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## Model Personnel Policies and Procedures

Richard Stokes

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### Recommended Citation

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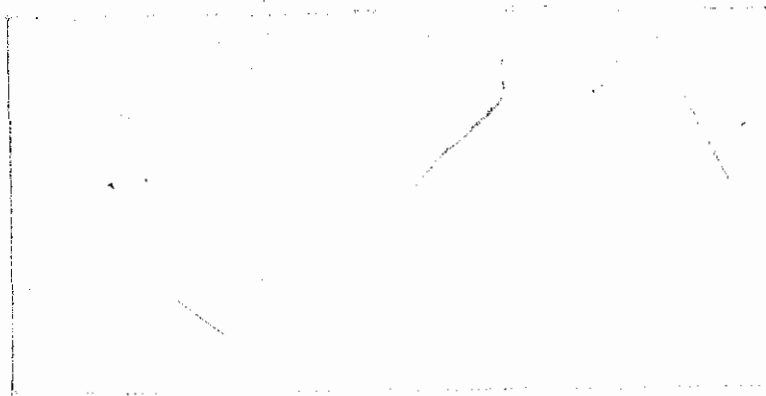
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# Personnel Policies and Procedures

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## LETTER TO PARTICIPANTS

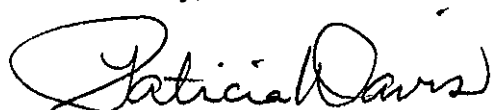
Municipal governments are under constant pressure to deliver services more efficiently. As a municipal government professional you must continually evaluate your performance in terms of productivity and effectiveness to keep pace with today's demands as well as to prepare for tomorrow's challenges. You must keep up with new trends, sharpen old techniques and acquire new skills. Your participation in *The University of Tennessee Municipal Training Program* (UTMT) will help prepare you for the challenges of public service.

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Your course materials were developed by Mr. Richard L. Stokes, Personnel Consultant with The University of Tennessee Municipal Technical Advisory Service. Our sincere thanks is extended to Mr. Stokes.

On behalf of the staff of the Center for Government Training. I welcome you to *The University of Tennessee Municipal Training Program*. By your participation in this course, you are joining an outstanding group of municipal professionals who realize that education is a life-long process. We applaud your commitment to public service and professional development.

Sincerely,



Patricia C. Davis  
Executive Director

# **PERSONNEL POLICIES AND PROCEDURES**

**THE UNIVERSITY OF TENNESSEE  
CENTER FOR GOVERNMENT TRAINING**

**in cooperation with  
MUNICIPAL TECHNICAL ADVISORY SERVICE  
and  
TENNESSEE MUNICIPAL LEAGUE**

**JUNE 1990**

## ABSTRACT

The personnel rules and regulations combine with the city charter and code to form a legal basis of operations for your municipality. Model Personnel Rules And Regulations can be a municipality's statement of policy and procedure.

## CITATION

Stokes, Richard L., Model Personnel Rules And Regulations. MTAS Municipal Personnel Report, no. 3. Knoxville: Municipal Technical Advisory Service, The University of Tennessee, 1990.

Published April 1990 by the Municipal Technical Advisory Service, Knoxville, Tennessee;  
UT authorization no. E14-1050-00-007-90.

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## ACKNOWLEDGEMENTS

In developing this manual an effort has been made to learn from the experiences and knowledge of a wide range of individuals and organizations. I worked with a variety of cities in either developing or revising their personnel manual. My efforts with them helped create this document. Those cities that provided input were: Dyersburg, Ripley, Milan, Humboldt, Springfield, Petersburg, Cookeville, Maryville, and Tullahoma.

Individuals deserving recognitions are Mike Tallent, MTAS Senior Management Consultant for his assistance and leadership in Dyersburg; Dennis Huffer, TML Legal Services Director for his legal knowledge and advice; Carol Hewlett, MTAS Senior Resources Consultant for her technical assistance in researching policies and procedures of Tennessee cities; Anne F. Hawkins, Information Services Consultant; and Debe K. Linn, Senior Editorial Assistant.

Recognition is also due the Tennessee Municipal League Risk Management Pool for their support of sound personnel practices in Tennessee municipalities.

Richard L. Stokes  
Municipal Technical Advisory Service

**MTAS MUNICIPAL PERSONNEL REPORT NO. 3**  
**MODEL PERSONNEL RULES AND REGULATIONS**

# MTAS MUNICIPAL PERSONNEL REPORT NO. 3

## MODEL PERSONNEL RULES AND REGULATIONS

### Introduction

Together with a city charter and codes, personnel rules and regulations form a city's legal basis of operations. While the city charter provides authority under state law to exist, the personnel rules and regulations are the outgrowth of that authority. Personnel rules and regulations are a city's statement of policy and procedure, past practices, and unwritten practices. They are the city's guidelines and spell out a definite course of action to help make decisions and guide management in day-to-day operations.

This manual is the result of a combined effort by The University of Tennessee's Municipal Technical Advisory Service (MTAS), and the Tennessee Municipal League Risk Management Pool to improve personnel administration in Tennessee cities by providing quality personnel technical assistance. There are several issues throughout the document in which MTAS and the Risk Management Pool have philosophical differences. Where those conditions exist we presented both sides of the issue.

Many small Tennessee cities lack formal documentation outlining the city's personnel policies. Furthermore, those cities with policy manuals may need to revise the document to clearly, coherently, and concisely state their policies.

This document has been developed to help cities either develop or revise existing documents. Thus the document includes a discussion of the reasons for policies and procedures, a suggested "how to develop" process, a discussion of the legal requirements and of the major components of a public personnel publication. Included in the appendices are several models that may be adapted to meet a municipality's needs. The samples allow a municipality to indicate the policies that affect them, timetables and procedures for implementation, and the position(s) with authority and responsibility. If desired, the edited document can then be sent to the MTAS municipal personnel consultant for review.

The first model, a sample charter provision, provides for the establishment of a personnel system in the city charter. It establishes the authority for personnel decisions, includes an appeal process, and provides for the development of supplemental rules and regulations. Because of the process used in amending charters in Tennessee, it is not a smart idea to include personnel policies in this document. In Tennessee, public and private act charter amendments must be approved by the state legislature. This could result in a long wait if the legislature is not in session. For this reason, a municipality's personnel policies and procedures should be approved either by ordinance or by resolution as a separate document.

This document presents two model personnel ordinances. The usual elements of a personnel ordinance are: (1) a statement of purpose; (2) administration; (3) employee coverage or definitions of employment status; (4) provisions for adoption and amendment of policies; (5) any definitions necessary for clear interpretation of the policies; and (6) those policies and procedures applicable to the governing body.

4. **Policies Reduce The Fear Of Taking Action.** Often supervisors and managers fail to take action against employees. The primary reason for this failure has to do with the uncertainty of what the municipal government's policy is on a particular subject. If policies are in writing and at the disposal of managers and supervisors, they are more inclined to refer to them for rules and timetables associated with employee behavior.
5. **They Support The Municipality's Position In Arbitration Or Litigation.** Cities that recognize and negotiate with unions find it to their advantage to outline their position on arbitration and litigation. By having the policy in writing, employees, union representatives, and the municipal government have a written record of the policy. It is important to note that written policies can also support the other side's position, particularly if they are not being followed.
6. **They Allow Decentralization Of Authority.** Supervisors and managers in organizations without written rules and regulations have the problem of having to rely solely on one individual to interpret policies. Written policies allow other managers and supervisors to interpret and explain the municipal government's position on policy issues. The end effect is the decentralization of authority for implementation of policies across the board.
7. **Policies Save Time.** Organizations without written policies tend to spend an unnecessary amount of time meeting and discussing policy intent and interpretation. Written policies can eliminate the time spent in such activities.
8. **They Simplify The Decision-Making Process.** Written rules and regulations facilitate the decision-making process by outlining lines of authority and stating municipal government's position on issues and problems. This eliminates the need for unnecessary meetings and conferences.

## Procedures For Developing Effective Policies

The following steps are suggested as a procedure for developing an effective public personnel policies document:

1. **Assign Responsibility For Rules And Regulation Development.** It is essential that some individual or committee be assigned responsibility for the development of the rules and regulations of the jurisdiction. Unless someone is officially designated to complete the rules, the task will not be completed in a timely manner. This is primarily because most department heads and managers do not have time to assume the additional responsibility.

- e. Court decisions should be researched by an attorney beforehand or the attorney could review the document to insure compliance with court decisions.
4. **Prepare A Statement Of Purpose.** The statement of purpose is the official explanation of the "why" of the policy document. "To improve personnel administration" or "to provide orderly methods of settling disputes," are examples of typical purpose statements.
5. **Draft The Recommended Policies And Procedures To Be Included In The Manual.** Commit the policies and procedures to writing for edification purposes. This also allows one an opportunity to experiment with format and layout considerations. Additions, deletions, and amendments can easily be done with a written hard copy of the document. If the document is being prepared by committee, the benefit of the collective input can be realized more quickly.

