A case study of the attitudes of professional employees concerning higher education personnel practices.

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A CASE STUDY OF THE ATTITUDES OF PROFESSIONAL EMPLOYEES CONCERNING HIGHER EDUCATION PERSONNEL PRACTICES

by

Frederick H. Black

A Dissertation Submitted to the Graduate School of the University of Massachusetts in partial fulfillment of the requirements for the degree of

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April, 1975
A CASE STUDY OF THE ATTITUDES OF
PROFESSIONAL EMPLOYEES CONCERNING
HIGHER EDUCATION PERSONNEL PRACTICES

A Dissertation
by
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APRIL 1975
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DEDICATED TO:

all of the family -
my wife Kay,
the children Joan, Lorna, Jai, Crystal
and, of course,
mother.
ACKNOWLEDGEMENTS

Thanks first to my committee—Doctors Atron Gentry, William Greene, Phillip Brach, and Jeffalyn Johnson; my mentors—Jackie, Glen, Anna, Hal, and Wilma; my colleagues—"The Pilot" Frank, Joyce, Jim, Nat, and Jerry; the production experts—Anita, Bert, Pat, and Ernestine; and last but not least—my friends. I must also add a special note of gratitude to Dr. Dale McCollum, who navigated me through this difficult process.
A CASE STUDY OF THE ATTITUDES OF PROFESSIONAL EMPLOYEES CONCERNING HIGHER EDUCATION PERSONNEL PRACTICES

Frederick H. Black, B.S., Fisk University
M.B.A., Pepperdine University
Directed by: Dr. Atron Gentry

This case study was designed to identify and to evaluate quantitatively some factors relating to employment of university employees—both faculty and non-teaching professionals. It also provides quantitative data regarding the attitudes university employees have about some critical areas including the knowledge or awareness of personnel policy and practices, the communication of the policies and practices by university administration, and overall job aspects. These data suggest that higher education governance urgently requires new dimensions—the fair application of sound personnel practices and programs to all employees, and most importantly to the valued professional employee.

While higher education governance may agree in principle with the value of effective, sound personnel practices, in practice, however, more needs to be done to anticipate trends, help shape their course, factor their implications into overall planning, and respond to the challenges offered by aggressive government enforcement agencies and collective bargaining units.

The hypothesis of this study suggests that there are significant similarities of attitudes toward work situations, personnel problems, pay
incentives and other primary factors among professional employees of institutions of higher education when compared with the attitudes of professional employees of high technology companies in the private sector. These similarities make feasible the application of personnel practices or model programs developed by the private sector to the institution of higher education and the public sector. It is concluded that there are many factors relating to employment which may provide a source of high level satisfaction to professionals, providing that appropriate policies and practices are implemented and communicated. In addition, there is a degree of similarity among various sub-groups concerning the importance of some factors regarding pay, equal opportunity and self-development. It was further concluded that there are significant differences between the values of professional university employees and those of the private sector in some areas of job aspects and personal choice.

The government agencies having civil rights enforcement powers, collective bargaining units, and some liberal organizations have forced the private sector to reassess their personnel systems and to develop programs to correct past patterns of discrimination and other deficiencies in their personnel systems. Model programs and more equitable policies and practices could be implemented by a university or college to meet the new challenges the universities are similarly facing from the civil rights enforcement agencies, collective bargaining units and other outside groups.

Both university administrators and private industry management have failed to communicate cognizant personnel policy/practices. Thus the study concludes that so-called "credibility gaps" tend to dilute the
effectiveness of relationships between professional employees and administrations/management when the latter's basic honesty is questioned. Moreover, it is recommended that every university and college have an officer or administrator, well qualified in the field of employee relations, reporting directly to the President. This officer or administrator should be assigned the responsibility and delegated authority to formulate faculty personnel policies and practices designed to provide optimum satisfactions to professional employees. Said policies should then be recommended to the administrative body having the authority to implement such policy.

It no longer makes sense for business management nor higher education governance to ignore the serious impact of ineffective or unequal application of personnel practices.
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CHAPTER I

ABOUT THIS STUDY

The development of much of society's new knowledge and basic research has been the major contribution of higher education in the past; predictably, higher education will ultimately play a dynamic role in shaping and changing society in the future. The future of our country is dependent as never before upon the brainpower of its people; upon their ability to create, to understand, to discern problems and issues and to make wise decisions and arrive at sound solutions to those problems and issues. The administrators and faculties of our universities are charged with the responsibility of motivating, developing, and training this brainpower potential to its fullest capacity. The rapidly emerging human and educational problems accompanying this responsibility have resulted in a crucial staffing situation. That is, our educational institutions can no longer afford the luxury of personnel policies and practices which may detract from the efficiency and effectiveness of their mission to educate the future leadership of the nation. Neither can higher education afford to maintain policies and practices which do not provide optimum motivation for graduate students to enter the teaching profession nor those which detract from their competitive position in the acquisition of new faculty or the retention of those qualified members already comprising their faculties (8, p. 3).

Narrowly conceived and/or too long neglected personnel practices
and policies for professional, supervisory and management personnel contribute to this staffing crisis through the inhibition of the individual's satisfaction together with dissatisfaction of the professional subculture. When education's personnel systems are carefully evaluated, the lack of sound practices, the knowledge barriers, gaps between governance's intention and result, and the "band aid" approach or short term expediency are glaringly apparent. As a result, the governance of higher education has more and more "people" challenges to face.

Higher education governance, particularly over the past decade, has been subject to a number of attacks both from within the structure and outside it. These attacks reflect the pressures of conflict and change now affecting academic life, because both conflict and change make the processes of decision-making more challenging to those who participate in, or are substantially affected by higher education.

In addition to the internal attacks, external pressures to change personnel policies, tenure policies, recruiting policies and collective bargaining agreements have been exerted by local, state and federal governance agencies. To be more specific -- new pressures are being felt on campuses across the country to increase the recruitment, retention, and promotion of minority persons and women. State and federal governments are requiring detailed records of employment data on the race and sex of personnel to monitor the sought after increments of protected classes employment. Employees are pressing management for wage and salary increases, for "fringe" benefits, and for the establishment of personnel policies incorporating developments in recent civil liberties or civil rights legislation. According to one source, "the
labor market situation in the last two years has highly influenced the personnel picture on campus. Traditionally academic personnel practices have been shaken by recent court decisions (49).

If it is to remain a viable and valuable institution, higher education must develop approaches to meet these issues. And, if newly developed approaches are to be successfully applied, they must simultaneously satisfy the needs and values of professional employees and the various government requirements, while meeting the organizational goals and objectives of higher education.

To enhance optimum development of these new approaches, information is needed to: (1) improve understanding of the nature and scope of human resource expenditures and how personnel functions should be administered, and (2) overhaul the approach to communication among administrators, communication between higher education's governance and professional employees, and between higher education organization as a whole and outside agencies. At the outset, some of the key questions to be examined are:

What do professional employees "need"?
What are their "values"?
How do needs and values relate to the "professional work ethic"?
What is the proper response to outside pressures from government and unions?

Some additional issues of human resource administration, including facets of tenure, collective bargaining, hiring, recruitment, placement and compliance, are near a crisis state with higher education governance today.
Focus of the Study

As the extensive literature search summarized in Chapter II shows, similar crises have surfaced in the private sector. Moreover, the managers of industry and business (private sector management) concerned with human resources administration have been dealing with these and many other personnel issues over time. Available evidence indicates that business and industrial leaders are much more cognizant of the influence and extreme importance of these extraneous human factors than are those persons who have the authority and responsibility of formulating and implementing comparable policies and practices in our institutions of higher learning.

For example, in most major companies, the typical organizational pattern includes an executive, highly trained and competent in the human relations field, titled Vice President of Personnel, who exerts great influence over the employee relations policies and practices in the organization. A decade ago this individual was normally relegated to a staff capacity with advisory functions only. Today he is typically a member of an executive board with vested authority equivalent to that of line executives. One study notes that "few, if any, university or college administrative bodies include a similarly qualified officer titled Vice President of Faculty Relations (8, p. 4)," who has equivalent power, skill and experience.

An analysis indicates the striking similarity between the challenges and issues raised in the management of human resources in both higher education and the private sector. Therefore, this study will attempt to identify some approaches that might be borrowed
from the private sector to assist higher education's governance in meeting some of the concerns within human resource administration.

An example of this similarity follows: Title VII of the Civil Rights Act of 1964 (as amended by the Equal Employment Act of 1972) and Executive Order 11246 brought new requirements to the governance of higher education for the development and/or implementation of personnel policies in higher education; moreover, the office of Civil Rights, U. S. Department of Health, Education and Welfare have issued specific guidelines; failure to comply carries the threat of cancellation of government contracts and/or grants. Key to this research is the fact that the private sector has been subjected to Title VII of the Civil Rights Act of 1964 from 1964 to the present and has been forced to examine employee attitudes and perceptions regarding:

Knowledge of existing policies
Adequacy of practices
Fairness in administration of policies and practices and overall job satisfaction.

This examination has resulted in many model personnel programs and practices developed by the private sector to meet the thrust of Title VII. Moreover, some of these personnel practices/programs are cited and elements of those model practices/programs systems can be examined for transferability and applicability to higher education's professional personnel practices/programs system (46, p. 16).

Rationale

Many studies of personnel practices, benefits, job satisfaction have similar concepts. Balyeat states:
The numerous studies of factors relating to job satisfaction which have been conducted have two things in common:

(1) They relate primarily to jobs in business and industry.

(2) They consider the influence of various job satisfaction on productivity. This study differs from the above in two respects. In the first place it related to university and college faculty in an educational environment. It also seeks to identify and evaluate motivational factors as an influence upon a staff member's propensity to continue his current position or to seek a change to some other employment environment, rather than to motivational factors as they influence an employee's productivity in a given environment (8, p. 10).

**Statement of the Need for this Study**

With today's emphasis on civil rights legislation for equal opportunity, there is a necessity to recognize its impact on all levels of the nation's workforce -- public and private; professional and non-professional; young and old; male and female; minority and majority.

Much of the work and/or progress in providing equal opportunity at this time has been in the private sector for professional and non-professional entry-level workers; however, there is a definite need to look at how this civil rights legislation has affected higher education's administration of personnel policies toward minorities and women, in addition to what has happened to management's implementation of personnel practices toward minorities and women within the private sector.

Between one-third and one-half of the personnel relations problems do not relate to color or sex. Rather, they most frequently have to do with the present lack of perfection of the personnel systems involved, and all the interrelationships between the different parts of the systems. Nevertheless, improvement or correction of the basic
system problems will help all professional exempt employees, white, black, and all minorities as well as improving the operation of a university (28).

Lack of appropriate personnel systems or faulty implementation of existing personnel policies and practices impact on black and other minority employees with far greater intensity than on white employees. Therefore, if higher education's governance is going to fulfill the requirements to greatly accelerate the recruiting, development, and upgrading of women and minorities, it must greatly improve the existing personnel systems and their implementation throughout the university sector or suggest alternative personnel systems.

Recent input from many other institutions confirms widespread use of irrelevant criteria including hiring, selection, promotion, and retention throughout both the professional and non-professional personnel systems. Factors such as personal appearance, work experience, work record, education, employment tests, reference checks, and medical background, are applied in such a way as to screen out candidates who may be otherwise qualified to meet the job specifications or professional position guides. This application of criteria in such an unsystemmatic, random, and non-job-related manner mitigates against efficiency and relevance in all hiring, but as in other personnel practices, is far more detrimental to minority and candidates than whites, and/or to women than men.

Analysis indicates that although many non-minority/male employees may endorse the concept of non-discrimination, a substantial number have stated that "too much is being done" for minorities, or that the present level of affirmative action efforts "is about right." There seems to
be a willingness on the part of many managers and administrators to accept this as not surprising, to be expected, and tolerated at a certain level.

Therefore, this study will assist higher education's governance in understanding the problems and personnel systems operative in the private sectors, and the relationship of these problems as they impact on the proper administration of professional personnel systems in higher education.

The need for a total systems approach was cited by Owen R. Houghton.

The 'comprehensive doctrine' has stimulated this author to a consideration of a total systems approach to the problems of personnel policies and practices. The many changes in higher education in recent years are now most apparent in the area of personnel policies and practices. Of the three basic management functions -- planning, budget, and personnel function has been the slowest to adapt to the process of rapid change. Many trends now make it imperative that colleges and universities give more attention to a comprehensive personnel management program. Most college and university administrators realize that personnel management has entered a phase which mandates a new approach to the administration of faculty, staff, and student employees (49, p. 1).

Basically, this researcher agrees with Houghton's concept and supports the need for the systems approach in reorganizing personnel practices along more business-oriented lines. Indeed, such careful planning and measuring as are involved in human resource accounting are slowly being accepted in many of our larger corporations and often large public organizations. Now, however, with an unmistakable prod from various components of the governmental sector, personnel administrators and others new to this realization will have to bring this functional area into line with its more advanced business counterparts. The result will be not
only the significant benefit of meeting compliance standards, but also improved manageability, efficiency, economy, and effectiveness. It is interesting to note that this is an ancillary effect of civil rights laws on higher education in the area of personnel policies. It is hoped that this study will assist higher education's governance and administration to have a better understanding of how higher education's counterparts in the private sector view the civil rights laws effect on personnel systems, and the resultant impact on exempt/professional employees.

This study will identify other dimensions of professional employees personnel practices as impacted by collective bargaining units. The unions have quickly recognized that the economic factor, in addition to direct salary, involves personnel policies and practices relating to various financial fringe benefits as well as those relating to advancement and security. From a competitive viewpoint, the base salary is not the determinative economic factor, but also includes the immediate and future human satisfactions which may be fulfilled with the paycheck (8, p. 5). Attitudes are changing -- belonging to a union is not "an unthinkable" to professional people as it once was. Growing numbers of professionals in the U. S. have formed collective bargaining groups in the past several years. These include nurses, dentists, attorneys, engineers, and teachers, among others. This shift in attitudes has been on the increase. Early on, the professional population seemed to be mainly concerned about maintaining professional standards and ethics. Now, according to recent national surveys, the data show the concerns for increased job satisfaction, more recognition for years of study, and more control over career destinies (75). It should be noted, however,
that this attitude shift is not uniform on a national scale. It is higher among teachers, professors, technical people in aerospace and government jobs, for the most part, and lower in some consumer product related industries. As a result, organized labor is showing a fresh interest in professional people. The AFL-CIO has expanded its budget and staff for this purpose (78). As attitudes of professionals nation-wide are changing, professional associations are dealing more with work-related matters, and unions see an opportunity to grow their market share.

As best anyone can forecast, it won't be a sudden, massive, precipitous action. Rather, it will be a continuing effort. In the past, the professional work force has been concerned about professional standards and ethics, but today they are more concerned about career development, performance appraisals, promotions, layoff procedures, communication, complaints and redress of inequities, application of all personnel practices. Intensive research must be done in these areas to clarify approaches, and to develop model programs and newer personnel systems to meet the needs of the ever-changing professional work force along with new government civil rights enforcement agency requirements.

Objectives of this Study

In summary, the primary objectives of this study are two-fold. First, to provide the writer with an assessment of professional employees perceptions regarding knowledge of existing personnel policies, adequacy of practices, fairness in administration of policies/practices, and overall job satisfaction; secondly, to conduct a review of Company A's model programs with emphasis on professional personnel practices and suggest
some of these for possible application in higher education professional personnel systems. (See Appendix C)

This study provides private sector model programs which might assist higher education's governance in meeting the key issues in its professional personnel practices as impacted by unions, and the government's civil rights agencies.

In addition, this research fulfills the following sub-objectives to:

1. Provide an "overview" review of the history and genesis of professional personnel practices shall be conducted.

2. Review of the impact of governmental civil rights regulatory agencies shall be documented in addition to the effects of collective bargaining units (unions) on professional personnel practices.

3. Administer Likert-type, 70 question attitude survey of a random number of professional employees within higher education and the private sector, to solicit attitudes based on various aspects of their employment.

4. Analyze and correlate the data from the Likert-type attitude survey for both case units. Trends and common opinions will be cited with inferences on key issues.

5. Analyze model professional personnel practices/programs which have been designed by the private sector unit as a result of key external pressures (government, unions, minority coalitions, other civil rights groups), for transferability of concepts to higher education.

6. Through analysis and synthesis of the findings revealed by approaching the overall objective, and sub-objectives 1 through 5, conclusions are drawn as to the feasibility of using concepts from the personnel practices/programs developed for private sector professionals to assist higher education in developing professional personnel practices.

7. Make recommendations for implementation by using the conclusions drawn from the study, recommendations are made for implementation by higher education's governance and implications for future study.
Research Design

The steps in the research process are shown in the research study flow chart -- Figure 1. A Case Study Method is used to review intensively the background, current status and environment interactions of the private sector case unit and the higher education case unit. Personnel practices/programs system data and information will include the current personnel systems of both units. Collective bargaining agreements are examined for both units, as well as directives and civil actions by governmental civil rights regulatory agencies.

A questionnaire is used to gather data from a random sample of professional employees of both the private sector and higher education's case units. A "Likert" type question survey was designed to elicit responses which reflect professional attitudes about their employment and serves as a basis for comparison of the two case units -- private sector and higher education.

The population surveyed includes a random sample of non-teaching and faculty professionals of the higher education unit and a random sample of professional employees (individual contributors and managers) of the private sector unit. The higher education unit (University X) and the private sector unit (Company A) are fully described in Chapter 3.

Significance of the Study

It is believed that the significance (results) of this study will have a valuable impact on higher education administrators by giving them a better understanding of the needs of higher education's professional employees -- faculty and non-teaching. Moreover, the findings of
Impact of external agencies on private sector, personnel practices, government/unions, others. 

Genesis of personnel practices for professionals. 

Impact of external agencies on higher education, personnel practices, government/unions, others. 

Survey of private sector professional practices. Unit of study. (CA)* 

Survey of higher education, professional practices. Unit of study. (UX)** 

Analysis and comparison of similar practices. 

Set hypotheses 

Correlation of data on attitude surveys. Test hypotheses 

Attitude survey of private sector, professional personnel on selected practices. (CA) 

Attitude survey of higher education personnel on selected practices. (UX) 

Analyze data for common practices and resulting key issues. (CA)-(UX) 

Performs analysis for concepts within selected private sector model programs for applicability to higher education. 

Conclusions, recommendations for higher education. 

*(CA) = Company A 
**(UX) = University X
this study could provide higher education administration with a better understanding of the total impact of the 1964 Civil Rights Act as amended in 1972 on the governance of its institutions. In addition, this study could bring to higher education administration a broader range of experiences from private sector personnel systems that resulted from their regulation by government since 1964.

**Research Hypothesis**

Based upon the problem, questions and the theory stated in this study, the writer sets forth this research hypothesis: the research hypothesis of this study holds that there are significant similarities of attitudes toward work situations, personnel problems, pay, incentives, and other primary factors among professional employees in institutions of higher education and professional employees in high technology companies on the private sector. These similarities make feasible the application of personnel practices and model programs developed by the private sector to the institution of higher education in the public sector.

**Assumptions and Limitations of the Study**

The writer assumes the study conducted by Glen Bassett et al of Company A (see Chapter III) and results thereof are valid and complete. The writer reached this conclusion because Bassett et al subjected their instrument to extensive testing for validity and reliability, and it is assumed that the study yielded valid data for this study. It is further assumed that the sampling procedure described in the Bassett study produced data from a randomly selected sample population of Company A. The writer
Further assumes that privacy and confidentiality were protected, that this was conveyed to respondents of Company A and thus their responses are true and candid.

This study has been concerned only with information which is available for investigation and would assist in meeting study objectives. It will be limited to the time periods from 1940 to present and any generalizations made may be accordingly limited. The objectives of the study are attitudinal and/or pragmatic in nature and are not precise and thus do not lend themselves to precise measurements. This study is influenced by the fact that the investigator has, for the past five years, been associated in a professional capacity in dealing with the impact of civil rights legislation on personnel practices affecting minorities and women. Furthermore, the writer is a member of a minority group and thus may exhibit some bias. In addition, this study is based on the assumption that the private sector has had longer experience in responding to both external influences and change agents in the area of collective bargaining and equal opportunity. Moreover, the private sector has had greater opportunity to develop model programs in the area of personnel practices to meet these external influences. Finally, the research instrument used for University X is identical to the Bassett study instrument and is assumed to be reliable and valid.

**Organization of the Study**

In Chapter I of the study, the statement of the problem, the need for the study, objectives, research design and delimitations are developed. Chapter II consists of a review of the latest research and
literature. Chapter III includes a description of the case units studied, the personnel surveyed, the personnel systems review, and impact of government and collective bargaining on these personnel systems. Chapter III also describes the instruments used, the data collected and the statistical analysis and trade-off procedures. Chapter IV presents the data and the analysis of the information and the data. Chapter V includes the summary, conclusions and recommendations. The appendix and bibliography are contained in the final section.
CHAPTER II

REVIEW OF RELATED LITERATURE AND BACKGROUND OF THE STUDY

Chapter I of this dissertation described the design and scope of the study and its limitations, and set forth significance of the research. This chapter includes a review of the literature on the personnel practices and policies of higher education and a discussion of the impact of both unionization and the civil rights movement on those policies and practices.

Overview—Personnel Practices

Management's philosophy and attitudes toward employees in general professional employees and bargaining units has changed dramatically from the time of F. W. Taylor's scientific management approach to today's emphasis on communications, personnel practices, and the acceptance of collective bargaining (71, p. 5). Taylor's theories were based on the assumption that the goals and objectives of the company and the employee were the same. This concept of management was based on efficiency, and introduced time and motion studies and other performance standards. The Taylor philosophy also included the concept that the authority of the employer was supreme. In summary, given adequate financial incentive, the employee was expected to perform to predetermined standards as established by management.

Following F. W. Taylor's management style, there came the "human relations" movement. The emphasis of this concept was to create a work
force with high morale, that is, to create happy workers. Moreover, this represented an attempt to break down the formal structures that are part of the bureaucratic organizational models (71, p. 5). It is generally accepted that the Hawthorne studies laid the groundwork for the behavioral science movement in industry. These studies influenced the study of personnel practices, personnel relations, and other areas within the field of industrial psychology. Although this contemporary behavioral science movement is synonymous with none of the previous philosophies, it does, however, have related basic concepts, including a strong emphasis on relations among people and informal communication, among others.

These changes in personnel practices in the past twenty-five years were not the result of change in management and administration's approach to organizational and management concepts. Rather the primary pressures for change were external and included such factors as labor shortages, government intervention, and the increased strength of collective bargaining units.

For example, government intervention was a major influence in starting the trend toward "fringe benefits" as we know them today both in higher education and the private sector for professional and all other employees. Before World War II, the typical worker received money wages in payment for time worked or output produced, and this constituted the whole of his remuneration. Today it is unusual for a worker to receive only money wages. Augmenting his pay check are "non-wage benefits, supplementary pay," or "fringe benefits," the latter appellation having the widest usage (106, p. 215).
By 1965 at least three out of four American workers were covered by a variety of health and welfare plans; two out of four were covered by a pension plan. Such extensive coverage stands in sharp contrast to the situation 25 years earlier, when employee benefit plans covered no more than about one out of ten workers (18, p. 37).

Indeed, employee benefits did not become a truly mass phenomenon until long after they were first created. Pension and welfare plans were known before the turn of the century and yet by 1940 they had never encompassed more than roughly ten per cent of the workers. In 1932, Murray Latimer published a massive study of industrial pension plans—evidence that there was a good deal to describe—but on the evidence then available he concluded that it was improbably "that the voluntary pension system will ever offer protection to more than a minor fraction of all who work for wages and salaries in the United States (18, p. 41)." However, today approximately 50 per cent of all workers are covered by pension plans.

**Impact of Collective Bargaining**

This transformation is attributable in large measure to collective bargaining. Admittedly, other factors have been at work, but few will argue that pension and welfare plans could have been converted, over essentially two decades, from "progressive practices" into "standard practices" if there had been no pressure from labor unions. The period from 1945 to 1965 was one of virtually uninterrupted economic progress, and ability to pay was, of course, a fundamental factor. The evidence is clear that without the pressure of the unions, the expansion of
Substantial increases in worker participation in benefit plans began with World War II, sparked by several factors. To begin with, economic activity and profits were high, and tax rates on corporate excess profits were likewise high. This meant that a dollar spent on employee benefits was "cheap," because it could be offset by what the company would otherwise pay in taxes. This was a time of the tight labor market, and competition for available workers was intense. At the same time, wage stabilization controls imposed by the government and backed with legal sanctions curbed the use of direct wage and salary increases as a means of attracting workers or of satisfying union demands. Wage stabilization policy favored the establishment of fringe benefits instead of pay increases, on the basis that pension plans were non-inflationary because they deferred the payment of income and on the further basis (not so clear) that welfare plans represented less in the way of immediate purchasing power. (Here we touch on another broad determinant in the growth of employee benefits--public policy that looked favorably on it [18, p. 42]).

Personnel practices and/or benefits established by collective bargaining agreements were not limited to the workers covered by such agreements, and this became another factor in the expansion of benefits. Because many large employers felt it necessary to provide similar benefits for their unorganized employees as for those in bargaining units, many white-collar and/or professional workers have become an indirect "beneficiary" of blue-collar negotiations. Furthermore, an unorganized
employer may have found it desirable or necessary to keep pace with, or in some cases, just ahead of the benefits offered by his unionized competitors.

The fact that a union establishes a standard and that the standard is bound to be pressed on all or a large percentage of the competing establishments is a powerful factor in assuring the advance of those standards since it reassures each employer—to a degree—about his ability to compete (18, p. 43). This argument is buttressed by recent developments in and the impact of unionization in the educational sector. Harold I. Goodwin and John O. Andes prepared a document, "Collective Bargaining in Higher Education: Contract Content - 1972," which reported data from a wide range of sources and 101 contracts. The Table of Contents of this report (Figure 2) depicts the wide range of personnel practices and policies which are negotiated under collective bargaining procedures (40, p. 11).

A legitimate question at this juncture is: Has educational administration failed? Why has there been such growth in teacher unions? For insight we turn to Stephen Moser who stated: "Significantly, in 1970 there were in excess of ten and one-half million state and local employees, with one-third engaged in education (64). This large group is now demanding economic justice. Teachers, on the average, receive less than the average factory worker, according to the American Federation of Teachers. A loss of identity as a teacher, a person to be respected, is another area of concern. Though the above arguments relate directly to the public school teacher, and why he has taken an active interest in unionism, similar conditions at the higher education level have
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CONTRACT CONTENT--1972

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John O. Andes
aroused college faculties. Professors are now faced with loss of public respect, poor compensation, legislative decrees regarding teaching loads, and a threat to the perquisites that have characterized academe ever since the founding of Harvard (71, p. 27).

In addition, Moser concluded that three main areas were of concern to professionals in higher education. Each of these fall within the category of personnel policies and practices. These areas of concern include union security, wage and effort, and individual security. Union security encompasses the description of the bargaining units and the contract duration; wage and effort includes salary scale and workload provisions, and individual security consists of academic freedom, tenure, and grievance procedure (71, p. 61).

K. P. Mortimer and G. G. Lozier add that the recent advance of collective bargaining into higher education is such that many colleges and universities may anticipate several changes of potentially major proportions in their decision-making patterns. One feature of collective bargaining is the discontent on the part of many faculties to rely on informal or noncodified procedures in matters relevant to the terms and conditions of their employment and to the provisions for faculty participation in institutional decision making. As a result, collective bargaining portends to interject major changes in faculty-administrative relations in higher education (57, p. 1).

