community college to serve the educational needs of a defined population area or group, the church-controlled college to be cognizant of the announced position of its denomination, and the comprehensive university to discharge the many

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duties and to accept the appropriate new challenges which are its concern at the several levels of higher education.

The governing board of an institution of higher education in the United States operates, with few exceptions, as the final institutional authority. Private institutions are established by charters; public institutions are established by constitutional or statutory provisions. In private institutions the board is frequently self-perpetuating; in public colleges and universities the present membership of a board may be asked to suggest candidates for appointment. As a whole and individually when the governing board confronts the problem of succession, serious attention should be given to obtaining properly qualified persons. Where public law calls for election of governing board members, means should be found to insure the nomination of fully suited persons, and the electorate should be informed of the relevant criteria for board membership.

Since the membership of the board may embrace both individual and collective competence of recognized weight, its advice or help may be sought through established channels by other components of the academic community. The governing board of an institution of higher education, while maintaining a general overview, entrusts the conduct of administration to the administrative officers, the president and the deans, and the conduct of teaching and research to the faculty. The board should undertake appropriate self-limitation.

One of the governing board's important tasks is to insure the publication of codified statements that define the over-all policies and procedures of the institution under its jurisdiction.

The board plays a central role in relating the likely needs of the future to predictable resources; it has the responsibility for husbanding the endowment; it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy. In order to fulfill these duties, the board should be aided by, and may insist upon, the development of long-range planning by the administration and faculty.

When ignorance or ill-will threatens the institution or any part of it, the governing board must be available for support. In grave crises it will be expected to serve as a champion. Although the action to be taken by it will usually be on behalf of the president, the faculty, or the student body, the board should make clear that the protection it offers to an individual or a group is, in fact, a fundamental defense of the vested interests of society in the educational institution.⁴

IV. The Academic Institution: The President

The president, as the chief executive officer of an institution of higher education, is measured largely by his capacity for institutional leadership. He shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system which links the components of the academic community. He represents his institution to its many publics. His leadership role is supported by delegated authority from the board and faculty.

As the chief planning officer of an institution, the president has a special obligation to innovate and initiate. The degree to which a president can envision new horizons for his institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of his administration.

The president must at times, with or without support, infuse new life into a department; relatedly, he may at times be required, working within the concept of tenure, to solve problems of obsolescence. The president will necessarily utilize the judgments of the faculty, but in the interest of academic standards he may also seek outside evaluations by scholars of acknowledged competence.

It is the duty of the president to see to it that the standards and procedures in operational use within the college or university conform to the policy established by the governing board and to the standards of sound academic practice. It is also incumbent on the president to insure that faculty views, including dissenting views, are presented to the board in those areas and on those issues where responsibilities are shared. Similarly the faculty should be informed of the views of the board and the administration on like issues.

The president is largely responsible for the maintenance of existing institutional resources and the creation of new resources; he has ultimate managerial responsibility for a large area of nonacademic activities, he is responsible for public understanding, and by the nature of his

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office is the chief spokesman of his institution. In these and other areas his work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

V. The Academic Institution: The Faculty

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or board. Budgets, manpower limitations, the time element, and the policies of other groups, bodies and agencies having jurisdiction over the institution may set limits to realization of faculty advice.

The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the president and board to grant the degrees thus achieved.

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Likewise there is the more general competence of experienced faculty personnel committees having a broader charge. Determinations in these matters should first be by faculty action through established procedures, reviewed by the chief academic officers with the concurrence of the board. The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail.

The faculty should actively participate in the determination of policies and procedures governing salary increases.

The chairman or head of a department, who serves as the chief representative of his department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members' judgment. The chairman or department head should not have tenure in his office; his tenure as a faculty member is a matter of separate right. He should serve for a stated term but without prejudice to re-election or to reappointment by procedures which involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chairman has a special obligation to build a department strong in scholarship and teaching capacity.

Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present. An agency should exist for the presentation of the views of the whole faculty. The structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution. Faculty representatives should be selected by the faculty according to procedures determined by the faculty.

The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or may take the form of faculty-elected executive committees in departments and schools and a faculty-elected senate or council for larger divisions or the institution as a whole.

Among the means of communication among the faculty, administration, and governing board now in use are: (1) circulation of memoranda and reports by board committees, the administration, and faculty committees, (2) joint *ad hoc* committees, (3) standing liaison committees, (4) membership of faculty members on administrative bodies, and (5) membership of faculty members on governing boards. Whatever the channels of communication, they should be clearly understood and observed.