Consider the following in drafting rules and regulations. Regardless of their form of adoption, rules:

- a. Should not be unduly long or complicated. Statements should be short.
  - b. Should be reasonably comprehensive.
  - c. Should be in compliance with federal and state laws and charter provisions.
  - d. Should be written in plain language. The style and tone of writing should not talk down, preach, or dictate to the employee.
  - e. Should reflect current employment conditions in the city.
  - f. Should reflect the municipal government's goals and service plan.
  - g. Should refer to both male and female employees. Avoid using the masculine pronoun "he" to refer to employees or supervisors.
6. **Provide For A Formal, Final Review Of Recommended Policies.** It is important that supervisors and employee groups accept and abide by the policies that are established for the municipal government. One of the best ways to insure such support is to include them in the development and review process. A committee of elected officials, managers, supervisors, and employees should be formed to review the final document. An attorney, qualified in this area, should review the document. This collective input will provide an opportunity for the involved parties to discuss the intent and legal implications of the municipal government's policies. This will foster more acceptance of the document, because they were involved in its development. If they have some input, they will also feel some ownership.

3. **Civic Duty.** Everyone is obligated to perform civic duty at some point in our lives. Cities must decide how they will handle these situations.

**Jury Duty.** The municipal government needs to resolve whether or not it will give the employee full pay or make up the difference in pay from any jury fees paid. Many cities have found the bookkeeping hassle costly when trying to get proof of jury fees paid.

**National Guard.** Tennessee state law provides that "Municipal employees are included among those public employees who, as members of the reserve component of the U.S. armed forces (including the National Guard) are entitled to leave of absence while engaged in 'duty or training' in the service of this state, or of the United States, and they must be given such leave with pay not to exceed 15 working days in any one calendar year" (Tennessee Code Annotated (TCA) 8-33-109).

**Voting.** Tennessee law (TCA 2-1-106) provides persons entitled to vote in an election held in this state a reasonable period of time for voting, not to exceed three hours. Other provisions are found in the Federal Hatch Act. (See Appendix D, Sample Rules and Regulation, Voting).

**Witness.** The municipal government must decide how it will handle employees who are subpoenaed to court as a witness. Many cities currently state that if the employee is a witness for the municipality, no leave will be charged. On the other hand, if the employee is subpoenaed as a witness in a private matter, the employee must use vacation or personal leave.

4. **Complaint/Grievance Procedure.** Give each employee a full and impartial hearing on any complaint. It is a good idea to have several levels to which a complaint can progress and make sure provisions exist for the documentation of any hearing. (The Risk Management Pool also recommends that a city determine if they need several levels for the progression of a complaint. Their position is that it allows more opportunities for mistakes to occur).
5. **Discipline.** Disciplinary action is taken when there are serious performance or behavior problems. There are seven disciplinary actions that may be taken. They are:
  - a. Supervisory counseling and coaching.
  - b. Verbal warnings.
  - c. Written warnings.
  - d. Suspensions.
  - e. Probation.
  - f. Demotion.
  - g. Dismissal.

- f. Will the municipal government require notice from the employee on expected date of return? Will the company guarantee the employee the same job and rate of pay?
  - g. What will happen if an extension is needed? What if the employee fails to return to work?
11. **Hours Of Work.** This is a crucial area for employees and managers. The city should decide operational hours for all departments. What is the city's policy on overtime and compensatory time? Does the city have a policy for handling employees who are excessively tardy for work? How does the city account for hours worked?
  12. **Performance Appraisal.** Many cities have a policy of reviewing employees' performance at least once a year. The policy should state the frequency of the appraisal process and who is responsible for administering it. A city may want to address what happens if an employee receives a poor performance review.
  13. **Promotions, Demotions, And Transfers.** Determine how the city wants to handle this topic. What happens when a vacancy occurs? Does the city post the open position on a bulletin board for all interested parties? What part does seniority play? What are the procedures to follow if there is an employee in another department who fits the job? What are the procedures to follow to effect a transfer? How is an employee's salary affected by either?
  14. **Records.** Subject to the Tennessee Open Records law, record retention is an integral part of an organization's personnel function. Who is responsible for maintaining employee records? Where will records be housed? Will the city allow purging of dated material from the records?
  15. **Safety And Health.** Many cities address the safety issue in their employee handbook. Whether you use a handbook or rules and regulations, it is the city's responsibility to provide a safe and healthy work environment. How does the city encourage safety on the job? Does the city have a physical examination program for all employees? Does the municipality have regular safety inspections?
  16. **Temporary Employment.** Establish the criteria for the use of temporary help from a temporary agency or with a temporary employee. Set out the procedures to follow if a manager needs temporary help. Establish a time limitation for the use of temporary help. Establish a policy for benefit eligibility and benefit levels.
  17. **Terminations.** Termination is an area where the municipal government is vulnerable to litigation, so the policy is important and should provide specific guidelines that are administered even-handedly. Establish what is voluntary termination and what constitutes an involuntary termination. Determine the amount of notice that must be given. Will exit interviews be conducted and by whom?

**APPENDIX A**  
**MODEL CHARTER PROVISION**



## APPENDIX A

### MODEL CHARTER PROVISION

**SECTION 3.09. EMPLOYEE APPOINTMENT AND PROMOTION; REMOVAL OR SUSPENSION; APPEAL AND HEARING.** The appointment and promotion of employees of the Town of \_\_\_\_\_ shall be on the basis of merit, considering technical knowledge required to perform satisfactorily the work, experience in the particular or similar line of work, and administrative or supervisory qualifications without regard to race, sex, age, creed, national origin, or handicapping condition. Unless otherwise provided by this Charter, the \_\_\_\_\_ may make appointments, promotions, and transfers, and make demotions, suspensions, and removals of employees for reasonable cause, and may delegate this authority to department heads, as may be provided for by ordinance. Before removal or suspension, an employee shall be given a pretermination hearing in addition to a written notice of intention to suspend or remove him or her, containing a clear statement of the grounds for such proposed action and notification that he/she may appeal to the Board of Mayor and Aldermen/Council/Commission by filing, within ten days, with the \_\_\_\_\_, written notice of his intention to do so. After receipt of such notice the Board of Mayor and Aldermen/Council/Commission shall set a time and place for a public hearing on the matter, to be held within twenty days thereafter. The vote of \_\_\_\_\_ members of the Board of Mayor and Aldermen/Council/Commission shall be required to override the suspension or removal, and the action of the Board of Mayor and Aldermen/Council/Commission may be with partial or entire loss of salary; however, if the suspension is overruled by the Board of Mayor and Aldermen/Council/Commission, any loss of salary shall be paid to the employee.

**SECTION 3.10. PERSONNEL RULES.** The Board of Mayor and Aldermen/Council/Commission shall by ordinance adopt supplemental rules and regulations governing employment by the town, not inconsistent with the provisions of this Charter.

**APPENDIX B**

**MODEL ORDINANCE OUTLINING GENERAL PURPOSE**

## APPENDIX B

### MODEL ORDINANCE OUTLINING GENERAL PURPOSE

ORDINANCE NO. \_\_\_\_\_

AN ORDINANCE TO AMEND THE MUNICIPAL CODE BY ADDING A NEW CHAPTER \_\_\_\_\_, RELATING TO PERSONNEL RULES AND REGULATIONS.

BE IT ORDAINED BY THE CITY COMMISSION/BOARD OF MAYOR AND ALDERMAN/COUNCIL OF THE CITY OF \_\_\_\_\_, AS FOLLOWS:

SECTION I - THE FOLLOWING NEW CHAPTER IS ADDED TO THE MUNICIPAL CODE:

#### PERSONNEL SYSTEM

#### CHAPTER \_\_\_\_\_

1-801. PURPOSE. The purpose of this Chapter is to establish a system of personnel administration in the City of \_\_\_\_\_ that is based on merit and fitness. The system shall provide means to select, develop, and maintain an effective municipal work force through the impartial application of personnel policies and procedures free of personal and political considerations and regardless of race, sex, age, creed, national origin, or handicapping condition.

1-802. COVERAGE. All offices and positions of the Municipal government are divided into the classified service and the exempt service. The classified service shall include all regular full-time and regular part-time positions in the City's service unless specifically placed in the exempt service. All offices and positions of the Municipal government placed in the exempt service are as follows:

- a. All elected officials.
- b. The city manager.
- c. Members of appointed boards and commissions.
- d. Consultants, advisers, and legal counsel rendering temporary professional service.
- e. The city attorney.