Several trends appear on the horizon. Bargaining units seem to be developing a homogenization of regular faculty with part-time faculty and nonprofessional non-teaching staff. Collective negotiations are leading to greater codification of faculty-administrative relations,
especially through specified grievance procedures and personnel policies (57, p. 30). When the faculty, and/or non-teaching professionals, and the administration of institutions of higher learning, find themselves engaged in collective bargaining, they have many hard decisions to make regarding the nature of the bargaining issues (31, p. 35).

Donald H. Wollett asks the question: Should work load be quantified? Numerical regulation for faculty members appeals to persons who do not understand colleges and universities, who are interested in economy and efficiency in planning and operating academic programs, and whose psyche finds comfort and security in numbers. The quantification of work load affords a legitimate (if not a compelling) basis for ceasing to work without compensation during vacations, holidays, weekends, and after daily hours (31, p. 35).

Inflexible work rules have serious implications for management and administration. Slichter of Harvard has stated that collective bargaining is a method of introducing civil rights into the working environment; that is, of requiring that management be conducted by rule rather than by arbitrary decision (36). This principle creates two areas of concern: the importance of maintaining proper balance between the freedom of the administration to manage and the protection of employees from arbitrary administration; and the avoidance of rules which become obsolete.

Other hard questions spring up: should salary schedules and other personnel policies be administered by applying objective criteria rather than by judging merit (31, p. 36). Should the faculty become
involved in decisions relating to recruiting, promoting, granting tenure, and awarding merit increases? And, how should these practices be adapted to a collective bargaining system?

Collective bargaining should be a method of representative government, predicated upon the principle of majoritarianism, which checks on the performance of managerial functions, regardless of who makes the decisions. It can be argued that self-governance should be guaranteed in the collective bargaining process and that decisions by administrators should be subject to review by an impartial arbitrator. But whose decisions are better (71, p. 2)?

**Factor of Tenure**

Woven into the fabric of the collective bargaining process, and the equal opportunity issues which we shall deal with later in this chapter, is one key, personnel policy--tenure. Tenure is fundamental--a bedrock policy with elements of other personnel practices including selection, development and termination.

There are three major parts to a tenure system. Tenure assures academic freedom by faculty members from outside restraints and pressures. It also established a level of acceptance by one's peers, and it provides job security (50, p. 195).

There are many current debates about academic tenure, old arguments have been repeated, earlier arguments have been adapted to new contexts, and new arguments have emerged from concerns not central in earlier periods of crisis in the history of tenure (36, p. 13).

The importance of tenure was highlighted by the National
Education Association (NEA) before the Commission on Academic Tenure:

... In a number of respects, current practices relating to the job security of teachers in higher education are inadequate. Currently, employees are afforded virtually no employment protection until they have acquired tenure, and there are neither substantive standards nor procedural remedies governing questions of renewal and acquisition of tenure. NEA believes that this is grossly unfair to the teacher, and that it does a disservice to the cause of academic excellence as well. We suggest a major rethinking of the standards governing, and the protections available to, the probationary teacher (65).

The NEA also discussed the procedures which they believe should be available whenever a teacher is threatened with employment termination and suggested a number of departures from existing practices (65).

In addition, they suggested means by which the status of the tenured teacher can be better defined and protected. NEA also examined the impact which the emerging phenomena of collective bargaining and employee representation associations should have upon the procedures governing employment termination (22, p. 2).

Another view was expressed by the "Scranton Commission" which recommended re-evaluation of tenure as practiced today. This commission on campus unrest was concerned about protection of practices that might be unjust to students and other protected classes, including minorities and women. Moreover, although tenure is required to protect the academic freedom of senior faculty members and, in some cases, non-teaching professionals, it grants relief from accountability that would not be found in any other profession (56, p. vi).

In addition to other personnel policy questions, the report by the Commission on Academic Tenure touches on the equal opportunities for minorities and women to enter and advance in the academic profession,
thereby frustrating institutional purposes and national social policy.

But just as this new argument springs from a changed social context, so the more traditional criticisms of academic tenure have acquired new significance or new force as a result of the enormous changes in American higher education since World War II, and especially in the decade of the 1960's, and a new urgency because of the outlook for higher education in the 1970's and 1980's. In the judgement of this commission, the weaknesses that have brought academic tenure under needed scrutiny are not imperfections in the concept itself but serious deficiencies in its application and administration—deficiencies resulting in large measure from fundamental changes in American education during the last two decades. These deficiencies, they are convinced, are remediable, by reform in institutional policy and practice and professional standards and priorities.

The need for better employment procedures, personnel policies and practices is highlighted in a federal case against the University of California at Davis brought by Assistant Professor Susan Regan McKillop who had been denied tenure (during a secret meeting) after seven years of teaching in the Art department. She charges a violation of Title VII plus denial of due process and equal protection under the Constitution, saying:

The due process charge means revamping the entire tenure system, where the party concerned has no opportunity to speak in his or her behalf. If my contribution to the university and its students had been fairly judged, I believe that I would be a tenured member of the faculty today.

She claims the secrecy surrounding the tenure system is unconstitutional. If the court agrees, presumably secret meetings to decide on promotions
will also be affected by this decision (104, p. 2).

There is a crisis in higher education today. This new crisis is "of the faculty and non-teaching professionals" but not by them. This crisis has been caused in part by stabilizing enrollments, increasing scarcity of funds for higher education from both public and private sources, inflation, and other problems.

Among the key issues of concern within universities and colleges are tenure, academic freedom, and unionism. Philip G. Altbach considers these areas the major points of the crisis between the professoriate and its critics. As salaries have stopped increasing rapidly, and as faculty participation in governance has been eroded by both administrators and zealous governing boards and legislatures, the question of unionism for professors has been increasingly discussed. The tenure issue is also a flashpoint of crisis. Critics of the professoriate have claimed that tenure is a protection for mediocrity, a sinecure, and in general, a detriment to a responsive university (54).

William R. Keast remarked that more than any other issue in higher education, tenure, with its guarantee of lifetime contracts, urgently needs re-evaluation (54).

The American Council on Education organized a special committee on campus tensions. The chairman, Sol M. Linowitz, concluded:

Tenure policies—concerning a faculty member's right to hold his academic appointment until retirement once competence has been demonstrated (except when extreme malfeasance has been demonstrated by due process)—need to be appraised. The justification for tenure is the crucial protection it gives to academic freedom. Professors who espouse unpopular views must be free from reprisal. Tenure was not devised in the spirit of trade union systems to guarantee job security. But it has come to serve this function too, at a cost. It sometimes has been a shield for indifference
and neglect of scholarly duties. At a time when an increasing number of teachers, especially in community colleges and state colleges, are organizing for collective bargaining, the committee recognizes that a challenge to the present concept of tenure is no small matter, that the issues involved are complex and difficult to resolve, and that a satisfactory solution must maintain effective safeguards for academic freedom. Nonetheless, we urge the American Association of University Professors and the Association of American Colleges . . . to re-examine existing policies. Standards for awarding tenure—a matter of institutional autonomy—need broadening to allow greater consideration of teaching ability. Scholarly communities must be protected as effectively as tenure now protects individual professors (54).

Without arguing for or against the bargaining concept, the following statement suggests the need for close examination of higher education personnel policies and practices for faculty and non-teaching professionals and the level of communications of those policies and practices to the professional employees. It is possible that collective bargaining may modify the traditional link between academic freedom and tenure. There is some debate about whether academic freedom ought to be negotiable or whether it is a non-negotiable right (36, p. 120).

Another possibility is that, rather than eliminate tenure, collective bargaining may extend its job security benefits to a wider proportion of the faculty and to the non-teaching professional staff who are members of the bargaining unit. Indeed, it is hardly likely that these staff members would be excluded.

Collective bargaining is by no means inevitable on any given campus. Most four-year institutions still have the opportunity to analyze existing personnel policies and ascertain whether legitimate grievances exist. An institution can develop its own grievance and appeal procedures, make its personnel policies more equitable, and informally agree about many issues short of the formal collective negotiations process.
It becomes readily apparent that the advent of collective bargaining has demanded a far more comprehensive approach to personnel management in the higher education sector. Recent developments in the civil rights movement, together with equal employment opportunity thrusts reinforce that demand.

**Impact of Civil Rights Programs**

The influence of the Office for Civil Rights (OCR) of the Department of Health, Education, and Welfare (HEW) is described under Executive Order 11246 (a summary of laws and regulations affecting personnel management within the public and private sectors) as amended by 11375. All federal agencies are required to include provisions of non-discrimination based on race, color, religion, sex, or national origin as a condition of any contract between a contractor or subcontractor and a federal agency.

Any organization, by virtue of its contract with the federal government, is defined as a contractor under this Executive Order and is subject to the rules and regulations promulgated thereunder. Title 41 CFR 60-2 (Order #4) requires a federal contractor, within 120 days from the commencement of a contract . . . to develop a written affirmative action compliance program for each of its establishments. In addition, Title 41, in various subsections requires the affirmative action program to be based on substantive, in-depth analyses of all employment practices and specifically sets out the parameters of such analyses. Part of these analyses will include a copy of any personnel manual which sets out formal or informal personnel practices (108).
The OCR in HEW is responsible for the enforcement--in institutions of higher education--of Executive Order 11246, as amended by Executive Order 11375, which imposes equal employment opportunity requirements upon federal contractors and upon construction contractors on projects receiving federal assistance from HEW.

Under Executive Order 11246, as amended, in signing a government contract or subcontract in excess of $10,000 the contractor agrees that it "will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin," and that it "will take affirmative action to ensure that applicants are employed and that employees are treated during employment" without regard to these factors. In the event of the contractor's non-compliance with the nondiscrimination clauses of the contract, or with the rules and regulations of the Secretary of Labor, the contract may be cancelled, terminated, or suspended in whole or in part, and the contractor may be declared ineligible for further government contracts. Part II of the Executive Order sets forth other contractor obligations, enforcement procedures, and administrative responsibilities. Part III describes the equal opportunity obligations of applicants for federal assistance involving construction (108).

The equal employment opportunity obligations of federal contractors apply to all employment by a contractor, and not solely to employment associated with the receipt or use of federal funds. However, the specific obligations of non-discrimination and affirmative action associated with the Executive Order apply and are enforceable by the OCR only in the case of contracts, not grants (108).
With respect to personnel policies and practices, an employer must establish in reasonable detail and make available upon request the standards and procedures which govern all employment practices in the operation of each organizational unit, including any tests in use and the criteria by which qualifications for appointment, retention, or promotion are judged. It should be determined whether such standards and criteria are valid predictors of job performance, including whether they are relevant to the duties of the particular position in question. This requirement should not ignore or obviate the range of permissible discretion which has characterized employment judgements, particularly in the academic area. Where such discretion appears to have operated by subjected to rigorous examination and its discriminatory effects eliminated. There are real and proper limits on the extent to which criteria for academic employment can be explicitly articulated; however, the absence of any articulation of such criteria provides opportunities for arbitrary and discriminatory employment decisions (108).

The point is made in an address to the Southern College Placement Association Conference on December 5, 1973, by General Counsel Angelo A. Ladarola:

College placement offices have gotten into this issue because employers, who are under Equal Employment Opportunity Commission (EEOC)—mandated affirmative action programs and in other cases employers who on their own feel that past discriminatory policies may have resulted in a system of discrimination which requires them to take something more than a neutral position regarding future hiring, have come to the Council and, in some instances, the college placement offices, with requests that qualified applicants of a particular minority group or women be referred to them for job interviews. For example, an employer might request that a placement office provide it with a list of its women engineering students. This would seem to be an effective means of assisting the employer in erasing the abuses of past discriminatory practices. Unfor-
fortunately, EEOC has ruled that this would be an unlawful employment practice. Referring individuals from one sex or minority group is a violation of Title VII no matter what the motivation, except where a corporation's request for women only or minority group individuals is based on a court ordered EEOC or state Fair Employment Practices (FEP) affirmative action program. Even then, EEOC suggests that counselors forward the names of all qualified individuals rather than limiting themselves only to the minority classifications requested by the employer. Obviously, such a ruling leaves out the possibility of assisting a corporation in a voluntary program, and, more surprisingly, assisting even in a program developed under an EEOC or state FEP conciliation agreement. Hopefully, later rulings or even changes in the law will result in a broadening of EEOC's initial reaction to some of the very laudable work which has been proposed for college placement offices.

James G. Bond, President of California State University, Sacramento, offered this observation in commenting on the judiciary attitude toward practices within higher education:

Because of the lack of well-articulated personnel policies, whenever we are taken to court, whenever we are forced to defend our own position, we tend to turn to the legal profession to spell out the parameters with regard to what we should do. And again they rule on matters of law, but they don't rule on the desirability of what represents good personnel practice within the institutions. Years ago, colleges and universities assumed that faculty members were ladies and gentlemen and they all shared the same value system, had the same level of understanding, and therefore, it was possible to operate out of a hip pocket on the personnel basis. These days are far behind us and we are faced now with the onset of increasing legalism within the society and within our institutions also. Good personnel practices systems now are becoming the order of the day. Our response, frequently, to the moral and legal demands for affirmative action, is one that represents massive confusion on the part of many presidents because we don't have the personnel practices systems that allow us to respond rationally (1).

Higher education can learn valuable lessons from the private sector about personnel practices and policies and the systems reviews by government civil rights enforcement agencies. According to a vice president from a large industrial corporation:

Our experience in reviewing and assisting in the formulation and implementation of a wide array of affirmative action programs leads to the conclusion that the systems concept is the best approach to meeting the thrust of the guidelines for the present, and will be
Fortunately, EEOC has ruled that this would be an unlawful employment practice. Referring individuals from one sex or minority group is a violation of Title VII no matter what the motivation, except where a corporation's request for women only or minority group individuals is based on a court ordered EEOC or state Fair Employment Practices (FEP) affirmative action program. Even then, EEOC suggests that counselors forward the names of all qualified individuals rather than limiting themselves only to the minority classifications requested by the employer. Obviously, such a ruling leaves out the possibility of assisting a corporation in a voluntary program, and, more surprisingly, assisting even in a program developed under an EEOC or state FEP conciliation agreement. Hopefully, later rulings or even changes in the law will result in a broadening of EEOC's initial reaction to some of the very laudable work which has been proposed for college placement offices.

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Our experience in reviewing and assisting in the formulation and implementation of a wide array of affirmative action programs leads to the conclusion that the systems concept is the best approach to meeting the thrust of the guidelines for the present, and will be
the required approach to equal employment problems in the future. Government guidelines treat employment functions as a system, and government standards are based on that treatment. Inconsistencies and deviations may result in unintentional discrimination, which is quickly identified by the systems view, with its integrative procedures. The employment system we suggest places emphasis on the validity of the decision-making process—that is, on ensuring that the most qualified person is recruited, selected, placed, trained, transferred, and promoted. And this is exactly the focus of the Civil Rights Act, the governmental enforcement agencies, and the Supreme Court.

The main point, of course, is that if one regards the government's policies about equal employment only as a threat and attempts short-range appeasements, he will be running for a long time and paying a long-run price. There is no question that developing case law is creating a more stringent set of rules than most observers originally foresaw, so commitment to ad hoc solutions to immediate problems will leave the organization ill-equipped to satisfy the stipulations of developing government guidelines (81).

None of this is meant to imply that if we develop good personnel procedures and practices for minorities and women, that this, in and of itself, will insure that we will have good viable affirmative action programs. The issue, really, in terms of developing procedures that meet legal guidelines, is that, very frankly, frequently legal maximums represent moral minimums. Simply following the dictates of the law is not enough. It will be important for us to develop personnel procedures and policies that reflect the value systems that are inherent in the higher educational process (13, p. 1).

**Personnel Research: Needs and Findings**

Administrators and executives are usually quick to acknowledge that the "people" part of business is difficult to handle. Few dispute the fact that the typical organization could do a better job in selecting and retaining personnel and should make a greater effort to understand its professional employees. One might assume, therefore, that most
organizations collect and analyze information about their professionals in order to improve selection, decrease turnover, and increase employee satisfaction. However, such is not the case. Few organizations are studying appraisal and development; fewer still are conducting research on motivation (15, p. 1).

Why does this situation exist? According to William C. Bynam, time and cost factors and poor communication are major deterrents, but the greatest detriment is lack of understanding. Administrators have an erroneous image of personnel research; many are unaware of the need for personnel research because their organizations have no researchers and no one helps to make them become aware. In some organizations that have personnel research units, the researchers have failed to show executives or administrators the value of completed projects. In others there have been difficulties in selecting projects to bridge the gap between the needs felt by administration and the knowledge and techniques in which the researchers are skilled (19).

This becomes significant when one considers that in recent years research has played an increasingly important role in America's private sector. Much of this country's business success can be attributed to resources provided for research. Yet, out of an estimated $16 to $18 billion spent for research by U. S. industry one year, only a small sum was spent for research on one of its most important resources--personnel.

Nevertheless, some executives are fully aware of the need that companies have for personnel research. For example, the manager of employee relations at International Harvester makes this point:
More decisions are made on less information in personnel than in any other area of management. A top-level executive who would never make a marketing decision without extensive pretesting will make a personnel decision involving potentially far more money, such as incentive pay without any thought of pretesting what he has chosen (81).

A vice president at U. S. Plywood-Champion Papers, Inc., pointed out that present conditions will force companies to improve their techniques:

Management has to stop making personnel decisions off the top of its head. High manpower costs and continuing manpower shortages will eventually force managers to grow more sophisticated in the techniques they use, or these managers will be replaced by younger men who have been trained in business schools (81).

In spite of the lack of personnel research throughout the public and private sectors, personnel administration increasingly has been recognized as an integral function of management. This view of personnel administration has developed from a recognition of the true nature of management. In any organization, management's task is to develop and coordinate the willing efforts of employees in accomplishing organizational aims. This is just as true in government agencies and the public sector as it is in the private sector. Even trade-union leaders have this "management" responsibility in relation to their national, regional, and local office personnel. Broadly conceived, therefore, personnel administration is simply an essential ingredient of good management, or a major part of management is personnel administration (58).

One basic premise that should underlie an organization's professional relations philosophy is recognition of the individual worth and human dignity of each employee. This requires a system of management and an organization that can insure that each business or functional
decision is made only after the impact on people is carefully weighed and has itself become a factor in the decision-making process.

In large, widespread and/or diverse organizations, it is not sufficient simply to express good intentions at the administrative levels; the policies must be translated into day-to-day actions at all locations.

In developing and utilizing professional employees, each step in employment can make meaningful contributions toward teamwork. Recruitment, selection, induction, training, appraisal, constructive discipline, and job changes—each of these, at various levels, plays an important part in motivation and in the most productive professional personnel, the recruitment and selection programs must be adapted to those needs (15, p. vi).

Another important way in which management and administration can encourage satisfying productive work relationships is to develop a sound pay plan. In setting wages, administration and management can benefit by the thinking and experience of union leaders; in determining salaries, management must consider the special needs of executive and professional personnel.

In recent years, management has assumed new responsibilities for meeting employee needs through personnel services and benefit programs. These are sometimes furnished jointly with government or union collaboration; in total, a major contribution is being made toward the security needs of the individual in our complex society.

However, questions such as the following must be considered in planning and administering such programs: What is the proper role of
the employer in becoming so involved with the off-the-job problems of the individual employee? To what extent do employers recognize what the total effect and what the total cost of these several "fringe" benefits may be (15, p. vi)?

Executives feel that the present government thrust toward equal employment opportunity will result in increased expenses, decreased productivity, lowered morale and employment standards, and a general decrease of control over their manpower resources. Executives and administrators generally understand that one of their functions is maximizing the utilization, conservation, and development of an organization's corporate assets; they are inclined to forget, however, that this responsibility includes the assets of people as much as those of money, equipment and good will. It is an unfortunate fact of life that only when the organization is being threatened in this area does this responsibility get the attention it should have had all along (81).

The manner in which personnel functions are carried out in schools today fails to encourage outstanding performance from teachers. In fact, they contribute to the development of a teacher-dominated bureaucracy. This unfortunate circumstance is a result of (1) unimaginative practices; (2) provincialism in the sense that school personnel executives are estranged from the field of personnel administration in general; (3) low status given to personnel functions in schools as compared with general administration, finance, business and curriculum; and (4) insufficient power and financial support given to personnel functions (93, p. 108).
Administrative effectiveness for school executives is thoroughly
dependent upon enlightened personnel policies and practices which have
the potential to provide meaningful satisfaction for school members and
stimulate extraordinary performance on behalf of school goals. Per-
sonnel functions are fundamental to school success, for staff growth
and development and student growth and development are interdependent
(\^\textsuperscript{\textcopyright}3, p. 108).

In recent years, companies have found their personnel costs
rising and their personnel management activities growing more difficult
because of labor shortages, turnover, government regulations, and
numerous other factors. As a result, they have been taking a sharper
look at the procedures and instruments they use for selection, training,
and other personnel activities. Some companies have gone beyond just
looking at their personnel problems and have conducted personnel
research to answer questions about whom to employ, how to decrease
turnover, whom to train, how to increase job satisfaction, and so forth.
Such research ranges from simple collection of descriptive data to
more complex basic behavioral science research, and the latter has been
found especially useful in its application.

This investigator believes that university and college adminis-
trations must follow this example if they are to understand and "deal
with" issues of collective bargaining, equal opportunity, tenure and
the related personnel policies. According to the Carnegie Commission on
higher education:

The governance of higher education in the United States is currently
more subject to challenge than it has been in most earlier historical
periods. It has been subject, particularly over the past decade,
to a number of internal and external attacks and collisions. This development reflects the pressures of conflict and change now affecting academic life, because both conflict and change make the processes decision-making more important to those who participate in, or are substantially affected by, higher education. Central issues have been raised. Basic principles are at stake (42, p. 3).

Careful analysis, particularly by faculty members, of the professional implications of formal collective bargaining, and of the comparative values of alternative patterns of governance, is essential, along with better adaptation of tenure practices to the current realities of academic life. By 1985, we are likely to have eighty per cent of full-time faculty members with tenure, if current trends continue, and over ninety per cent with tenure in 1990 (42, p. 9).

Policies on promotion and tenure are more of an issue both as the rate of growth of higher education slows down, thus making fewer opportunities available, and as women and members of minority groups compete more actively for the available opportunities (42, p. 3).

An important additional responsibility of higher education's administrators has been brought about by a change in Civil Rights legislation in 1972. Title VII of the Civil Rights Act prohibits discrimination in employment on the basis of race, color, religion, national origin, or sex. All institutions with fifteen or more employees—including state and local governments, school systems, and labor organizations—are covered under the amended act. The specific conditions of employment covered by Title VII includes:

Recruitment, selection, assignment and transfer, layoff, discharge, and recall.
Opportunities for promotion.
In-service training opportunities.
Wages and salaries.
Sick leave time and pay.
Vacation time and pay.
Overtime work and pay.
Medical, hospital, life, and accident insurance.
Retirement plans and benefits.
Other staff benefits (108).

After nearly a decade of confusion and misunderstanding, the meaning of Federal laws and regulations requiring non-discrimination in employment is becoming much clearer as a result of a growing body of Federal court decisions. What is required for substantive compliance with the law is substantial change in the traditional approach to personnel management. The courts are saying that non-discrimination in employment is the law. This turns out to mean far more than avoiding overt discrimination against specific individuals, or even the impartial application of existing policies and procedures to all the various classes protected by law. Rather, the courts are saying that it is the results of an employer's actions, and not his intentions, that determine whether he is discriminating. Thus, it is illegal to continue policies, standards, or practices that operate to produce a disparate impact on the employment status or opportunities of minorities, women, or any other class protected by law (108, p. iii).

The world around higher education is changing. The needs, wants, and desires of professionals (and people in general) are moving in new and complicated directions, and higher education can learn from experience in the private sector how to meet the challenge of these personnel policy issues.

What motivates persons to work effectively? A challenging job which allows a feeling of achievement, responsibility, growth, advance-
ment, enjoyment of work itself, and earned recognition. What dissatisfies persons? Is it mostly factors which are peripheral to the job--work rules, lighting, coffee breaks, titles, seniority rights, wages, fringe benefits, and the like? When do persons become dissatisfied? Is it when opportunities for meaningful achievement are eliminated and they become sensitized to their environment and begin to find fault? These and other interesting conclusions were drawn from a six-year study of motivation research conducted at Texas Instruments, Inc (58, p. 1).

The rapidly changing environment no longer affords time for the administrator to develop competence through an extended trial-and-error apprenticeship. Furthermore, in view of today's modern orientation to higher education, she/he is often selected because of her/his professional competence in a specific discipline. This only increases her/his need for a simple and practical theory of personnel administration that will accelerate the acquisition of administrative know-how.

The concept of maintenance (Figure 3) and motivation is not strange or abstract, but is clearly part of the experience and repertoire of most administrators (65, p. 15). Naturally, to become fully effective, motivation-maintenance theory must find expression in the day-to-day behavior and decisions of administrators. The quality of administration is reflected in performance, attendance, morale, and ultimately in quality education. However, these factors seldom lend themselves to timely or accurate measurement. Since employee attitudes are measurable predictors of behavior, a formalized attitude measurement program can be designed around the motivation-maintenance theory. By this means,
effectiveness in each of the six maintenance and the four motivation-need areas can be appraised. A deficiency in one of these need areas, such as security or orientation, signals a need for reinforcing efforts in that area. Model programs can then be developed as practical examples of the theory (65, p. 16).

Implications for Personnel Professionals

In the final analysis, the workability of a theory of management depends on its integration into the total administrative process. Further, motivation-maintenance theory, like any theory of management, is at the mercy of its practitioners and will remain intact and find effective utilization only to the extent that it serves as a mechanism for harnessing constructive motives (65, p. 16).

To bolster the development of a survey for new insights to face the challenges of personnel issues, university personnel professionals' methods should take advantage of other research.

All sectors--the public sector, the private sector, Congress, students, professional societies--are concerned that some of the new approaches to personnel policies (tenure, equal opportunity, collective bargaining) will affect the quality of education of the students and of the faculty.

Clare W. Graves suggests four views: (1) Organization; (2) administration; (3) behavioral science; and (4) organizational psychology. From the organizational viewpoint, the problem of deteriorating standards occurs when professionals at work are not meeting the organizational standards for quantity and quality of performance. The task of the
organization is to find ways to achieve the necessary productive output. This is a task which falls into the hands of the decision-maker, or in this case, higher education's administrators (65, p. 29).

To the decision-maker, the problem of deteriorating professional standards has implications for two of his functions: (1) formulating new alternatives when there is a major change in the educational environment, and (2) choosing from the alternatives formulated which one or more would be best to follow. Both of these tasks are difficult. New alternatives are hard to formulate because of the confusing and contradictory information about the professional woman/man; and choice is difficult because it cannot be made on the basis of carefully weighed and substantive information. Therefore, the administrator simply cannot perform these functions in an ideal manner. He has to rely too much on preconception, not enough on knowledge (65, p. 30).

Writing from a behavioral science point of view, Douglas McGregor has suggested that deteriorating performance standards result when people react to work control systems "with indolence, passivity, unwillingness to accept responsibility, resistance to change, willingness to follow the demagogue, unreasonable demands for economic benefits." He calls deterioration a phenomenon which arises when people at work fight managerial control systems--control systems which deprive them of the "opportunities to satisfy at work the needs which are now important to them (66)."

McGregor's words tell much about the problem. However, people change their needs, and at that point, administrators must have flexible systems that react to these new needs, that is, the changes. From the
perspective of organizational psychology, deteriorating performance standards are a complex of interactions among the administrators, the administrative systems used to bring about desired production, and the producer (the professional).