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On Student Status

When students in American colleges and universities desire to participate responsibly in the government of the institution they attend, their wish should be recognized as a claim to opportunity both for educational experience and for involvement in the affairs of their college or university. Ways should be found to permit significant student participation within the limits of attainable effectiveness. The obstacles to such participation are large and should not be minimized: inexperienced, untested capacity, a transitory status which means that present action does not carry with it subsequent responsibility, and the inescapable fact that the other components of the institution are in a position of judgment over the students. It is important to recognize that student needs are strongly related to educational experience, both formal and informal. Students expect, and have a right to expect, that the educational process will be structured, that they will be stimulated by it to become independent adults, and that they will have effectively transmitted to them the cultural heritage of the larger society. If institutional support is to have its fullest possible meaning it should incorporate the strength, freshness of view, and idealism of the student body.

The respect of students for their college or university can be enhanced if they are given at least these opportunities: (1) to be listened to in the classroom without fear of institutional reprisal for the substance of their views, (2) freedom to discuss questions of institution policy and operation (3) the right to academic due process when charged with serious violations of institutional regulations, and (4) the same right to hear speakers of their own choice as is enjoyed by other components of the institution.

Reproduced with permission from *Policy Document and Reports* (Washington D. C.: American Association of University Professors, 1973), pp. 35-39.

1. The Annual Meeting approved the Statement.
2. See the 1940 *Statement of Principles on Academic Freedom and Tenure* and the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*. These statements have been jointly approved or adopted by the Association of American Colleges and the American Association of American Colleges and the American Association of University Professors; the 1949 Statement has been endorsed by numerous learned and scientific societies and educational associations.
3. With respect to faculty members, the 1940 *Statement of Principles on Academic Freedom and Tenure* reads: "The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen, he should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a man of learning and an educational officer, he should remember that the public may judge his profession and his institution by his utterances. Hence he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that he is not an institutional spokesman."
4. The American Association of University Professors, recognizing the growth of autonomous state-wide bodies superordinate to existing Boards of Trustees, regards the objectives and practices recommended in the 1966 *Statement* as constituting equally appropriate guidelines for such bodies. As newer, and more influential components of the academic community, they bear particular responsibility for protecting the autonomy of individual institutions under their jurisdiction and for implementing policies of shared responsibility as outlined in Section II when they displace functions of institutional governing boards (Adopted by the AAUP Council in May, 1972.)

APPENDIX 15

SPECIFIC RIGHTS AND RESPONSIBILITIES OF FACULTY

Where appropriate, this manual has delineated the central position and role of faculty within the university. Because of this role, faculty have been granted specific rights and are expected to assume appropriate responsibilities and obligations.

These rights and responsibilities are stated in the following two documents. The first is the September, 1972 "Statement on Professional Responsibilities" prepared by the Ohio Faculty Senate. The second document is a statement on "Faculty Rights and Responsibilities," recently approved by the Faculty Senate and Board of Trustees of the University of Cincinnati.

STATEMENT ON PROFESSIONAL RESPONSIBILITIES PREPARED BY THE OHIO FACULTY SENATE

- I. To his students
 - A. In course
 1. Grading
 - a. In-course grading criteria should be clearly formulated by the instructor, and these criteria should be explained to each class at the beginning of the course.
 - b. All work performed by students in the course (including oral participation where appropriate) should be seriously considered and evaluated; written work should be returned promptly.
 - c. The instructor should provide opportunities for review of grades in order that students may understand the reasons for particular grades and obtain guidance toward improvement.
 2. Office hours
 - a. Hours should be reasonable in quantity, time of day, and campus location.
 - b. Hours should be posted near the instructor's office, and listed with the appropriate secretary.
 - c. Provision should be made for special appointments wherever hardship or difficulty arises.
 - d. Scheduled office hours should be observed conscientiously.
 3. Classes
 - a. The instructor should prepare conscientiously for each class session (including arrangements for teaching aids, guests, etc., whenever applicable).
 - b. The instructor should meet classes promptly and should, out of consideration for both students and colleagues, dismiss not later than the scheduled time.
 - c. Whenever any change is anticipated in scheduled time or place of meeting, the instructor should provide adequate notice to the class. Where appropriate (e.g., small classes, evening classes which frequently involve considerable travel for some students), some procedure should be established for emergency notice to students.
 - d. The instructor should provide for and conscientiously consider valid means for course evaluation by students.
 - e. The instructor should strive continuously and conscientiously to improve the effectiveness of his teaching, and to this end should seek counsel and constructive criticism from colleagues.
 4. Tests and examinations
 - a. The instructor should make clear in advance the areas (lecture, text chapters, other) to be covered on any test or examination.
 - b. He should, by explicit word and implicit classroom conduct, make clear to his students what emphasis he places upon facts or data and what upon synthesis or thought.
 - c. It is the instructor's responsibility to promote adequate standards of linguistic expression (e.g., spelling, general grammatical and syntactical clarity, organization, and form).