- h. Prepare and recommend to the City Commission/Aldermen/Council a pay plan for all municipal government employees.
- i. Develop and administer such recruiting programs as may be necessary to obtain an adequate supply of competent applicants to meet the employment needs of the municipal government.
- j. Be responsible for certification of payrolls.
- k. Perform such other duties and exercise such other authority in personnel administration as may be prescribed by law and the Board of Mayor and Aldermen/Commission/Council.

1-804. PERSONNEL RULES AND REGULATIONS. The \_\_\_\_\_ shall develop rules and regulations, in the form of an employee's handbook, necessary for the effective administration of the personnel system. The Commission/Board of Mayor and Alderman/Council shall adopt the rules presented to them by the \_\_\_\_\_. If the Commission/Board of Mayor and Aldermen/Council has taken no action within ninety days after receipt of the draft personnel rules and regulations, they shall become effective as if they had been adopted, and shall have the full force and effect of law. Amendments to the rules and regulations shall be made in accordance with the procedure below.

1-806. RECORDS. The \_\_\_\_\_ shall maintain adequate records of the employment record of every employee as specified herein.

1-807. RIGHT TO CONTRACT FOR SPECIAL SERVICES. The City Commission/Board of Mayor and Alderman/Councilman may direct the \_\_\_\_\_ to contract with any competent agency for the performance of such technical services in connection with the establishment of the personnel system or with its operation as may be deemed necessary.

1-808. DISCRIMINATION. No person in the classified service or seeking admission thereto, shall be employed, promoted, demoted, or discharged, or in any way favored or discriminated against because of political opinions or affiliations, or because of race, color, creed, national origin, sex, ancestry, age, or religious belief.

1-809. AMENDMENTS. Amendments or revisions of these rules may be recommended for adoption by the \_\_\_\_\_. Such amendments or revisions of these rules shall become effective after public hearing and approval by the Governing Body.

**APPENDIX C**

**MODEL ORDINANCE**  
**SMALL MUNICIPALITIES**

## APPENDIX C

### MODEL ORDINANCE SMALL MUNICIPALITIES

ORDINANCE NO. \_\_\_\_\_

AN ORDINANCE TO ESTABLISH PERSONNEL RULES AND REGULATIONS FOR EMPLOYEES OF THE CITY OF \_\_\_\_\_, TENNESSEE IN ACCORDANCE WITH ARTICLE \_\_\_\_\_, SECTION \_\_\_\_\_, OF THE CHARTER OF THE CITY OF \_\_\_\_\_. THESE RULES AND REGULATIONS SHALL SERVE AS THE PRIMARY SOURCE DOCUMENT OF PERSONNEL POLICIES.

BE IT ENACTED BY THE CITY COMMISSION/BOARD OF MAYOR AND ALDERMAN/COUNCIL OF \_\_\_\_\_:

#### **SECTION I - PERSONNEL RULES AND REGULATIONS**

- A. **PURPOSE.** The purpose of this ordinance is to establish a system of personnel administration in the City of \_\_\_\_\_ that is based on merit and fitness. The system shall provide means to select, develop, and maintain an effective municipal work force through the impartial application of personnel policies and procedures free of personal and political considerations and regardless of race, sex, age, creed, national origin, or handicapping condition.
- B. **COVERAGE.** All offices and positions of the Municipal government are divided into the classified service and the exempt service. The classified service shall include all regular full-time and regular part-time positions in the City's service unless specifically placed in the exempt service. All offices and positions of the Municipal government placed in the exempt service are as follows:
1. All elected officials.
  2. The city manager.
  3. Members of appointed boards and commissions.
  4. Consultants, advisers, and legal counsel rendering temporary professional service.
  5. The city attorney.
  6. Independent contractors.

- D. **INTERVIEWS** - All appointments are subject to an interview with the \_\_\_\_\_ and/or appropriate department head and the City Commission/Board of Mayor and Aldermen/Council.
- E. **APPOINTMENTS** - All appointments to positions in the City of \_\_\_\_\_ shall be made by the \_\_\_\_\_.
- F. **PROBATION** - Applicants appointed to positions with the City of \_\_\_\_\_ are required to serve a \_\_\_\_\_ months probationary period. An employee may be terminated during this period for any reason without respect or reference to the procedures set forth in this document, the Charter or other ordinances. If the probationary period is determined satisfactory, the employee is recommended for a full-time appointment. (Note - The Risk Management Pool believes that "probation" implies a distinction with "full-time and may establish a property right afforded constitutional protection. Cities should be sure they understand the implications of such an act.)
- G. **TRANSFERS** - Pursuant to Article \_\_\_\_\_, Section \_\_\_\_\_ of the Charter of the City of \_\_\_\_\_, the \_\_\_\_\_ may make transfers of employees or delegate this authority if he/she deems advisable.
- H. **PROMOTIONS/DEMOTIONS** - Pursuant to Article \_\_\_\_\_, Section \_\_\_\_\_ of the Charter of the City of \_\_\_\_\_, the \_\_\_\_\_ may make promotions/ demotions of employees or delegate this authority if he/she deems advisable.

#### **SECTION IV. COMPENSATION**

- A. **SALARIES** - Pursuant to the City Charter, Article \_\_\_\_\_, Section \_\_\_\_\_, the \_\_\_\_\_ shall set by ordinance/resolution all salaries paid by the City of \_\_\_\_\_. Due consideration shall be given to duties performed, responsibilities, technical knowledge and skills required to perform the work satisfactorily, the labor market, and availability of persons having the desired qualifications.
- B. **HOURS OF WORK** - The \_\_\_\_\_ shall establish the hours of work per week for each position in the service of the city.
- C. **PAY DAY** - All employees of the City of \_\_\_\_\_ shall be paid on a weekly/bi-weekly/monthly basis.

C. **VACATION LEAVE** - All full-time employees who have worked for the municipal government for at least \_\_\_\_\_ months shall be given five days of vacation leave with pay per year. Such vacation leave shall be taken at a time approved by the \_\_\_\_\_ or such other officer as designated. Upon separation, employees are entitled to be reimbursed for any unused vacation.

D. **SICK LEAVE** - All full-time employees shall be given one-half day of sick leave with pay for each month of work for the municipality. Sick leave may be granted for any of the following reasons:

1. Personal illness or physical incapacity resulting from causes beyond the employee's control.
2. Exposure to contagious disease so that their presence at work might jeopardize the health of other employees.
3. Medical, dental, optical or other professional treatments or examinations.
4. Acute illness of a member of the employee's immediate family (i.e., spouse, parents, children).

Upon termination or resignation any unused sick leave shall not be cashed in for compensation.

E. **FUNERAL LEAVE** - Full-time employees shall be allowed three days of leave with pay for the death in an employee's immediate family (i.e., spouse, parents, children). One day of leave with pay will be allowed for the death of sisters, brothers, in-laws, grandparents, and other relatives.

F. **CIVIL LEAVE** - Civil leave with pay may be granted to employees for the following reasons:

1. Serve on jury duty.
2. Answer a subpoena to testify for the city.
3. Perform emergency duty for National Defense.

G. **VOTING** - When elections are held in the State, leave for the purpose of voting shall be in accordance with ICA 2-1-106 herein reprinted:



Those who feel they have been subjected to unfair treatment have the right to present their grievance to the proper person for prompt consideration and a fair decision. The employee may present the case for himself/herself or have a representative of his/her choosing and expense to present it.

**D. PROCEDURE** - Employees must remember that there is no grievance until the department head or other appropriate person has been made aware of the dissatisfaction. Once this is done, the following steps are to be taken:

**Step 1.** Discuss the problem with the immediate supervisor. If satisfaction is not obtained the grievance is advanced to step 2.

**Step 2.** Discuss the problem with the appropriate department head. If the grievance is not resolved it is advanced to the 3rd step along with all documentation.

**Step 3.** Discuss the problem with the \_\_\_\_\_ of the city. The \_\_\_\_\_'s decision is the last and final step in the process. The decision of the \_\_\_\_\_ shall be final and binding to all parties involved unless appealed to Chancery Court. (Note - The Risk Management Pool's position is that giving rights to appeal to court is not legally required. Doing such may have property right implications).

**E. RESPONSIBILITIES** -

1. Grievance Procedure: It is the responsibility of the department head to hear all grievances in a timely and proper fashion and make fair and reasonable decisions within five days of being made aware of the grievance.
2. Appeal Procedure: It is the responsibility of the \_\_\_\_\_ to act on appeals promptly and assist employees in expediting them through the process. Only disciplinary actions may be appealed to the Commission/Council/Board of Mayor and Alderman for consideration.
3. Denial of Appeals: Only the City Commission/Board of Mayor and Alderman/Council may make the final decision to deny an appeal.

