

# Compliance Components – Human Resource Services

Separate compliance components that constitute discrete issues to be addressed in developing a convincing argument for compliance in the Compliance Certification are underlined for each applicable requirement and standard. A narrative that addresses and documents some, but not all, of the compliance components is incomplete.

**Suggestions:** The “suggestions” provided below are guides to developing and documenting a narration that thoroughly addresses these compliance components.

**Excerpts citing noncompliance:** The “excerpts” are provided to assist Applicants and Candidates in identifying typical shortcomings in the narratives and documentation presented in support of an institution’s assertion of compliance; taken from reports developed by SACSCOC review committees, these excerpts are all part of some committee’s explanation of its finding of noncompliance.

## Comprehensive Standards:

### 3.2 Governance and Administration

- 3.2.9 The institution defines and publishes policies regarding appointment and employment of faculty and staff. **(Faculty/staff appointment)**

*For all standards that require a policy, institutions must document publication of the policy in appropriate institutional documents.*

- 3.2.10 The institution evaluates the effectiveness of its administrators on a periodic basis. **(Administrative staff evaluations)**

*Excerpt citing noncompliance: “The Compliance Certification does not provide any evidence that the institution is actually evaluating administrative staff. The narrative describes an evaluation process but does not offer any examples of how the process has been applied.”*

### 3.7 Faculty

- 3.7.2 The institution regularly evaluates the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenured status. **(Faculty evaluation)**

**Suggestion:** *To protect the privacy of the faculty involved, remove the names of faculty members whose evaluations are submitted as documentation of compliance.*

**Suggestion:** *Provide a representative sample of evaluations from across the disciplines and across the spectrum of evaluative comments.*

**Excerpt citing noncompliance:** *“The full-time faculty evaluation system appears to be well developed. The evaluation processes for adjunct faculty and for adult studies faculty, however, do not appear to be definitive, for the Compliance Certification observes that faculty in these categories are “usually” evaluated every two years.”*