

3.2.9

Governance and Administration: Personnel Appointment

The institution publishes policies regarding appointment, employment, and evaluation of all personnel.

Judgment

Compliance Partial Compliance Non-Compliance Not Applicable

Narrative

Tennessee Technological University (TTU) publishes policies regarding appointment, employment, and evaluation of all personnel. These policies are implemented, as described in the following narrative and evidentiary documentation provided.

Policies for Staff and Faculty Appointment and Employment

The University appoints and employs faculty and staff in accordance with defined policies, which are published and available on the websites of the University Human Resources Office. The annual staff evaluations are executed following the Performance Evaluation procedures in the TTU Human Resources Policies and Procedures [1]. The following narrative describes the hiring policies and procedures relating to equal opportunity and regulatory compliance, and discusses the employment and evaluation policies and practices.

University policies for staff hiring, employment, and promotion are based upon the rules and regulations adopted by the Tennessee Board of Regents (TBR) [2] and published online in the TTU Employment Procedures [3]. TTU faculty hiring policies are based on the criteria and process in the TBR Faculty Appointments Policy/Guideline [4] and published online in the TTU Employment Procedures and TTU Faculty Handbook/Appointments [5]. The TTU Employment Procedures are designed to ensure the appointment of qualified personnel and the success of the affirmative action program at the University. The Procedures apply to all regular, full-time positions and all regular part-time positions. The University Human Resources Office is charged with monitoring the compliance with the employment procedures for staff positions. The Office of the Provost and the University Human Resources Office are responsible for monitoring compliance with the employment procedures for faculty positions.

The University Employment Procedures describe the external search as well as the internal search processes, including information relating to advertisement, application process, appointment of an applicant, and background investigation. The Procedures also cover information on promotion/re-assignment, hiring of temporaries and adjuncts, orientation procedures, employment agreements, contracts and letters of agreement, probationary employment period, and emergency provisions. The President has the authority to employ professional and staff employees as appropriate for the efficient discharge of official duties.

Human Resource policies and procedures pertaining to employment of staff and faculty are published online on the HR website [3] along with the link to the Employment Procedures at the same site. In addition, HR posts available job postings on the Jobs@Tennessee Tech website [6].

The TTU policy on faculty promotion is in the Faculty Handbook under Faculty Promotion [7] as well as TBR Faculty Promotion at Universities [8] on the TBR policies website.

Policies for Staff Evaluation

Human Resources Policies and Procedures (Performance Evaluation, Human Resources Policies and Procedures, Section 15) [9] articulates the approach used to assess each TTU non-faculty employee's performance on an annual basis. As described in this policy, performance evaluations for all non-faculty personnel normally occur once each year in the spring during the budget process and also approximately one month before the end of a probationary period. The Performance Evaluation Form is used to measure an individual's past performance in a particular position and to promote methods of improving performance in the future. There are two evaluation forms. One form [10] is to be used for administrative positions. The other form [11] is to be used for clerical and supporting positions. Completion of the Performance Evaluation Form should be done by the employee's immediate supervisor and should be based upon firsthand knowledge of the employee's performance. The Guidelines for a Performance Evaluation Interview and Memo [12] provides a guide to supervisors on how to conduct a performance evaluation interview. The interview should be a constructive approach to improving performance and can be used to help employees realize the importance of their individual contribution to the success of TTU. After completion of the form and discussion with the employee, the evaluation form must be signed by the employee, the supervisor/evaluator, and the supervisor's supervisor. Completed evaluation forms should be submitted to the Human Resources Office for inclusion in the employee's personnel file.

All full-time and part-time regular clerical and support or administrative employees are subject to an initial probationary period upon being hired by the University. This is a time during which an employee may evaluate his or her position and a time for the supervisor to evaluate an employee's performance. (See Human Resources Policies and Procedures, Section 10, Probationary period [13].) A performance review must occur by the end of the six-month probationary period and should be completed approximately one month before the end of the probationary period. A performance evaluation form must be completed and signed by the employee, the supervisor/evaluator, and the supervisor's supervisor and directed through the appropriate administrative offices to the Human Resources Office. In the case of unsatisfactory evaluations, the employee should be terminated or placed on a performance improvement plan. The performance evaluation form becomes a permanent part of the employee's personnel file.

The Office of Human Resources monitors compliance of the policies, along with the quality of the process, to ensure that the policy is being followed and that the ratings awarded are as equitable as possible across the University.

Table 1 provides summary of performance evaluations for each position type.

Table 1. Evaluations of Staff Performance.

Position	Frequency	Evaluator
Administrator	Annual	Supervisor
Professional Support	Annual	Supervisor
Clerical and Support	Annual	Supervisor

Policies for Faculty Evaluation

All full-time, regular faculty members, both tenured and non-tenured, are evaluated annually by the departmental chairperson and the college dean using the Annual Faculty Evaluations/Formal Development Policies in the Faculty Handbook [14]. The Annual Faculty Evaluation Form is used [15]. As part of the evaluation process, each faculty member is required to prepare and file a Faculty Annual Report documenting activities and effort with respect to his or her current Agreement on Responsibilities Form [16]. Part-time/adjunct faculty members are evaluated each semester using a form recommended by the chairperson and approved by the dean and the provost vice president for

Academic Affairs [17]. The Chairperson's Evaluation of Teaching by Full-Time Administrators form is used for every full-time administrator who is teaching one or more courses. The administrators who are teaching are evaluated by the appropriate departmental chairperson [18].