**F. POLICIES GOVERNING THE GRIEVANCE AND APPEALS PROCEDURES** - An employee with a grievance shall be notified in writing of these rights:

1. The right to a grievance or appeals hearing as specified in this policy.

## Appendix C

- a. become a candidate for or campaign for an elective municipal government or county office.
  - b. directly or indirectly solicit, receive, collect, handle, disburse or account for assessments, contributions or other funds for a candidate for municipal government or county office.
  - c. organize, sell tickets to, promote or actively participate in a fund-raising activity of a candidate for municipal government or county office.
  - d. take an active part in managing the political campaign for a candidate for municipal government or county office.
  - e. solicit votes in support of or in opposition to a candidate for municipal government or county office.
  - f. act as a clerk, watcher, challenger, or similar officer at the polls on behalf of a candidate for municipal government or county office.
  - g. drive voters to the polls on behalf of a candidate for municipal government or county office.
  - h. endorse or oppose a candidate for municipal government or county office in a political advertisement, broadcast, campaign literature, or similar material.
  - i. address a rally or similar gathering of the supporters of opponents of a candidate for municipal government or county office.
  - j. initiate or circulate a nominating petition for a candidate for municipal government or county office.
  - k. wear campaign buttons, pins, hats or other similar attachment, or distribute campaign literature in support or opposition to a candidate for municipal government or county office.
2. **In all other elections for public office** - No municipal government employee, whether on or off duty, whether in or out of uniform, and whether on or off municipal government property, shall at any time or place:
- a. become a candidate for, or campaign for, an elective public office.

**APPENDIX D**

**MODEL PERSONNEL RULES AND REGULATIONS**

APPENDIX D

MODEL PERSONNEL RULES AND REGULATIONS

developed with the assistance of

MUNICIPAL TECHNICAL ADVISORY SERVICE  
INSTITUTE OF PUBLIC SERVICE  
THE UNIVERSITY OF TENNESSEE

CITY OF \_\_\_\_\_

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\_\_\_\_\_ CITY GOVERNMENT

**SECTION I - PERSONNEL POLICIES**

**A. PURPOSE AND OBJECTIVES**

The purpose of these policies is to establish a high degree of understanding, cooperation, efficiency, and unity among municipal government employees which comes from a systematic application of good procedure in personnel administration, and to provide uniform policies for all employees, with all the benefits such a program insures without regard to race, sex, age, national origin, creed, and handicapping condition.

The fundamental objectives of good personnel administration to be achieved by these policies are:

1. To promote and increase efficiency and economy among employees of the City of \_\_\_\_\_.
2. To provide fair and equal opportunity to all qualified citizens on the basis of demonstrated merit and fitness as ascertained through fair and practical methods of selection.
3. To develop a program of recruitment, advancement and tenure which will make employment with the City attractive as a career and encourage each employee to render the best service.
4. To establish and maintain a uniform plan of evaluation and compensation.
5. To establish and promote high morale among the employees by providing good working relationships, a uniform personnel policy, opportunity for advancement, and consideration for employee needs and desires.

**B. PERSONNEL POLICY STATEMENT**

It is the policy of the City of \_\_\_\_\_ to apply and foster a sound program of personnel management.

The policies of the municipal government are as follows:

**1. EMPLOYMENT AND PLACEMENT**

- a. To fill all positions, without undue delay, in accordance with job qualifications and requirements without discriminations as to race, color, creed, national origin, handicap, or political affiliation.

**C. COVERAGE**

These rules and regulations shall cover all employees in the city service unless specifically exempt by this document, the city charter and/or the ordinances of the municipality without regard to race, religion, national origin, political affiliation, sex, age, or physical handicap.

All offices and positions of the municipal government are divided into the classified service and the exempt service. The classified service shall include all regular full-time and regular part-time positions in the city's service unless specifically placed in the exempt service. All offices and positions of the municipal government placed in the exempt service are as follows:

1. All elected officials.
2. The city manager.
3. Members of appointed boards and commissions.
4. Consultants, advisers, and legal counsel rendering temporary professional service.
5. The city attorney.
6. Independent contractors.
7. Persons employed by the municipality for not more than three months during a fiscal year.
8. Part-time employees paid by the hour or the day, and not considered regular.
9. Volunteer personnel appointed without compensation.
10. The city judge.

**D. ADMINISTRATION**

These rules shall be administered by the \_\_\_\_\_ under the direction of the \_\_\_\_\_ and in conformity with the ordinance establishing a personnel system.

## SECTION II - DEFINITIONS

**(NOTE - THE USE OF DEFINITIONS IS A COMMON PRACTICE AMONG PERSONNEL PROFESSIONALS. THE LIMITATION, HOWEVER, IS THAT IT IS VIRTUALLY IMPOSSIBLE TO LIST AND DEFINE EVERY POSSIBLE TERM USED IN THE RULES AND REGULATIONS DOCUMENT. IF A MUNICIPAL GOVERNMENT IS NOT SURE IF THEY HAVE DEFINED ALL THE NECESSARY TERMS, THEY SHOULD CONSIDER OMITTING THIS SECTION.)**

For the purposes of this manual, the following words and phrases shall have the meanings respectively ascribed to them by this chapter:

**Actual Service** - The time engaged in performance of the duties of a position or positions including absences with pay and authorized leave without pay.

**Anniversary Date** - (Also known as "review date", "increment date" or "service date"). The date on which a regular employee is evaluated or is eligible to receive an in-grade pay increase, normally twelve months after being hired. This date may be changed only by securing a new position within the organization requiring a new probationary period.

**Allocation** - The assignment of a position to its appropriate class in relation to the duties performed.

**Annual Leave** - Paid leave that is granted to each eligible employee for religious holiday leave, vacation, or other personal uses.

**Appeal** - An application for review of a disciplinary action submitted or instituted by an employee to a higher authority.

**Applicant** - An individual who has completed and submitted an application for employment with the City.

**Appointing Authority** - The \_\_\_\_\_ shall be responsible for the appointment of qualified applicants to regular full-time, regular part-time, temporary, or emergency positions in the city. The \_\_\_\_\_ or governing body (Commission, Board of Mayor and Aldermen, Council) shall be the appointing authority for all department heads and certain other positions as specified in the Code and Charter for the City.

**Appointment** - The offer to and acceptance by a person of a position either on a regular or temporary basis.

**Break-in-Service** - Any separation from the service of the municipal government, whether by resignation, layoff, dismissal, unsatisfactory service, disability, retirement or unauthorized absences without leave of three days or more. Authorized leaves and authorized leaves of absence without pay shall not be considered as constituting a "break-in-service."



**Eligible** - A person who has successfully met requirements for a particular class.

**Eligible List** - A list of names of qualified applicants for appointment or promotion to municipal government positions.

**Emergency Appointment** - An appointment made when an emergency arises and time will not permit compliance with the personnel appointment procedures. No such emergency appointment shall continue for a period exceeding four months and no such emergency employee shall be entitled to any benefits.

**Employee** - (Synonymous with "incumbent"). The person employed to perform the work of a position. An individual who is legally employed by the municipal government and is compensated through the municipal government payroll for services. Individuals or groups compensated on a fee basis are not included.

**Examination** - The process of testing, evaluating, or investigating the fitness and qualifications of applicants and employees.

**Exempt Service** - The elected positions of Mayor and Aldermen and those individuals who serve at the pleasure of the elected officials who appointed them to their position, members of boards and commissions, persons employed as consultants or counsel rendering temporary professional services, and positions involving seasonal, temporary, emergency, or voluntary employment or appointments.

**Grievance** - An employee's feeling of dissatisfaction; any differences or disagreements or disputes arising between an employee and his supervisor and/or other employee with some aspect of employment, application or interpretation of regulations and policies or some management decision affecting the employee. A grievance can be something real, alleged, or a misunderstanding concerning the rules and regulations or administrative order involving the employee's health, safety, physical facilities, equipment or material used, employee evaluation, promotion, transfer, layoff, recall and any other related item. (**Note - Cities may wish to differentiate and limit those actions in which a grievance may be filed as opposed to those that are appealable**).

**Immediate Family** - Includes spouse, mother, or step-mother (but not both), father, or step-father (but not both), children, sister, brother, grandparents, current mother-in-law, or current father-in-law, step-grandparents, grandparents-in-law, and grandchildren. Proof of these relationships may be required.

**Job Description** - A written explanation of one position or several very similar positions which includes a title, definition of responsibilities, examples of duties, and the minimum required qualifications.

**Regular Full-time Employee** - An individual who works the equivalent of forty hours or more per week.

**Regular Part-time Employee** - An employee appointed to fill a vacancy or a newly created position who works a minimum of twenty hours each work week. The employee is not entitled to benefits.

**Reprimand** - A type of disciplinary action, oral or written, denoting a violation of personnel or departmental regulations which becomes part of the employee's personnel record.

**Separation** - The removal of an individual from a position either through resignation, dismissal, layoff, disability, retirement, or death.