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- d. The instructor must, both in fairness to those students who conscientiously prepare and to prevent those who do not from taking advantage of others, assure during tests an atmosphere conducive to the highest standards of honesty.
 5. Counseling and advising
 - a. While the university provides both general and specific counseling services as a discreet function, the instructor will often have more intimate knowledge of his own college, department, and field; such knowledge provides him with unique insights, and he has, therefore, a right and an obligation to counsel and advise students within his area of competence.
 - b. In general, the instructor is obligated to respect each student as a human being, to recognize that he has the feelings and inadequacies common to the human condition, and to recognize that he has both human and civil rights.
- II. To the University and his colleagues
- A. Records
 1. The instructor is responsible for maintaining adequate records of student performance in course.
 2. He is responsible for keeping adequate records of course content and assignments.
 - B. The professional should endeavor to maintain and develop awareness and understanding of areas impinging upon his own field.
 - C. He should willingly serve on a reasonable number of committees concerned with curricular development and general University governance at departmental, collegiate, and university levels.
 - D. He should contribute to the continuance and improvement of educational quality within the University through strong and active participation in selection of new faculty, and in decisions on promotion, tenure, and other recognitions of merit.
 - E. The professional is obligated to promote by precept and example a general atmosphere within the University of respect for knowledge, thought, and inquiry, even when — indeed especially when — such may be at variance with his own ideas.
 1. He respects his colleagues and his students, without reservation or favor because of race, national origin, religion, sex, degree or rank, discipline, or political sentiments.
 2. He contributes positively to reasonable orderliness within the University community.
- III. To his discipline
- A. He continues his growth within his field and related areas.
 - B. He shares matured concepts with others through his teaching, and through creative endeavors, research and attendance at and participation in professional associations and meetings.
- IV. To self
- A. The professional seeks continuously to improve his own value as a teacher and as a citizen.
 - B. He seeks diligently to improve the teaching-working environment within the University structure.
 1. by promoting a general atmosphere of intellectual and social growth, and
 2. by seeking just and equitable compensation — including the concept of released time for professional growth.
 - C. He actively contributes to the education and development of persons and groups outside the University proper, in order to promote improved reciprocal understanding and acceptance of the roles of education, the University itself, his own discipline, and his profession in American and world society.

UNIVERSITY OF CINCINNATI

FACULTY RIGHTS AND RESPONSIBILITIES

A PROFESSIONAL CODE

A college or university faculty member's principal functions are the teaching, discovery, creation and reporting of knowledge. In order to successfully carry out these functions, special protections or rights are acknowledged to be essential. These rights are known collectively as academic freedom, and in special form, as academic tenure. Since these rights are accorded faculty solely to foster and protect the academic function, they carry with them corresponding obligations or responsibilities of the individual to perform the protected functions. A body of such rights and the associated responsibilities taken together constitute a professional code for faculty conduct. Stated as a set of guidelines or goals, rather than as legal rules, the main ingredients of this code are as follows.

Code of Professional Conduct

1. A faculty member has the right to teach a subject in his field of scholarship as he sees it, and to relate the material to relevant contemporary issues. His corresponding obligation is to maintain currency in his field and to deal competently with the announced subject matter of his course.
2. To protect the free flow of information and to provide the conditions for continuity of teaching and research a faculty member has the continuing right to academic freedom and, after a probationary period to prove his competence, to tenure. These rights are designed to protect the academic function, and are not intended to shield laziness or incompetence; they carry the concomitant responsibility to perform conscientiously and competently.
3. The right of faculty to participate in university governance is accompanied by the obligation to do so in reasonably allocated measure.
4. The right to assign work to students that may contribute to their own, or to general knowledge, is accompanied by the obligation not to exploit them or to infringe their academic freedom, and to give full credit for work done by them.
5. The right to due process in possible actions against himself entails the faculty member's obligation to utilize nondisruptive means to seek changes in policy or performance of colleagues, students, or administration. The right to freedom from harassment and intimidation in his own work entails the obligation to refrain from using such methods against others. With respect to university rules, as with ordinary laws, the use of civil disobedience to achieve or publicize one's goals involves a preparedness to accept the normal penalties for violation.
6. The right to protest acts of government, society, or university, and to hold intense views about these actions, is accompanied by the responsibility to continue to perform one's normal functions and to avoid actions that disrupt the functioning of others. If fear or outrage should temporarily interfere with a faculty member's performance of his duties, he should attempt promptly to recoup such loss. The purposeful absence of some students as an act of social protest does not reduce faculty responsibility to the remaining students. (This paragraph implies no position regarding collective bargaining or strikes, which are covered by special law.)
7. The right to open flows of information and opinion in faculty relations with students carries the obligation to avoid comments or violations of confidentiality that would chill free expression or inquiry by students.
8. A Faculty member has the right to publish his research findings and the right of protection against retaliation because of displeasure over his conclusions by the public, administration, government, or others. He has the concomitant responsibility to refrain from conducting secret, nonpublishable research as part of his university duties, and to refrain from imposing his own values on his decisions about publishing valid research findings.