To have good performance and policy standards, in this view, one must have a fit between these three influences. Otherwise, satisfactory in-roads will not be made into the problem of deteriorating performance standards. To achieve this fit, one must:

- know the results of recent research on the nature of man;
- learn how the information relates to deteriorating performance standards;
- learn how to use this new information with respect to deteriorating performance standards (66).

John D. Millet scopes the problem of higher education and effective personnel administration by recommending:

A comprehensive personnel management program will include policies and procedures involving a number of important aspects. A total systems approach incorporating a table of organization, with job descriptions and job classifications, and procedures for training and development must be devised in such a way that the entire enterprise is well organized, but not inflexible. Set standards in wage and salary management, recruitment and placement, work supervision and evaluation, promotion, tenure and separation, fringe benefits, and safety and health will preclude many traditional problems. Finally, grievance procedures, retirement and collective bargaining are current issues requiring careful attention (1, p. 5).

He cautions that a serious breakdown in personnel management is evidenced by failures in communications; failures in making personnel management policies reasonable and understandable to all individuals comprising the work force of the enterprise. Personnel administration should have and should have need of no secrets (1, p. 5).

Millet goes on to state:
The personnel function, like all functions of enterprise, both operational and managerial, requires its definite, clearly formulated objectives. It is found in practice that most universities have not gotten around to setting forth with any precision what their actual personnel objectives are. Rather, the existence of some set of objectives is taken for granted, which means that few persons know what those objectives actually may be (1, p. 7).

Conclusions

The writer has concluded from his review of the literature, that more attention must be given to the attitudes of professional employees both teaching and non-teaching on the university and college campuses. In addition, the writer has concluded that insufficient research is being carried out about professional personnel practices at the university or college level. Also, there is a scarcity of knowledge about concepts of educational professional personnel policies and practices.
CHAPTER III

METHODOLOGY

Research Design

Because of the wide divergence of opinion about the attitudes of professional/exempt employees, greater understanding of those attitudes is required if educational governance and management in the private sector are effectively to carry out their respective roles, i.e., the delivery of educational services to the community, or the provision of goods and other services. This chapter presents the research design to achieve the objectives cited in Chapter I, and involves several phases, including an attitude survey of professional employees of an institution of higher education, University X, and a company in the private sector, Company A.

As detailed later in this chapter, limited interviews were held with teaching faculty, non-teaching professionals, and administrators from a sampling of educational institutions located in various geographical areas. The information obtained during those interviews included:

The identification of policies and practices followed in their institutions which were deemed by administrators to have been formulated and implemented with a primary objective of providing greater employment satisfactions to their faculties and other professionals.

The identification of policies and practices which were deemed by professionals to provide employment satisfactions.

The identification of policies and practices which were deemed by professionals to have resulted in dissatisfaction and lowered morale.
In addition, limited interviews were held with professionals in several private sector companies located in various geographical areas, and information obtained from these exempt/professional employees.

All interviews were patterned after the methodology of Ralph E. Balyeat whose study (8, p. 9) identified some 80 or more factors (see Appendix E) suggested by faculty as sources of satisfaction or dissatisfaction. Many of the same factors identified by Balyeat were discussed by the writer with those persons interviewed. The Balyeat study included a rating scale of policies and practices identified during interviews, designed and distributed to a random sampling of approximately 3000 faculty members, Ph.D. candidates and administrators in private institutions located in all geographical areas of the United States. These rating scales were designed to determine the degree of satisfaction (or dissatisfaction) which the respondent derived (or felt he would derive) from the item in question as well as the relative importance which faculty, graduate students, and administrators placed on these factors (8, p. 9). As indicated earlier, this writer assumed the validity of Balyeat's study.

This phase of the study was designed to explore the effect of identified policies and practices on faculty morale and resulting faculty turnover. Extensive (127) non-directive interviews were conducted with faculty members who had changed positions within the past five years, and they were encouraged to talk about their previous as well as their current employment environment. A record was kept of all factors mentioned which motivated the respondent to change position as well as those which he mentioned positively or negatively.
as they applied to his current position (8, p. 10). Balyeat's study was most helpful to the writer in assessing key influence factors concerned with higher education's personnel practices.

Additionally, a review of the current literature was conducted and a "desk audit" accomplished. The historical genesis of personnel practices and benefits for all professionals was reviewed. Professional personnel practices in both the private and the educational sectors were examined with specific emphasis on the two units Company A and University X. (Appendix B and A respectively are reflective of a sample of professional personnel practices for Company A, University X and other institutions of higher learning.)

The impact of civil rights and equal employment enforcement agencies, along with collective bargaining units with tenure overtones was reviewed.

A review was conducted of a limited number of existing professional personnel model programs/practices which have been designed as a result of the private sector's experience in meeting the challenges of both organized labor and Title VII of the Civil Rights Act (Appendix C).

As indicated earlier, an attitude survey was conducted among professional employees of University X and Company A using a relevant and previously tested instrument developed by Glen A. Bassett, et al, of Company A's employee relations' function operation for an internal company study. Bassett also compiled the Company A test data while the writer provided "inputs" concerned with equal opportunity to the Company A attitude survey during the field test.

An initial testing of the questionnaire was conducted through
the use of a test group of professional employees at Company A where the questions to be answered could be easily explained. (This field test was performed by Bassett.) Because there was no difficulty in gaining the information desired, and because Bassett had earlier subjected the data to extensive reliability testing, the instrument was deemed acceptably valid for use in the current study (13).

The study provided this writer with an assessment of exempt/professional employee perceptions regarding:

Knowledge of existing policies
Adequacy of practices
Fairness in administration of policies and practices
Overall job satisfaction

The attitude survey data was analyzed and examined via standard inferential statistical procedures—Chi-Square (See Tables 1 and 2). Common attitudes about key professional practices were identified and established as a .01 level of confidence in most cases and a .05 level of confidence for some others.

Population and Sample

The private sector company—Company A—is a division of a major U. S. corporation engaged in technological research and development. Because of the sophisticated high technology nature of its research, Company A employs an unusually high percentage (well over 50%) of professional/exempt employees, college graduates who hold advanced degrees (Tables 3-7 present the comparative factors).

University X is a major state university with approximately 25,000 students. Eight colleges and schools of the university and one unaffiliated department are authorized to offer graduate degrees through
COMPUTER PROGRAM FOR CALCULATING CHI-SQUARE

LIST

01 FOR I = 1 TO 3
 03 READ B$(I)
03 NEXT I
04 DATA (NOT SIG),(SIG AT .05),(SIG AT .01)
05 DIM A$(55)
10 PRINT "CHI SQUARE CALCULATIONS ON SELECTED SURVEY PROJECT SUBJECTS"
15: CHI2 FOR THE 'CCCCCCCCCCCCCCC FACTOR IS ####.## 'CCCCCCCCCC
20 FOR I = 1 TO 6
30 PRINT
40 NEXT I
45 LET L = 55
50 FOR I = 1 to L
60 READ A$(I),X,Y
70 LET A = (Y / 100) * 120
80 LET B = 120 - A
90 LET C = (X / 100) * 286
100 LET D = 286 - C
110 X2 = (406*(((A*D)-(B*C)**2))/((A+B)*(C+D)*(A+C)*(B+D))
120 IF X2 <= 3.83 GO TO 200
130 IF X2 <= 6.63 GO TO 150
140 LET Z = 3
145 GO TO 210
150 LET Z = 2
160 GO TO 210
200 LET Z = 1
210 PRINT USING 15, A$(I), X2, B$(Z)
220 NEXT I
TABLE 2

COMPUTER PROGRAM

Data Input

*322DATA PERF-APPR POL DK,15,28
*LIST 300

301DATA SELF-NOM COMM INADEQ,69,45
302DATA PROM COMM INADEQ,67,33
303DATA MPERF COMM INADEQ,55,46
304DATA RIF COMM INADEQ,62,40
305DATA COMPLNT COMM INADEQ,60,30
306DATA CAR-COUNS COMM INADEQ,64,47
307DATA DISCIP COMM INADEQ,36,48
308DATA TRNSFR COMM INADEQ,49,46
309DATA SAL-ADM COMM INADEQ,51,43
310DATA EEO COMM INADEQ,25,22
311DATA PERF-APPR COMM INADEQ,39,34
312DATA SELF-NOM DK,93,66
313DATA PROM POL DK,71,36
314DATA MPERF POL DK,70,66
315DATA RIF POL DK,61,62
316DATA COMPLNT POL DK,71,25
317DATA CAR-COUNS POL DK,72,77
318DATA DISCIP POL DK,34,63
319DATA TRNSFR POL DK,41,68
320DATA SAL-ADM POL DK,40,67
321DATA EEO POL DK,22,16
322DATA PERF-APPR POL DK,15,28
500END

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the graduate school.

The actual names of these two units are not used to preserve confidentiality, and all references to studies, reports, and/or publications produced by their respective staffs are cited in the confidential section of the bibliography.

Procedure

Private and public sector programs, government information, and the literature were researched in attempt to ascertain data and other critical problems, solutions and concepts relating to professional personnel practices and the identification and impact of outside influence factors on these practices.

A written questionnaire was administered by Bassett (11, p. 3) to a sample of 286 Company A professional/exempt employees. Bassett et al selected the names of participating employees at Company A by using computerized random sampling procedures (109, p. 3). The questionnaires, consisting of seventy multiple choice questions, were administered by Company A employee relations personnel. At Company A all 286 questionnaires were returned.

With the exception of two questions, a similar questionnaire was administered to 150 professional employees of University X. One hundred of these professional employees were selected using a random number table technique (62, p. 218).

To insure that all professional employees had the chance to be included in the sample population, numbered tickets containing their names were placed in a box, shaken thoroughly and 100 drawn blindfolded
Subsequently, the questionnaires with an introductory paragraph explaining the purpose of the survey, the subject matter of this study, and its intent, were mailed to the 100 randomly selected people. The introduction explained the need for the gathering of the data and acknowledged that the subjects are busy, and many of them would have a difficult time finding time to complete questionnaires, and suggested a deadline for return of the questionnaire. In addition, University X employees were approached in the meal facilities during lunch time and another 50 questionnaires were issued. Altogether 120 of the questionnaires were returned to the writer.

The overall study design allowed for reporting the data in various demographic categories. A profile of the overall sample showing the various categories is shown on Tables 3-7, Chapter 4. A copy of the questionnaires is also included as Appendix D, exhibits 1 and 2.

Rationale

Many studies of personnel practices, benefits, and job satisfaction have similar concepts. According to Balyeat:

The numerous studies of factors relating to job satisfaction which have been conducted have two things in common:

(1) They relate primarily to jobs in business and industry.
(2) They consider the influence of various jobs satisfactions productivity. This study differs from the above in two respects. In the first place it related to university and college faculty in an educational environment. It also seeks to identify and evaluate motivational factors as an influence upon a staff member's propensity to continue his current position or to seek a change to some other employment environment, rather than the motivational factors as they influence an employee's productivity in a given environment (8, p. 10).
Psychological principles hold that human behavior never occurs by chance, it is always caused by the combined influence of the various stimuli which motivate an individual. This is equally applicable to the industrial or business employee, the university professor, or for that matter to any member of society. One's behavior pattern is a result of the stimuli of his total environment, regardless of whether the behavior pattern relates to the increased productivity of an industrial employee or if it concerns a decision of a university professional to remain in his current position or to seek employment elsewhere. This study will attempt to isolate those stimuli, designated as influence factors, and to determine their relative motivational influence insofar as changing employment is concerned.

Herzberg, in his study of motivation (47), minimizes the motivational effect of various environmental conditions which he designates as "hygiene items" or factors. He concludes that the removal of these so called dissatisfying elements does not necessarily result in greater satisfactions to individuals. His conclusions, however, overlook the fact that the motivational influence to change positions stems basically from cumulative dissatisfaction with one's current position rather than from a comparative evaluation of satisfactions derived from a current position and those of a specific position elsewhere. A fulfilled need is no longer a motivational influence, therefore, it directly follows that the removal or correction of dissatisfying factors will reduce the cumulative motivational influence of those factors and will, therefore, substantially reduce turnover of professionals in our universities and colleges (8, p. 11).
We are concerned here with common attitudes and the transferability of practices or programs that circumvent the typical professional employee "maintenance needs"—(physical, economic, security orientation, status or social) and focus on the "motivation needs"—(growth, achievement, responsibility, and recognition [65, p. 14]).

**Description of Variables**

A 70 item questionnaire set forth the following demographic descriptive variables: Names were not used, however, length of service, sex, type of profession, and race (defined as Black, other minority, or non-minority) were elicited.

The dependent variables included: eight questions involving the area of management/administrative credibility. In the area of general employment conditions, eight questions were asked including three questions about pay or compensation. The remaining 36 questions (independent variables) were concerned with personnel practices and policies, and how they are communicated, as well as other aspects of employment.

**Testing of Significance**

The writer investigated several methods for determining significance between the variables in this study. One method that could be applied is to determine the criterion of best fit, that is to use regression analysis and Carl Pierson's least squares criterion for predicting Y from X (62, pp. 166-167).

In addition, the writer reviewed other techniques for making comparisons and relationships between data (numbers).
In the writer's opinion, the most appropriate approach for testing significance between the dependent and independent variables in this study is to use the Chi-Square approach and more specifically the Chi-square concept having a 2 x 2 table (52, p. 137).

The writer was careful to note the restrictions on the use of Chi-square:

Chi-square can be used only with frequent data.

Chi-square requires that the individual events or measures are independent of each other. In other words, each response must be free of any influence upon the nature of any other responses being compared.

In general, no theoretical frequency should be smaller than 5.

There must be some logical or empirical basis for the way the data are categorized.

The algebraic sum of the discrepancies between the observed and the corresponding expected frequencies will be zero.

The writer feels that Chi-square is a better means of answering questions about this study's data existing in the form of frequencies (52, p. 135).

Chi-square is a test for significance between variables at the non-parametric level of data. Nominal or ordinal data are placed into a contingency table in frequencies. Using the observed frequencies, expected frequencies may be computed, and a comparison of what was observed and what would be expected according to probability can be made.

This test may be normally used to test for differences between groups or samples and a given variable, it can also be used as a test of goodness of fit between distributions.

Chi-square is sometimes used as a test of independence, or the degree of association between or among variables. In this study the
The writer has stated the hypothesis in this manner—"there is a significant similarity (association) among the variables."

In Chi-square the degrees of freedom equals the number of rows minus one, times the number of columns minus one. The appropriate values for the .05 and .01 levels of significance were then looked up on a table (52, p. 181).

For a contingency table having two rows and two columns, (a two by two table), the df would equal one.

Formula: \[ df = (\# \text{ rows} - 1)(\# \text{ columns} - 1) \]

Critical values for a 2 x 2 table are 3.841 at the .05 level, and 6.635 at the .01 level in terms of rejecting the null hypothesis.

In some responses to this writer's survey questions, choices of "Strongly Agree - Agree - Indifferent - Disagree - Strongly Disagree" were provided, and these five categories were reduced to "Agree - Disagree."

Much like tests for differences between means, the statistical significance of Chi-square is directly related to the size of the sample.

To compute the Chi-square ratios, the writer followed the example given in Figure 4.

After collecting and reviewing the data and the statistical inferences, the writer examined the implications. The next chapter will present the statistical findings relative to the overall study.

The writer feels that Chi-square provides the best means of answering questions about the data collected as part of this study. Some of the questions to be answered include whether the frequencies observed in the two populations, Company A and University X data deviate significantly.
When \( d = .01 \) and \( df = 1 \)

The critical value of \( x^2 \) is 6.64, (62, p. 397)

\[
X^2 = \frac{N(AD - BC)^2}{(A+B)(C+D)(A+C)(B+D)}
\]
CHAPTER IV

PRESENTATION OF THE DATA

When considering conclusions derived from this research, one must recognize that the project undertaken was primarily a matter of gathering and presenting statistical information which could be of inestimable value to university and college administrators who wish to identify factors which may assist in improving professional employee policies and practices. Thus, the primary value to be derived lies in the potential for corrective action rather than the research as an end in itself. At the time an administrator or manager is considering the adequacy of any policy or practice to provide satisfaction or at least not to create dissatisfaction, he must remember that the criterion of judgement must be the professional employee's reaction to that policy and practice rather than the administrator's opinion as to the adequacy of the factor to meet the needs of his professionals.

The analysis of the data gathered in the questionnaire is presented in this chapter. It includes descriptive analysis and inferential analysis of the data. A descriptive analysis of the data of the sample of 120 professional employees from University X and 236 professional (exempt) employees of Company A and serves to reflect the characteristics of the populations. The inferential analysis is presented in the second section of this chapter.
Personal Characteristics of the Professionals

The descriptive variables of personal characteristics of the participants were sex, race, academic status, age for Company A professionals, and nature of work for University X professionals. The findings of the analysis are presented in separate sections for each variable.

Sex

The comparisons of the sex of the University X professionals in the sample with the Company A professionals are found in Table 3. It is important to note that the males are predominate in both populations which may account for renewed efforts by civil rights agencies to ensure equal opportunity for women.

Race

The comparison of race, non-minority versus minority, of the University X professionals in the sample with the Company A professionals are found in Table 4. At Company A, six minorities are 2% of the total sample while at University X, the fifteen minorities comprise 12.5%. This too may account for the emphasis by the civil rights regulatory agencies' thrust in the equal employment opportunity area.

Academic Status

The comparison of academic status in Table 5 reflects the emphasis on formal college degrees held by professionals in University X as compared to Company A.
TABLE 3

COMPARATIVE DATA OF PARTICIPANTS BY SEX

<table>
<thead>
<tr>
<th></th>
<th>Male</th>
<th></th>
<th>Female</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
</tr>
<tr>
<td>UNIVX (N=120)</td>
<td>86</td>
<td>72</td>
<td>34</td>
<td>28</td>
</tr>
<tr>
<td>COMPA (N=286)</td>
<td>277</td>
<td>97</td>
<td>9</td>
<td>3</td>
</tr>
</tbody>
</table>
# TABLE 4

## COMPARATIVE DATA BY RACE

<table>
<thead>
<tr>
<th></th>
<th>Minority</th>
<th></th>
<th>Non-Minority</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
</tr>
<tr>
<td>UNIVX (N=120)</td>
<td>15</td>
<td>12.5</td>
<td>105</td>
<td>87.5</td>
</tr>
<tr>
<td>COMPA (N=286)</td>
<td>6</td>
<td>2</td>
<td>280</td>
<td>98</td>
</tr>
</tbody>
</table>
TABLE 5

COMPARATIVE DATA ON PARTICIPANTS BY COLLEGE DEGREE

<table>
<thead>
<tr>
<th></th>
<th>Degree</th>
<th></th>
<th>No Degree</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
</tr>
<tr>
<td>UNIVX  (N=120)</td>
<td>113</td>
<td>94</td>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>COMPA  (N=286)</td>
<td>194</td>
<td>68</td>
<td>92</td>
<td>32</td>
</tr>
</tbody>
</table>
Age

Table 6 reflects the frequency of two age ranges of the professionals at Company A. Forty two per cent of those respondents are in the range from 18 years to 39 years and 58% range from 40 years to 65 years of age.

Nature of Work

Table 7 differentiates between the frequencies of faculty, non-teaching professionals, and administrators at University X. This population included 58% faculty, 24% administrators, and 18% non-teaching professionals.

Survey Results

Overall, employees (86% University X and 85% Company A) were quite favorable regarding the fairness of management treatment by responding that professional/exempt employees are treated fairly by administration/management. These professional employees were somewhat less positive, however, when asked if management's treatment of them encouraged them to do their job as well as they could, 20% of University X and 36% of Company A participants disagreed with the following statement:

I am treated in a way which encourages me to try to do my job as well as I can in order to help ensure that we put out a high quality competitively priced product or service.

While most employees felt that relationships between administration/management and employees had stayed the same over the past year, 23% University X and 25% Company A said that relationships had gotten worse and 15% University A and 44% of Company A said that they...
TABLE 6

AGE

<table>
<thead>
<tr>
<th></th>
<th>18 - 39</th>
<th></th>
<th>40 - 65</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
<td></td>
</tr>
<tr>
<td>COMPA (N=286)</td>
<td>126</td>
<td>44</td>
<td>165</td>
<td>56</td>
</tr>
</tbody>
</table>
TABLE 7

NATURE OF WORK

<table>
<thead>
<tr>
<th></th>
<th>Administrators</th>
<th></th>
<th>Faculty</th>
<th></th>
<th>Non-Teaching Professionals</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
</tr>
<tr>
<td>UNIVX (N=120)</td>
<td>29</td>
<td>24</td>
<td>70</td>
<td>58</td>
<td>21</td>
<td>18</td>
</tr>
</tbody>
</table>
disagreed that sufficient effort was made in this area.

When asked about their immediate manager, 80% of those surveyed said that they were usually treated fairly when discussing problems or complaints, and approximately two-thirds, overall, felt that their immediate department head or manager was doing "a very good" or a "good job."

In order to obtain some measure of professional/exempt employee reaction to equal opportunity efforts, employees of Company A were asked to indicate how they felt about efforts to hire, train, and upgrade people from minority groups. Thirty-five per cent said that Company efforts had been "about right" while an additional 13% said that efforts "had been good, but more were needed." Overall, 39% said "there had been too much emphasis on this area," and 11% said they "didn't believe that any special efforts should be made." Only 2% said they "were not aware of any special efforts" by the company in this area.

At University X, by contrast, 22% said that the efforts had been "about right," and 44% said that efforts "had been good, but more were needed." Overall, 24% said there had been too much emphasis on equal opportunity and 6% said they didn't believe any special efforts should be made. Only 4% said they were not aware of any "special efforts" by University X.

In summary, while employees were quite positive regarding general conditions and their overall treatment by management/administration, there were a number of areas where concern was expressed, that:

their treatment did not encourage their best efforts.
relationships between management and employees had gotten worse over the past year.

management communications was not frank and honest.

insufficient effort was made to get the opinions and thinking of employees.

the job done by their immediate manager was only fair to poor.

there was too much emphasis on minority programs.

Tables 8 through 15 are reflective of those questions on professional employee attitudes concerning management and administrative credibility. Tables 16 through 23 reflect the responses to questions of attitudes about general employment conditions, and Tables 24, 25, and 26 reflect attitudes about pay and compensation.

**Summary of Findings**

Results of the data indicate, in the area of management administrative credibility, 50% of the responses to the attitude survey by Company A and University X professional employees show a significant difference.

For the eight survey questions shown in Tables 8 through 15, four of the questions showed a significant difference in the responses and were rejected at the .01 level of significance, and four of the questions did not show a significant difference in the responses. From a management or administration standpoint, this statistical evidence may be deemed inconclusive but nevertheless there is no clear indication that management/administration does have credibility with its professional employees.

The data seems to indicate that the overall improvement of
TABLE 8

My feeling about management's fair treatment of exempt employees here is:

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>86</td>
<td>14</td>
</tr>
<tr>
<td>COMPA</td>
<td>85</td>
<td>15</td>
</tr>
</tbody>
</table>

\[ x^2 = .07 \]

\[ P > .01 \]
I am treated in a way which encourages me to try to do my job as well as I can in order to help ensure that we put out a high quality, competitively priced product or service. Do you agree or disagree?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>80</td>
<td>20</td>
</tr>
<tr>
<td>COMPA</td>
<td>69</td>
<td>36</td>
</tr>
</tbody>
</table>

\[ X^2 = 10.7 \]

\[ P < .01 \]
TABLE 10

During the past year, would you say relationships between management and employees here have been getting worse?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>23</td>
<td>77</td>
</tr>
<tr>
<td>COMPA</td>
<td>25</td>
<td>75</td>
</tr>
</tbody>
</table>

\[ \chi^2 = .18 \]

\[ P > .01 \]
Overall, when you think about the way management communicates with employees here, do you feel management is not frank and honest?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>30</td>
<td>70</td>
</tr>
<tr>
<td>COMPA</td>
<td>34</td>
<td>66</td>
</tr>
</tbody>
</table>

\[
X^2 = .61 \\
P > .01
\]
TABLE 12

Sufficient effort is made to get the opinions and thinking of people who work here. Agree or disagree?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>73</td>
<td>27</td>
</tr>
<tr>
<td>COMPA</td>
<td>57</td>
<td>43</td>
</tr>
</tbody>
</table>

\[ x^2 = 9.2 \]
\[ p < .01 \]
TABLE 13

When you discuss problems or complaints with your manager or supervisor, are you treated fairly?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>82</td>
<td>18</td>
</tr>
<tr>
<td>COMPA</td>
<td>81</td>
<td>19</td>
</tr>
</tbody>
</table>

$$X^2 = .06$$

$$P > .01$$
Overall, do you feel a good job is being done by your immediate manager/supervisor?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>77</td>
<td>23</td>
</tr>
<tr>
<td>COMPA</td>
<td>60</td>
<td>40</td>
</tr>
</tbody>
</table>

$X^2 = 10.7$

$P < .01$
TABLE 15

Do you feel the Company should increase its efforts to hire, train, and upgrade people from minority groups?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>30</td>
<td>70</td>
</tr>
<tr>
<td>COMPA</td>
<td>50</td>
<td>50</td>
</tr>
</tbody>
</table>

$X^2 = 13.7$

$p < .01$
TABLE 16

Would you rate your total benefits program (Insurance, Medical, Pension, etc.) as good?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>61</td>
<td>39</td>
</tr>
<tr>
<td>COMPA</td>
<td>88</td>
<td>12</td>
</tr>
</tbody>
</table>

\[ x^2 = 38.5 \]

\[ p < 0.01 \]
TABLE 17

Would you rate this company in providing job security for people like yourself as poor?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>32</td>
<td>68</td>
</tr>
<tr>
<td>COMPA</td>
<td>42</td>
<td>58</td>
</tr>
</tbody>
</table>

\[ x^2 = 3.6 \]

P > .01
TABLE 18

Do you feel the way layoffs or reductions in force are handled for exempt employees like yourself is unfair?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>11</td>
<td>89</td>
</tr>
<tr>
<td>COMPA</td>
<td>21</td>
<td>79</td>
</tr>
</tbody>
</table>

$X^2 = 5.7$

$P < .01$
TABLE 19

My job makes good use of my skills and abilities. Do you agree or disagree?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>90</td>
<td>10</td>
</tr>
<tr>
<td>COMPA</td>
<td>75</td>
<td>75</td>
</tr>
</tbody>
</table>

\[ X^2 = 11.6 \]

\[ P < .01 \]
TABLE 20

Considering everything, how would you rate your overall satisfaction at the present time?

<table>
<thead>
<tr>
<th></th>
<th>Satisfied %</th>
<th>Dissatisfied %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>90</td>
<td>10</td>
</tr>
<tr>
<td>COMPA</td>
<td>82</td>
<td>18</td>
</tr>
</tbody>
</table>

\[ \chi^2 = 4.1 \]

\[ P < .01 \]
TABLE 21

My work gives me a feeling of personal accomplishment.