**Suspension** - An enforced leave of absence for disciplinary purposes or pending investigation of charges made against an employee.

**Transfer** - The assignment of an employee from one position to another position. Transfers can take place within a department, between departments, between positions of the same pay range, between positions of the same class or between positions of different classes of equal rank and pay.

**Work Day** - The scheduled number of hours an employee is required to work per day.

**SECTION III - CLASSIFICATION PLAN**

**A. PURPOSE**

The classification plan provides a complete inventory of all positions in the municipal government's service and an accurate description and specifications for each class of employment. The plan standardizes titles, each of which is indicative of a definite range of duties and responsibilities and has the same meaning throughout the city service.

**B. COMPOSITION OF THE CLASSIFICATION PLAN**

The classification plan shall consist of:

1. A grouping of classes of positions which are approximately equal in difficulty and responsibility, which call for the same general qualification, and which can be equitably compensated within the same range of pay under similar working conditions.
2. Class titles descriptive of the work of the class which identifies the class.
3. Written specifications for each class of positions.
4. Physical standards for performance of the duties of the position.

**C. USE OF CLASS TITLES**

Class titles are to be used in all personnel, accounting, budget appropriation, and financial records of the city. No person will be appointed or employed in a position in the city service under a title not included in the classification plan.

**D. USE OF CLASS SPECIFICATIONS**

Specifications are to be interpreted in their entirety and in relation to others in the classification plan. Particular phrases or examples are not to be isolated and treated as a full definition of the class. Specifications are deemed to be descriptive and explanatory of the kind of work performed and not necessarily inclusive of all duties performed.

**E. USE OF THE CLASSIFICATION PLAN**

The classification plan is to be used:

1. As a guide in recruiting and examining candidates for employment.
2. In determining lines of promotion and in developing employee training programs.

## SECTION IV - COMPENSATION PLAN

### A. PURPOSE

The pay plan is intended to provide fair compensation for all classes in the classification plan in consideration of ranges of pay for other classes, general rates of pay for similar employment in private establishments and other public jurisdictions in the area, cost of living data, the financial condition of the municipality, and other factors.

### B. COMPOSITION

The pay plan for the City of \_\_\_\_\_ shall consist of minimum and maximum rates of pay with intermediate steps for each existing pay grade (position classification).

### C. MAINTENANCE OF THE PAY PLAN

The \_\_\_\_\_ will from time to time make comparative studies of all factors affecting the level of salary ranges and will recommend to the Board of Mayor and Aldermen/Commission/Council such changes in the salary ranges as appear to be in order. Such adjustments will be made by increasing or decreasing the salary ranges the appropriate number of steps as provided in the basic salary schedule, and the rate of pay for each employee will be adjusted an appropriate number of steps in conformity with the adjustment of the salary range for that class as approved by the \_\_\_\_\_.

### D. USE OF SALARY RANGES

Salary ranges are intended to furnish administrative flexibility in recognizing individual differences among positions allocated to the same class, and in providing incentives to employees.

The minimum rate established for a class is the normal hiring rate except in those cases where unusual circumstances (such as inability to fill the position at the hiring rate or exceptional qualifications of an applicant) appear to warrant employment of an individual at a higher rate in the pay range. Any department head desiring to appoint an applicant to start at a salary above the minimum must submit a written justification through the \_\_\_\_\_ for approval. Such appointments shall be made only in exceptional cases as decided by the \_\_\_\_\_.

**SECTION V - EMPLOYMENT**

**A. APPLICATIONS**

The City of \_\_\_\_\_ shall make every effort to attract qualified applicants for various types of positions. In so doing the appointing authority shall prepare and publish a public notice of vacancies when they occur at an officially designated site in the City Hall, and such other sites as may be designated by the \_\_\_\_\_.

All applications for employment are received at City Hall and given thorough consideration by the appropriate department head. The City of \_\_\_\_\_ exercises a policy of fairness to every person who applies for work, and in cooperation with the supervisor involved, is responsible for the proper selection and placement of persons in various departments through the city.

Applicants may be removed from consideration if:

1. The applicant declines an appointment when offered.
2. The applicant cannot be located by the postal authorities. It shall be deemed impossible to so locate an applicant when a communication mailed at the last known address is returned unclaimed.
3. The applicant moves out of the area.
4. The applicant has an employment history of narcotics use or the excessive use of intoxicating liquors.
5. The applicant is found to have been convicted of a felony or a misdemeanor involving moral turpitude as the term is defined by law.
6. The applicant has made a false statement of material fact on the application.
7. The application was not filed within the period specified in the examination announcement or was not filed on the prescribed form.
8. The applicant does not possess the minimum qualifications as indicated by the classification plan.

**B. RECRUITMENT BY EXAMINATION**

All appointments in the municipal government service shall be made according to merit and fitness and may be subject to competitive examination. All such examinations shall fairly and impartially test those matters relevant to the capacity and fitness of the applicant to discharge efficiently the duties of the position to be filled.

**E. RESIDENCY**

All employees must reside in an area bounded on the south by \_\_\_\_\_ and on the west by \_\_\_\_\_, north by \_\_\_\_\_ and east by \_\_\_\_\_. Six months of continuous habitation in this area shall constitute residency.

Residency may be waived if a qualified employee cannot be found for professional, technical, and general classifications during emergencies. Employees residing outside the aforementioned boundaries must sign a statement of intent to establish residency before the end of probation. If residency is not established within that time, the employee may be subject to dismissal.

**F. PHYSICAL EXAMINATIONS**

Every prospective employee shall be given a physical examination by a licensed physician designated by the municipal government prior to the time he/she is hired, to determine if he/she meets necessary physical fitness standards. The cost of this physical examination shall be borne by the city. Applicants determined to be physically or mentally unfit for service shall not be considered for appointment.

All employees of the city may, during the period of their employment, be required by their department head and with the approval of the \_\_\_\_\_, to undergo periodic medical examinations to determine their physical and mental fitness to perform the work of the position in which they are employed. This periodic medical examination shall be at no expense to the employee. Determination of physical or mental fitness will be by a physician designated by \_\_\_\_\_.

When an employee of the city is reported by the examining physician to be physically or mentally unfit to perform work in the position for which he/she is employed, the employee may, within five days from the date of his/her notification of such determination, indicate in writing to the \_\_\_\_\_ his/her intention to submit the question of his/her physical or mental unfitness to a physician of his/her own choice.

In the event there is a difference of opinion between the examining physician and the physician chosen by the employee, a third physician shall be mutually agreed upon and designated by the examining physician and the physician chosen by the employee. The third physician's decision shall be final and binding as to the physical or mental fitness of the employee. The municipal government shall pay its physician; the employee shall pay his/her physician and the third physician shall be paid by \_\_\_\_\_.

An employee determined to be physically or mentally unfit to continue in the position in which he/she is employed may be demoted in accordance with these rules or separated from the municipal government service.

Appointments to positions with the municipal government fall into four categories. They are:

1. **Original Appointment** - When a non-employee passes all the tests of employability and is offered employment.
2. **Provisional Appointment** - When the municipality is unable to fill a vacancy because of an insufficient number of applicants, the \_\_\_\_\_ may authorize the department head to fill the vacancy by a provisional appointment. Provisional appointments require the prior approval of the \_\_\_\_\_ and no payment shall be made for services rendered by the appointee prior to the appointment.
3. **Emergency Appointments** - The \_\_\_\_\_ may authorize the appointment of any qualified person to a position to prevent the stoppage of public business or loss or serious inconvenience to the public. Emergency appointments shall be limited to a period not to exceed ninety days in any twelve month period.
4. **Student Appointments** - Students, majoring in a field of value to the municipal government, from a qualified, cooperating educational institution, may be employed on an "internship" basis for a period not to exceed 12 months. The appointment must be approved by the \_\_\_\_\_.

A promotion is an assignment of employee from one position to another which has a higher maximum rate of pay, rank, and responsibility. Vacancies in positions above the lowest rank in any category in the classified service shall be filled as far as practical by the promotion of employees in the service. Promotions in every case must involve a definite increase in duties and responsibilities and shall not be made merely for the purpose of effecting an increase in compensation.

When an employee in one classification is promoted to a position in another classification and the employee's current rate of pay is less than the minimum rate for the new position, the employee's salary shall be raised to that minimum rate. When the employee's salary falls above the new minimum rate, a percentage increase as determined by the \_\_\_\_\_ shall be given.

When an employee desires to transfer from one department to another, it must be agreeable to both department heads involved and approved by the \_\_\_\_\_. The transfer of an employee from one position to another without significant change in level may be effective:

1. When the employee meets the qualification requirements for the new position.
2. If it is in the best interest of the municipal government.