APPENDIX 15

9. As part of academic freedom the faculty member has the right to have his off-campus activities considered essentially his own business. He has the corresponding obligation to avoid off-campus actions that would directly call into question his professional competence, integrity, or respect for the rights of others, and to accept the possible relevance of such behaviors to the assessment of his fitness for faculty membership. Judgments in these matters are to be based solely on personnel behavior, not on mere membership or physical presence in some organization or movement. Violation of the law does not ~~per se~~ demonstrate unfitness, and its implications must be judged on their own merits. If outside activity significantly inhibits his intellectual honesty on campus the faculty member has the obligation to give up one activity or the other.
10. The faculty member's right to speak his mind publicly involves the obligation not to represent himself as speaking for any other segment of the university community unless he is so authorized.
11. Although a general commitment to intellectual integrity does not infringe the right to even highly partisan espousal of particular causes, when one is identified as a member of the university faculty he should be responsive to a general expectation of intellectual honesty.
12. A general right to select one's methods and topics of research does not itself include the unrestricted right to conduct experiments involving human subjects, even if the subjects are themselves the primary learners from the experiment. Whenever such research involves significant risk of adverse physical or psychological consequences it must be conducted in scrupulous conformance with university policy regarding such research.
13. A faculty member has the right to engage in some collateral employment, if he accepts the obligation to see that it does not interfere with his obligations to the university or create a conflict of interest. When the amount of time or compensation is large enough to suggest interference with duties or possible bias in the faculty member's judgment, he should carefully follow university procedures on the matter. The faculty member should avoid making significant use of university equipment or materials for personal gain except on terms agreed to by the university, particularly when such use involves explicit cost to the university.
14. Nothing in this code is intended to supersede more explicit codes in particular professions or disciplines.

APPENDIX 16

RESPONSIBILITIES OF ADMINISTRATIVE, PROFESSIONAL AND TECHNICAL PERSONNEL

In searching for appropriate statements on the rights and responsibilities of non-instructional personnel, the Task Force quickly realized a great void of material. The Task Force chose not to develop a "model" statement, believing that such declarations should emanate from the respective employees themselves.

The following statement, taken from Wright State University's *Handbook for the Unclassified Staff*, defines the responsibilities of unclassified personnel.¹

The university establishes the following minimal standards of performance and conduct of all unclassified employees in fulfilling their professional obligations. These standards are not inclusive but are intended as general guidelines. Similar guidelines exist for classified employees and it is expected that they will be developed for faculty. Failure to meet these standards may subject the employee to disciplinary action and/or termination of employment.

The employee is expected to:

1. Describe honestly his professional qualifications with full disclosure of all pertinent facts. Upon acceptance of a position, establish and maintain a practice of openness and honesty. Refrain from any deliberate misrepresentation or dishonesty in official matters and from fraud, falsification, or exaggeration. Refrain from deliberate concealment of a material fact in connection with an official document such as time and attendance, travel, or other claims. Refrain from withholding material facts in connection with matters under official investigation.
2. Function as a responsible and loyal member of the administrative unit to which he is assigned and represent it to others in a fair and accurate manner.
3. Accept responsibility assigned to him and cooperate by timely completion of the assigned work or duties.
4. Refrain from disorderly conduct, such as the use of disrespectful, abusive, or offensive language, or the use of threatening or intimidating acts or language, or coercion against fellow employees, supervisors, students, or administrators.
5. Recognize the authority of supervisors to interpret the university's official policies. Maintain professional standards when disagreeing with university policies or procedures. Base criticisms on careful evaluation of all the facts. Refrain from making false, malicious, or unauthorized statements or disclosures concerning other employees, students, administrators, or the university. In case of a disagreement, participate and conduct himself in a responsible manner in suggesting changes in or development of future policies affecting the university.
6. Conduct professional business through authorized channels.
7. Recognize that actions which constitute breaches of law or flagrant violations of the generally accepted social codes of the community may be construed as professional misconduct.
8. If a full-time employee, engage in no unauthorized outside employment. Permit no commercial exploitation of his professional position, and accept no gratuities that might influence his judgment in the exercise of his professional duties.
9. Respect and observe the conditions under which confidential information is obtained and used.
10. Use university facilities and property only for their intended purposes, consistent with applicable policy, law, and regulation.
11. Be aware of all relevant university rules and regulations which pertain to his activities.