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>87</td>
<td>13</td>
</tr>
<tr>
<td>COMPA</td>
<td>63</td>
<td>37</td>
</tr>
</tbody>
</table>

\[ x^2 = 23.2 \]

\[ P < .01 \]
Do you feel the way promotions and upgrades for employees like yourself are handled fairly here?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>18</td>
<td>72</td>
</tr>
<tr>
<td>COMPA</td>
<td>31</td>
<td>69</td>
</tr>
</tbody>
</table>

\[ \chi^2 = 7.2 \]

\[ p < .01 \]
TABLE 23

Is there much likelihood that you will leave because of dissatisfaction with your job or the Company to take another job within the next 12 months?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>13</td>
<td>87</td>
</tr>
<tr>
<td>COMPA</td>
<td>18</td>
<td>82</td>
</tr>
</tbody>
</table>

\[ X^2 = 1.5 \]
\[ p > 0.01 \]
TABLE 24

Do you feel your present pay is low?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>17</td>
<td>83</td>
</tr>
<tr>
<td>COMPA</td>
<td>59</td>
<td>41</td>
</tr>
</tbody>
</table>

\[ x^2 = 59.9 \]

\[ P < .01 \]
TABLE 25

In comparison with people in similar jobs in other companies, I feel my pay is lower:

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>18</td>
<td>82</td>
</tr>
<tr>
<td>COMPA</td>
<td>43</td>
<td>57</td>
</tr>
</tbody>
</table>

\[ x^2 = 23.0 \]
\[ P < .01 \]
**TABLE 26**

Do you feel the way salary decisions for employees like yourself are handled fairly here?

<table>
<thead>
<tr>
<th></th>
<th>Agree %</th>
<th>Disagree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVX</td>
<td>80</td>
<td>20</td>
</tr>
<tr>
<td>COMPA</td>
<td>72</td>
<td>28</td>
</tr>
</tbody>
</table>

\[ X^2 = 2.8 \]
\[ P > .01 \]
management and administrative credibility with professional employees can be assisted by new approaches of communications between administration, management, and professionals. The writer will further interpret this thought in Chapter V.

The second area of concern is in the area of general employment conditions. The responses to the questions in this area of general employment are reflected in Tables 16 through 23. Four of the questions are significant at the .01 level, two are significant at the .05 level, and two of the questions show no significant difference. Collectively, this indicates that in most areas inquired of by the test instrument, the total sample of Company A and University X agree that all in all, job conditions are good.

In Tables 24, 25, and 26 which reflect data concerned with pay and compensation, two of the questions show significant differences, and one does not. However, the data reflects that 75% of the total population of respondents of Company A and University X agree that salary decisions are handled fairly. Conversely, 83% of University X population is satisfied with their pay whereas, only 51% of Company A is satisfied.

The writer in the next chapter will propose an example of a model program that should assist management and administration in improving the attitudes of professional employees toward administration. Appendix D contains several programs that could be considered new and different approaches by Company A management to improve professional employee practices. Further research is required to develop the concepts from those model programs for use by higher education. Of the
data shown in Tables 27 through 29 reflecting responses from 36 of the survey questions in the area of personnel practices and job aspects, 13 show no significant difference and two show a significant difference at the .01 level of confidence, and one shows a significant difference at the .05 level of confidence.

The writer was interested in eleven personnel policies cited in the questionnaire and a two-fold question was asked about each policy subject: "Do you have knowledge of a policy or is one in existence in a specific area or significantly, do you feel that communication is inadequate?" In most instances, the responses to these questions indicated that more than 45% of the professional personnel either did not know of some eleven policies (see Tables 27 and 28) or communication was inadequate. This reaffirms the writer's concern impetus for his attempt to suggest a new approach to communications from administration and management to professional personnel.

In reviewing the job aspects and the questions concerning job aspects (see Table 29) the writer suspects that university personnel may be less concerned about some of the maintenance needs (status, social, physical, economic, security, orientation) as described by Scot Myers (75, p. 14). (See Figure 3, Chapter 2.) Professional employees at University X when asked whether job aspects were somewhat adequate or seriously inadequate cited more positive responses than professional employees at Company A. One can draw the conclusion from work by Balyeat or Herzberg that private sector management and employers are more apt to satisfy the maintenance needs of professional employees including those that are physical, economic, social, con-
TABLE 27

Please indicate if, so far as you know, there is a written policy in place.

No Policy or Don't Know

<table>
<thead>
<tr>
<th>Policy Subject</th>
<th>UNIVX %</th>
<th>COMPA %</th>
<th>$X^2$</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self Nomination</td>
<td>66</td>
<td>93</td>
<td>48.38</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Promotion</td>
<td>36</td>
<td>71</td>
<td>43.39</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Marginal Performers</td>
<td>66</td>
<td>70</td>
<td>.63</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Layoff</td>
<td>62</td>
<td>61</td>
<td>.04</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Complaint Procedure</td>
<td>25</td>
<td>71</td>
<td>73.15</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Career Counseling</td>
<td>77</td>
<td>72</td>
<td>1.08</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Discipline</td>
<td>63</td>
<td>34</td>
<td>29.08</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Transfer</td>
<td>68</td>
<td>41</td>
<td>24.66</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Exempt Salaried Administration</td>
<td>67</td>
<td>40</td>
<td>24.69</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>EEO</td>
<td>16</td>
<td>22</td>
<td>1.89</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Performance Appraisal</td>
<td>28</td>
<td>15</td>
<td>9.34</td>
<td>&lt; .01</td>
</tr>
</tbody>
</table>
TABLE 28

Please indicate whether you feel the existing policy, whether written or unwritten, has or has not been adequately communicated.

**Communication Inadequate**

<table>
<thead>
<tr>
<th>Policy Subject</th>
<th>UNIVX %</th>
<th>COMPA %</th>
<th>$x^2$</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self Nomination</td>
<td>45</td>
<td>69</td>
<td>20.65</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Promotion</td>
<td>33</td>
<td>67</td>
<td>39.86</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Marginal Performers</td>
<td>46</td>
<td>55</td>
<td>2.74</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Layoff</td>
<td>40</td>
<td>62</td>
<td>16.57</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Complaint Procedure</td>
<td>30</td>
<td>60</td>
<td>30.45</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Career Counseling</td>
<td>47</td>
<td>64</td>
<td>10.10</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Discipline</td>
<td>48</td>
<td>36</td>
<td>5.09</td>
<td>&lt; .05</td>
</tr>
<tr>
<td>Transfer</td>
<td>46</td>
<td>49</td>
<td>.30</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Exempt Salaried Administration</td>
<td>43</td>
<td>51</td>
<td>2.17</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>EEO</td>
<td>22</td>
<td>25</td>
<td>.42</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Performance Appraisal</td>
<td>34</td>
<td>39</td>
<td>.90</td>
<td>&gt; .01</td>
</tr>
</tbody>
</table>
TABLE 29

How do you rate the following aspects of your job?

<table>
<thead>
<tr>
<th>Job Aspect</th>
<th>Adequate</th>
<th></th>
<th>Inadequate</th>
<th></th>
<th>X^2</th>
<th>p</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UNIVX %</td>
<td>COMPA %</td>
<td>UNIVX %</td>
<td>COMPA %</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Self Nomination</td>
<td>73</td>
<td>19</td>
<td>27</td>
<td>81</td>
<td>108.41</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Knowledge of Promotion</td>
<td>83</td>
<td>25</td>
<td>17</td>
<td>75</td>
<td>103.65</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Career Planning Assistance</td>
<td>72</td>
<td>42</td>
<td>28</td>
<td>58</td>
<td>30.44</td>
<td>&lt; .01</td>
</tr>
<tr>
<td>Why Not Promoted</td>
<td>84</td>
<td>50</td>
<td>16</td>
<td>50</td>
<td>40.73</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Complaint Procedure</td>
<td>70</td>
<td>62</td>
<td>30</td>
<td>38</td>
<td>2.36</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Orientation-Coaching</td>
<td>76</td>
<td>70</td>
<td>24</td>
<td>30</td>
<td>1.50</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Overtime Pay Practices</td>
<td>81</td>
<td>66</td>
<td>19</td>
<td>34</td>
<td>9.13</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Salary Discussions</td>
<td>75</td>
<td>60</td>
<td>25</td>
<td>40</td>
<td>8.30</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Availability of Decisions</td>
<td>79</td>
<td>58</td>
<td>21</td>
<td>42</td>
<td>16.22</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Information on Business</td>
<td>77</td>
<td>61</td>
<td>23</td>
<td>39</td>
<td>9.61</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Performance Discussions</td>
<td>79</td>
<td>65</td>
<td>21</td>
<td>35</td>
<td>7.76</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Opportunity to Increase Skills</td>
<td>79</td>
<td>71</td>
<td>21</td>
<td>29</td>
<td>2.77</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Personal Responsibility</td>
<td>92</td>
<td>79</td>
<td>8</td>
<td>21</td>
<td>10.05</td>
<td>&gt; .01</td>
</tr>
<tr>
<td>Understanding of Job</td>
<td>87</td>
<td>83</td>
<td>13</td>
<td>17</td>
<td>1.02</td>
<td>&gt; .01</td>
</tr>
</tbody>
</table>
cerned with employee orientation, security, and their status as opposed to educational administration who may be a little more responsive to satisfying maintenance needs of professional employees including growth achievement, responsibility and recognition. In general, their response as shown in Table 29 supports the aforementioned concept.

Appendix E as extracted from a study by Ralph E. Balyeat, shows a rank ordering of employment satisfactions and several factors that provide a high motivation to higher education faculty, which in turn affects the retention of college faculty (8, p. 13).

One of this study's primary concerns is the attitudes of higher education's professional employees. To provide the opportunity for analyzing the dependent variables of the attitude survey questionnaire (Appendix D-2) administered to University X professional employees. The writer used a modified computer program (12) to assist in interpreting the voluminous data generated by the respondents of University X. Appendix F presents the detailed response to the dependent variables questions versus the descriptive and demographic variables column wise. In addition, the dependent variables are shown versus the respondents' attitudes (good or poor) toward "employee benefits."

In summary, the hypotheses states that there are significant similarities between the attitudes, work situations, personnel problems, etc., between a public organization (high technology, private manufacturing corporation) professionals and an institute of higher education professionals to make feasible the application of personnel practices and model programs organizations to those of public institutions of higher education.
In the area of attitude concerning work situations and management/administrative credibility, this facet of the hypothesis appears to be true. The data in Tables 8 through 15 support this conclusion. In the area of general work conditions reflective of personnel problems, the data in Tables 16 through 23 and 29 do not support the hypothesis that there are similarities and attitudes concerning this area. This facet of the hypothesis appears to be false.

The portion of the hypothesis concerned with personnel problems, practices, policies, and job aspects is inconclusive. However, the Table 27 and 28 reflect sufficient indications that communications or lack of communication is a major problem. Moreover, this lack of communications would influence the ability of the respondents of the total population to provide valid data concerning attitudes toward specific personnel practices.

Therefore, it is the writer's conclusion that the research hypothesis should be partially accepted and it is entirely feasible and proper to apply model personnel practices of private organizations to those of public institutions of higher education.
CHAPTER V

INTERPRETATIONS, CONCLUSIONS AND RECOMMENDATIONS

The writer has developed this study in the belief that higher education's governance urgently requires a new dimension—the fair application of sound personnel practices and programs to all employees, but most importantly to the valued professional employee, and in the hope that this research will help to catalyze needed actions. It has been said that we live in times in which everything relates to everything else, and thus it no longer makes sense for business management nor higher education governance to ignore the serious impact of ineffective or unequal application of personnel practices.

It has often been said that: "The true dignity of any human being lies in the satisfaction of having a challenging job, in being able to grow in that job, and in finding what he is doing worthwhile." This understanding of human nature is the basis for molding the proper attitude of employees—the attitudes which have partially been measured in this study.

While higher education governance may agree in principle with the value of effective, sound personnel practices, in practice more needs to be done to anticipate trends, help shape their course, factor their implications into overall planning, and respond to the challenges offered by aggressive government enforcement agencies and collective bargaining units.
Presented in this chapter are: (1) interpretation of data which has implications for higher education governance and (2) conclusions and recommendations.

Data Interpretation

Management/Administration Credibility

In examining the specific data concerning the area of management/administration credibility, the responses to the questions from the total population are mixed. By mixed, the writer means four of the eight questions showed some significant similarity and four did not show a significant similarity. However, it is interesting to note that approximately 50% of both populations agree that management credibility and/or administration credibility is poor.

General Work Conditions

That data concerned with the general work conditions does not support the hypotheses that there is similarity of attitudes of University X and Company A professional employees. However, the data from two questions reinforce the similarity between attitudes of Company A and University X professional employees toward job security and the related factor of remaining in the employ of the respective employers.

Pay Decisions

The attitudes of the total population in both Company A and University X were consistent about one facet of pay decisions in that 75% of the total population agreed that pay decisions were handled
fairly. However, there was a sharp difference in the attitudes of Company A professional employees compared to University X employees concerning rate of pay and their respective pay as compared to people with similar jobs.

Approximately 82% of the University professionals felt that their pay was the same as other persons with similar jobs and that their pay was about right for the work they do. However, only approximately 50% of the professionals at Company A had similar attitudes. Therefore, the data rejects the hypothesis.

Equal Opportunity

The subject of equal opportunity for minorities and women is an important consideration when analyzing pay data or employees' attitudes about pay. Eighty per cent of the University X minority professionals sampled thought that pay decisions were handled fairly. Conversely, only 50% of the University X women sampled felt that pay decisions were handled fairly. When describing opinions about pay, 41% of the women felt their pay was too low and 40% of the minority professionals expressed the same view.

When sampling the minority and female professionals at University X about their pay as compared to people in similar jobs, the research found that 32% of the female professionals felt the pay was about the same and 33% felt their pay was too low. Therefore, the data supports the hypothesis.

Other Areas

The data analyzed in the general area was concerned with
three specific areas: (1) the knowledge or awareness by University X professionals of personnel policy subjects and their respective practices; (2) the communication of the policies/practices by University administration; and (3) overall job aspects.

The data reflecting the knowledge or awareness of personnel policies/practices indicates that of eleven questions responded to by the total populations, four questions show significant similarities in attitudes of Company A and University X professionals. The responses to seven questions do not show significant similarities. The data reflecting responses to the inadequacy of communications of these same personnel policies/practices, indicates that the answers to five of eleven questions do show significant similarity; and six of the eleven questions do not show significant similarities. However, irrespective of the empirical data and the test for significance, it is the writer's opinion that this data reflects a total disregard for the communication process and an absolute management and administrative failure in communications at both University X and Company A. By referring to Tables 27 and 28, it can be ascertained that approximately 52% (or more than one-half) of the professionals sampled at University X have no knowledge or are not aware of major personnel policies/practices. Moreover, approximately 40% of these professional employees think the administration of University X has an inadequate communications program.

At Company A, the data reflects a similar trend, that is a failure of management to provide a communication system about personnel policies/practices. Approximately 54% of Company A professional
employees are unaware of the overall personnel policies/practices, and approximately 52% think the communications are inadequate.

The data reflecting job aspects and the total populations at both University X and Company A is inconclusive in terms of the hypothesis. While the data reflects some similar attitudes, the responses of the population to four questions do show significant similarities.

The data indicates a similarity of opinions of both University X and Company A minorities and women. Approximately 70% of these groups believe that there are development opportunities available to them at their respective places of employment.

**Additional Interpretations**

It may be obvious that the data collected as part of this study is segmented. Moreover, the dependent and independent variables could be statistically analyzed with respect to some major demographic variables, notably (equal opportunity) race and sex.

The writer has elected not to pursue that mode of analysis, but shall suggest that mode of analysis as one area for future research. Some of this researcher's work experience at the time of conducting this study, was concerned with managing a corporate equal opportunity office. Moreover, this researcher feels that any such analysis by him, based on race and sex might be unduly biased.

In addition, the thrust of this study as previously stated, is to enhance optimum development of approaches and information to: (1) improve understanding of the nature and scope of human resource expenditures
and how personnel functions should be administered, and (2) overhaul
the approach to communication among administrators, communication
between higher education's governance and professional employees, and
between higher education organization as a whole and outside agencies.

For this study, these approaches and information should be
assessed without regard to (equal opportunity) race or sex.

This researcher does not mean that the Federal non-discrimination
laws for equal opportunity are not important; on the contrary, in the
writer's opinion, many personnel executives have been struggling with
the problem of how to get all the administrators and/or line managers
and personnel people in their organization to see the implications of
the Federal non-discrimination laws and then to revise all personnel
policies, procedures and practices accordingly.

In addition, many executives are convinced that the current
government thrust toward equal employment opportunity will necessarily
result in increased expenses, decreased productivity, lowered morale
and employment standards, and a general decrease of control over their
manpower resources.

Viewing the government thrust in strictly negative terms, exec-
cutives see that the government concern for programs of Equal Employment
Opportunity compliance actually provides the impetus for developing a
personnel system that has positive implications.

Some personnel professionals (including the writer) agree with
that concept and understand the need for the systems approach in re-
organizing manpower practices along more business-oriented lines.
The writer believes the unmistakable prod from various government regulations, will result in a significant benefit of meeting compliance standards but also improved manageability, efficiency, and economy of personnel practices.

If the aforementioned personnel executives examine some traditional personnel practices—including recruitment, hiring, selection and placement, lay-off and rehire, communications, orientation, transfer-relocation, disciplinary situations (penalties, complaint procedures, grievance handling), performance appraisals, promotion, self-nomination, career planning, attitude surveys, salary administration—they might expect improved productivity, good retention, better manpower development, communications up and down, improved upward mobility, if these practices are uniformly applied.

The writer believes that if these personnel executives were to raise the question, "Do Equal Employment Opportunity practices differ significantly from traditional personnel practices?"

The writer's opinion is "NO."

What I am trying to project is that the uniform application of good personnel practices meets the requirements of the regulatory agencies—they protect the total human resource and do not need duplication but uniform application in the system.

This area of equal opportunity is suggested by the writer as one area for additional research.

Conclusions

Despite the rejection of some portions of the investigative hypotheses, and the gathering of some inconclusive data, it is the investi-
gator's opinion that there are some clear and valid conclusions to be made from his research, data collection and analysis that are useful to higher education administration.

A broad conclusion might be that additional research should be carried out for development and implementation of model personnel programs for professional employees in higher education and education in general. Both faculty and non-teaching.

The writer believes that in this time of growing complexities in the public and private sectors, we must also cope with the changing human environment. Society is more open. People have rising expectations. They are more critical of institutions.

It is the writer's opinion that higher education, and education in general, needs more research complimentary to the human issues that have surfaced from application of personnel practices, including:

- Understanding professional compensation;
- Strengthening the man-administrator relationship;
- Getting ahead as a professional;
- Getting ahead as an administrator;
- Managing the entry-level professional employee;
- Utilizing minority and female talent;
- Communicating between professional and administrator;
- Dealing with union representation thrusts.

In the writer's opinion, this research should encourage the implementation and documentation of effective, basic professional practices and programs throughout higher education through the establishment of model programs in various experimental sectors of higher education. These model programs would serve as a testing ground and a guideline to other educational sectors and would allow higher education's communication on professional practices backed by a solid data base and practical experience. Measurements of effectiveness of these model programs could also be
accomplished for comparison purposes with other non-participating educational sectors.

A research might select ten educational components that presently lead the rest of the nation in terms of professional practices and work with those educational components in the design and implementation of additional practices or programs needed to completely round out their total professional program. As each educational unit reaches "model status" this program will be made available through education's professional organizations, communication to all other educational components as a guide. Experience data would also be collected from these "model" educational components and combined with professional employee attitude survey data used as the basis for a continuing communication and measurement program. It is conceivable that the individual "model" educational components would eventually be established as the baseline for future personnel practices' effectiveness, comparisons and audit.

The writer would suggest to any researcher these major elements as part of a model professional program.

- Professional orientation programs
- Annual appraisals
- Provision for career planning and counseling
- Annual salary review and discussion
- Evidence that pay is related to performance
- A promotion system including some form of self-nomination
- A working appeals system
- A communication plan including provision for upward communication
- A plan for periodic attitude measurement

The writer suggests several more specific conclusions, which are as follows:

1. There are many factors relating to employment which may provide a source of high level satisfaction to professionals providing that appropriate policies and practices are implemented and communicated.
2. There is a degree of similarity among various sub-groups concerning the importance of some factors regarding pay, equal opportunity and self-development.

3. There are significant differences between the values of professional university employees and those of the private sector in areas concerning job aspects and personal choice.

4. Both university administrators and private industry management have failed to make professional employers aware of personnel policies/practices or to develop communications systems able to overcome that failure in communications.

5. The civil rights enforcement agencies, collective bargaining units, and other liberal organizations have forced the private sector to reassess their personnel systems and to develop model programs to correct past patterns of discrimination and other deficiencies in their personnel systems.

6. Model programs and more equitable policies and practices could be implemented by a university or college to meet the new challenges they are facing from the government through its civil rights enforcement agencies, collective bargaining units and other outside agencies in the area of personnel practices.

7. The relative importance or "weight" which a professional ascribes to a factor in his value system is significant only in relationship to what he derives or believes he would derive in terms of satisfaction. Further, this weight assignment is possible only if personnel practices/policies are in place which address factors in his/her value system.

8. So called "credibility gaps" tend to dilute the effectiveness of relationships between professional employees and administration/management when the letter's basic honesty is questioned.

Recommendations

This investigator has reviewed the conclusions made from this research and with proper regard for the inconclusive data gathered and the rejection of some of the hypotheses, makes the following recommendations:

1. Every university and college should have an officer or administrator well qualified in the field of employee relations, reporting directly to the President. This officer or administrator should be assigned the responsibility and delegated authority to
formulate faculty personnel policies and practices designed to provide optimum satisfactions to professional employees. Said policies should then be recommended to the administrative body having the authority to implement such policy.

2. Every college or university system should audit its policies and practices to enhance desirable professional employee attitudes.

3. The design or redesign and implementation of an adequate communication system for higher education professional employees should be assigned the highest priority.

4. The additional research should be carried out to study those areas as suggested by the writer. These areas include equal opportunity practices, model personnel policies procedures, practices and programs, and those programs in Appendix D of the report.
APPENDIX A

EXCERPTS FROM POLICIES AND PROCEDURES

RELATED TO PROFESSIONAL POSITIONS AND STAFF AT UNIVERSITY X
APENDIX A

EXCERPTS FROM POLICIES AND PROCEDURES

RELATED TO PROFESSIONAL POSITIONS AND STAFF AT UNIVERSITY X

Procedures Dealing with Professional Positions

Introduction

Since the education, training, and experience determining the qualifications of a professional applicant may be so specialized as to require an expert in the field to evaluate credentials adequately, it is considered appropriate for the Deans, Directors, and Department Heads of the individual departments and schools of the University to do the recruiting, interviewing, and selecting of candidates for professional positions.

The Personnel Office assists by keeping available a file of resumes and applications received by the Personnel Department from prospective applicants and by advertising position availabilities in the news media and by way of attachments to the "Yellow Sheet." Departments are encouraged to utilize the services of the Personnel Office to assist them in the recruitment of applicants for professional non-academic positions.

Definitions of the types of professional appointments may be found in the Foreword section of this manual.

Personnel Policy for Professional Academic Staff

The current University personnel policies for professional academic staff with regard to academic freedom, reappointment, promotion, and tenure are contained in Trustee Documents 63-050, 64-061, and 73-069. A complete review and updating of these policies is currently being undertaken by an Ad Hoc Multi-Campus Committee on Academic Personnel Policies and Procedures. For further information, please contact the Provost's Office.
Personnel Policy for Professional Non-Academic Staff

Employment Security

A. Members of the professional non-academic staff who are employed full-time in permanent positions, whether funded from state appropriations or continuing trust funds (i.e. a trust fund without a terminal date) will be eligible for contracts of increasing duration after a reasonable period of satisfactory service to the University. Based upon this policy, an employee can normally expect to be eligible for the following as a normal practice:

<table>
<thead>
<tr>
<th>Years of Satisfactory Service</th>
<th>Duration of Next Contract</th>
<th>Notice of Reappointment/Non-Reappointment*</th>
<th>Minimum Notice of Resignation</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1 year</td>
<td>3 months</td>
<td>30 days</td>
</tr>
<tr>
<td>1</td>
<td>1 year</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>2</td>
<td>2 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>4</td>
<td>3 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>7</td>
<td>5 years</td>
<td>12 months</td>
<td>90 days</td>
</tr>
</tbody>
</table>

*Stated in months prior to expiration of then current contracts; these are minimums and may be increased if appropriate.

B. It always remains a right of the University to reappoint for as little as a one-year period, but with a minimum of six months notice of reappointment/non-reappointment.

C. Normally, no contract may be written for less than one year, with a minimum of six months' notice of reappointment/non-reappointment, except the first one-year contract which requires a minimum of three months' notice of reappointment/non-reappointment.

D. No contract may exceed five years' duration, with a minimum of 12 months' notice of reappointment/non-reappointment.

E. The University may negotiate a contract of no greater than five years in term which exceeds the normal practice, but such contracts must be justified to and have the prior approval of the President for staff in the Office of the President, and the Chancellors and the Dean of the Medical School, as in Paragraph E above.

G. All contracts are subject to the availability of funds, and in no event may a contract extend beyond the mandatory date of retirement.

H. It should be understood that during a given contracted period, a
professional non-academic staff member has, subject to availability of funds, satisfactory performance of his duties and responsibilities, and his conformance with requirements of law and University regulations, a guarantee of employment on the University campus involved and in a capacity which utilizes that person's professional skills at a level consistent with his training and experience; although that position may be other than the specific position to which the individual was initially or is currently appointed.

I. The University will provide employees with, as a minimum, the notice set forth in Paragraph A above. As a result, supervisors should be aware of these requirements and should begin an orderly evaluation and decision process in advance of these dates to assure that a satisfactory evaluation and assessment precedes a decision to extend an offer for increased contract duration. Supervisors are responsible as well for the initial recommendation of the contract duration to be offered. Each Personnel Officer shall be responsible to assure that procedures exist to inform supervisors of contract expiration dates in sufficient time to allow assessment and evaluation in advance of the required notice date.

J. Upon implementation of the above policies, the following procedure will be followed to bring each professional non-academic staff member into phase:

1. A determination will be made of years of service by the University Personnel Office for each professional non-academic employee.

2. Nine months prior to the expiration of each employee's current contract (or as soon as possible if nine months no longer remain in the contract period), the Personnel Office will inform the supervisor of the contract's impending termination and of the employee's years of service as computed. Supervisors will then evaluate the staff member's performance and recommend, through normal approval chains, the contract to be offered. Such contracts shall be subject to the additional requirements and approvals set forth in Paragraphs A through I above.

3. To bring current staff members into phase with this policy, they will be eligible for contracts as follows:

<table>
<thead>
<tr>
<th>Years of Service</th>
<th>Duration of Next Contract</th>
<th>Notice of Reappointment or Non-Reappointment</th>
<th>Minimum Notice of Resignation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1 year</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>2</td>
<td>2 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>3</td>
<td>3 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>4</td>
<td>3 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
</tbody>
</table>
Normal Practice, Continued

<table>
<thead>
<tr>
<th>Years of Service</th>
<th>Duration of Next Contract</th>
<th>Notice of Reappointment or Non-Reappointment</th>
<th>Minimum Notice of Resignation</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>4 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>6</td>
<td>4 years</td>
<td>6 months</td>
<td>60 days</td>
</tr>
<tr>
<td>7</td>
<td>5 years</td>
<td>12 months</td>
<td>90 days</td>
</tr>
</tbody>
</table>

4. As is the case in Paragraph A above, the University in any case retains the right to reappoint for as little as a one-year period, but as a minimum with six months' notice of reappointment/non-reappointment.

K. All contracts offered under this policy shall be preceded by a job description developed by the supervisor and approved by the Personnel Office, a copy of which is provided to the employee prior to contract agreement.