3. Rejecting any employee whose performance does not meet work standards.

The probationary period for all regular appointments shall be for a period of \_\_\_\_\_ months. Department heads may request an extension of any employee's probationary period with the prior approval of the \_\_\_\_\_. In no event may a probationary period be extended beyond \_\_\_\_\_ months.

During the probationary period the \_\_\_\_\_ shall require the department head to report the observations of the employee's work and his/her judgement of the employee's willingness and ability to perform the duties assigned. During the probationary period the supervisor will inform the employee when his/her performance is unsatisfactory and not meeting the probationary test requirements.

A performance evaluation shall be completed at least ten days prior to the expiration of an employee's probationary period. At this time, the department head shall notify the \_\_\_\_\_ if the service of the employee has been satisfactory and whether he/she will continue to employ the individual.

**K. PERFORMANCE APPRAISAL**

Annually, each employee's performance will be appraised and reviewed by his/her immediate supervisor. The appraisal will be discussed with the employee so that he/she will know how he/she is progressing and what he/she may do to improve his/her performance. By this means, it is intended that each employee will have adequate opportunity to correct any weakness that may interfere with his/her progress. Employees may appeal the results of the evaluation in accordance with the Appeal Process contained in this document (Section 8, Subsection M).

**L. MOONLIGHTING/OUTSIDE EMPLOYMENT**

With the approval of one's department head and/or jurisdictional elected official, "moonlighting" is permissible, provided that there is no conflict of interest or impairment of work performance for the City of \_\_\_\_\_. Before outside employment begins employees must present a written request describing the work to be performed.

Anyone missing work because of sickness or injury that can be attributed to a second job will not receive pay or other normal benefits for time lost from their municipal government employment. Approval of a second job may be withdrawn for any of the above reasons.



**SECTION VI - BENEFITS****A. LEGAL HOLIDAYS**

All offices and shops of the City of \_\_\_\_\_, except emergency and necessary operations, will be closed and employees excused on the following legal holidays:

New Year's Day	January 1st
M. L. King Birthday	Third Monday in January
Good Friday	Friday before Easter Sunday
Memorial Day	Last Monday in May
Independence Day	July 4th
Labor Day	First Monday in September
Veterans Day	November 11th
Thanksgiving Day	Fourth Thursday in November
Christmas Eve	December 24th
Christmas	December 25th
New Year's Eve	December 31st

When a legal holiday falls on Saturday, offices will be closed the preceding Friday. When a holiday falls on Sunday, the following Monday shall be observed.

**B. HOLIDAY PAY**

All holiday pay will be computed on the basis of a regular work day and only those employees normally scheduled on a rotating shift will be eligible for such pay. Eligible employees will be compensated at a double time rate of pay. All others will receive compensatory time equal to the time worked if called upon to work on a legal holiday. Employees eligible for holiday pay must be in a pay status his/her last regular shift scheduled before a holiday and his/her first regularly scheduled shift after a holiday in order to receive compensation for the holiday.

**C. ANNUAL VACATION WITH PAY**

Vacation will be granted to regular employees but may not be taken until the employee has completed one year of service. Vacation leave is to be taken following the period of time in which it is earned and up to one year's vacation may be carried forward into the preceding year. For vacation purposes, time is earned beginning with the date of regular employment to the anniversary date each year.

Generally, employees become eligible to use sick leave when:

1. Employees are incapacitated by sickness or non job related injury, or for medical, dental, or optical diagnosis and treatment.
2. For necessary care and attendance of a member of the employee's immediate family when approved by jurisdictional official.

**IMMEDIATE FAMILY**

Husband	Wife
Father	Mother
Brother	Sister
Son	Daughter
Father-in-law	Mother-in-law
Grandfather	Grandmother
Legal Foster Parents and Children	

3. After exposure to a contagious disease, when certified by a qualified doctor's certificate, that the employee may jeopardize the health of others.

To prevent abuse of the sick leave privilege, department heads are required to satisfy themselves that the employee is genuinely ill before paying sick leave. Any absence may require a doctor's certificate, and any absence in excess of three work days may also require a doctor's certificate to return to work (if, in the opinion of the immediate supervisor, such action is deemed appropriate).

Each day deducted from an employee's sick leave accumulation shall be for a regular work day and shall not include holidays and scheduled off days. Employees claiming sick leave while on annual leave must support their claim by a doctor's statement. When an employee is on "leave without pay" for 15 days during any calendar month no sick leave accumulates.

Eight hours absence from work while sick will constitute a charge of one day of sick leave for all employees except members of the Fire Department working twenty-four hours on and forty-eight hours off and the Police Department working 8.5 hours. Firefighters working these shifts will be charged one day of sick leave for each twelve hours absent from work due to illness or two days sick leave for absence due to illness for each twenty-four hour shift. Police officers will be charged one day of sick leave (8 hours) for each 8.5 hours absent from work due to illness.

If no position is available at the time of the employee's return, the employee will be reinstated into the first available position. No current full-time employee will be terminated or laid-off to allow for the reinstatement.

#### **G. MILITARY RESERVE DUTY LEAVE**

Any regular employee who is a member of the United States Army Reserve, Navy Reserve, Air Force Reserve, Marine Reserve or any of the Armed Forces of the United States, will be granted military leave for any field training or active duty required (excluding extended active duty). Such leave will be granted upon presentation of the employee's official order to his/her jurisdictional official. Compensation for such leave will be paid pursuant to TCA, Section 8-33-109. It will be the responsibility of the employee to arrange with the department supervisor to attend monthly meetings on regular off-time with pay being applicable to the annual two week training period. Employees entering an extended active duty will be given two weeks pay when placed on military leave.

#### **H. JURY SERVICE LEAVE**

Employees selected for jury service shall be excused from their assigned duties for the actual duration of the jury duty. In the event of release from jury duty during the employee's normal working hours, he/she shall be expected to return to his/her department. An employee will receive full pay from the city during jury service.

#### **I. EDUCATIONAL LEAVE**

An educational leave of absence with or without pay may be granted to an employee not to exceed twelve months. This leave must be approved by the jurisdictional officials. Request shall be submitted in writing, stating reason for the request, the date the requested leave will begin, and the probable date of return.

#### **J. MATERNITY LEAVE**

A female employee, who has been employed full-time for at least one year with the City of \_\_\_\_\_ and who gives at least three months advance notice of her anticipated date of departure, length of maternity leave and intentions to return to full-employment, may be granted maternity leave for a period not to exceed four months for the purpose of pregnancy, childbirth, and the nursing of an infant. Sick leave may be granted for maternity purposes; otherwise, the employee will be granted a leave of absence without pay.

An employee desiring maternity leave shall notify her department head so a temporary replacement may be secured. Return to duty must be accompanied by a release statement from the employee's attending physician.

Employees shall report immediately any injury incurred in the course of their employment, however minor, to their supervisor or department head and take such first aid or medical treatment as may be necessary. Any employee determined to have been able, but who fails, to make such a report shall not be eligible for occupational disability or injury leave.

When an employee is injured on the job, the supervisor or department head shall immediately notify the designated OSHA officer who shall submit an accident report to the \_\_\_\_\_ and retain a copy in the OSHA file. Where an accident causes serious bodily injury or death to an employee, the supervisor shall immediately notify the department head.

In the cases where occupational disability to an employee occurs and the employee has been reported as occupationally disabled for a period of thirty calendar days, the department head shall review the progress of the case and make recommendations to the \_\_\_\_\_ as they deem advisable.

Occupational disability leave shall not be extended beyond six months unless authorized by \_\_\_\_\_. Extensions shall not be extended for any period in excess of three months at any one time and shall not exceed a total of twelve months from the day following the injury.

In all cases of occupational disability the responsibility of determining the character, degree and potential duration of an injury shall rest with the licensed, practicing medical doctor(s) designated by the \_\_\_\_\_. The medical doctor(s) may make periodic examinations, progress reports and recommendations as deemed necessary by the Board of Mayor and Aldermen/Council/Commission.

Before an employee is returned to full duty, the employee must demonstrate his fitness for duty by passing the performance test administered by the department head. The test measures an employee's ability to perform routine tasks using those skills required for the position. Should an employee be unable to return to work within twelve months from the day following the date of injury, the employee may be subject to separation.

**SECTION VII - MISCELLANEOUS POLICIES**

**A. SOLICITATION**

The City believes that its employees should not be exposed to frequent solicitations for charitable purposes; therefore, solicitation shall be limited to as few visits as necessary during the course of the year.

**B. PERSONAL TELEPHONE CALLS**

The use of the office telephone during regular work hours for local and/or long distant calls of a personal nature, except in emergency cases, is discouraged.