¹ *Handbook for the Unclassified Staff* (Dayton, Ohio: Wright State University, July, 1971), pp. 11-13. Unclassified personnel includes "all presidents, business managers, administrative officers, deans, assistant deans, instructors, teachers and such employees as are engaged in educational or research duties" (Ohio Revised Code 143.08-A7, as quoted in the *Handbook*, p. 5)

APPENDIX 17

A BRIEF DISCUSSION OF THE OCCUPATIONAL AND SAFETY HEALTH ACT

1. Purpose

The basic purpose of the Occupational and Safety Health Act is to require employers to provide a safe and healthful place to work. Through the Act, the federal government hopes to insure that work areas and working conditions are free from recognized hazards.

In the past, each employer has been generally free to make his own interpretations of what constitutes a safe and healthful place to work. This interpretation will now be made, through established standards, by the Occupational Safety and Health Administration.

2. What is Covered?

State and local governments are not directly covered by the law (although they may be covered through provisions of other federal or state laws). Thus, a public college generally, is free to continue to administer its safety programs under its previous procedures. Private colleges and universities fall under the Act.

3. What is Required?

Employers must provide employees with working conditions free from "recognized hazards that are causing or are likely to cause death or serious physical harm." Clear limits have yet to be established by which this terminology may be interpreted.

Although required procedures will become clearer in the future, in a general sense, the required standards are already known. They will spell out criteria surrounding the use of personal protective equipment, guarding of floor and wall openings, control of exposure to air contaminants, maintenance of clean, orderly, and sanitary work areas, and other similar topics. Where applicable, they will require signs to be posted warning of dangers. In jobs which call for hazards, such as possible exposure to radiation, employees' exposure may have to be monitored and measured, and free medical examinations may have to be provided.

4. Requirements on Records

The safety recording-keeping system should also be reviewed thoroughly. In the past, most colleges and universities have kept records devised for their own purposes. Some have kept no records, others have kept them casually. However, under the new Act, very specific criteria must be met in maintaining a records system. Records are required by the government in the following three categories:

- a. **A log of occupational injuries and illnesses.** Each "recordable" occupational injury and illness must be entered in a log within 48 hours after the employer's being aware of it. "Recordable" occupational illnesses or injuries are those which result in (1) fatalities, (2) lost work-days; or (3) nonfatal, nonlost workday cases which result in either transfer to another job, termination of employment, medical attention, restricted work or motion, or loss of consciousness.
- b. **Supplementary records.** A detailed record of each injury and illness must be kept. In many cases, such records may already be maintained through state Workmen's Compensation forms or other insurance forms.
- c. **An annual summary.** Within one month after the end of the year, an annual summary based on the information in the log must be compiled; and copies of this summary must be posted throughout the campus.

5. Enforcement

At any reasonable time, an inspector will have the right to come to the campus for purposes of inspection. He may require that an employee or union representative be allowed to accompany him for the purpose of pointing out any working conditions which are deemed to be dangerous or unhealthy. Further, an inspector has the right to talk privately with any employee. These procedures are not meant to harass an employer but are meant to open all avenues for obtaining information necessary to assure a safe and healthful place to work.

Penalties can be up to \$1,000 for each violation, and up to \$1,000 a day (or higher) unless violations are corrected within a certain period of time.

APPENDIX 18

OCCUPATIONAL SAFETY & HEALTH ACT PUBLICATIONS LIST

1. Superintendent of Documents
U. S. Government Printing Office
Washington, D. C. 20402
 - Federal Register — Published Daily — \$25.00 per year — \$2.50 per month — 20c per issue.
 - Safety Standards — Published bi-monthly — \$1.00 per year — 20c per-copy.

2. OSHA
Room 1140, 1726 M Street
Washington, D. C.
 - The Act — 20c
 - Initial Standards Package — 20c
 - Construction Safety Standards — 20c
 - Record Keeping Packet — Free — single copies only
 - OSHA Directors — Free — single copies only
 - Handy Reference Guide — 20c
 - Compliance Operations Manual — \$3.00

3. NIOSH
Office of Information
Parklawn Boulevard
5600 Fisher Lane
Rockville, Md. 20852
 - "Occupational Disease — Silent Enemy" — Free

4. National Safety Council
424 North Michigan Avenue
Chicago, Illinois 60611
 - National Safety News — Published monthly — \$8.80 per year — \$1.35 per copy
 - OSHA Up to Date — monthly — \$2.00 per year
 - Newsletters, etc.