Evidence of Appointment, Employment, and Evaluation Practices Consistent with the Policies and Review of Policies

TTU defines and publishes policies regarding the appointment, employment, and evaluation of all benefit-eligible personnel on the HR website [3]. Also on this site, HR provides employment checklists for campus departments related to Administrative Personnel Appointments [19], Clerical and Support Personnel Appointments [20], and Faculty Personnel Appointments [21]. The checklists include the steps for personnel appointments from "Approval to Advertise and Fill Position" to "Notification of Applicants" and ensure the consistency of the appointment practice with the Employment Procedures. In addition, the Personnel Action Approval/Routing Processes [22] require various levels of reviews and approvals in the appointment process to validate further that the TTU Employment Procedures are properly followed.

In 2011, TTU conducted a compensation study of all clerical, support, administrative, and professional positions through The Centre Group consulting firm. Job Analysis Questionnaires (JAQ's) [23] that detail the employees' duties and responsibilities were completed for all positions on campus and reviewed by the consulting firm for title, classification, and pay scale. Supervisors may request a review of position(s) through Human Resources when changes to the duties and responsibilities warrant a reclassification review.

The Associate Vice President for Human Resources and the Manager of Payroll and Benefits review HR policies. Revisions are sent through the Vice President for Finance and Planning and then on to University Counsel. All policies undergo regular review every four years.

Equal Opportunity and Regulatory Compliance

TTU's policy on Affirmative Action, Equal Employment Opportunity and Discrimination is published online in the TTU Human Resources Policies & Procedures (see Section 1 - Affirmative Action, Equal Employment Opportunity and Discrimination [24]). As stated in the policy, TTU reaffirms the TBR policy that the University does not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex (except where sex is a bona fide occupational qualification), disability, age, or because of his or her status as a qualified veteran with a disability, veteran of the Vietnam era, or other protected veteran. Similarly, the University does not, on the basis of a protected status, subject any student to discrimination under any educational program. No student is discriminatorily excluded from participation nor denied the benefits of any educational program on the basis of a protected status.

TTU specifically finds that diversity of students, faculty, administrators, and staff is a crucial element of the educational process and reaffirms its commitment to enhancing education through affirmative action to increase diversity at all levels. TTU takes affirmative action to ensure all individuals are treated equally during the employment process without regard to their race, color, religion, creed, ethnic or national origin, sex, disability, age, status as a protected veteran, or genetic information, and any other category protected by federal or state civil rights law related to the university.

Human Resources is responsible for upholding the University's commitment to equal opportunity for all members of the University community in academic programs, research, service, and employment and handles questions concerning compliance with regulations. The Associate Director for Employee Relations and Title IX and Director for Affirmative Action (the "Director for Affirmative Action") serves as the Affirmative Action Officer. In coordination with the Associate Vice President for Human Resources, the Director of Affirmative Action is responsible for planning, monitoring, and reporting the University's progress in implementing policies of equal employment opportunity and affirmative action and for promoting and ensuring the University's compliance with TTU Policy 140, Equal Employment Opportunity and Affirmative Action [25]. The Director of Affirmative Action also receives, reviews, and investigates equal employment opportunity complaints and appeals and makes the recommendations to

the President regarding their disposition. The University's written affirmative action plan is on file in that office.

Redacted examples of faculty, staff, and administrator appointment and evaluations are presented as evidentiary documents in [26] [27] [28] [29] [30] [31] [32] [33].

Conclusion

Tennessee Technological University (TTU) publishes policies regarding appointment, employment, and evaluation of all personnel. These policies are implemented, as evidenced by the documentation provided. Examples provided in the evidentiary documentation show that these procedures are regularly and systematically applied. Therefore, TTU is in compliance with Comprehensive Standard 3.2.9.

Sources

-  [01] TTU Human Resources Policies Procedures
-  [02] Rules and Regulations for Appointment and Employment by TBR
-  [03] TTU Employment Procedures
-  [04] TBR Faculty Appointments Policy Guideline
-  [05] TTU Faculty Handbook Appointments
-  [06] TTU Job Postings
-  [07] TTU Faculty Handbook Under Faculty Promotion
-  [08] TBR Policies Faculty Promotion Universities
-  [09] TTU Human Resources Policies and Procedures Section_15
-  [10] Performance Evaluation for Administrative Positions
-  [11] Performance Evaluation Form for Clerical and Supporting Positions
-  [12] Guidelines for Performance Evaluation Interview and Memo
-  [13] TTU Human Resources Policies and Procedures Section_10
-  [14] TTU Faculty Handbook on Faculty Evaluations
-  [15] Annual Faculty Evaluation Form
-  [16] Agreement on Responsibilities_Rev_Fall_2010
-  [17] Part Time Faculty Evaluation Form
-  [18] Chairpersons Evaluation of Teaching by FullTime Administrators
-  [19] Checklist for Administrative Appointments
-  [20] Checklist for Clerical and Support Appointments
-  [21] Checklist for Faculty Appointments
-  [22] Personnel Action Approval Routing Processes
-  [23] Job Analysis Questionnaires Form

-  [24] TTU_Human_Resources_Policies_Procedures_Section 1
-  [25] TTU Policy 140 Equal Employment Opportunity and Affirmative Action
-  [26] Example Appointment_Administrative_Professional
-  [27] Example Appointment_Clerical_Support Screening Matrix
-  [28] Example Appointment_Clerical_Support
-  [29] Example Appointment_Faculty Screening Matrix
-  [30] Example Evaluation_Administrative_Professional
-  [31] Example Evaluation_Clerical_Support
-  [32] Example Evaluation_Faculty
-  [33] Example Appointment_Faculty