**C. NARCOTICS AND INTOXICATING LIQUORS**

**1. PURPOSE OF DRUG TESTING PROGRAM - NOTICE**

- a. The City of \_\_\_\_\_ has a legal responsibility and management obligation to ensure a safe work environment, as well as paramount interest in protecting the public by ensuring that its employees have the physical stamina and emotional stability to perform their assigned duties. Employees must be free from drug or alcohol dependence, illegal drug use, or drug/alcohol abuse.
- b. The City and its employees may be subject to liabilities if the City fails to address and ensure that employees can perform their duties without endangering themselves or the public.
- c. There is sufficient evidence to conclude that the use of illegal drugs/alcohol, drug/alcohol dependence and drug/alcohol abuse seriously impair an employee's performance and general physical and mental health. The illegal possession and use of drugs, alcohol and/or narcotics by employees of the municipality is a crime in this jurisdiction and clearly unacceptable. Therefore, the City of \_\_\_\_\_ has adopted this written policy to ensure an employee's fitness for duty as a condition of employment; to ensure drug tests are ordered as the result of reasonable suspicion by supervisory personnel and based on observed behavior or work performance; and to notify employees that testing is a requirement of employment. **(Note - This is an area of the law that is developing on a daily basis. Special attention should be paid if attempts are made to simplify or shorten this policy).**

- e. Methaqualone (e.g. Quaalude).
- f. Opiates (e.g. Codeine, Heroin, Morphine, Hydromorphine, Hydrocodone).
- g. Phencyclidine (PCP).
- h. THC (Marijuana).

**4. PRIOR NOTICE OF TESTING POLICY**

The municipal government shall provide written notice of its drug and alcohol testing policy to all employees and job applicants. The notice shall contain the following information:

- a. The need for drug and alcohol testing.
- b. The circumstances under which testing may be required.
- c. The procedures for confirming an initial positive drug test result.
- d. The consequences of a confirmed positive test result.
- e. The consequences of refusing to undergo a drug and alcohol test.
- f. The right to explain a positive test result and the appeal procedures available.
- g. The availability of drug abuse counseling and referral services.

**5. CONSENT**

Before a drug and alcohol test is administered, employees and job applicants will be asked to sign a consent form authorizing the test and permitting release of test results to those municipal government officials with a need to know. The consent form shall provide space for employees and applicants to acknowledge that they have been notified of the City's drug testing policy and to indicate current or recent use of prescription or over-the-counter medication.

The consent form shall also set forth the following information:

- a. The procedure for confirming an initial positive test result.
- b. The consequences of a confirmed positive test result.

**9. REFUSAL TO CONSENT: EMPLOYEES**

An employee who refuses to consent to a drug and alcohol test when reasonable suspicion of drug or alcohol use has been identified is subject to disciplinary action up to and including termination. The reason(s) for the refusal shall be considered in determining the appropriate disciplinary action.

**10. CONFIRMATION OF TEST RESULTS**

An employee or job applicant whose drug test yields a positive result shall be given a second test using a gas chromatography/mass spectrometry (gc/ms) test. The second test shall use a portion of the same test sample withdrawn from the employee or applicant for use in the first test.

If the second test confirms the positive test result, the employee or applicant shall be notified of the results in writing by the appropriate department head or designated alternate. The letter of notification shall identify the particular substance found and its concentration level.

An employee or applicant whose second test contradicts the original positive test results may, at the employee's or applicant's own expense, have a third test conducted on the same sample at a laboratory selected by the municipal government.

**11. CONSEQUENCES OF A CONFIRMING POSITIVE TEST RESULT: JOB APPLICANTS**

Job applicants will be denied employment with the City if their initial positive test results have been confirmed.

**12. CONSEQUENCES OF A CONFIRMING POSITIVE TEST RESULT: CURRENT EMPLOYEES**

If a current employee's positive test result has been confirmed, the employee is subject to disciplinary action up to and including termination. Factors to be considered in determining the appropriate disciplinary response include the employee's work history, length of employment, current job performance, and existence of past disciplinary actions. No disciplinary action may be taken against employees who voluntarily identify themselves as drug users, obtain counseling and rehabilitation through the municipal government's Employee Assistance Program or other program sanctioned by the municipality, and thereafter refrain from violating the City's policy on drug and alcohol abuse.

## 16. LABORATORY TESTING REQUIREMENTS

All drug and alcohol testing of employees and applicants shall be conducted at medical facilities or laboratories selected by the City. To be considered as a testing site, a medical facility or laboratory must submit in writing a description of the procedures that will be used to maintain test samples and maintained by the City's \_\_\_\_\_ . Factors to be considered by the municipal government in selecting a testing facility include:

- a. Testing procedures that ensure privacy to employees and applicants consistent with the prevention of tampering.
- b. Methods of analysis that ensure reliable test results, including the use of gas chromatography/mass spectrometry to confirm positive test results.
- c. Chain-of-Custody procedures that ensure proper identification, labeling, and handling of test samples.
- d. Retention and storage procedures that ensure reliable results on confirmatory test of original samples.

## D. FIGHTING, HORSEPLAY, DAMAGING MUNICIPAL GOVERNMENT PROPERTY

Fighting, horseplay, and intentionally defacing or damaging city property is not permitted. Employees engaging in these activities will be subject to disciplinary action which could include discharge.

## E. PARKING

Parking is generally provided for municipal government employees. Employees working in congested areas, where parking is scarce, should try to pool their transportation. The municipality does not assume responsibility for loss or damage at any time to employees' vehicles or their contents.

## F. LOCKERS

Locker rooms and lockers are provided as needed so employees may change their clothing before and after work, if desired. Employees are expected to furnish their own lock and key so they will have control over access to the locker. Liability for loss or damage to content of lockers cannot be assumed by the municipal government. Employees may be requested to open their locker for periodic housekeeping, inspections, or other occasions when it is appropriate and/or necessary. Those who use the locker rooms are expected to assist in keeping them clean and orderly.



**1. DEFINITION**

Sexual harassment or unwelcomed sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature in the form of pinching, grabbing, patting, propositioning; making either explicit or implied job threats or promises in return for submission to sexual favors; making inappropriate sex-oriented comments on appearance; telling embarrassing sex-oriented stories; displaying sexually explicit or pornographic material, no matter how it is displayed; or sexual assault on the job by supervisors, fellow employees, or on occasion, non-employees when any of the foregoing unwelcome conduct affects employment decisions, makes the job environment hostile, distracting, or unreasonably interferes with work performance is an unlawful employment practice and is absolutely prohibited by the municipal government.

**2. MAKING SEXUAL HARASSMENT COMPLAINTS**

The municipality may be held liable for the actions of all employees with regard to sexual harassment and therefore, will not tolerate the sexual harassment of its employees. The city will take immediate, positive steps to stop it when it occurs.

By law, the city is responsible for acts of sexual harassment in the work-place where the city (or its agents or supervisory employees) knows or should have known of the conduct, unless it can be shown that the city took immediate and appropriate corrective action. The municipality may also be responsible for the acts of non-employees, with respect to the sexual harassment of employees in the work-place, where the municipal government (or its agents or supervisory employees) knows or should have known of the conduct and failed to take immediate and appropriate corrective action.

Prevention is the best tool for the elimination of sexual harassment. Therefore, the following rules shall be strictly enforced. An employee who feels he/she is being subjected to sexual harassment should immediately contact one of the persons below with whom the employee feels the most comfortable. Complaints may be made orally or in writing to:

- a. The employee's immediate supervisor.
- b. The employee's department head.
- c. The city's personnel director/city manager.
- d. The mayor.

#### 4. ACTION ON COMPLAINTS OF SEXUAL HARASSMENT

Upon receipt of a report of the investigation of a complaint of sexual harassment the \_\_\_\_\_ shall immediately review the report. If the \_\_\_\_\_ determines that the report is not complete in some respect, he/she may question the person complaining of sexual harassment, the person against whom the complaint has been made, witnesses to the conduct in question or any other person who may have knowledge about the harassment.

Based upon the report and his/her own investigation, where one is made, the \_\_\_\_\_ shall, within a reasonable time, determine whether the conduct of the person against whom a complaint of harassment has been made constitutes sexual harassment. In making that determination, the \_\_\_\_\_ shall look at the record as a whole and at the totality of circumstances, including the nature of the conduct in question, the context in which the conduct, if any, occurred, and the conduct of the person complaining. The determination of whether sexual harassment occurred will be made on a case-by-case basis.

If the \_\_\_\_\_ determines that the complaint of harassment is founded, he/she shall take immediate and appropriate disciplinary action against the employee guilty of sexual harassment, consistent with his authority under the municipal charter, ordinances or rules governing his authority to discipline employees. If the \_\_\_\_\_ feels that disciplinary action stronger than he/she is authorized to impose by the charter, ordinances, resolutions or rules governing employee discipline is warranted, he/she shall make that determination known to the governing body of the City of \_\_\_\_\_, together with the report of the investigation. If the governing body determines that the complaint of sexual harassment was founded, it may discipline the employee consistent with its authority under the municipal charter, ordinances, resolutions or rules governing employee discipline.