5. Occupational Hazards
614 Superior Avenue, West
Cleveland, Ohio 44113
 - Occupational Hazards Magazine — Published monthly — \$12.00 per year \$1.25 per copy

6. Bureau of National Affairs
1231-25th Street, N.W.
Washington, D. C. 20037
 - Complete Service — \$176.00 per year

7. Commerce Clearing House, Inc.
4020 West Glenlake Avenue
Chicago, Illinois 60646
 - Complete Service — \$175-\$225

**8. Bureau of Business Practices
Waterford, Conn. 06385**

— Tapes:

- 1. New Safety Laws (30 minutes) — \$10.00**
- 2. Your Role in Safety (30 minutes) — \$6.00**

- What Every Supervisor Must Know About OSHA — \$1.75**
- What Every Manager Must Know About OSHA — \$2.00**

APPENDIX 19

WORKMEN'S COMPENSATION IN OHIO

Ohio was among the first of the states to pass Workmen's Compensation legislation as a voluntary measure in 1911. Two years later compulsory legislation was enacted in the form of a Workmen's Compensation Act which today appears in the Ohio Revised Code beginning with Section 4121.01. The original Act has been modified over the years with numerous liberalizing amendments. Under its provisions, amenable employers are required to pay into a state fund, or, in the case of self-insurers, directly to claimants, compensation for injuries, certain diseases, and deaths which result from exposure to industrial hazards.

1. Who is Covered?

All employers of three or more persons employed in the regular course of the employer's business must participate in the state insurance fund or qualify as a self-insurer.

2. Type of Claims

- a. **Injury Claims.** Benefits are paid to employees who sustain injuries in the course of and arising out of the employee's employment, provided the injury was not purposely self-inflicted. Basically, an "injury" is physical harm produced unexpectedly by accidental means or which is accidental in character and result. "In the course of employment" means that the injury must occur while the employee is performing some duty for his employer as opposed to a personal duty. "Arising out of employment" means that the injury must bear a direct relationship to the employment.
- b. **Occupational Disease Claims.** Benefits are paid to employees who contract a disease which is peculiar to the occupation and to which they are not ordinarily subjected or exposed other than during the actual period of employment.
- c. **Death Claims.** Benefits are paid to dependents of workmen whose deaths are directly caused by an injury or occupational disease compensable under the act.

3 Benefits

- a. **Medical Care:** The Bureau and Commission will pay the usual and customary fees charged by physicians for similar services in the community involved.
- b. **Hospital:** The Bureau and Commission will pay the usual billed charges of the hospital. The hospital is required under the contract to provide semiprivate room service.
- c. **Medicine:** Medicine, dressings and medical supplies prescribed by the physician and furnished by a pharmacist will be paid on direct billing or by reimbursement.
- d. **Appliances:** Payment is made for prostheses (artificial limbs), recommended by the Rehabilitation Center or the Rehabilitation Services Commission, braces, eyeglasses or dentures.

4. Compensation

There are six types of compensation payments. Each type, except temporary partial, is paid at a rate equal to two-thirds of the average weekly wage for the year preceding the accident. The types of compensation are as follows:

- a. **TEMPORARY Total** is paid during that period of time the injured employee is certified by a physician as being unable to work, is not working and does not receive his wages.
- b. **TEMPORARY PARTIAL** is paid to an injured workman who is able to return to work but who suffers an impairment in earning capacity by reason of the injury.
- c. **PERMANENT PARTIAL** percentage compensation may not be granted until forty weeks after the injury or forty weeks after the cessation of the latest period of temporary total compensation and application prior to that time is premature.
- d. **SCHEDULED LOSSES.** Without a waiting period, the following losses are paid for the period of time indicated:

Member Lost	Weeks
Thumb	60
First Index Finger	35
Second Finger	30
Third Finger	20
Fourth or little finger	15
Hand	175
Arm	225
Great toe	30
Any other toe	10
Foot	150
Leg	200
Sight of one eye	125
Permanent and Total	
Loss of hearing in one ear	25
Loss of hearing in both ears	125
Facial Disfigurement	
(Discretion of Industrial Commission. Maximum \$5000.)	