Classification System (Presently being implemented)

Broad guidelines for a professional non-academic personnel classification system shall be established by the Office of the President with the assistance of the Personnel Working Group. It will then be that responsibility of each segment of the University to implement that classification system in accordance with its own unique requirements but consistent with the broader plan for the total University. Any job descriptions required by other provisions of this policy shall be consistent with this requirement.

Annual Evaluation Procedures

The University will maintain a minimum requirement of annual evaluation for all professional non-academic staff members. This evaluation will occur during the last quarter of each calendar year and should be conducted on the University-wide evaluation form developed for this purpose. Procedurally, the annual evaluation process should include the following:

A. An evaluation form which states or includes the specific job description of the position held by the staff member.

B. Staff members will have the opportunity to assess their evaluations with superiors and to discuss frankly and openly its implications.

C. Supervisors will assure that the evaluation process is of a constructive nature and that it will aid the employee to overcome deficiencies cited in the evaluation.
D. Staff members will be assured an opportunity to become a part of the process which defines the nature and manner of the evaluation process, whether through intradepartmental personnel committees (if desired) or other means.

E. As part of the annual evaluation process, supervisors will also assess whether or not the employee should be recommended for a merit increase.

F. Recommendations concerning future contracts with each employee should be consistent with prior assessments of performance as they appear in past and current annual evaluations.

G. Each campus will develop detailed procedures to implement these policies, in consultation with the Personnel Working Group.

Professional Improvement

Professional non-academic staff are eligible for leave for professional improvement in cases where it can be clearly demonstrated that such leave will result in specific benefit to the University. Such leave shall be available as a matter of privilege rather than as a right and shall be granted to an eligible staff member only in those cases where the following conditions have been met:

A. Such leave shall require prior approval of a specific proposal for professional improvement which outlines the benefits expected for both the University and staff member. This approval must be given by the President for staff in the Office of the President, and the Chancellors and the Dean of the Medical School for staff on their respective campuses.

B. The professional non-academic staff member has completed six years of equivalent full-time professional service at the University.

C. Leave for professional improvement shall not exceed five and one-half months at full salary or eleven months at half salary, but leave may be for shorter periods at greater frequency as may mutually benefit the individual and the University.

D. The leave for professional improvement will not result in a net salary cost increase to either the University or the department with which the staff member is associated.

E. The University will consider payment of tuition and registration or similar costs attendant with such leave. Payment requires approval by the same official who approves the leave.

F. Staff members who receive approval for professional improvement leave must return to their duties at the University for at least one full year of service immediately following the expiration of the leave.
Failure to comply will obligate the individual to return the salary received during the leave and any other fees paid by the University unless an exception is made by the Board of Trustees.

G. In addition, an individual may be granted shorter-term professional leave after two years of equivalent full-time service to the University. Such leave may be of varying duration not to exceed two months within any two-year period and shall be at full pay. Such leave shall be approved by the President for staff in the Office of the President, and the Chancellors and the Dean of the Medical School for staff on their respective campuses. This approval shall be based upon a proposal which clearly demonstrates the benefit to be gained by the University from the staff member's exposure to new ideas, skills, and practices. Exceptions to these requirements are possible only upon special justifications made to the officer whose approval is required. Paragraphs D, E, and F above shall also apply to this shorter-term leave, except that six month's service upon return instead of the one-year service of Paragraph F shall be required.

Campus Governance

Professional non-academic personnel should have an appropriate opportunity to participate in the governance of the University on those matters of concern to them. Therefore, the President is asked to request of the Chancellors and the Dean of the Medical School that they formulate, with the advice of the appropriate campus elements, their recommendation in this area for the review and approval of the Board of Trustees.

Personnel Policy and Review (Presently being implemented)

Implementation of this policy document will require the formulation of new personnel procedures and the modification or revocation of current personnel procedures affecting the professional non-academic staff on each campus. In order to provide a mechanism for this, each campus will develop a proposal for implementation on that campus. The campus proposal should address the detailed campus-level process recommended for consideration of individual grievances and appeals from notices of non-reappointment, dismissals, or other personnel actions, as initiated by professional non-academic staff. Moreover, the campus should also formulate a proposal for that University-wide process to occur beyond the campus level. The President is requested to coordinate this process and present a consolidated recommendation to the Board Trustees for its consideration.
Notification of Personnel Action - Professional Staff

Purpose of Form

The Notification of Personnel Action - Professional Staff (Form #B-12-22-73) is the form used by Deans, Directors, and Department Heads to request that the Personnel Office take a certain personnel action regarding a professional position.

Typical kinds of action might include:

Appointment of an individual to a professional position.
Promotion of a professional staff member.
Transfer of an individual from one position or department to another.
Placing an individual on extended leave without pay.
Sabbatical leave.
Resignation.
Etc.

Use of the Form

Relevant information is supplied on the Notification of Personnel Action—Professional Staff form by the Department Head, Principal Investigator (when the action involves grants), Director, or Dean of a school indicating the action requested and supplying the appropriate data required to identify the position and authorize the action.

This form consists of six pages, each marked at the bottom to indicate who will receive the file copy after the action is complete.

The form must bear the approving signature of the Department Head, Dean, or the Director of the school or college originating the request and, if appropriate, that of the Provost, Chancellor, or Dean of the Medical School, and the President of the University. Actions involving grants, contracts, or trust funds must bear the signature of the Principal Investigator as well as those which are appropriate from the above list.

Instructions for Completing the Form

1. Name - Enter the name of the individual to be affected by the Personnel Action request. Include the maiden name when applicable. Should more than one person be affected, as when promoting one employee and filling the vacancy with another, a separate form must be executed for each individual action.

2. Employee Number - Enter the employee number of the person affected by the action if he/she is currently an employee of the Uni-
versity. If not currently or previously employed, this space should be left blank. An employee number will be assigned by the Personnel Office and will be placed on the appointment memorandum. The employee number will subsequently appear in the upper left corner of the pay statement which accompanies the weekly paycheck.

3. **Home Address** - Enter the present home address of the person affected by the action. If the action involves the appointment of an individual who does not yet have a local address, a temporary address may be used. The Personnel Office should be notified as soon as possible when a permanent address has been established.

4. **Nature of Action** - Enter a brief description of the action you wish the Personnel Office to take, such as:

   - Appointment
   - Promotion
   - Transfer of funding
   - Expiration of appointment
   - Etc.

N.B. In the case of a resignation, a resignation signed by the person affected should accompany the Personnel Action form.

5. **Effective Date** - Enter the date on which the action is to become effective if the action is approved. This should be the date on which the staff member makes the designated change (entering a position, being promoted, transferred or resignation, etc.).

   In fixing the effective date, not less than five working days must be allowed to permit sufficient time for processing the action after receipt by the Personnel Office. (On actions other than appointments, an additional ten days are needed for processing by the Provost's Office.)

6. **Campus** - Indicate, by checking the appropriate box, which campus of the University would be involved in this Personnel Action.

7. **Social Security Number** - Enter the Social Security number of the person affected by the Personnel Action. If the person does not already have a Social Security number, it is important that he/she obtain one and notify the Personnel Office.

8. **Date of Request** - Enter the date on which the form is prepared and the request for the recommended action is made. The date should be entered in the following order: Month, Day, Year.

9. **Official Title** - When there is a change in official title and/or salary, enter the recognized official title of the position the individual now occupies (if already a University employee) under the heading "From," and the position he/she will occupy after the Personnel Action has been effected under the heading "To." If the position is other than full time, include the proportion of time (i.e. 1/2 time) after the title.
10. **Department** - Enter the title of the University department or school in the appropriate space under the headings "From" and "To," indicating where the individual affected by the action will be employed after the date designated.

11. **Weekly Salary Rate** - Enter the weekly rate of payment if compensation is based on a flat weekly rate. The present or previous rate should be listed under "From," if applicable, and the rate to be effected should be listed under "To."

12. **Annual Salary Rate** - Enter the annual rate of pay if compensation is based on an annual rate. The present or previous rate should be listed under "From," if applicable, and the rate to be effected should be listed under "To."

13. **Duration of Action** - Enter the period of time the contemplated action will be in effect.

   a. If the action requested is an appointment on a University trust fund, or a grant account, enter the date on which the employment will terminate. (This date must be no later than the last day of the current fiscal year, with the exception of the grant account, in which case the date must be no later than the last day of the grant year.)

   b. The completion of this section is not necessary for some personnel actions (for example: promotion).

   c. If the duration is known to be of short term on a trust fund or grant, please note under "Comments" any intention to reappoint beyond this current appointment.

14. **Appointment Basis** - Indicate, by checking the appropriate box, whether the appointment is to be made for the Academic Year or for the Calendar Year.

15. **Working Title** - When applicable, enter the in-house title by which the position will be known if it is different from the recognized official title.

16. **Year of Tenure Decision** - Enter the dates required to indicate the academic year and the semester in which the decision as to whether to grant tenure must be made, if applicable.

17. **Primary Duty Assignment** - Indicate, by checking the appropriate box, whether the proposed duty assignment will be primarily in the area of Administration, Instruction, Experiment, Extension, or Control. If
you should wish to indicate other areas of duty that will be important, although not primary, you may note it under the section for "Comments."

18-21. **Organizational Unit** - The organizational unit consists of the location (2 digits), the executive level (2 digits), the major budgetary unit (2 digits), and the department (4 digits). This section should always be left blank and the Accounting Office will make the appropriate entries when it is applicable.

22. **Classification of Salary** - Indicate by checking the appropriate box whether the salary is to be paid from state funds or from a trust fund or a grant. If the source of funding for the requested action is a "trust fund or a grant, enter the title designated to the fund by the Accounting Office on the line marked "Name." For all sources of funds enter the appropriate 6 digit account number issued by the Accounting Office in the 6 boxes designated for this purpose (just to the right of the Account "Name" line). In addition, for "03" state funds only enter the following object code in the 5 boxes designated for this purpose: 12410. The Personnel Office will enter the appropriate object code for all other sources of funds. If the reappointment involves two or more sources of funds, enter this information under Section 29—Comments.

23. **Previous Incumbent** - Enter the name of the previous employee to hold the position or use the words "New Position," whichever is applicable.

24. **Position Number** - Enter the number assigned to the position the employee will occupy. If a new position is involved, a position number may not yet have been assigned; in such a case, enter the word "New."

25. **Trust Fund or Grant Encumbered Amount** - If the position is to be funded from a trust fund or a grant account, enter the amount to be encumbered as salary for the duration of the appointment. This figure should be based on the weekly salary for the number of weeks involved during the appointment. It can include any period of time up to but not beyond the end of the fiscal year, except in the case of grants, when it may run up to the end of the grant year.

26. For Accounting Use; Encumbered; By - This information will be filled in by the Accounting Office, acknowledging the encumbrance and indicating the date on which the funds were encumbered.

27. **Trust Fund or Grant Authorization for Insurance and/or Vacation and Sick Leave** -

   a. Indicate, by checking the appropriate box, whether or not the trust fund or grant will pay the University portion of Health-Life Insurance.
b. Indicate, by checking the appropriate box, whether or not Vacation and Sick Leave are offered under a trust fund or grant appointment.

N.B. If sick leave is offered, vacation leave must also be offered, and vice versa.

28. Principal Investigator - If the action involves a grant or trust fund, the signature of the Principal Investigator is necessary to indicate approval of the action, the encumbrance of funds, and the decision to offer (or not to offer) Vacation and Sick Leave, and/or Insurance.

29. Comments - Enter in this space any additional information helpful to those authorized to approve the Personnel Action. Detailed documentation to support the nature of action should be on a separate memorandum attached to the Personnel Action form.

The bottom section of Copy B will be filled in by the Personnel Office for use by the Payroll Office and for Data Processing Information.

For additional information concerning the Notification of Personnel Action, or for clarification of any specific problem encountered in requesting a personnel action, please call the Personnel Office (50382).
ANNUAL EVALUATION PROCEDURES

It is the policy of the University that all personnel actions involving the professional non-academic staff of the University should be recommended only after appropriate consultations have been held. Each member of the said professional staff shall receive a full, fair, informed, and impartial consideration based on his/her qualifications and experience. This consideration shall include an evaluation of his/her professional, administrative, and service contributions to the University.

At annual intervals, each Department Head shall review the performance and development of each member of the professional staff and report the results of this review to the appropriate Vice Chancellor (or to the intermediate authority who reports to the Vice Chancellor).

There normally shall be a personnel committee at each level at which personnel recommendations are made up to and including the Vice Chancellor and the Chancellor. At each level there shall be annual consultations between the administrative head and the personnel committee for the area. The administrative head shall retain full authority to recommend or not to recommend members of the Professional staff for promotion, merit increments, sabbatical leaves, reappointments or continuous appointment.

The Vice Chancellor shall retain full authority to recommend or to not recommend to the Chancellor on all personnel actions. All recommendations made at any level by a personnel committee or an administrative head and not approved by the subsequent reviewing authority shall be forwarded to the next level up to Vice Chancellor indicating the reasons for the disapproval. The Chancellor shall discuss with each Vice Chancellor all personnel recommendations made by that Vice Chancellor.

Each member of the professional non-academic staff shall be informed by his/her immediate supervisor of the personnel recommendations made concerning him/her at each level. He/she shall have the right to discuss with the administrative head at each level his/her own situation with respect to salary, merit increments, promotions, sabbatical leave, reappointment and/or continuous appointment.

ANNUAL REVIEW, PROFESSIONAL ACADEMIC STAFF

The annual review and recommendation procedure regarding professional academic staff members falls under the jurisdiction of the Provost's Office and that Office provides any forms and instructions that would be required.
TENURE FOR PROFESSIONAL
ACADEMIC STAFF - STATEMENT OF POLICY

The Board of Trustees has adopted the following policy regarding
tenure for Professional Academic Staff (Trustee Document 73-069):

(1) Tenure is to be recommended only after the most careful
consideration of past and potential contribution to the University.

(2) In considering tenure appointment, weight will be given
not only to the quality of scholarship, but to distinction in teaching
and in service to the University and the Commonwealth.

(3) All recommendations will be expected to be considered
in the context of the overall needs and long-range plans of the depart-
ment, the school or college, and the campus as a whole.

(4) The framework of the Board's tenure review will be campus-
wide planning presentations that will be expected to include information
on present and anticipated percentages of tenured faculty and dis-
tribution by rank.

(5) The grounds and procedures for appeal from an adverse deci-
sion on tenure or reappointment should be clearly delineated.

Earlier Board policy statements (630-050, 64-061) provide:

(1) A tenure decision must be made no later than the sixth
year of full-time service for which the faculty member has been given
credit. The five years of service prior to the tenure decision year
may all have been accumulated at the University or some may have been
accumulated elsewhere. Current practice permits counting up to three
years of service elsewhere.

(2) Tenure recommendations will normally be made during the
tenure decision year. Departments do not ordinarily recommend tenure for
a faculty member before the tenure decision year.

(3) No appointment carries an assurance of reappointment or of
the eventual granting of tenure. At the scheduled time during the appro-
priate year, Departments must recommend either reappointment or expiration
of appointment for faculty members without tenure.

All policies regarding tenure are currently being reviewed by an
Ad Hoc Multi-Campus Committee on Academic Personnel Policies and Procedures.
For further information, please contact the Provost's office.
UNIVERSITY X
Sabbatical Leave Policy
Professional Academic Staff

1. The purpose of the sabbatical leave is to provide uninterrupted opportunity at regular intervals for the professional staff for teaching improvement, writing, research, professional improvement, scholarly pursuits, or to gain new information and experience in order to remain current in one's field.

2. The opportunity shall be available to all members of the professional staff who hold the rank of Instructor* or above, and who have given the University six years of full-time service.

3. For staff members on academic year appointments, a sabbatical leave may be granted for one academic year (two semesters) at half salary, or one semester at full salary. For those members of the professional staff who are appointed to an "A" contract, a sabbatical leave may be granted on the following basis: in any 12-month period a leave at half pay for 11 months, or at full pay for 5 1/2 months. For teachers, the leave shall coincide with the semesters of the academic calendar.

4. Sabbatical leaves shall not be granted more frequently than one in seven years, with the exception that a faculty member, otherwise eligible for a sabbatical leave, who on the request of his Department Head and with the approval of the Dean, or on the request of the Dean in the case of a Department or Acting Head, postpones his/her application for one year, be eligible for a subsequent leave in the sixth year after his/her return to the University.

5. Members who are on sabbatical leave may not engage in salaried employment in this country or elsewhere, however desirable the experience. This does not preclude acceptance of scholarships, fellowships, or grants for the purpose of research and study for which no services are required, or Fulbright lectureships when teaching is combined with research.

6. Recipients of a sabbatical leave must return to duty for at least one full year of service immediately following the expiration of the leave. Failure to comply will obligate the member to return the salary received during leave, unless an exception is made by the Board of Trustees.

7. Each recipient shall, upon his/her return, file copies of a report of his/her activities and their results with the President, the Provost, his/her Dean, and Department Head.

The following points of policy are indicated as the basic criteria by which the Deans and their Personnel Committees will evaluate requests:

*Board action making Instructors eligible for sabbatical leave took place on August 10, 1970.
a. Primary importance is attached to the degree of professional maturity of the staff member and of his/her research project or other proposed activity.

b. Priority is given to applicants whose studies are already in progress and who have demonstrated, while in the service of the University, their desire and ability to make effective use of available time for research and professional improvements.

c. Priority is given to projects which cannot be pursued without continued absence from the campus. Unusual circumstances (e.g., specialized laboratory equipment), may, however, indicate the desirability of a sabbatical leave spent on campus.

d. Leaves granted for the purpose of graduate study which includes course work ordinarily should not be for less than one academic year.

8. Departments and schools, in the evaluation of Sabbatical Leave requests, will adhere to the policy relating to personnel actions set forth in the November 9, 1962 minutes of the Board of Trustees meeting. This policy reads as follows:

"It is the policy of the Board of Trustees of the University that all personnel actions involving the professional staff of the University should be recommended only after appropriate consultations have been held. Each member of the professional staff shall receive a full, fair, informed, and impartial consideration based on his/her qualifications and experiences. This consideration will include an evaluation of his/her teaching, research, and service contributions to the University and the Commonwealth.

"The Board recommends that at annual intervals each Department Head or chairman should review the performance and development of each member of the professional staff of his/her department and report the results of this review to his/her Dean.

*"The Board contemplates a general framework for carrying out this policy as follows: At the department level, this should include consultations between the Department Head or other members of the Department deemed appropriate by the Department Head. The Head of the Department shall retain full authority to recommend or not to recommend members of the department for promotions, merit raises or tenure.

"The Dean of each college or school should have an executive committee or a personnel committee whose duties will include the review of the cases of all candidates for promotions, merit raises,?

*The contents of this paragraph have been modified in Trustee Document T70-062A which permits departments to have a head or chairman, with appropriately defined responsibilities. This document was distributed with Provost's Letter 1969-70 - 14.
or tenure and the recommendation of policy to the Dean. The Dean shall retain full authority to recommend or not to recommend to the Provost. All recommendations made by a departmental personnel committee or a Department Head and not approved by a subsequent reviewing authority, shall be forwarded to the Provost indicating the reasons for the disapproval.

"The Provost shall discuss with each Dean every personnel recommendation made by that Dean. He/she shall then discuss each recommendation with the Chancellor before personnel actions are presented to the President and the Board of Trustees.

"It is the right of every member of the professional staff to discuss with his/her Department Head his/her own situation with respect to salary, merit raises, promotion, or tenure. Following this, he/she may if he/she wishes discuss the situation with his/her academic Dean. He/she also has the right to go to the Provost, to the Chancellor, to the President, and finally to the Committee on Faculty and Educational Policy of the Board of Trustees."

9. Confirmation of the receipt of a completed application will be sent to the applicant by the Dean.

10. Members of the staff are invited to make inquiries relating to sabbatical leaves to their Department Heads and Dean.

UNIVERSITY SABBATICAL LEAVE PROCEDURE - PROFESSIONAL ACADEMIC STAFF

This statement is for the attention of all those members of the staff who are concerned with sabbatical leave applications and procedures:

Applicants will file sufficient copies of their request to meet the needs of the department and the college or school concerned. All requests will be evaluated and recommendations made by the respective Department Head, Dean, and the Provost. All requests must provide the following information:

a. The proposed period of sabbatical leave.

b. Its purpose and the location; (e.g. if an applicant has received an invitation to do research on another campus, he/she should include a copy of the letter of invitation). Off-campus leaves will receive higher priority.

c. The progress the applicant has made on the project previous to the date of application, and the expected date of its completion.

d. The prospects of publication of the results.

e. Whether application for other financial assistance has been made, and whether acceptance of a sabbatical leave will be contingent in
any way upon the receipt of a grant from other sources.

f. Any other contingencies which might affect the acceptance of the leave.

g. An estimate of the value of a sabbatical leave to himself and to the University.

h. A bibliography of scholarly work previously published.

i. Answers to the questions on the sabbatical leave application form.

Note: Information regarding Professional Improvement Leave Policy and Procedures for professional non-academic staff members may be found in the section of this manual entitled Personnel Policy for Professional Non-Academic Staff.
COURSE ENROLLMENT FOR FACULTY MEMBERS

In recognition of the concept that it is to the advantage of the University, as well as the individual, to make courses available to its employees, the University has established the following policy and procedures concerning faculty application for course enrollment.

1. Faculty members may make application to participate in one or more courses each semester, the number of such courses to be limited, depending upon his or her status (i.e. full-time, 3/4 time, 1/2 time) as indicated below:

   a. Full-time faculty - not more than 2 courses per semester (up to 7 credit hours).
   b. 3/4 time faculty - not more than 3 courses per semester (up to 10 credit hours).
   c. 1/2 time faculty - not more than 4 courses per semester (up to 13 credit hours).

   Note: In all cases, the number of credit hours indicated above allows for one laboratory course of four (4) credit hours per semester.

2. A faculty member wishing to take one or more courses should request permission on the form provided by the University Personnel Office.

3. The request must be approved by the employee's Department Head, the Dean or Director, the Admissions Office of the Graduate School, and the Provost prior to registration.

4. Full-time employees may be granted tuition waivers up to four credits per semester. No more than four tuition-free credits may be approved for any one semester or summer. Requests for such tuition waivers must be recommended by the employee's Department Head and verified by the Personnel Office and the Provost's Office. Part-time employees are not eligible for tuition waivers.

   Tuition waivers may not be granted for Continuing Education courses as this program is not supported by state appropriation.

5. The privileges described above apply only to the faculty member who is specified; they are non-transferrable.
POLICY ON COMPENSATION FOR CERTAIN ADDITIONAL PROFESSIONAL SERVICES*

WHEREAS it is the responsibility of every university to promote and encourage the search for new truth and knowledge for the benefit of mankind, and

WHEREAS a state university is distinctive in its emphasis on research and the dissemination of research findings as a service to the citizens of the state and nation, and

WHEREAS there is a great need for more highly trained research scientists and teachers, and

WHEREAS the University of X maintains and supports a Graduate School for the purpose of providing training at the Master's and Doctoral levels, and

WHEREAS in order to provide such training the University X must maintain a highly qualified faculty which is itself competent in and interested in research, and

WHEREAS such a faculty will be more productive and stimulating in the teaching of students at both the graduate and undergraduate levels, and

WHEREAS a university is recognized for the scholarly and creative work of its faculty, and

WHEREAS it is the policy of the University to expect each member of the faculty to teach, engage in research and/or other scholarly and creative work, and to perform a service role to and for the University including the academic advisement and counseling of students, and

WHEREAS it is also the policy of the University to undertake research sponsored and paid for by grants or contracts from agencies of the federal government, foundations, business, or other sources outside the University, and

WHEREAS such sponsored research is of great economic advantage to the Commonwealth in that it both supports research that might otherwise require state appropriations and provides new processes for development by industrial and agricultural interests,

THEREFORE, it is the policy of University X to permit compensation for certain additional professional services within the following policies:

The first duty and first loyalty of a member of the faculty is to the University. He is under obligation to render to the University the most effective service of which he is capable. No outside service shall be undertaken, whether with or without pay, that might interfere with the discharge of this paramount obligation.

*Trustee Document T68-060
In view of the fact that the University operates on a six-day class week members of the faculty are permitted, when approved, the equivalent of one day per week for sponsored research, consulting, or other activities related to their profession for which additional compensation may be received. Under no circumstances, however, are members of the faculty to be given any reduction in normal teaching, service, or other assigned load on account of performance of such other activities.

I. Research; including sponsored research i.e. research contracted by the University with outside agencies.

1. It is the responsibility and the duty of all deans and department heads to give faculty members as much encouragement as possible to do research as a normal part of their employment. When released time for sponsored research is authorized, no loss of so-called fringe benefits should occur because an equivalent portion of the faculty member's base salary should be budgeted in advance against, and charged to, the grant or contract of the agency sponsoring the research, provided, that such charge is permissible within the policies of the agency sponsoring the research.

2. University participation in tests and investigations shall be limited to activities which lead to the extension of knowledge or to increased effectiveness in teaching. Routine tasks of commonplace type will not be undertaken except where it is shown conclusively to the appropriate University officials that satisfactory facilities for such services do not exist elsewhere.

3. Research proposals shall bear the approval of the principal investigator, the department head, the academic dean (or in the case of agriculture, the Director of the [state] Agricultural Experiment Station) and the Dean of the Graduate School and Coordinator of Research before being submitted to the Treasurer of the University for execution. Two extra copies of the proposal shall be submitted for the files of the Provost's Office and the Treasurer's Office.

4. Members of the faculty on academic year appointment are encouraged to participate in sponsored research and may, when approved by the Trustees, receive additional compensation in addition to the budgeted salary. Such additional compensation may be earned only during the Summer months (i.e., between Commencement and Fall Registration). Such compensation must be permissible within the policies of the agency sponsoring the research and must be charged to the sponsor's funds. Additional compensation shall be computed at the rate of 1/40th of the faculty member's then current academic year salary for each full week of research services, or 1/200th of the faculty member's then current academic year salary for each full day of research service. Maximum additional compensation from sponsored research shall not exceed 25% of the faculty member's then current academic year salary.

5. Members of the faculty on calendar year appointment are permitted to participate in sponsored research but may not receive additional compensation in addition to the budgeted salary.
6. When additional compensation is to be paid for sponsored research, such funds must be budgeted in advance against, and charged to, the contract or grant executed with the agency sponsoring the research. Funds received as a result of an agreement with the University for the performance of research are funds belonging to the University, notwithstanding the fact that the agreement may have resulted from negotiations by an individual member of the faculty. Such funds, therefore, shall be administered in accordance with regular procedures governing trust funds.

II. Other Activities

1. Members of the faculty are permitted to accept outside service of a professional nature, with or without pay, only providing it conforms to the following stated principles.

(a) A faculty member undertaking outside service shall inform the head of his department of the nature and extent of such activities and must obtain prior permission from the head of the department and the Dean of his College or School before undertaking such outside service. A department head undertaking outside service shall inform his dean of the nature and extent of such activities and must obtain prior permission from the dean before undertaking such service. A record of all such outside service shall be reported to the Provost.

When approved by the department head and dean, members of the Faculty are permitted to teach under the four-college cooperative plan at approved salaries which have been established by the Four-College Cooperative Plan. Teaching for the University at other off-campus locations may, when approved, be compensated at such rates as the Trustees may determine.

(b) No member of the faculty shall accept or retain employment which would bring him as an expert, or in any other capacity, into conflict with the interests of the University or its programs of Cooperative Extension and Control Service or the Commonwealth of the state; and if in his opinion, proposed employment might involve such conflict, he shall disclose the relevant facts when seeking the permission required under (a) above.