The disciplinary action shall be consistent with the nature and severity of the offense, the rank of the employee, and any other factors the governing body believes relate to fair and efficient administration of the municipal government, including, but not limited to, the effect of the offense on employee morale and public perception of the offense, and the light in which it casts the municipality. The disciplinary action may include demotion, suspension, dismissal, warning, or reprimand. A determination of the level of disciplinary action shall also be made on a case-by-case basis.

A written record of disciplinary actions taken shall be kept, including verbal reprimands. In all events, an employee found guilty of sexual harassment shall be warned not to retaliate in any way against the person making the complaint of sexual harassment, witnesses or any other person connected with the investigation of the complaint of sexual harassment.

- e. Solicit votes in support of or in opposition to a candidate for municipal government or county office.
  - f. Act as a recorder, watcher, challenger or similar officer at the polls on behalf of a candidate for municipal government or county office.
  - g. Drive voters to the polls on behalf of a candidate for municipal government or county office.
  - h. Endorse or oppose a candidate for municipal government or county office in a political advertisement, broadcast, campaign literature or similar material.
  - i. Address a rally or similar gathering of the supporters of opponents of a candidate for municipal government or county office.
  - j. Initiate or circulate a nominating petition for a candidate for municipal government or county office.
  - k. Wear campaign buttons, pins, hats or other similar attachment, or distribute campaign literature in support or opposition to a candidate for municipal government or county office.
2. **In all other elections for public office** - No municipal government employee, whether on or off duty, whether in or out of uniform, and whether on or off municipal government property, shall at any time or place:
- a. Become a candidate for, or campaign for, an elective public office.
  - b. Take an active part in managing the political campaign of a candidate for public office.
  - c. Directly or indirectly solicit, receive or collect contributions or other funds for a candidate for public office.
  - d. Sell tickets to a fund-raising activity of a candidate for public office.
  - e. Engage in any of the other political activities enumerated in the aforementioned section (1) except while they are either off duty or on their own time, and while they are not in a city uniform, and while they are in places other than on city-owned property.

A leave of absence will not be granted to a municipal government employee to engage in any of the political activities enumerated above.

**SECTION VIII - SEPARATIONS AND DISCIPLINARY ACTIONS****A. TYPES OF SEPARATIONS**

All separations of employees from positions with the municipal government shall be designated as one of the following types and shall be accomplished in the manner indicated: resignations, lay-offs, disability, death, retirement, and dismissal. At the time of separation and prior to final payment, all records, assets, and other items of city property in the employee's custody must be transferred to the department. Any amount due because of shortages shall be withheld from the employee's final compensation.

**B. RESIGNATION**

In the event an employee decides to leave the municipal government's employ, a \_\_\_\_\_ week notice shall be given to his/her supervisor so that arrangements for a replacement can be made. In such a case employees will be expected to return any/or all municipal government equipment assigned. An unauthorized absence from work for a period of three consecutive working days may be considered by the department head as a resignation.

If a former employee returns to municipal government employment, their status of seniority, pay, leave, etc. will be the same as any new employee beginning work for the first time.

**C. LAY-OFF**

The department head, upon approval from the \_\_\_\_\_ may lay-off an employee in the municipal government service when he/she deems it necessary by reason of shortage of funds, the abolition of a position, or other material changes in the duties or organization of the employee's position, or for related reasons that are outside the employer's control and that do not reflect discredit upon the service of the employee.

The duties performed by an employee laid-off may be assigned to other employees already working who hold positions in the appropriate class. Temporary employees shall be laid-off prior to the lay-off of probationary or regular employees. The order of layoff shall be in reverse order to total continuous time served upon the date established for the lay-off to become effective. (Note - Employers are not legally required to follow this method of laying off employees. Affirmative Action Plans may cause employers to reconsider the method used to accomplish the lay-off of employees).

**I. WRITTEN REPRIMAND**

In situations where an oral warning has not resulted in the expected improvement, or when more severe initial action is warranted, a written reprimand may be sent to the employee, and a copy shall be placed in the employee's personnel folder.

**J. SUSPENSION**

An employee may be suspended with or without pay by his/her department head with the approval of the \_\_\_\_\_, not to exceed a total of 30 days in any 12 month period. Suspensions without pay require a formal hearing to allow the employee the opportunity to hear the charges against him/her, and to present his/her side.

Pursuant to the Appeals Procedures, a written statement of the reason for suspension shall be submitted to the employee affected at least 24 hours prior to the time the suspension becomes effective. Employees may be suspended with pay for a longer period pending an investigation or hearing of any charges against them. An employee determined to be innocent of the charges shall be returned to duty with full pay for the period of suspension.

**K. DISMISSAL**

The \_\_\_\_\_ may dismiss an employee for just cause. Reasons for dismissal may include, but shall not be limited to: misconduct, negligence, incompetence, insubordination, unauthorized absences, falsification of records, violation of any of the provisions of the Charter, ordinances, or these rules.

Pursuant to the Appeals Procedure, the employee shall be provided a hearing in which the employee is notified of the nature of the proposed action, the reasons therefor, the evidence supporting such action and the right to appeal the charges to the \_\_\_\_\_. This hearing shall be conducted prior to the proposed effective date of the action when possible. During this period, the employee may be retained on duty status, placed on leave, or suspended with pay at the discretion of the \_\_\_\_\_. If the employee fails to respond to the hearing notice, the proposed action shall be effective on the date specified with no need for further action.

If the employee request a hearing on the proposed action, the \_\_\_\_\_ shall promptly set a date and time for the hearing and shall carefully consider all evidence presented before making a decision. The decision of the Board of Mayor and Aldermen/Council/Commission shall be final.

## M. APPEALS PROCESS

Any city employee reprimanded, suspended, or dismissed may, by submitting to the \_\_\_\_\_ the proper form to the City Clerk, request to have the action reviewed by the Board of Mayor and Aldermen/Council/Commission. An employee must submit the request for an appeal within ten calendar days of receipt of notification of the disciplinary action and must also state his/her intent to have representation and name the representatives. The Board of Mayor and Aldermen/Council/Commission shall schedule a hearing within ten days of the receipt of the employee's request for appeal. The action of the Board of Mayor and Aldermen/Council/Commission shall be final and binding on all parties involved unless appealed to Chancery Court by the employee.

The Board of Mayor and Aldermen/Council/Commission shall make a written report to the department head which will include the Board of Mayor and Aldermen/Council/Commission's statement of findings, conclusion and instructions as to the disposition of the appeal. After the Board of Mayor and Aldermen/Council/Commission has presented its findings and recommendations to the department head, any action required shall be taken within 72 hours and the employee notified in writing through proper channels. The action of the Board of Mayor and Aldermen/Council/Commission shall be final and binding on all parties involved unless appealed to Chancery Court by the employee.

## BIBLIOGRAPHY

**SECTION IX - AMENDMENT OF PERSONNEL RULES**

**A. AMENDMENTS**

Amendments or revisions of these rules may be recommended for adoption by the \_\_\_\_\_ . Such amendments or revisions of these rules shall become effective after public hearing and approval by resolution of the Governing Body.

**B. SEVERABILITY**

Each section, subsection, paragraph, sentence, and clause of this policy document is hereby declared to be separable and severable. The invalidity of any section, subsection, paragraph, sentence, or clause shall not affect the validity of any other portion of these rules, and only any portion declared to be invalid by a court of competent jurisdiction shall be deleted.

**C. SPECIAL NOTE**

These personnel policies are believed to be written within the framework of the Charter of the City of \_\_\_\_\_ but in case of conflict, the Charter takes precedence.



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## **INSTITUTE FOR PUBLIC SERVICE**

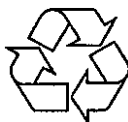
In 1971, the UT Board of Trustees created the Institute for Public Service (IPS) to coordinate and promote public service activities throughout the University system, excluding services provided through the Institute of Agriculture.

The basic goal of the university public service effort continues to be to bring to the citizens of Tennessee—their business, their industry, and their government—the problem-solving capabilities uniquely embodied within their statewide university system.

Public service includes all services offered to those outside the University, including teaching in certain non-degree situations, technical assistance, and applied research which are conducted specifically at the request and for the benefit of non-University organizations in Tennessee.

IPS provides (1) a systemwide focal point for urban and public service, (2) a means to coordinate the various system-level public service activities, and (3) an organizational base for communication and program development that relates to both outside service clientele of the University and the campuses of the University system.

The operating units of the Institute and their dates of creation are: Center for Government Training (1967), Center for Industrial Services (1963), County Technical Assistance Service (1973), Municipal Technical Advisory Service (1949), and Center for Telecommunications and Video (1989).



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