- e. **PERMANENT TOTAL COMPENSATION.** An award of this type of compensation continues as long as the disability remains. The loss of both hands, both arms, both feet, both legs or both eyes, or any two thereof, constitutes permanent and total disability.
- f. **DEATH BENEFITS.** If the death occurs within three years following the injury or if total compensation on account of said injury has been paid during any portion of the year prior to the claimant's death, the following are entitled to benefits:
1. Wholly dependent persons receive benefits from the date of death until the award is paid. A dependent must be a husband, wife, lineal descendant or ancestor, brother or sister, or member of the descendant's family.
 2. Partly dependent persons receive benefits as determined by the Industrial Commission based on the degree of dependency.
5. **Statutes of Limitation**
Claims must be filed within two years of injury or in the case of occupational disease within two years after the disability begins, or in the cause of death within two years.
6. **Cost to the Employer**
Rates are stated in terms of dollars per hundred dollars of payroll. Premium is the amount to be paid into the State Insurance Fund by the employer and is arrived at by applying the rate for any single classification to the payroll in that classification.
All industries are classified according to the hazard presented in that particular work. Each classification is assigned a manual number. There are currently 233 separate classifications. Each business or risk is assigned a risk number and that risk will have one or more manual numbers or classifications assigned according to the variety of its operations.

APPENDIX 20

WORKMEN'S COMPENSATION ACT PUBLICATIONS LIST

1. Bureau of Workmen's Compensation
65 South Front Street
Columbus, Ohio 43125
 - The Workmen's Compensation Law of Ohio (Annotated) — Free
 - Handbook for Employees and Employers —
Workmen's Compensation Act of the State of Ohio — Free

2. Division of Safety and Hygiene
65 South Front Street
Columbus, Ohio 43125
 - Basic Safety Manual for Ohio Industry — Free
 - Bulletin 202, "Specific Safety Requirements
Relating to Building and Construction Work" — Free
 - Bulletin 203, "Specific Requirements and General
Safety Standards of the Industrial Commission
of Ohio for Workshops and Factories." — Free

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APPENDIX 21

A SUGGESTED RECORDS RETENTION SCHEDULE¹

The first cabinet-full of antique records you destroy is the hardest; the rest come easier. We've outlined the *minimum* periods that records must be maintained under principal state and federal laws. Often records may have value to you beyond the minimum period demanded by law: Here each company is on its own. But without a firm timetable for junking old records, the mountain of paper will, of its own momentum, continue to grow.

Prentice-Hall surveyed over 200 companies on their record keeping practices. The results are tabulated below. It's a good starting point in developing your own records retention schedule.

SUGGESTED TIME SCHEDULES FOR DESTRUCTION OF RECORDS¹

2 to 3 years

Acknowledgments
Bank statements
Bond paid interest coupon?
Correspondence, general
Delivery receipts
Payroll checks, voided
Tabulating machine cards
Time cards

3 to 4 years

Claims closed, by company
Customer account records, closed
Deposit slips
Finish goods, inventory records
Insurance policies, expired (all types)
Proxies
Purchase orders
Requisitions
Tariffs

4 to 5 years

Bills of lading
Correspondence with applicants
Employees' applications (after termination)
Employees' tax withholding statements
Express receipts
Freight bills
Freight claims (after expiration)
Freight drafts
Labor contracts (after expiration)
Manifests
Remittance statements
Receiving reports
Sales slips
Salesmen's expense accounts
Service reports
Shipping tickets

5 to 6 years

Correspondence, license
Correspondence, purchase
Correspondence, traffic
Complaint reports
Credit memos
Employees' daily time reports
Equipment inventory records
Insurance, fire inspection reports
Internal audit reports
Monthly trial balances
Payroll, overtime
Photographs of installations, etc.

Price exceptions and adjustments
Safety reports
War contracts and all papers pertaining thereto

6 to 7 years

Bond registers
Bonds, cancelled
Claims, closed, against company
Contracts and agreements (expired)
Correspondence, war bonds
Credit files
Employee records (terminated)
Expense reports
Federal income tax returns
Insurance, group disability
Inventory, recaps
Invoices, copy to order
Invoices, paid
Patent assignments
Payroll bonus
Payroll, general
Payroll, part time
Payroll, temporary
Price and policy bulletins (superseded)
Real estate records (after disposal of land and buildings)
Stock dividends checks, cancelled
Stockholder lists

7 to 8 years

Checks, payroll
Commission statements
Correspondence, production
Cost statements
Employees' earning record
Employees' salary & wage rate change
Insurance, pensions (after expiration)
Purchase orders for capital expenditure
Sales sheets
Specification sheets

8 to 9 years

Accident reports (after settlement)
Agreements, leases (after expiration)
Checks, dividend
Checks, general
Checks, petty cash
Compensation cases (after closing)
Engineering problems (killed)
Vouchers, cash
Vouchers, numeric copy