(c) As a state-supported institution the University is under obligation to render service to the people of the Commonwealth so far as this may be practical. The appropriate school dean or other University officer shall decide whether and to what extent this obligation can be met in the circumstances of any particular case.

(d) The University assumes no responsibility for private professional service rendered by members of the faculty. When a faculty member does work in a private capacity, he must make it clear to those who employ him that his work is unofficial. No official University stationery or forms shall be used in connection with such work nor shall the name of the University be used in any advertising or in any other way without the express consent of the University, given in writing by the President.
2. If University facilities, equipment, or supplied are required for private professional services, approval for the use of such facilities, equipment or supplies must be obtained from the department head and dean. A reasonable fee shall be paid to the University for the use of such facilities, equipment, and supplies. This fee shall be determined by the Treasurer of the University upon the recommendation of the respective dean.

AMENDMENTS TO TRUSTEE DOCUMENT T68-060
POLICY ON COMPENSATION FOR CERTAIN ADDITIONAL PROFESSIONAL SERVICES

Section II. Continuing Education and Public Service

1. Members of the faculty are permitted to participate, with or without compensation, in programs of a continuing education or public service nature requiring their professional services, provided such participation conforms to the following stated principles:

(a) Such services shall be performed in programs of a continuing education or public service nature which are sponsored by the University, and no such faculty member shall so participate without the prior written consent of the head of his department and the dean of his college or school. A record of all such participation, including the amount and nature of services and rate of compensation, if any, entailed, shall be reported to the Chancellor, as the case may be. Subject to the requirements elsewhere herein contained, services so approved may be performed at any time during the calendar year.

(b) All such services and participation shall be in addition to and exclusive of, the regular academic and scholarly duties and services to be performed by such faculty member, as assigned from time to time by the University.

(c) Compensation, if any, for participation in such programs shall be at the rate established by the Dean or Continuing Education with the approval of the Chancellor and the President. A faculty member may receive, during or with respect to any calendar year, such compensation in an amount up to ten (10%) percent of his annual salary for regularly assigned duties; and a faculty member on a calendar year appointment may receive, during or with respect to any such year, such compensation in any amount up to twelve (12%) percent of his annual salary for such duties.

(d) Compensation permitted hereunder shall be specifically in addition to that compensation allowed for research activities under Section I. Compensation so permitted shall be considered, however, by deans and department heads in acting upon requests by faculty members for permission to participate, or to perform, outside services of a professional nature, with or without compensation, as described in Section III.

(e) Notwithstanding any other provision contained in this Section II, participation in programs of a continuing education and public service nature, as herein provided, shall at all times be subject to such further rules of uniform application as the Dean of Continuing Education, with the approval of the Chancellor and the President, shall from time to time promulgate.
APPENDIX B

EXCERPTS FROM EXEMPT

(PROFESSIONAL) PERSONNEL POLICIES AT COMPANY A
APPENDIX B

EXCERPT FROM EXEMPT (PROFESSIONAL) PERSONNEL POLICIES AT COMPANY A

Introduction

There is no resource more vital to the overall achievement of the component's business goals than the human resource. The manager is responsible for the application of this resource to the performance of work which leads to the achievement of the desired business results.

The human resource is extremely complex and dynamic requiring challenge, leadership, and a productive working climate to achieve high levels of productivity.

In the Space Division, Employee Relations Policies have been established to set forth the rules governing treatment of policies. These policies are designed to ensure fair and equitable treatment of all employees on a non-discriminatory basis while providing a working climate conducive to high productivity. This manual is designed to help managers understand the policies more fully and provide methods for their effective implementation.
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APPENDIX C

SELECTED MODEL PROFESSIONAL

PERSONNEL PROGRAMS FROM COMPANY A
PROPOSED MANPOWER DEVELOPMENT PROGRAM

Introduction

Manpower Development addresses the basic objective of building and maintaining the depth of manpower talent to meet current and future business needs of a department, division and group. It encompasses a wide spectrum of employees, all of whom in this consideration would be professional or exempt, which could be categorized as:

- New entry level employees
- Functional individual contributors
- Foreman and first line supervision
- Functional managers
- General Managers

As a matter of basic posture, all employees should be encouraged to take actions to improve their qualifications and performance contribution in their current position and to initiate their own plans in preparation for future advancement and growth -- the employee must assume prime responsibility for his or her self-development. At the same time, management must assure that training and development needs have been identified and that appropriate plans are in place to provide the necessary manpower talent for their businesses. Management should also encourage self-development and provide necessary resources to facilitate individual achievement in this area.

Manpower development is accomplished in varying degrees as a part of several Exempt Relations Programs:

- Goal setting, work planning and review process
- Informal on-the-job coaching and counselling
- Performance appraisal process
- Annual Manpower Review process
  - Identification or staffing and manpower needs
  - Identification of High Potentials and promotables
  - Individual career planning
  - Individual development planning
- Education and training program opportunities

Manpower Development Priorities

Managers should focus their attention on development of those employees who have demonstrated the desire and/or potential for further advancement and strive to develop a meaningful plan for each on a near term basis -- the next one to two years -- within the framework of a longer term career direction which has been agreed upon by the man and his manager. Guidance, counselling, assessment and validation by the Employee Relations, Organization and Manpower function should be an integral part of and should appropriately influence this planning.
Individual development planning should be committed in line with these priorities:

1st - Job moves - work assignments
2nd - On-the-job exposures
3rd - Development and training program/course exposures

Please refer to Exhibit "A" for typical examples of these exposures.

Approach to Manpower Development

- To the extent possible, specific move commitments should be made for each individual within a two-to-three year time frame. All moves of work assignments in this consideration should provide a new work experience, one that will contribute to a better functional or business management understanding and competence and should provide an opportunity for the man to demonstrate his capabilities and performance.

- Where practical, moves - work assignments should be planned and carried-out on a continuing basis.

- Training and development opportunities should be used to supplement job moves and on-the-job exposures. Promotable employees should receive priority consideration for these opportunities as opposed to outside hires.

- As a part of the affirmative action plan, particular attention should be given to providing training and development opportunities to meet the unique needs of minorities and women.

Implementation of Manpower Development

- These steps should be taken in carrying out job moves for promotable employees:
  - Identify, for each, the next assignment type that will best facilitate development of the individual.
  - Placement preference should then be given to these individuals and as openings occur (the first step in the candidate search process);
  - Blocking positions for whatever reasons should be forced to open up developmental opportunities for high potentials where practical; and
  - Assignment opportunities in other groups should be searched out where practical.
NOTE: Recognizing managerial reluctance to free-up top performers for other organizations, reporting of interview, offer and placement activity will be made to key management at least annually.

- Individual development planning, including job moves, on-the-job exposures and training development courses, should be accomplished as a part of the Annual Manpower Review process. This planning should be recorded on the CMMD-3 form.

- A goal setting, work planning and review process should be implemented, placing prime emphasis on managerial coaching to realize performance improvement.

- A work performance appraisal process should be implemented that has as its prime purpose the motivation of employees and stimulation of self-improvement. This process should be focused on the work to be accomplished, should encourage candid dialogue on performance and development matters, should be highly flexible in terms of structure and should result in understanding on performance status and agreement on follow-on actions that can contribute to future improvement in the working relationship and work performance. This type appraisal should be conducted at least annually. Although the CMMD-3 serves to meet a documentation requirement, it should not be used as a substitute for the work performance appraisal process.

- Managers should carry-out career discussions with their employees to the greatest extent practical and as an on-going process. The Annual Manpower Review process provides one vehicle for formalizing the results of these discussions. The Employee Relations, Organization and Manpower function should provide a resource of trained professionals to assist with career discussions when requested by management or the employee.

- The Annual Manpower Review process should also be used to identify new and replacement staffing needs, to identify promotable employees and to collect manpower data for demographic analyses, i.e., time in job, etc.

- Manpower development planning results should be used as a factor in salary determinations and planning. (Compensation administration should provide for the specific assessment of planned salary increases for employees judged to be poor performers, high potentials, etc. to ensure discrimination in size and timing of increases.)
Other Considerations

Although these guidelines are oriented to the business interests of manpower development, the individual's interests and desires should be taken into full consideration, even though he or she may not meet the promotability criteria outlined in this program if the outcome of improved job performance and satisfaction is achievable.

Management should also provide employees the opportunity to participate in an open self-nomination process for positions in which they have an interest and for which they feel qualified or for other self-development opportunities described in Exhibit A. An effective management review process needs to be in place to ensure that follow-on placements are accomplished in the interest of the individual and the business.

Counsel and Measurement

The Employee Relations or Organization and Manpower function is responsible for counselling managers in the implementation of this program, for independent assessments of manpower and for measuring effectiveness of the program. Manpower development ability is a key aspect of managerial effectiveness and should impact on the overall performance rating of managers. As a minimum managers should be held accountable for the development of backup candidates for their own positions.
MANPOWER DEVELOPMENT PLANNING PRIORITIES

1st  Job Moves - Work Assignments (1)
     o  Cross Functional  (2)
     o  Cross Department/Division (Product)
     o  Within Function
     o  Within Department/Division
     o  3 or more Sub-Functions (3)

2nd  On-the-Job Exposures
     o  Job Redesign/Enlargement
     o  Stretch Goals
     o  Involvement in Business Decisions
     o  Task Force/Study Team
     o  Acting Manager
     o  Etc.

3rd  Development & Training Courses & Programs
     o  Department, Division & Group
     o  Crotonville  (in conjunction with 1 & 2 above)
     o  Outside Company

(1)  Assignments must be meaningful and measurable; assignment manager should desirably be “development” oriented

(2)  For Potential General Managers

(3)  For Potential Department Layer Functional Managers
I. PURPOSE

The purpose of this Division Policy on EO/MR Practices - Exempt Employees is to:

A. Specify and describe the personnel policies and practices considered essential to the effective hiring growth, utilization, and retention of the Division's exempt women and minority employees.

B. Provide all exempt women and minority employees with a clear understanding of career paths available and the treatment that they may rightfully expect as professional people as well as the actions that in turn are expected of them.

C. Provide guidelines for managers to use as a consistent base for decision making in all matters involving exempt women and minority employees.

The EO/MR practices defined in this policy establish a sound basis for the development of plans and programs to achieve overall EO/MR goals and objectives. These EO/MR practices are logical extensions of effective employee relations practices that should be used for all exempt employees. Managers should attend to the challenge and opportunity for positive action in processes that can improve the motivation and productivity of all their exempt employees.

II. STATEMENT OF POLICY

It is the policy of the Division to: (Adapt to Group/Department as appropriate)

A. Become a civic leader in programs and activities which enhance equal opportunities for all citizens within the various communities in which the Division operates.

B. Develop and maintain managerial practices that reflect affirmative obligations to exempt women and minority employees and a concern for promoting a productive work climate; and that reflect the obligation of each exempt woman and minority employee to dedicate her or his talents to the attainment of business objectives.
C. Give meaning and substance to this policy as it applies to exempt women and minority employees through regular and candid communication between an employee and her or his manager about these practices.

D. Establish specific EO/MR goals and assign responsibility for their accomplishment.

E. Provide for quarterly review and measurement of progress and performance in the area of affirmative action and related managerial commitment.

F. Integrate the provisions of this policy with other existing Division policies that are designed for effective management and utilization of all exempt employees.

III. APPLICATION OF POLICY

Each manager is responsible for application of this policy within his component. This includes initiating plans and programs related to the following practices areas that will assure understanding, acceptance, commitment, and compliance within the framework of this policy.

A. Sourcing

1. Establish a continuing process for the systematic forecasting of manpower needs, and development of realistic candidate specifications pertinent to job requirements.

2. Assign a Professional EO/MR Recruiter who is an especially qualified individual to be exclusively responsible for the selection and placement of exempt women and minority candidates.

3. Develop and implement creative and innovative approaches to identify and attract women and minority individuals as candidates for openings.

4. Provide interviewing and evaluation skills training to hiring managers with particular emphasis on objective understanding of cultural and social background differences and concerns of women and minority candidates.
5. Prepare area and community information that describes alternatives available to satisfy personal and/or family needs, e.g., housing, education, services, social activities, transportation, etc.

6. Maintain an EO/MR Continuity Plan which outlines methods and alternatives available to strengthen the employment security of exempt women and minority employees so far as to offset or minimize the adverse impact on them of a reduction in force in the organization.

B. Development

1. A planned program of orientation, beginning with engagement processing and continuing through complete work responsibility assignment and understanding, should be conducted for each exempt woman and minority employee as selection and placement actions are completed.

2. Each manager of exempt women and minority employees should support the individual's efforts and requests for on-the-job coaching and counseling to maximize work results and performance.

3. Participation in educational opportunities to develop work-related skills and to improve potential for future growth should be scheduled when individual need for such experiences has been identified.

4. Managers should be prepared to provide career planning assistance, including a realistic assessment of the individual's career objectives and his near term job assignment targets, identification of ways to gain necessary experience and skills, and the development of agreements about what each will do to support the individual's career plans in the period ahead. Procedures should be in place to inform employees of job opportunities and their pre-requisites and to allow them to register their interest in specific opportunities. Particular emphasis should be given to documented plans for individuals who have been identified as high potential who management anticipates will move upward to a specific higher position level.
5. An awareness program should be in place which includes seminars and discussion groups or workshops designed to create a management awareness of the obstacles exempt women and minorities face and the distinctive social and cultural difference of minority groups.

C. Management/Employee Attitudes & Commitment

1. Establish a systematic program to periodically involve managers, supervisors, foremen and exempt employees in an assessment of their attitudes toward equal opportunity and affirmative action and to measure the effectiveness of communication in this area.

2. Provide a specific communication process for all employees by which they may bring to the attention of management their suggestions, recommendations, problems and/or complaints regarding EO/MR matters.

3. Communications modules should be developed, aimed at the total employee population as well as the management population, to increase awareness as to "what it's all about" in EO/MR. These should be adaptable to meet location need and each component should undertake a program to communicate its EO/MR objectives and goal-setting procedures down through Unit layer management.

4. Annually, on a rolling five year basis, specific hiring and upward mobility plans and goals for exempt women and minority employees are established and documented for each section level (or lower) organization component as a key element for the periodic measurement of management responsibility, accountability and performance in EO/MR.

5. Managers, supervisors, and foremen are held responsible and accountable for equal opportunity and affirmative action. This responsibility and accountability should be documented and transmitted through line management channels to each incumbent as an inclusion in their position guides. At least once a year the performance, involvement and contribution that each manager, supervisor and foreman has made in the advancement and enhancement of EO/MR should be documented as part of his annual performance review. (This would be used to assure that EO/MR performance is considered in compensation and promotional decisions.)
D. **EO/MR Documentation**

1. Each component should develop, implement, and at least quarterly review an Affirmative Action Plan appropriate for its separate operating locations. Such Plans should incorporate the general guidelines presented in the Corporate Affirmative Action Plan format approved by the Federal Government.

2. Consistent documentation formats and practices for tracking and reporting EO/MR performance and results should be established to facilitate communications to managers and for consolidations of data needed for upward Corporate reviews and government compliance reviews.

3. Wherever possible, when the data management needs are of substantial magnitude, mechanized information processing should be utilized.

E. **External Programs**

1. There should be position guide documentation and individual assignment of responsibility and accountability for programs which extend the company’s involvement and support to community institutions and resources which will facilitate and enhance the attraction of exempt women and minority applicants and the educational, social and economic progress of the minority community.

2. Establish and maintain constructive relationships with women and minority interest groups as well as government agencies in the community to assure understanding of and effective response to emerging problems, concerns and pressures.

F. **Organization**

1. A position should be established, sufficiently high in the Division organization or department structure, to develop, integrate and direct a total Division EO/MR program with responsibility for performing work of Corporate/Division impact, and accomplishing details of this work through existing components in a manner consistent with their character of basic responsibility.
2. Each component should assign to an exempt person the responsibility to plan, monitor and report on the component’s Affirmative Action Program and related equal opportunity activities at each plant, location, and to coordinate and integrate such efforts with the Division EO/MR position.

IV. RESPONSIBILITY FOR COUNSELING

The Personnel representatives assigned to each component and location of the Division will provide counsel with regard to interpretation of this policy and will be responsible for establishing the performance measurement system.
EXEMPT COMMUNICATION PROGRAM

A primary objective of employee communication is to achieve the understanding, approval, support, and contributed value of employees towards the goals of the business. These goals should be balanced considering the needs and requirements of our customers, community, shareowners, and employees.

Communication is an essential function of any organization. It can help overcome normal operating problems, and is usually management's chief reliance in a crisis situation. It is the key to improved cooperation, performance, and morale. Through communication, the organization is able to exert a constructive influence in the economic, political, and social arenas which can help to insure the continued growth and profitability of the business.

An effective communication process requires that the interests of all employees are considered. However, many audiences exist in the organization, and various media can be utilized to address the interest of specific groups of employees over-and-above the basic communication program. The emphasis of any good communication program requires an audience identification process, and consideration is being given here to the exempt and managerial work group although the approaches that follow can be used with other groups also.

Effective communication, as an integral part of the management process, should be treated with the same degree of importance as other major business activities. Management should establish the communication policy for the organization, provide guidelines, resources, and assign responsibilities. Achievable objectives should then be developed, and management should measure the results.

COMMUNICATION POLICY AND OBJECTIVES

The real measure of effective communication is what actually happens, in what kind of environment, and with what consistency over the long-run. Communication consists of both words and actions. But to set the framework within which to operate the business also means that management should set the communication framework. Many organizations have a healthy communication philosophy, but have not documented their communication policy. A published communication policy will help establish the degree of openness within which a communication system will operate. It will help the workforce to understand the operating environment.

To a large extent, the success of the organization depends on teamwork at many levels, and the quality of the communication system could be improved by establishing published policy guidelines and objectives. The overall objectives of an effective communication program should include these elements:

- To assist in the attainment of the operating objectives of the business.
To help improve performance and job satisfaction of employees at all levels.

To enhance the corporate image with the employee and community public.

To win understanding, approval, and support of the organization's position on vital economic, political, and social issues.

To keep management informed of attitudes, trends and reactions among employees and other appropriate "publics" as an aid to decision-making and control.

**ORAL COMMUNICATION**

The following ORAL communication media should be a part of an effective communication program with suggested frequency to involve all exempt employees:

1. **Staff Meetings** - Managers should conduct staff meetings with their exempt employees on a regular basis. Meetings need not be very long, but should have a predetermined time in order to have each calendar so committed. The agenda should also be distributed prior to the meeting in order to maximize not only the staff meeting, but the employees' time subsequent to the meeting.

2. **Management Meetings** - Wherever practical, top management within a component should meet with their exempt employees at least once a year. These can be essentially state-of-the business meetings; perhaps with reports on special projects in progress. By establishing, let us say, top management at the unit level and above approach, a number of meetings will result within the physical facility, and overall communication should be improved.

3. **Roundtable Meetings** (including "skip" level) - Small groups of exempt employees (15 or less) meet with the general manager or a functional manager as the discussion leader. These can be either cross-functional meetings, or within a function. Open discussion should be encouraged during these meetings. These meetings pinpoint the concerns of employees, and they also contribute to better understanding of the business. Notes should be kept during each meeting as the basis of possible later communication, and to be certain that items that require follow-up are pursued.
4. **Employee Orientation - Employee orientation sessions for both new employees to the Company and employees transferring in from other Company locations. These orientation sessions should provide the new employees with an overall view of the operation. New employees might have "buddies" assigned for the first few weeks of the new assignment, to help soften the impact of the new environment. The orientation should begin, wherever possible, on the first day of the new assignment. Some components now have an audio-visual package which provides certain portions of the orientation being automated.**

5. **Private Discussions - The exempt employee should have frequent opportunities to meet with the manager or supervisor on a private basis. Performance appraisals provide this, but informal meetings can be scheduled at other times to give the manager and the exempt employee a chance to have a discussion on mutual concerns.**

6. **Complaint Procedure - Occasionally exempt employees have complaints which cannot be resolved with their manager. It is essential that an organization consider developing a formalized complaint procedure which permits the employee to seek avenues of relief when his or her concern cannot be handled at the immediate manager level.**

7. **Cross Function/Cultural Seminars - Employees should be exposed to one-day or partial-day meetings at which time lectures could be held on various subjects including both technical and cultural sessions to enhance awareness. For instance, an engineering manager could visit manufacturing and lecture on some engineering process which would make manufacturing employees more aware of technical needs and concerns. Sessions can be run on cultural awareness as it pertains to minority and women employees in the workforce.**

8. **Management Association Meetings - Meetings involving members of Elfun, Foreman Associations, and various other localized clubs where exempt employees participate can be another important source of communication. Although the officials of these organizations have a free hand in the development of programs for their organizations, management should cooperate in helping to fill requests for speakers and should attend either as a member or when invited.**

9. **Personal Recognition - One of the most effective ways to communicate is a personal visit or phone call from a manager to an exempt employee in which the manager commends the individual for an on-the-job, professional, or community achievement. Such personalized recognition takes time, but it can be well worth the effort in terms of building good relations with exempt employees.**
WRITTEN COMMUNICATION

The following WRITTEN communication media should be considered as a part of an effective communication program. Obviously, not all of the below are applicable at every location. Some of the items may not seem to be a traditional communication method. However, when designing a total communication process, the following areas have one essential element. All of the below open up the process of two-way communication.

1. Exempt Employees Handbook - This can be an important element in an exempt employee communication program. In addition to covering the subjects most commonly found in handbooks distributed to all employees, this exempt handbook could be a personal reference document written specifically for exempt employees. A frequent problem within exempt groups has been their lack of familiarity with a component's policies and practices. The handbook could cover such subjects as career planning and counseling, the salary administration system, the complaint procedure, the promotion and advancement system, including the transfer policy, the lack-of-work procedure, and the organization's business charter and goals.

2. Performance Appraisals/Career Discussions - This one-on-one communication process is generally not thought of as a part of a communication program, but it could be considered one of the most important individual dialogues which takes place between a person and the manager.

3. Self-Nomination Process - A formalized communication process for self-nomination could be a significant method for dramatically improving upward dialogue on career expectations. Establishing this system would open up communication between the employee and management relative to his or her qualifications as related to some positions in the organization.

4. Management or Exempt Newsletter - These should be issued at least monthly. Items should be of special interest to exempt employees including more detailed explanation of items that may also appear in all-employee publications and information on pay and benefits applicable only to exempts. Some of these publications could go only to those with managerial or supervisory responsibilities - so it's important that such distribution be clearly indicated.
5. **Management or Exempt Bulletin** - This could be issued on a distinctive letterhead on an "as needed" basis, usually on short notice. Subjects covered in this should be timely and in the category of unusually important announcements or emergencies which merit the immediate attention of the recipients. You should have the capability to issue and distribute such a bulletin within a few hours to help stop rumors by getting the facts to key employees before the information may be miscommunicated through other sources.

6. **All Employee Publications** - Material appearing in all-employee publications will not necessarily appeal to every reader. Consider the information needs of exempts that can be met in the all-employee publication without sacrificing the space needed to do an adequate job of communicating to the other employee groups. Examples would be patent award announcements, announcement of the meeting of professional societies, etc.

The all employee publication is a good vehicle for recognizing the accomplishments of exempt employees. Because it’s also read by other employee groups, it helps make the point that the work of exempt employees contributes to business success and job security for all.

7. **Letters** - An occasional letter from top managers in the organization to all exempt employees can be a useful means of communication. These letters can be either to a select group of exempt employees or to all exempts. Of course, a personal letter to an exempt employee is also appropriate at times - especially when management praises an individual’s achievements.

8. **Corporate Publications** - Be certain that prompt and accurate distribution is made of the Co. Report for Managers, the Monogram, and other corporate publications intended for specified exempt groups.

9. **Reference Material** - Consider a "supervisor's handbook" which consolidates company practices. If such a publication is issued, be certain it is updated frequently.

10. **Surveys** - Attitude surveys are another form of upward communication, particularly since they assure anonymity and, therefore, encourage employees to express their true feelings.
In summary, each medium has its advantages and disadvantages, some are surprisingly adaptable, but none will necessarily fill all the communication needs required. As a general rule, media choice should be among the last things to consider when developing a communication plan. To summarize the various alternatives available, the below information should be considered a quick reference checklist:

**ORAL MEDIA**
- Staff Meetings
- Quarterly informative meetings
- Roundtable conferences
- Annual business report meetings
- Orientation
- Assignment giving
- Performance Appraisals
- Self-nomination system
- Career counseling
- Complaint handling
- Work place meetings
- Walking the shop and office

**AUDIO-VISUAL MEDIA**
- Slides
- Motion Pictures
- Film strips
- Chart talks
- Closed circuit TV
- Sound-action exhibits

**WRITTEN MEDIA**
- Organization announcements
- Policies
- Procedures
- Reports
- Management bulletins
- Management newsletters
- Employee newspapers and magazines
- Daily new digest
- Letters
- Reading racks
- Pay envelope inserts
- Booklets
- Posters
- Employee annual reports
- Materials

**SUBJECTS FOR EXEMPT COMMUNICATION**

Management has many avenues open to communicate with employees. It is important to determine specific information needs of employees, as well. Performance appraisals, roundtable discussions, and private meetings will help to insure upward communication, but broad-based attitude surveys also get at the pockets of concern which may not normally come to management's attention. The results of these employee and community attitude surveys could be incorporated into the communication plan. Briefly outlined below is a partial list of some of the subjects which could be considered appropriate for an exempt communication program:
1. Business-Related Information
   - State of the business
   - News about customers and competitors
   - Industry news
   - Technical developments
   - Economic news on the national issue

2. Organization and Personnel Changes
   - Announcements of organizational changes
   - Announcements of promotions

3. Recognition of Personal and Group Accomplishments
   - Recognition of outstanding achievements
   - Recognition of National Engineers Week
   - Published articles written by exempt employees
   - Recognition for exempt employees who are teachers or instructors

4. Compensation Information
   - Information about the pay plan
   - Provisions for salary continuation
   - Salary reviews

5. Employee Benefits Information
   - Sick and personal time off
   - Detailed information on the various benefit plans

   - Describe the "affirmative action plan"
   - Progress made in hiring and promoting minority, women and older employees

7. Other Personnel Practices
   - Explain performance appraisals
   - Opportunities for career counseling
   - Explain transfer policies
   - Hours of work
   - Problem-solving procedure
   - Vacation scheduling
   - Leave-of-absence policies
   - Self-nomination procedure and results
CONCLUSION

In order to communicate effectively, it is helpful to have some insight into the findings of social scientists who have conducted research on the communication process. Out of these studies emerged certain principles which may have some value:

1. The credibility and motives attributed to the communicator have a profound influence on the reception of the message.

2. The most successful communications are those which reinforce at least some of the audience's beliefs, those which state conclusions as well as premises, and those which call for action.

3. People are interested first in people, then in things, last in ideas. Their attitudes and opinions are strongly influenced by the groups to which they belong or want to belong.

4. It is better to communicate information little by little over a period of time than all at once. Repeating a communication obviously prolongs its influence.

5. Short sentences, familiar words and active verbs make communications both interesting and persuasive.

6. In changing opinion, oral presentation tends to be more effective than the written word.

7. Only rarely is it possible for communication, particularly over the short range, to change deep-seated attitudes or beliefs.

8. Mass communication alone is hardly ever an effective agent of change.

In the final analysis, there cannot be too much emphasis placed on optimizing the uses of communication in the organization, or in improving communication skills at all levels. Finally, there must be management commitment to establish and support the communication policy, set realistic guidelines and objectives which can be measured, grant the resources, apply the skill and patience to provide constructive and imaginative contributions to the business.
EXEMPT RELATIONS ADVISORY COUNCIL

Exempt Handbook Content

Objective:

An exempt handbook is a communication vehicle intended to fill the information needs of exempt employees in policy areas affecting their business careers. The optimum result of such a communication tool is to relate to both managers and employees what to expect from the Company and what the Company expects from them. The handbook should provide the employee with a general understanding of how the total professional human resources system functions.

Conditions and Variables:

What are the communication needs of exempt employees? They vary within employee groups, either organizationally or functionally. Likewise they differ from one business to another, and from one location to another. While a general philosophy on the treatment of exempt employees exists throughout the Company, the emphasis placed on specific topical areas in communication to employees can be quite different. Take as an example a small plant manufacturing a standard product, operating for twenty years in a small community where almost all the exempt workforce has been hired locally. In this example, turnover is extremely low, Company service averages 15 years, and the most recent measurement of employee attitudes indicates no significant concern with promotion policies. To provide this group of employees the identical communication on promotion as a group of employees in a large, rapidly expanding, multi-product business may not be appropriate, since their attitudes on this subject may be negatively affected. Before the scope of the text items in a handbook are defined, one should identify the employee needs in these areas.

What is the communication environment present at the facility? Is there an atmosphere of "openness" between management and employees? What communication vehicles are already in place and what are their frequency? Answers to these and similar questions may determine the approach and timing of publishing an exempt handbook.

While the Company philosophy on the treatment of exempt employees is universally stated, the particular policies in effect at group, division and department levels may vary widely. For example, exempt employees should receive consideration for promotional opportunities within the Company. This is a statement of position. Some organizations have gone a step further and have initiated policy instructions on the condition of employee availability. The point to be considered here is the existing support in policy for statements that could be made in an exempt handbook.
Manager Role - The need exists to define the relationship of the manager to the employee in the performance evaluation document and subsequent discussion. If a one-over-one management review of the performance appraisal document is obtained prior to discussion with the employee, the reason for this procedure needs to be stated. The source of performance input (i.e. interfaces, task leaders, etc.) needs to be identified.

While the employee needs to understand the manager's role, the manager may need more detailed communication on the "what" and "how" of preparing performance comments. This detail may be treated separately in a policy, instruction, or separate handbook for managers.

Frequency of occurrence - Both manager and employee need to know the frequency in time of performance evaluations. What conditions, if any, that would shorten or extend the time interval of performance appraisals also warrants comment. If changes in responsibilities in the same position or transfer or promotion to another position occur between the normal performance evaluation time period and management considers such instances appropriate to appraise performance prior to assumption of new responsibilities, this procedure should also be stated. Likewise it should be mentioned, if appropriate, that the employee can request a performance evaluation, if the need exists. An example of this instance might be the employee requesting performance evaluation after six months on a new job.

Manpower Review - An explanation of this topic should include:

- The purpose - While Manpower Reviews have existed in most Company organizations for a number of years, employee knowledge of such reviews may vary a great deal. This circumstance needs to be considered when approaching the communication of this topic.

  The overall human resource planning nature of the review in light of the goals of the business may warrant a general comment to employees. Their need to know may be considered of a more individual nature with respect to how the Manpower Review affects the individual.

  Managers, on the other hand, need to know the detailed description of the "big picture" as it commits them to organization and staffing goals, affirmative action targets, high-potential development, back-up requirements for their own positions, and identification and action planned on marginally performing employees.

- Employee involvement in the review also needs to be defined. What forms are the employees required to submit? Forms such as the Individual Experience Record (CMMD-2 and 2A), in essence a resume, need to have their use explained to the employee in order to assure quality input. Likewise the use of such forms as the Evaluation and Development Summary (CMMD-3), where employee input and manager evaluation is embodied in its use, needs to be explained to the employee.
Promotion and Transfer - This topic is usually of considerable importance to employees and should contain sufficient detail and clarity to promote employee understanding. Treatment of this area may vary from organization to organization, depending how "open" (i.e. job posting) or "closed" (i.e. a procedure totally secret to employees) is the present method employed in promoting and placing employees. Treatment of this topic area should include:

- A definition of promotion, placement, developmental transfer, or other terms employed to identify types of job movement. While this may seem obvious to some, others do not possess a clear understanding. For example, an employee might consider a promotion to be an instance where job title and increase in position level occurs, whereas promotion includes an increase in position level within the same job title, as exists in so-called "generic" positions. Placement to some means a condition (i.e. lack-of-work) where the employee has to obtain another position. The point to be made here is that understood definitions are imperative to the discussion of promotion and placement.

- What conditions and qualifications make an employee promotable? Here some of the pieces of other practices need to be brought together. In addition to possessing the requisite qualifications for a given position, the employee's past performance, overall managerial assessment of the total long term value of the employee to the business (i.e. Manpower Review data), and the specified career interest of the employee (i.e. career-counseling information) are considered.

- How do promotions and transfers occur? The system employed by the organization to effect promotions and transfers need to be defined.

  - Candidate Slates
    Who prepares them?
    When are they required?
    What conditions warrant nomination?

  - Employee Availability
    What time period constitutes normal job tenure prior to being considered for other positions?

  - Present Manager's Role
    What are the situations in which the manager might refuse availability in light of the needs of the business?
What should the manager communicate to the employee when availability is denied?

What is the manager's role in counseling the employee in the area of career moves?

What is the manager's role in initiating action to effect employee promotion and transfer?

- Employee Relations Role

What is Relations' responsibility in candidate-slate preparation?

What is Relations' role in recommending?

What is Relations' role in Employee Counseling?

- Hiring Manager's Role

What is his requirement to provide meaningful and reasonable position and candidate specifications?

What is his responsibility in providing meaningful feedback to candidates not selected?

What is his responsibility to the Company in staffing positions?

- Employee Role

Accurate description of past experience

Meaningful description of career objectives

Reasonable expectations regarding worth to the Company

Indication of job/career interests

Communication Systems

What are the normal channels of communication within the organization and what are the purposes of each? Items to be covered would normally include:

- Plant news
- Management communication
- Staff meeting
- Roundtable
Manager's Role - discuss the manager's responsibility for frequent and detailed communication on topics of interest to the business and to employees.

Employee Responsibility - Discuss the need for effective two way communication and the employee's responsibility for upward communication of information which may be of importance to the business.

Problem or Complaint handling System - Define the procedures available for the discussion or resolution of employee problems or concerns and the avenues of appeal available in cases of perceived inequity of treatment.

Compensation Philosophy and Practices - This topic needs to be succinctly presented, in order to ensure uniform understanding and acceptance by employees. Discussion of this topic should include:

- Description of "Pay for Performance" including position-level structure and the meaning and content of structure changes.

- How salary adjustments are determined, including relationships of such factors as budgetary constraints, marketplace trends for particular skills, peer comparisons, the value of the position to the business, promotability, and performance.

- Salary forecasting - Provide discussion to the effect that forecasting is a plan of position level and salary adjustments. Comment needs to be provided on the business planning or "total picture" nature of the forecast, making the point that individual salary actions may be different within the total plan. Planning targets such as average increase, net effect on payroll, budgeted effect on payroll, percent to position rate, percent of employee participation (number of employees receiving salary increases in the period being measured), average monthly interval between salary adjustments, and weighted average position level may also be defined and their use explained. While it is a discrete point, the subject of salary action versus salary review may be discussed.

- Manager responsibility - Discuss the manager's role in determining salaries and communicating information to satisfy employee needs.
• Relations responsibility - Discuss Relation's role in constructing and monitoring the total salary plan. State Relation's responsibility to provide management with salary survey data. Define Relations' responsibility to provide employees with salary information if such is the practice. Comment on Relations' role in providing general advice and counsel to both managers and employees in the area of compensation.

• Employee needs - State the information common to all that an employee should expect to receive from the manager on the topic of compensation.

• Overtime Payment - While the handbook is probably not the proper place to define a detailed procedure on overtime payment, a general discussion on the difference of casual versus paid overtime might be in order.

Career Counseling and Planning - While this topic is usually not the subject of a definite policy, the following areas might be covered:

• Employee responsibility - State the employee's responsibility as the major party involved in his or her own career planning. In most cases the employee should initiate career discussions with the manager or Employee Relations. The employee is responsible for gathering sufficient data to construct meaningful and reasonable career goals.

• Manager responsibility - Define the manager's role as one of a counselor directing employees to other sources (i.e. Relations and other functional managers) to provide them with additional input necessary to define career goals.

• Relations role - Define Relations role in assisting the manager and employee in the area of career counseling. Relations counseling could include comment on frequently observed career paths, and the definition and discussion of the "parallel" path concept.

Training and Developmental Opportunities - This topic should contain discussion on:

• Purpose of training and developmental opportunities - Included in the purpose might be reason for offering technical or functional courses, managerial courses, human relations courses, social attitude courses, and practical skill courses (i.e. first aid, safe driving).

• Sources of training and developmental opportunities - Include in-plant courses, local external educational opportunities, and Company resident courses. These opportunities may be referenced in general, the detail being narrated in an Educational Opportunities Manual.

• Professional affiliations - State the organization's position in sponsoring and/or fostering participation in technical and professional societies, and what one should intend to receive as a condition of membership.
o Manager's role - Discuss the manager's responsibility to identify and recommend to the employee those training and developmental programs to further the overall worth of the employee as an individual and to the Company.

o Employee's role - Discuss the employee's role in identifying and requesting appropriate training and developmental experience to further advance his or her professional worth.

o Relations' role - Define Relations' role as one of planning to provide for the present and future training needs of the business, measuring and adapting programs to best fit the needs of the Company and the employee.

Appeals Procedure - Define the policy in effect and add discussion of such policy on the following points:

- General purpose
- When and how to request and alternatives
- When and how to involve a third party

Other items which may be included in an exempt handbook are:

- Equal Employment opportunity
- Educational opportunities
- Community involvement
- Items of specific interest to professional employees
  - Patents
  - Publishing in technical/professional publications
  - Professional society membership

Removal from Payroll - This topic may be treated in a variety of ways with a significantly different amount of emphasis. While an organization may choose to define each type of removal from payroll (i.e. LOW, resignation, termination), mention should be made with regard to the expectations of the employee, the manager, and the Company. The key to receiving information on this topic rests on communication. If being removed, the employee has a right to know of the action in advance. Poor performance needs to have been discussed and documented with the employee prior to removal. Likewise the manager representing the needs of the Company needs to receive reasonable notice of an employee resignation.
It is recommended that the handbook exclude the following items:

### Benefits

**Plant Facilities** (offices, cafeteria, vending machines, parking, etc.)

**Other Routines** (employee clubs, credit union, expense account procedures, etc.)

These items are primarily procedural in content and do not reflect a philosophy of employee, manager, or Company rights.

### Method of Presentation

Various alternative methods of presenting an exempt employee handbook may be employed. As sample methods the following three alternatives are stated with appropriate pros and cons.

1. **Make the entire handbook an instruction, providing uniform distribution to both managers and employees.**
   
   **Pros** - Provides a uniformly communicated "legal" position on the items covered, thereby reducing the possibility of broad and varying interpretations.
   
   **Cons** - Brevity in an instruction risks the lack of adequate topic coverage (supplemental instructions may be issued to overcome this).
   
   - Overdetailed treatment inhibits employee understanding.

2. **General handbook prepared for distribution to both managers and employees (not an instruction). Specific policies and/or instructions could be referenced.**
   
   **Pros** - Provides a uniform communication to both managers and employees.
   
   **Cons** - Lack of foundation in specific policy opens topic areas to a variety of conflicting interpretations.

3. **Topic areas treated separately in a handbook to managers and a handbook to employees.**
   
   **Pros** - Allows more detail to be presented to managers on the how, when, and why of the subjects treated.
   
   **Cons** - Can attitudinally separate employees and management, since separate treatment might be construed as a two-faced approach.
1. NEED FOR A PROGRAM

In order to successfully achieve the business objectives, plans and goals of the organization, managers must effectively interact with their exempt employees. This requires that all managers, regardless of function, conduct generic relations activities in a fair and efficient manner. The primary focus of these relations activities is to attract, maintain, motivate, and reward exempt employees. The collective efforts of managers in carrying out such responsibilities represent the "relations health" of the organization.

Employee Relations, as one of the functional components of the organization, supports and facilitates managers in their relations activities. This is accomplished through a variety of policies, programs, and practices all aimed at helping managers acquire, develop, and utilize the human resources needed to achieve business objectives.

The generic relations efforts of managers and the specific activities of Relations are conducted in a setting where the organization, its human resources, and the environment are continually undergoing change. Because of this change, there is a high need for reliable and meaningful information to develop and implement plans responsive to both the needs of the business and the needs of its human resources.

An Exempt Measurement Program becomes a necessary tool for management so that it can predict needs and future outcomes. It also provides management with information to control the resources used in implementing plans affecting or involving exempt employees so that the plans' objectives are, in fact, achieved.

The specific purposes of an Exempt Measurement Program are three-fold:

1. To assess the effectiveness of either managers or Employee Relations in meeting needs involving exempt employees.

By using a defined, systematic process to measure relations activities, useful and timely data can be generated to enrich the decision-making process. In this way, decisions can be based more on facts and knowledge and less on intuition and guess-work.

A measurement program can provide data useful in planning and implementation efforts. Such basic questions as the following can be answered:

--What in our relations activity is working—what's effective and should be reinforced and continued?

--What isn't working as well as it should be—what needs correcting or adjusting?

--What potential threats are there to implementing a particular program, policy, or practice?
--What priorities and target dates of a relations implementation plan should be re-set; what resources need to be allocated in a different way if we are to successfully achieve the objectives of this relations plan?

As an example of the above, a Division may be introducing a major new policy affecting exempt employees such as a Lack-of-work policy. Using an Exempt Measurement Program data can be collected from a sample of employees and line managers. The data may reveal that there have been some breakdowns in the communication of the policy--employees don't know about it or don't understand it. New target dates may have to be set and resources allocated to provide additional coaching of managers on communicating the policy.

2. To identify newly emerging or modified needs of Exempt employees.

An Exempt Measurement Program can generate data that will help managers better understand the real wants, desires and needs of their exempt employees. Since these wants and needs are subject to change and because the exempt population itself changes, meaningful and timely data is necessary. By having such data decision-making can be improved and the organization's relations activities are, where feasible, valid and relevant responses to the needs of exempt employees.

As an illustration of this function of an Exempt Measurement Program, periodic surveys of exempt employees may indicate that employees want information on new work methods and processes so that they can be more effective in doing their jobs. Such a survey may also demonstrate that the need for a self-nomination process has intensified and spread across the organization.

Another benefit of an Exempt Measurement Program is that it can provide data useful in predicting future outcomes. Testing a new program or policy on a sample of employees and then measuring their reaction can produce data to predict the response of the total exempt population to the program. Obviously, the decision-making and planning process is enhanced by such useful information before resources are totally committed.

3. To provide meaningful data for communication to employees and managers.

As relations programs, policies and practices are put into place and utilized by exempt employees, feedback on such efforts is a crucial step in the process of managing our exempt human resources. Hard data that demonstrates the organization is responsive has far greater credibility than speculation or random opinion. Providing such feedback helps to maintain the "relations health" of the organization. Communicating awareness of relations needs and issues is a key building block for establishing trust.
In summary, an Exempt Measurement Program of relations activities is a crucial tool of management. As with measurement programs in any other area of the business, it can generate data useful for purposes of decision-making, planning and problem-solving. Having the capability to predict and control is a prime requisite of effective management.

II. ELEMENTS OF AN EXEMPT MEASUREMENT PROGRAM

In order to assess the effectiveness of relations activities affecting exempt employees or to identify relations needs and issues pertaining to this employee group, an Exempt Measurement Program will include the following:

• Definition of what relations activities or factors are to be measured.

• Determination of the methods or techniques to be used.

• Specification of when the measurements are to be taken and by whom.

• Utilization of the data findings to make decisions, to revise plans and to communicate to various audiences.

EXAMPLES OF EXEMPT MEASUREMENT PROGRAM ELEMENTS

• Measuring "Relations Health" - Attractiveness to Join the Organization

<table>
<thead>
<tr>
<th>Factors Measured</th>
<th>Method</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Application Rates/Types</td>
<td>Manual study</td>
<td>Identify best/worst sources</td>
</tr>
<tr>
<td>Internal employee referrals</td>
<td>Manual study</td>
<td>Assess employees' organization identification</td>
</tr>
<tr>
<td>Starting salary rates</td>
<td>Salary survey</td>
<td>Assess competitiveness</td>
</tr>
<tr>
<td>Occupational salary curves</td>
<td>Salary survey</td>
<td>Assess competitiveness/salary trends</td>
</tr>
<tr>
<td>Community Attitudes Toward Organization &amp; Employees</td>
<td>Telephone/mail survey</td>
<td>Determine perceived image</td>
</tr>
<tr>
<td>Reasons for rejecting job offer</td>
<td>Interview/mail survey</td>
<td>Evaluate recruiting process</td>
</tr>
</tbody>
</table>
### Measuring "Relations Health" - Attractiveness to Remain in the Organization

<table>
<thead>
<tr>
<th>Factors Measured</th>
<th>Method</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job satisfaction</td>
<td>Sample or 100% attitude surveys, interviews or polls</td>
<td>Identify relations problem</td>
</tr>
<tr>
<td>Pay &amp; Benefits</td>
<td></td>
<td>Needs</td>
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<tr>
<td>Development/Promotions</td>
<td></td>
<td>Assess adequacy of resources</td>
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<tr>
<td>Nature of Work</td>
<td></td>
<td>Develop plans</td>
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<tr>
<td>Supervision</td>
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<td>Physical Environment</td>
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<tr>
<td>Fairness in Treatment</td>
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<tr>
<td>Communication</td>
<td></td>
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<tr>
<td>Turnover rates</td>
<td>Manual study, exit interviews</td>
<td>Identify controllable/uncontrollable losses; predict trends</td>
</tr>
<tr>
<td>Participation in education/training programs</td>
<td>Manual study</td>
<td>Identify identity with organization, need for new programs</td>
</tr>
<tr>
<td>Losses due to theft</td>
<td>Manual study</td>
<td>Identify extent of alienation</td>
</tr>
<tr>
<td>Scrap/reject rates</td>
<td>Manual study; interviews with line managers</td>
<td>Assess employee concern for organizational objectives</td>
</tr>
<tr>
<td>Relations Programs, Policies &amp; Practices</td>
<td>Surveys; interviews</td>
<td>Assess effectiveness, credibility</td>
</tr>
<tr>
<td>Grievances/Complaints</td>
<td>Manual study; interviews</td>
<td>Competency of managers &amp; Relations</td>
</tr>
</tbody>
</table>

### Measuring "Relations Health" - Attractiveness of Reward System

<table>
<thead>
<tr>
<th>Factors Measured</th>
<th>Method</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benefit plan participation</td>
<td>Manual study</td>
<td>Assess attractiveness &amp; new needs</td>
</tr>
<tr>
<td>Occupational salary rates</td>
<td>Salary study</td>
<td>Assess attractiveness &amp; competitiveness</td>
</tr>
<tr>
<td>Salary plan participation</td>
<td>Salary study</td>
<td></td>
</tr>
<tr>
<td>Manager-man informal recognition</td>
<td>Observation; interview</td>
<td>Identify manager training needs</td>
</tr>
<tr>
<td>Written media recognition</td>
<td>Media analyses</td>
<td>Identify need for media coverage</td>
</tr>
</tbody>
</table>
III. NEW TOOLS FOR MEASURING IMPLEMENTATION OF RELATIONS PROGRAMS, POLICIES, PRACTICES

In order to implement a decision affecting exempt employees, a plan is usually developed which describes and schedules the course of action to be followed and the resources to be used. The plan may be elaborate and complex—such as an organization and staffing plan for a new business section—or it may be a relatively uncomplicated one such as the establishment of a new procedure for providing tuition refunds.

Whether simple or complex, measurements can be taken to see if the plan is being implemented as intended and to verify if the effort is meeting the need. The following instruments are designed to provide such data and may be used in the implementation of a relations program, policy or practice.

SOME HINTS ON USING THESE TOOLS

- Elaborate, rigorous studies aren't always necessary. Quick, simple and small surveys can produce useful information.

- Survey a sample of employees and managers who are selected because they are representative of the larger population in terms of service, age, sex, function. Avoid selecting someone because he's a "good guy" or because he'll "really rip it apart."

- Collect your data by the most efficient and economical means available. Depending on the importance of what's being measured and where you are in the implementation phase, you may obtain the data by a mail survey, group completion survey or by interviews. Try to cover the same ground with each person you survey or interview.

- Analyze your data from two viewpoints:
  --What's working and should be continued?
  --What's ineffective and needs changing?

  Too frequently, only the problems and mistakes are identified and a failure syndrome develops.

- Analyze your data in terms of the demographic characteristics of the respondents. You might find, as an example, that 85% of all surveyed regard a new policy favorably. By breaking down the responses along demographic lines it could develop that a particular group (older employees, or women, or those in engineering for example) reacted unfavorably. This helps pinpoint your action points and can be used in reallocating resources in a meaningful way.

- Use your data to support changes in priorities, target dates and plan elements. It's hard to argue against facts. If there has been a communication breakdown by line managers, as an example, talking from a data base can minimize emotional issues. Use the data to reenforce those who are being effective—in that way you increase the chances of the desired behavior being continued.
EMPLOYEE OPINION SURVEY

This opinion survey is being conducted as part of a continuing effort to improve the work environment here. It provides you the opportunity to express your opinion and ideas about the recently introduced ________________________ (name of Program/Policy/Practice)

Please give us your frank opinion, whether favorable or unfavorable. There are no right or wrong answers, only your personal opinion counts. There is no need to sign your name as this is a confidential and anonymous survey.

Most of the questions are multiple choice. You need only draw a circle around the number that is next to the answer which comes closest to expressing how you, yourself, feel. There are opportunities to write an answer in your own words.

Thank you for your cooperation.

(Signature)
1. How well informed do you feel about this organization's Program/Policy/Practice? (name of Program/Policy/Practice)

(Circle one number)
1. I am very informed.
2. I am somewhat informed.
3. I am not very informed.
4. I am not informed at all.

2. How did you first learn about this Program/Policy/Practice? (name of Program/Policy/Practice)

1. It was discussed at a meeting I attended.
2. My manager discussed it with me.
3. I read a description of it.
4. I heard about it from other employees.
5. I have not yet learned about it.

3. How clear an understanding do you have of the Program/Policy/Practice? (name of Program/Policy/Practice)

1. I have a very clear understanding.
2. I have an adequate understanding.
3. I have only a slight understanding.
4. I have practically no understanding.
5. I do not know about it at all.

4. What do you feel is management's purpose in having this Program/Policy/Practice? (name of Program/Policy/Practice)

1. It meets a real business need.
2. They are trying to make things better for employees.
3. It's just window-dressing to fool employees.
4. They were pressured into it by high management.
5. I don't know management's purpose.

5. How important would you say this is to you personally? (name of Program/Policy/Practice)

1. Very important to me.
2. Somewhat important to me.
3. Not too important to me.
4. Unimportant to me.

In your own words, please comment briefly why you feel this way:
6. **To what extent have you participated in (or benefited from)**?

(name of Program/Policy/Practice)

1. I am participating and receiving much benefit.
2. I am participating and receiving some benefit.
3. I am not participating but believe it could benefit me.
4. I am not participating and believe it could not benefit me.
5. I have no need so far.

7. **In your own words, briefly comment on what you feel are the strengths and weaknesses of**

(name of Program/Policy/Practice)

A. **Strengths**

B. **Weaknesses**

8. **Any other comments you wish to make about**

(name of Program/Policy/Practice)

9. **In order to help us more effectively analyze the results by groups of employees, please give us the following information—**but please do not sign your name.

**Your sex:** 1. Male 2. Female

**How long worked for GE:**

1. Less than one year
2. One to 5 years
3. 5 to 10 years
4. More than 10 years

**Your job category:** 1. Manager 2. Individual contributor

**Your function:**

1. Engineering
2. Manufacturing
3. Marketing
4. Finance
5. Relations
6. Other: (please indicate)
MANAGER OPINION SURVEY

This opinion survey is being conducted as part of a continuing effort to improve the work environment here. It provides you the opportunity to express your opinion and ideas about the recently introduced [name of Program/Policy/Practice].

Please give us your frank opinion, whether favorable or unfavorable. There are no right or wrong answers, only your personal opinion counts. There is no need to sign your name as this is a confidential and anonymous survey.

Most of the questions are multiple choice. You need only draw a circle around the number that is next to the answer which comes closest to expressing how you, yourself, feel. There are opportunities to write an answer in your own words.

Thank you for your cooperation.

(Signature)
1. How well informed do you feel about this organization's (name of Program/Policy/Practice)?
   (Circle one number)
   1. I am very informed.
   2. I am somewhat informed.
   3. I am not very informed.
   4. I am not informed at all.

2. How did you first learn about this (name of Program/Policy/Practice)?
   1. It was discussed at a meeting I attended.
   2. My manager discussed it with me.
   3. I read a description of it.
   4. I heard about it from other employees.
   5. I have not yet learned about it.

3. In what ways have you communicated about (name of Program/Policy/Practice) with your exempt employees?
   1. I have discussed it at a meeting.
   2. I have discussed it on an individual basis.
   3. I have provided a written description for reading.
   4. I have not communicated about it.

4. If you have communicated about it, briefly comment on exempt employee reaction or response.

5. How clear an understanding do you have of the (name of Program/Policy/Practice)?
   1. I have a very clear understanding.
   2. I have an adequate understanding.
   3. I have only a slight understanding.
   4. I have practically no understanding.
   5. I do not know about it at all.

6. In your own words, briefly comment on what you feel is your role, if any, regarding the (name of Program/Policy/Practice).
7. In what ways can Employee Relations help you regarding the Program/Policy/Practice?

8. What do you feel is management's purpose in having this Program/Policy/Practice?
   1. It meets a real business need.
   2. They are trying to make things better for employees.
   3. It's just window-dressing to fool employees.
   4. They were pressured into it by high management.
   5. I don't know management's purpose.

9. How important would you say this is to you personally?
   1. Very important to me.
   2. Somewhat important to me.
   3. Not too important to me.
   4. Unimportant to me.

   In your own words, please comment briefly why you feel this way!

10. Thinking of your exempt employees, how important to them would you say is this Program/Policy/Practice?
    1. Very important to me.
    2. Somewhat important to me.
    3. Not too important to me.
    4. Unimportant to me.

    In your own words, please comment briefly why you feel this way!

11. Briefly describe the extent your exempt employees have participated in or used Program/Policy/Practice.
12. In your own words, briefly comment on what you feel are the strengths and weaknesses of _________________________.

A. Strengths

B. Weaknesses

13. In order to help us more effectively analyze the results by groups of employees, please give us the following information—but please do not sign your name.

Your sex: 1. Make  2. Female

How long worked for GE:
1. Less than one year
2. One to 5 years
3. 5 to 10 years
4. More than 10 years

Number years as manager:
1. Less than one year
2. One to 5 years
3. 5 to 10 years
4. More than 10 years

THANK YOU FOR YOUR COOPERATION
APPENDIX D

SURVEY QUESTIONNAIRES

FOR COMPANY A AND UNIVERSITY X
COMPANY A
CORPORATE EMPLOYEE RELATIONS
Exempt Practices Survey

Your name has been selected using random computer sampling techniques to participate in a survey of exempt employees located at various plants throughout Company A. The survey is part of a continuing Corporate Employee Relations program to help identify how our employees feel about various aspects of their jobs and their careers at Company A.