APPENDIX 21

9 to 10 years Vouchers, A-Z copy Voucher register	Ledgers and journals, general Ledgers and journals, payroll Ledgers and journals, plant Ledgers and journals, royalty Ledgers and journals, stock Minutes, executive Minutes, stockholders Patents Plant surveys Property papers Reports, annual Reports, audit Securities registration documents Stock certificates Stock transfer Taxes, federal Taxes, property Taxes, sales and use Taxes, state Time study reports Unsolicited outside suggestions
10 years Insurance claims (after settlement) Payroll, Series E Bonds (life of bond) Vouchers, capital expenditure	
17 years Agreements, licenses	
Permanent Agreements, deeds Applications filed with regulatory agencies Engineering and research project records Ledgers and journals, cash Ledgers and journals, customer	

NOTES: (1) The Uniform Preservation of Private Business Records Act has been enacted by several states. Under the Act business records may be destroyed after three years unless some other time limit is prescribed by some other law. Business records covered by the Act may be destroyed sooner if miniature reproductions are made pursuant to a general plan, the records are available for state inspection and other conditions are met. The miniatures may be introduced into evidence. Note: The Act does not cover corporate minute books.

(2) Suggested periods of retention are optional. If the document is destroyed, a certificate should be completed describing contents of the document; have it signed by an authorized person.

Making a survey of the records you now have.—To set up the records retention schedule, a complete survey is necessary. Generally, this survey will be made by a special committee appointed for this purpose. The committee should include at least an attorney, representatives of the treasurer's office and the secretary's office, and the file supervisor. The committee should, of course, work closely with the various department heads and with representatives of the planning and methods departments, if there are any.

A special form for this survey is almost obligatory. Our sample form has been devised just for this purpose, although it can, of course, be adapted to fit any special needs or situations. One of these forms should be completed for every type of paper handled.

WHAT TO DO Before making the inventory, a list of all the types of records to be inventoried should be prepared. In this way, nomenclature difficulties can be avoided so that all "customer correspondence," for example, will bear the same time number on the inventory sheet.

After the inventory has been completed, and records checked for unnecessary duplications, the committee will take into account both the legal and business factors in determining how long each type of record should be kept. Important in its decision generally will be a determination as to the present practice, not only within the company, but also in other business.

On completion of the survey, an alphabetical list of all the records should be drawn up with the length of time each record is to be retained indicated opposite each entry. Each department should also have its own list, broken down into the records it maintains.

WHAT TO DO After approval, run off copies of the list on a duplicating machine so that each department will have enough to meet its needs. As the new schedule is put to use, have one person available to answer any questions as to its use and to collate any comments or criticisms that may be important in a future revision.

Sample Inventory Sheet for Records Survey

Financial Division Office Management Department	RECORD RETENTION	No. Date: Page
Item Number		
Department		
Description and Purpose		
Origin		
Classification	<input type="checkbox"/> Vital	<input type="checkbox"/> Important
	<input type="checkbox"/> Useful	<input type="checkbox"/> Temporary
Reason for Retention		
How filed		
Location — Active		
Location — Inactive		
Retention Period		
Approvals	Dept. Mgr.	Div. Head

¹ Reprinted with permission from: **Executive Report: Your Business Records**, published by Prentice-Hall, Inc., Englewood Cliffs, New Jersey

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An informative reference for position descriptions of chief administrators in higher educational institutions.

Planning, Policies, and Procedures in Personnel Management

Batten, J.D. *Beyond Management by Objectives*. New York: American Management Association, 1966.

How to Write a Personnel Policy Manual. Willow Grove, Pennsylvania: Administrative Management Society, 1972.

Complete guide in preparing policy manuals, covering more than 160 personnel areas.

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McConkey, Dale D. "Staff Objectives are Different." *Personnel Journal*, July, 1972, pp. 477-483, 537.

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Pre-Employment, Conclusion of Employment

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Furniss, W. Todd. **Steady-State Staffing at Tenure-Granting Institutions and Related Papers.** Washington, D.C.: American Council on Education, 1973.

Papers on the problem of maintaining a balanced faculty when an institution is not expanding. Discusses nonrenewal of faculty contracts, and other problems arising from financial exigency and the tenure squeeze.

Kelly, M. Frances, and John Connolly. **Orientation for Faculty in Junior Colleges.** Washington, D.C.: American Association of Junior Colleges, 1970.

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Leonard, John J. "An Employee Induction Model." *Personnel Journal*, June, 1972, pp. 419-423.

A flow chart model depicting the induction and orientation process from the viewpoint of the employee and the employer.

Lipsett, Laurence. "Selecting Personnel Without Tests." *Personnel Journal*; September, 1972, pp. 648-654.

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