We are interested in your frank and honest answers based on your own experiences.

Your completed questionnaire will be returned to Corporate Headquarters where the data will be combined with the responses of all employees in the survey for analysis purposes. No one in your component will see your answers. Overall data results from the survey will be presented to management at the Corporate, Group and operating levels.

Please do not sign your name. We are not interested in identifying individual responses only overall groupings. The questionnaire does ask for certain information about yourself such as age, length of service, level, etc. This information will be used solely for analytical purposes, as for instance, to contrast the answers of short service employees with those of longer service employees.

Your candid answers to the questionnaire will be very helpful to us, and we very much appreciate your participation. Thanks!

1. How long have you been an employee of Company A?
   - Less than one year ................. [ ]
   - One year but less than five years .... [ ]
   - Five years but less than ten years ... [ ]
   - Ten years but less than 20 years ... [ ]
   - 20 or more years .................. [ ]

2. My sex is:
   - Male ................................ [ ]
   - Female ................................ [ ]

3. Please indicate whether you are a member of one of the following minority groups.
   - Not a member of a minority group ........................................... [ ]
   - American Indian .............................................. [ ]
   - Black .............................................. [ ]
   - Oriental .............................................. [ ]
   - Spanish surname American ......................... [ ]

4. Please indicate your educational status.
   - High school graduate or less .............................................. [ ]
   - Some college — no degree .............................................. [ ]
   - Two year college degree .............................................. [ ]
   - Four year college degree .............................................. [ ]
   - Advanced degree .............................................. [ ]

5. Please indicate your current position level.
   - Level 6 or below .............................................. [ ]
   - Level 7 through 9 .............................................. [ ]
   - Level 10 through 12 .............................................. [ ]
   - Level 13 or above .............................................. [ ]

6. Please indicate your work status.
   - Individual Contributor .............................................. [ ]
   - Foreman .............................................. [ ]
   - Manager or Supervisor .............................................. [ ]

7. Please indicate your current functional work assignment.
   - Manufacturing .............................................. [ ]
   - Engineering .............................................. [ ]
   - Marketing .............................................. [ ]
   - Finance .............................................. [ ]
   - Relations and other (Legal, etc.) ...................................... [ ]

8. Please indicate the nature of your work.
   - Technical (Engineer, Scientist, Designer, etc.) .............. [ ]
   - Non-Technical (Administrative, Sales, etc.) ...................... [ ]

9. Please indicate your present age.
   - 24 or under .............................................. [ ]
   - 25 — 34 .............................................. [ ]
   - 35 — 44 .............................................. [ ]
   - 45 — 54 .............................................. [ ]
   - 55 or over .............................................. [ ]

10. How long have you been in your present job assignment — that is, doing the same type of work (at the same level)?
    - Less than 6 months .............................................. [ ]
    - 6-12 months .............................................. [ ]
    - 13-18 months .............................................. [ ]
    - 19 months but less than 3 years ...................................... [ ]
    - 3-5 years .............................................. [ ]
    - More than 5 years .............................................. [ ]

11. My feeling about management's treatment of exempt employees here is:
    - Employees are almost always treated fairly by management .............................................. [ ]
    - Employees are usually treated fairly by management .............................................. [ ]
    - Employees are not usually treated fairly by management .............................................. [ ]
    - Employees are hardly ever treated fairly by management .............................................. [ ]

12. During the past year would you say relationships between management and employees here have been getting better, getting worse, or have stayed about the same?
    - Getting better .............................................. [ ]
    - Getting worse .............................................. [ ]
    - Stayed about the same .............................................. [ ]
    - I don't know .............................................. [ ]

13. How do you feel about the efforts of the Company to hire, train and upgrade people from minority groups?
    - The efforts to date have been good, but more is needed .............................................. [ ]
    - The efforts to date have been about right .............................................. [ ]
    - The efforts to date have resulted in a little too much emphasis being put in this area .............................................. [ ]
    - I don't believe that any special efforts should be put forth in this area .............................................. [ ]
    - I don't know of any such efforts being made .............................................. [ ]
14. How do you rate your total benefits program (Insurance, Medical, Pension, etc.)?
   Very good ........................................... 1
   Good .................................................. 2
   Fair ................................................... 3
   Poor ................................................... 4
   Very poor ............................................ 5

15. How do you rate this company in providing job security for people like yourself?
   Very good ........................................... 1
   Good .................................................. 2
   Fair ................................................... 3
   Poor ................................................... 4
   Very poor ............................................ 5

16. How satisfied are you with your opportunity to get a better job in this Company?
   Very satisfied ........................................ 1
   Satisfied ............................................. 2
   Neither satisfied nor dissatisfied ................. 3
   Dissatisfied .......................................... 4
   Very dissatisfied .................................... 5

17. Overall, when you think about the way management communicates with employees here, which statement most closely fits your opinion?
   Management is almost always frank and honest .. 1
   Management is usually frank and honest .......... 2
   Management is usually not frank and honest ... 3
   Management is hardly ever frank and honest ... 4

18. When you discuss problems or complaints with your manager or supervisor, how fairly are you treated?
   I am almost always treated fairly ................. 1
   I am usually treated fairly ......................... 2
   I am usually not treated fairly .................... 3
   I am hardly ever treated fairly .................... 4
   I haven't had occasion to discuss problems or complaints with my manager or supervisor . 5

19. Sufficient effort is made to get the opinions and thinking of people who work here.
   Strongly agree ........................................ 1
   Agree .................................................. 2
   Neither agree nor disagree .......................... 3
   Disagree ............................................... 4
   Strongly disagree .................................... 5

20. Overall, how good a job do you feel is being done by your immediate manager/ supervisor?
   Very good ........................................... 1
   Good .................................................. 2
   Fair ................................................... 3
   Poor ................................................... 4
   Very poor ............................................ 5

21. My work gives me a feeling of personal accomplishment.
   Strongly agree ........................................ 1
   Agree .................................................. 2
   Neither agree nor disagree .......................... 3
   Disagree ............................................... 4
   Strongly disagree .................................... 5

22. How do you feel about the way promotions and upgrades for employees like yourself are handled here?
   Almost always handled fairly ....................... 1
   Usually handled fairly ................................ 2
   Usually not handled fairly ........................... 3
   Hardly ever handled fairly ........................... 4
   I don't know .......................................... 5

23. I am treated in a way which encourages me to try to do my job as well as I can in order to help ensure that we put out a high quality, competitively priced product or service. Do you agree or disagree?
   Definitely agree ..................................... 1
   Inclined to agree .................................... 2
   Inclined to disagree .................................. 3
   Definitely disagree .................................. 4

24. Considering everything, how would you rate your overall satisfaction in Company A at the present time?
   Very satisfied ........................................ 1
   Satisfied ............................................. 2
   Neither satisfied nor dissatisfied ................. 3
   Dissatisfied .......................................... 4
   Very dissatisfied .................................... 5

25. How much likelihood is there that you will leave Company A because of dissatisfaction with your job or the Company to take another job within the next 12 months?
   There is hardly any chance that I'll leave Company A for another job in the next 12 months ...... 1
   There is a small chance that I'll leave Company A .... 2
   There is a fair chance that I'll leave Company A ..... 3
   It is very likely that I'll leave Company A in the next 12 months ......................................... 4
   I expect to leave Company A in the next 12 months, but not for another job (for some other reason such as retirement, being needed at home, etc.) ................................. 5

26. How do you feel about the way layoffs or reductions in force are handled for exempt employees like yourself?
   Almost always handled fairly ....................... 1
   Usually handled fairly ................................ 2
   Usually not handled fairly ........................... 3
   Hardly ever handled fairly ........................... 4
   I don't know .......................................... 5

27. My job makes good use of my skills and abilities. Do you agree or disagree?
   Strongly agree ........................................ 1
   Agree .................................................. 2
   Neither agree nor disagree .......................... 3
   Disagree ............................................... 4
   Strongly disagree .................................... 5

28. Which of the following best describes your opinion of your present pay?
   My pay is high for the work I do ..................... 1
   My pay is about right for the work I do .......... 2
   My pay is low for the work I do, but I am not seriously concerned about it .................................. 3
   My pay is low for the work I do and I am seriously concerned about it .................................... 4
   I don't know whether my pay is right for the work I do ......................................................... 5
29. In comparison with people in similar jobs in other companies I feel my pay is:
   - Much higher: ☐
   - Slightly higher: ☐
   - About the same: ☐
   - Slightly lower: ☐
   - Much lower: ☐

30. How long ago did you receive your last salary increase?
   - I have never received an increase here: ☐
   - Within the past 12 months: ☐
   - Between 12 and 18 months ago: ☐
   - Between 18 and 24 months ago: ☐
   - Over 24 months ago: ☐

31. When was the last time your salary was reviewed with you by your manager (whether or not you received an increase)?
   - I have not been with my manager long enough to have a salary review: ☐
   - Within the past 12 months: ☐
   - Between 12 and 18 months ago: ☐
   - More than 18 months ago: ☐
   - I've been here more than a year and have not had such a review: ☐

32. How do you feel about the way salary decisions for employees like yourself are handled here?
   - Almost always handled fairly: ☐
   - Usually handled fairly: ☐
   - Usually not handled fairly: ☐
   - Hardly ever handled fairly: ☐
   - I don't know: ☐

33-34 The following is a listing of factors which exempt employees most often identify as having an influence on their pay increases. Based on your most recent appraisal or salary discussion with your manager, which of these factors:

<table>
<thead>
<tr>
<th>Factor</th>
<th>33. Has the most influence over his decisions?</th>
<th>34. Has the least influence over his decisions?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your position in the salary range</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Market price for comparable work</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Length of time since last increase</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Your time in this position</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Your growth potential</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Your performance in your job</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Higher management edicts</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Salary budget</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

35-56 For each of the eleven policy subjects below, please indicate if, so far as you know, there is a written policy in place at your location for exempt employees. In addition, please indicate whether you feel the existing policy, whether written or unwritten, has or has not been adequately communicated to exempt employees:

<table>
<thead>
<tr>
<th>POLICY SUBJECT</th>
<th>Is there a written policy in place?</th>
<th>Communication of existing policy is</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Layoffs</td>
<td>35</td>
<td></td>
</tr>
<tr>
<td>Promotion</td>
<td>37</td>
<td></td>
</tr>
<tr>
<td>Complaint Procedures</td>
<td>39</td>
<td></td>
</tr>
<tr>
<td>Career Planning/Counseling</td>
<td>41</td>
<td></td>
</tr>
<tr>
<td>Self-Nomination for Promotional</td>
<td>43</td>
<td></td>
</tr>
<tr>
<td>consideration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transfer/Relocation</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>Performance Appraisal</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>Dealing with marginal performance</td>
<td>49</td>
<td></td>
</tr>
<tr>
<td>Disciplinary situations and penalties</td>
<td>51</td>
<td></td>
</tr>
<tr>
<td>Equal Employment Opportunity</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>Exempt Salary administration</td>
<td>55</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Excellent</td>
<td>Adequate</td>
</tr>
<tr>
<td>---</td>
<td>-----------</td>
<td>----------</td>
</tr>
<tr>
<td>17. Your understanding of what is expected from you in your job.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Your knowledge of promotional opportunities open to you.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. Your opportunity to nominate yourself for consideration for specific opportunities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Assistance provided to you by your manager in working toward your career objectives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21. Explanation of why you were passed over for promotion.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>22. Information on the state of the business provided to you. (goals, objectives, problems, etc.).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>23. Availability of information or decisions you need to do your job effectively.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>24. An acceptable procedure for the resolution of a problem or complaint that you have.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>25. Your opportunity to increase or expand job related skill or knowledge.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>26. Discussions with your manager of your job performance.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>27. Discussion of your salary and/or increases with your manager.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>28. Orientation or coaching when you enter a new assignment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>29. Opportunity to exercise personal responsibility in your job.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. Overtime pay practices and provisions.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Do you wish to add any comments? __________________________________________________________________________________________
________________________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________________________

Thank you!
**UNIVERSITY X**  
**PROFESSIONAL EMPLOYEES**  

Your name has been selected using random number techniques to participate in a survey of employees at University X. The survey is part of a project to help identify how University X professional employees feel about various aspects of their jobs and their careers at the University as compared to a unit of professional employees in the private sector. We are interested in your frank and honest answers based on your experiences.

Please do not sign your name. We are not interested in identifying individual responses—only overall groupings. The questionnaire does ask for certain information about yourself such as age, length of service, etc. This information will be used solely for analytical purposes as part of a study of personnel practices in higher education.

Your candid answers to the questionnaire will be very helpful to us, and we very much appreciate your participation.

Thanks

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. How long have you been an employee of the University?</td>
<td>Less than one year, One year but less than five years, Five years but less than ten years, Ten years but less than 20 years, 20 or more years</td>
<td></td>
</tr>
<tr>
<td>2. My sex is:</td>
<td>Male, Female</td>
<td>1, 2</td>
</tr>
<tr>
<td>3. Please indicate whether you are a member of one of the following minority groups.</td>
<td>Not a member of a minority group, American Indian, Black, Oriental, Spanish Surnamed American</td>
<td>1, 2, 3, 4, 5</td>
</tr>
<tr>
<td>4. Please indicate your educational status.</td>
<td>High school graduate or less, Some college - no degree, Two year college degree, Four year college degree, Advanced degree</td>
<td>1, 2, 3, 4, 5</td>
</tr>
<tr>
<td>5. Please indicate your current salary level.</td>
<td>$5,000 or below, $5,001-$9,000, $9,001-$17,000, $17,001 or above</td>
<td>1, 2, 3, 4</td>
</tr>
<tr>
<td>6. Please indicate your work status.</td>
<td>Individual Contributor, Foreman, Administrator or Supervisor</td>
<td>1, 2, 3</td>
</tr>
<tr>
<td>7. Please indicate your current functional work assignment.</td>
<td>Administrator, Faculty, Non-teaching Professional</td>
<td>1, 2, 3</td>
</tr>
<tr>
<td>8. Please indicate the nature of your work.</td>
<td>Technical (Engineer, Scientist, Faculty, etc.), Non-Technical (Administrative, Purchasing, etc.)</td>
<td>1, 2</td>
</tr>
<tr>
<td>9. Please indicate your present age.</td>
<td>24 or under, 25-34, 35-44, 45-54, 55 or over</td>
<td>1, 2, 3, 4, 5</td>
</tr>
<tr>
<td>10. How long have you been in your present job assignment—that is, doing the same type of work (at the same level)?</td>
<td>Less than 6 months, 7-18 months, 19 months but less than three years, 3-5 years, More than 5 years</td>
<td>1, 2, 3, 4, 5</td>
</tr>
<tr>
<td>11. My feeling about administration's treatment of professional employees here is:</td>
<td>Employees are almost always treated fairly by admin., Employees are usually treated fairly by administration, Employees are usually not treated fairly by admin., Employees are hardly ever treated fairly by administration</td>
<td>1, 2, 3, 4</td>
</tr>
</tbody>
</table>
12. During the past year would you say relationships between administration and employees have been getting better, getting worse, or have stayed the same?

- Getting better - [ ]
- Getting worse - [ ]
- Stayed about the same - [ ]
- I don't know - [ ]

13. How do you feel about the efforts of the University to hire, train and upgrade people from minority groups?

- The efforts to date have been good, but more is needed - [ ]
- The efforts to date have been about right - [ ]
- The efforts to date have resulted in a little too much emphasis being put in this area - [ ]
- I don't believe that any special efforts should be put forth in this area - [ ]
- I don't know of any such efforts being made - [ ]

14. How do you rate your total benefits program (Insurance, Medical, Pension, etc.)?

- Very good - [ ]
- Good - [ ]
- Fair - [ ]
- Poor - [ ]
- Very Poor - [ ]

15. How do you rate the university in providing job security for people like yourself?

- Very good - [ ]
- Good - [ ]
- Fair - [ ]
- Poor - [ ]
- Very Poor - [ ]

16. How satisfied are you with your opportunity to get a better job at the University?

- Very satisfied - [ ]
- Satisfied - [ ]
- Neither satisfied nor dissatisfied - [ ]
- Very dissatisfied - [ ]

17. Overall, when you think about the way administration communicates with employees here, which statement most closely fits your opinion?

- Administration is almost always frank and honest - [ ]
- Administration is usually frank and honest - [ ]

18. When you discuss problems or complaints with your manager or department head, how fairly are you treated?

- I am almost always treated fairly - [ ]
- I am usually treated fairly - [ ]
- I am not treated fairly - [ ]
- I am hardly ever treated fairly - [ ]
- I haven't had occasion to discuss problems or complaints with my manager or dept. head - [ ]

19. Sufficient effort is made to get the opinions and thinking of people who work here.

- Strongly agree - [ ]
- Agree - [ ]
- Neither agree nor disagree - [ ]
- Disagree - [ ]
- Strongly disagree - [ ]

20. Overall, how good a job do you feel is being done by your immediate manager/dept. head?

- Very good - [ ]
- Good - [ ]
- Fair - [ ]
- Poor - [ ]
- Very Poor - [ ]

21. My work gives me a feeling of personal accomplishment.

- Strongly agree - [ ]
- Agree - [ ]
- Neither Agree nor Disagree - [ ]
- Disagree - [ ]
- Strongly Disagree - [ ]

22. How do you feel about the way promotions and upgrades for employees like yourself have been handled?

- Almost always handled fairly - [ ]
- Usually handled fairly - [ ]
- Usually not handled fairly - [ ]
- Hardly ever handled fairly - [ ]
- I don't know - [ ]
23. I am treated in a way which encourages me to try to do my job as well as I can in order to help ensure that we put out a high quality, competitively priced product or service. Do you agree or disagree?

- Definitely agree
- Inclined to agree
- Inclined to disagree
- Definitely disagree

24. Considering everything, how would you rate your overall satisfaction of the university at the present time?

- Very satisfied
- Satisfied
- Neither satisfied nor dissatisfied
- Dissatisfied
- Very dissatisfied

25. How much likelihood is there that you will leave the university because of dissatisfaction with your job or the university to take another job within the next 12 months?

- There is hardly any chance that I'll leave the university for another job in the next 12 months
- There is a small chance that I'll leave the university
- There is a fair chance that I'll leave the university
- It is very likely that I'll leave the university in the next 12 months
- I expect to leave the university in the next 12 months but not for another job (for some other reason such as retirement, being needed at home, etc.)

26. How do you feel about the way terminations are handled for employees like yourself?

- Almost always handled fairly
- Usually handled fairly
- Usually not handled fairly
- Hardly ever handled fairly
- I don't know

27. My job makes good use of my skills and abilities. Do you agree or disagree?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

28. Which of the following best describe your opinion of your present pay?

- My pay is high for the work I do--
- My pay is about right for the work I do--
- My pay is low for the work I do, but I am not seriously concerned about it--
- My pay is low for the work I do and I am seriously concerned about it--
- I don't know whether my pay is right for the work I do--

29. In comparison with people in similar jobs in other institutions I feel my pay is:

- Much higher
- Slightly higher
- About the same
- Slightly lower
- Much lower

30. How long ago did you receive your last salary increase?

- I have never received an increase here--
- Within the last 12 months
- Between 12 and 18 months ago
- Between 18 and 24 months ago
- Over 24 months ago

31. When was the last time your salary was reviewed with you by your manager or department head (whether or not you received an increase)?

- I have not been with my manager or department head long enough to have a salary review--
- Within the past 12 months
- Between 12 and 18 months ago
- More than 18 months ago
- I've been here more than a year and have not had such a review--

32. How do you feel about the way salary decisions for professionals like yourself are handled here?

- Almost always handled fairly
- Usually handled fairly
- Usually not handled fairly
- Hardly ever handled fairly
- I don't know
33-34. The following is a listing of factors which professional employees most often identify as having an influence on their pay increases. Based on your most recent appraisal or salary discussion with your manager or department head, which of these factors:

<table>
<thead>
<tr>
<th>Your position in the salary range</th>
<th>33. Has the most influence over his decisions? (mark only one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market price for comparable work</td>
<td>1</td>
</tr>
<tr>
<td>Length of time since last increase</td>
<td>2</td>
</tr>
<tr>
<td>Your time in this position</td>
<td>3</td>
</tr>
<tr>
<td>Your growth potential</td>
<td>4</td>
</tr>
<tr>
<td>Your performance in your job</td>
<td>5</td>
</tr>
<tr>
<td>Higher management edicts</td>
<td>6</td>
</tr>
<tr>
<td>Salary budget</td>
<td>7</td>
</tr>
</tbody>
</table>

34. Has the least influence over his decisions? (mark only one)

25-56. For each of the eleven policy subjects below, please indicate if, so far as you know, there is a written policy in place at your location for professional employees. In addition, please indicate whether you feel the existing policy, whether written or unwritten, has or has not been adequately communicated to professional employees.

<table>
<thead>
<tr>
<th>POLICY SUBJECT:</th>
<th>Is there a written policy in place</th>
<th>Communication of existing policy is</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 2 3</td>
<td>1 2 3</td>
</tr>
<tr>
<td>Layoffs</td>
<td>Yes No Don't Know</td>
<td>Adequate Inadequate</td>
</tr>
<tr>
<td>Promotion</td>
<td>35</td>
<td>36</td>
</tr>
<tr>
<td>Complaint Procedures</td>
<td>37</td>
<td>38</td>
</tr>
<tr>
<td>Career Planning/Counseling</td>
<td>39</td>
<td>40</td>
</tr>
<tr>
<td>Self-Nomination for Promotional</td>
<td>41</td>
<td>42</td>
</tr>
<tr>
<td></td>
<td>43</td>
<td>44</td>
</tr>
<tr>
<td>Transfer/Relocation</td>
<td>45</td>
<td>46</td>
</tr>
<tr>
<td>Performance Appraisal</td>
<td>47</td>
<td>48</td>
</tr>
<tr>
<td>Dealing with marginal performance</td>
<td>49</td>
<td>50</td>
</tr>
<tr>
<td>Disciplinary actions &amp; penalties</td>
<td>51</td>
<td>52</td>
</tr>
<tr>
<td>Equal Employment Opportunity</td>
<td>53</td>
<td>54</td>
</tr>
<tr>
<td>Professional salary administration</td>
<td>55</td>
<td>56</td>
</tr>
</tbody>
</table>
How do you rate the following aspects of your current University job?

<table>
<thead>
<tr>
<th></th>
<th>This aspect is:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Excellent</td>
</tr>
<tr>
<td>57. Your understanding of what is expected from you in your job.</td>
<td></td>
</tr>
<tr>
<td>58. Your knowledge of promotional opportunities open to you.</td>
<td></td>
</tr>
<tr>
<td>59. Your opportunity to nominate yourself for consideration for specific opportunities.</td>
<td></td>
</tr>
<tr>
<td>60. Assistance provided to you by your manager or department head in working toward your career objectives.</td>
<td></td>
</tr>
<tr>
<td>61. Explanation of why you were passed over for promotion.</td>
<td></td>
</tr>
<tr>
<td>62. Information on the state of the business provided to you (goals, objectives, problems, etc.).</td>
<td></td>
</tr>
<tr>
<td>63. Availability of information or decisions you need to do your job effectively.</td>
<td></td>
</tr>
<tr>
<td>64. An acceptable procedure for the resolution of a problem or complaint that you have.</td>
<td></td>
</tr>
<tr>
<td>65. Your opportunity to increase or expand job related skill or knowledge.</td>
<td></td>
</tr>
<tr>
<td>66. Discussion with your manager or department head of your job performance.</td>
<td></td>
</tr>
<tr>
<td>67. Discussion of your salary and/or increases with your manager or department head.</td>
<td></td>
</tr>
<tr>
<td>68. Orientation or coaching when you enter a new assignment.</td>
<td></td>
</tr>
<tr>
<td>69. Opportunity to exercise personal responsibility in your job.</td>
<td></td>
</tr>
<tr>
<td>70. Overtime pay practices and provision.</td>
<td></td>
</tr>
</tbody>
</table>

Do you wish to add any comments? ____________________________

Thank You!
APPENDIX E

EXCERPT FROM BALYEAT STUDY
Factors Affecting the Acquisition and Retention of College Faculty - Final Report

Ralph E. Balyeat

Descriptors - Administrative Principles; Faculty; Fringe Benefits, Higher Education; Job Satisfaction, Need Gratification; Occupational Mobility, Personnel Policy, Teacher Motivation.

Employment satisfaction and dissatisfactions, with the accompanying levels of faculty morale and motivation, may be classified into two groups: those derived from the basic salary, and those derived from factors, practices and conditions not related to the salary, or so-called fringe benefits. This study was designed to identify and to quantitatively evaluate the importance of fringe benefit policies and practices as well as other factors from which faculty members could derive satisfaction. The majority of faculty turnover was found to result from a cumulative dissatisfaction with general administrative policies and practices relating to facilities and faculty personnel policies that do not meet faculty needs, rather than from offers of more desirable positions. The study also revealed 57 factors relating to the institutional environment that could provide a high motivational influence upon a faculty member to either remain at his college or seek employment elsewhere, many of which could be implemented by an institution without substantial out of pocket cost. Among other things, each
institution should employ an administrator who is well qualified in the field of employee relations to formulate faculty personnel policies designed to provide optimum faculty satisfaction. The report contains 25 illustrative tables, a list of 12 conclusions, and another of five recommendations. (WM)

In all, over 80 factors were suggested by interviewed faculty as sources of satisfaction or dissatisfaction to them. Faculty members identifying such factors were requested to rank each as to the degree of satisfaction they derived or felt they would derive from the factor as well as the degree of importance they placed on the stipulated factor.

Factors Relating to the Acquisition and Retention of Faculty

Summary

This research was designed to identify and to quantitatively evaluate factors which provide satisfactions/dissatisfactions to university faculties. It also provides quantitative data as to the motivational influence of each of the 57 identified factors. The motivational influence is the influence upon a staff member's propensity to continue his current position or to seek a change to some other employment environment.

Human behavior never occurs by chance, it is always caused by the combined influence of the various stimuli (influence factors) which motivate an individual. The motivational influence (MI) of these factors results from two considerations: (1) the degree of satisfaction/dissatisfaction an individual derives or believes he would derive from the factor, and (2) the relative importance of that factor to him. The
MI values derived in this study for each factor are compiled by multiplying the designated satisfaction/dissatisfaction evaluations by the importance of that factor to the respondent. The mean motivational influence MI is the mean of all such products.

It is concluded that there are a large number of factors comprising the university or college environment which provide a high motivational influence upon a faculty member to either remain in his institution or seek employment elsewhere. The determinants in such decisions are the degree of satisfaction or dissatisfaction which he derives from that factor together with its importance to him. The highest degrees of importance placed upon a factor are by those persons somewhat satisfied or somewhat dissatisfied placing a significantly lower value upon the factor. There is a very high degree of consistency among various subgroups concerning both satisfactions and importance of identified factors.

It was further concluded that many of the factors could be implemented without substantial out of pocket cost; faculty turnover could be substantially reduced by an administration placing a greater emphasis on faculty desires and value when administrative policies and practices relating to facilities, general administrative policies, and faculty personnel policies, are being considered; and the vast majority of faculty turnover results from cumulative dissatisfactions stemming from policies and practices which do not meet the needs of faculty.

It was recommended that every major university or college should follow the precedent set by business and industry and have an administrator, well qualified in the field of Employee Relations, preferably carrying the title of Vice President of Faculty Relations and reporting directly
Summary (cont'd)

to the President. The function of this administrator would be to
audit the policies and practices of the institution to determine
their motivational influence insofar as creating desirable faculty
attitudes and actions are concerned.
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BIBLIOGRAPHY


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